1. Agency Management

Agency Management is the overarching management that occurs in all government agencies. Agencies document the process of making decisions for the agency and overseeing its operations.

NOTE: For records of governing and advisory bodies, see GOVERNANCE (other than annual reports, which are captured here under Reporting).

Table of contents (A comprehensive listing of all record types is available on the functional schedule documents page at https://archives.ncdcr.gov/documents/functional-schedule-state-agencies):

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An index for the entire functional schedule is available on the functional schedule documents page at https://archives.ncdcr.gov/documents/functional-schedule-state-agencies.

Agency Management records document both routine management of agency operations and the more significant decisions that speak to core functions. The record types contained in this schedule can benefit from organization by both subject and date. Records with relatively short-term value such as Organizational Charts (RC No. 112) and Tracking Materials (RC No. 126) are best organized chronologically. Records with permanent value such as significant reports or policies would benefit from subject-based organization, thereby facilitating quick access. Agencies should separate records documenting the development of final reports, policies, procedures, and plans from the final product in order to allow for earlier destruction of these transitory work products.

Some record types have relatively short-term administrative value. For example, records created to track the receipt of materials in the agency (RC No. 126), should be destroyed in office when their reference value ends. For the sake of consistency, each agency or office should determine and document the period of time that these records hold value. In other instances, record types with relatively short-term value may be constantly evolving or iterative, such as inventories (RC No. 123). These record types may be destroyed in office when they are superseded or obsolete. Other records may have long-term historical value. These record types, such as Agency Histories (RC No. 111), will be retained permanently.

These functional schedules apply to records in all media, unless otherwise specified. The State Archives of North Carolina recommends that agencies develop a file plan that documents the owners of record copies, internal definitions of reference value, and record formats. Information about the NC Public Records Act, confidentiality, destructions, audits and litigation actions, and electronic records can be found in the overview to the functional scheduling initiative. (These documents are available on the state agency records management documents page at https://archives.ncdcr.gov/documents/state-agency-rm.) A key for the functional schedule along with definitions of important records management terms can be found in the glossary to this schedule.

1.1 Establishing Organizational Structure

DEFINED: Activities related to establishing and updating the agency's organizational structure. These activities relate to the positions and structure of the agency, not the individuals in the positions.

SEE ALSO: Personnel records are under HUMAN RESOURCES. Records about particular agency events are under PUBLIC RELATIONS.

RC No.	Record Types	Description	Disposition Instructions	Citation
111.P	Agency Histories	records documenting the history or development of an agency or programs within the agency that have historical significance; includes narratives, summaries, scrapbooks, photographs, oral histories, and other related records	PERMANENT (appraisal required) ∞	
111.R	SEE ALSO: Agency Policies (below)	routine records documenting the history or development of an agency or programs within the agency	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
112.S	Organizational Charts	records depicting agency structure	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
113.P	Structure/Restructuring Records	decision-making records documenting the creation of a new agency or agency mergers/splits	PERMANENT (appraisal required) ∞	
113.R		operational records documenting the creation of a new agency or agency mergers/splits, including internal reorganizations	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
113.A		records documenting transitions between administrations	PERMANENT (archival) ∞	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.

1.2 Information Management

DEFINED: Activities concerning the management of information that is collected and/or distributed by the agency. Includes research into an area of interest for use in support of the development of specific projects, standards, and guidelines for the agency.

NOTE: An index or box inventory should accompany any records that transfer to the State Records Center for temporary storage or for eventual transfer to the custody of the Archives.

SEE ALSO: Reports that are produced from aggregated data are under Reporting. Fixed asset inventories are under ASSET MANAGEMENT, as is the documentation of records transfers and destructions maintained by the State Records Center. Employee surveys are under HUMAN RESOURCES. Public records requests, speeches, forms, surveys, and other publicity records are under PUBLIC RELATIONS.

RC No.	Record Types	Description	Disposition Instructions	Citation
121.S	Collected Data	information and statistics compiled and analyzed for research purposes or to support the agency management function	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	If data contains confidential information, abide by relevant restrictions.
122.S	Contact Lists	lists of people and organizations to whom information is distributed by the agency	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
123.S	Indices and Inventories	records that are used for tracking the existence and location of information within the agency	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
124.P	Records Management Materials	records documenting the final disposition of public records; includes destruction logs and transfer forms	PERMANENT	
124.S	SEE ALSO: Indices and Inventories (above), Public Records Requests (PUBLIC RELATIONS)	records documenting the management of public records; includes approved retention and disposition schedules, file plans, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.

RC No.	Record Types	Description	Disposition Instructions	Citation
125.R	Reference Files	materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
	SEE ALSO: Media File (PUBLIC RELATIONS)	subject files containing informational copies of records organized by areas of interest	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
		reference copies of records where another individual or agency is responsible for maintaining the record copy	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
126.R	Tracking Materials	records intended to verify the receipt of information; includes certified mail receipts	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.

1.3 Operations

DEFINED: Activities related to the execution of routine administrative tasks.

NOTE: For heads of agencies who are appointed, the end of term comes when they resign or are replaced; for heads of agencies who are elected, the end of term comes when they resign or are reelected. The Capstone project of the State Archives of North Carolina has identified the positions within state agencies that produce archival correspondence; e-mail accounts will be transferred when individuals separate from these positions. Other State agency employees whose e-mails will only be retained by the Department of Information Technology for a period of 5 years are responsible for identifying and retaining any e-mails that are necessary for audit or other long-term retention purposes.

SEE ALSO: Maintenance records are under ASSET MANAGEMENT. Correspondence for educational facilities is under EDUCATION, correspondence for the Offices of the Governor and Lieutenant Governor and for governing and advisory bodies is under GOVERNANCE, and legal correspondence is under LEGAL. Fiscal records and travel requests are under FINANCIAL MANAGEMENT. Records for governing and advisory bodies are under GOVERNANCE. Accreditations and directives issued by the agency are under MONITORING AND COMPLIANCE. Publicity records are under PUBLIC RELATIONS. Schedules for the Offices of the Governor and Lieutenant Governor are under GOVERNANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
131.5	Accreditation Records SEE ALSO: Authorizing and Licensing (MONITORING AND COMPLIANCE)	records documenting accreditations and certifications received by the agency; includes applications, final reports, and other related records; also includes evaluations of the agency by outside entities	RETAIN UNTIL: Superseded/Obsolete PLUS: 5 years THEN: Destroy	
132.<	Calendars SEE ALSO: Scheduling (GOVERNANCE)	schedules of the agency head/secretary	RETAIN UNTIL: End of term THEN: Destroy	
132.S		schedules of agency staff and events	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
133.A	Correspondence SEE ALSO: Governing and Advisory Body Correspondence (GOVERNANCE) (continued on following page)	internal and external communications (including e-mail) to and from elected officials, appointed officials, and agency staff who are involved in decision-making, policy development, or other high-level planning for the agency	PERMANENT (archival) ∞	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.

RC No.	Record Types	Description	Disposition Instructions	Citation
133.P	Correspondence (cont.) SEE ALSO: Institutional Correspondence (EDUCATION), Executive Office (GOVERNANCE), General Legal Correspondence (LEGAL)	internal and external communications (including e-mail) to and from agency employees whose correspondence has been identified for long-term retention for the purposes of institutional memory and planning; includes correspondence on behalf of an organizational unit	PERMANENT (appraisal required) ∞	
133.5	*NOTE: Excludes adjudicatory communications related to court proceedings in the Judicial Branch.*	internal and external communications (including e-mail) to and from all other agency employees	RETAIN UNTIL: Received/Sent PLUS: 5 years THEN: Destroy*	Retention EO No. 12 (2013)
133.1		unsolicited correspondence received by the agency that requires no response and is not subject to Executive Order No. 12 (2013)	RETAIN UNTIL: Received PLUS: 1 year THEN: Destroy	
133.<		outgoing agency mail returned for any reason, including incorrect address, forwarding order expired, etc.	RETAIN UNTIL: Returned PLUS: 30 days THEN: Destroy	
134.S	Information Sharing Materials SEE ALSO: PUBLIC RELATIONS	internal records such as memoranda, newsletters, and bulletins that circulate information within the agency	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
135.S	Logistics Materials SEE ALSO: Travel Requests (FINANCIAL MANAGEMENT)	routine notices, task lists, and arrangements	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
136.1	Meeting Materials SEE ALSO: Governing and Advisory Body Minutes (GOVERNANCE) (continued on following page)	minutes and attachments for internal committees or task forces	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
136.S		agendas, meeting packets, visual aids, presentations, notes, and audio/visual recordings for internal committees or task forces	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.

RC No.	Record Types	Description	Disposition Instructions	Citation
136.R	Meeting Materials (cont.)	agendas, meeting packets, notes, and other related records from meetings attended by agency personnel	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
137.S	Membership Records SEE ALSO: Accounts Payable (FINANCIAL MANAGEMENT)	records concerning memberships or registrations on behalf of the agency or agency personnel	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy*	
137.A		records concerning organizations with which the Director of the State Bureau of Investigation has been affiliated	PERMANENT (archival) ∞	
138.3	Procedures	documentation of procedures employed within the agency	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy*	
139.3	Project Documentation SEE ALSO: Construction Management (INFRASTRUCTURE MANAGEMENT)	records documenting the design, planning, development, control, or monitoring of a specific project or group of projects; includes proposals, schematics, forecasts, feasibility studies, statements of work, assessments, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
139.P		records documenting special projects that establish new programs or services for the agency that become ongoing functions and priorities	PERMANENT (appraisal required) ∞	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.

1.4 Reporting

DEFINED: Activities related to formal responses to situations or requests, including internal, external, and mandatory requests.

NOTE: While the work product that goes into the creation of a report is public record, these drafts and other transitory materials may be destroyed once the report is finalized. The reports listed here include any prepared on behalf of the agency by hired consultants. Agencies must abide by the North Carolina Administrative Code or other regulations that require received reports to be posted to a website (e.g., 10A NCAC 13B .2102).

For Reports Written by the Agency, the archival requirement is met by sending the required copies of the reports to the State Documents Clearinghouse.

SEE ALSO: Budget reports and other fiscal reporting records are under FINANCIAL MANAGEMENT. Patient medical reports are under HEALTHCARE. Audit Reports as well as reports submitted as part of a monitoring requirement are under MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
141.A	Reports Received by the Agency	reports required to be submitted to the General Assembly	PERMANENT (archival) ∞	
141.P		reports of unmarked human burial and human skeletal remains submitted to the Department of Natural and Cultural Resources	PERMANENT	Confidentiality G.S. § 70-18
141.S	SEE ALSO: Monitoring Surveys and Reports (MONITORING AND COMPLIANCE)	other reports required to be submitted to the agency	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.

RC No.	Record Types	Description	Disposition Instructions	Citation
142.A	Reports Written by the Agency SEE ALSO: Financial Reports (FINANCIAL MANAGEMENT)	annual and biennial reports	PERMANENT (archival) ∞ -OR- Transfer 10 or more printed copies or 1 electronic copy of each publication to the State Documents Clearinghouse, State Library of North Carolina	Authority G.S. § 125-11.8(b)
		reports prepared at the request of an agency's governing body or a court	PERMANENT (archival) ∞ -OR- Transfer 10 or more printed copies or 1 electronic copy of each publication to the State Documents Clearinghouse, State Library of North Carolina	Authority G.S. § 125-11.8(b)
		prison labor reports from the Department of Transportation	PERMANENT (archival) ∞	
142.3		monthly, bimonthly, quarterly, or semi-annual reports	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
142.1		daily or periodic activity reports concerning workload measurements, time studies, productivity, services rendered, or other similar records	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy*	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.

1.5 Strategic Management

DEFINED: Activities related to systematic planning for the agency.

SEE ALSO: Records for governing and advisory bodies are under GOVERNANCE. HIPAA policies are under HEALTHCARE. Affirmative action plans and personnel policies are under HUMAN RESOURCES. Workforce strategic plans overseen by the Department of Commerce are under PUBLIC ASSISTANCE AND SUPPORT SERVICES. Records concerning disaster and emergency management plans are under RISK MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
151.P	Agency Policies	agency policies that have state-wide significance	PERMANENT (appraisal required) ∞	
	SEE ALSO: HIPAA Policies (HEALTHCARE), Personnel Administrative Records (HUMAN RESOURCES), Electronic Records Policies (INFORMATION TECHNOLOGY)	policies that are agency-specific	PERMANENT	
152.2	Business Plans	plans for managing the agency's units, projects, workforce, etc.; includes timelines, benchmarks, responsibilities, and routine work instructions	RETAIN UNTIL: Execution of plan PLUS: 2 years THEN: Destroy	
153.S	Goals and Mission Statements	high level definitions of priorities for the agency	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
154.P	Strategic Plans	long-term plans intended to carry out the agency's core functions	PERMANENT (appraisal required) ∞	
154.5		records concerning the development of strategic plans	RETAIN UNTIL: Adoption of plan PLUS: 5 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.

NC DEPARTMENT OF NATURAL AND CULTURAL RESOURCES

Records That Will Transfer to the State Records Center

111.P Agency Histories: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Administration, Department of	NC Council for Women Historical File	49233
Agriculture and Consumer Services, Department of	NC Forest Service History File	2684
	Soil and Water Conservation Division History File	17282
Health and Human Services, Department of	Historical Data Concerning State Operated Healthcare Facilities File	38578
Information Technology, Department of	Center for Geographic Information and Analysis Historical File	17212
	North Carolina Geographic Information Coordinating Council (GICC) History File	36010
Lottery Commission, North Carolina State	History File	47602
Natural and Cultural Resources, Department of	Capitol Historian Research File	22827
Public Safety, Department of	Juvenile Justice Program Services Division Historical File	49680
	Secretary's Office Historical File	49345
State Treasurer, Department of	Departmental History File	16241

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

133.A Archival Correspondence (Capstone): These positions have been identified as archival e-mail accounts through the Capstone project and will be tagged by the Department of Information Technology for legal hold until the position holder separates from the agency, at which time the account will be downloaded for immediate transfer to the custody of the Archives.

Agency	Position	Archival State Records Series Number
Administration, Department of	Accounting Manager – Fiscal	40.86
	Admin Officer ll – Surplus Property	
	Admin Officer lll – Facility Management	
	Admin Assistant lll – Secretary's Office	
	Assistant to Secretary	
	Assistant to the Secretary for Historically Underutilized Businesses Outreach	
	Attorney – P&C	
	Benefits Admin	
	Budget Analyst – Fiscal	
	Business and Info Systems Liaison – State Property	
	Business Officer I -- Surplus Property	
	Commission of Indian Affairs Director	
	Executive Director, NC Council for Women and Domestic Violence Commission	
	Deputy Secretary	
	Deputy Secretary – Advocacy	
	Deputy Secretary for Operations	
	Deputy State Purchase Officer – P&C	
(continued on following page)	Director, Division of Non-Public Education	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Administration, Department of (cont.)	Director, Human Resources Management Division	
	Director, Mail Service Center	
	Director, MIS	
	Director, Motor Fleet Management Division	
	Director, Office of Fiscal Management	
	Director, Public Relations	
	EEO Officer	
	Engineering Manager - State Construction	
	Facility Management Director	
	General Counsel	
	Grounds Superintendent ll – Facility Mgmt	
	Internal Auditor – Secretary's Office	
	Legislative Affairs Program Coordinator	
	Plant Maintenance Supervisor lll – Facility Mgmt	
	Purchasing Officer – Fiscal	
	Real Property Manager – State Property	
	Safety Director	
	Secretary	
	State Parking System Director	
	State Property Director	
	State Purchasing Officer	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Administrative Hearings, Office of	Attorney ll – Human Relations Commission	6057.1
	Chief Financial Officer	
	Codifier of Rules	
	Director and Chief Administrative Law Judge	
	Director of Civil Rights Division	
	Senior Administrative Law Judge	
Agriculture and Consumer Services, Department of	Agricultural Programs Administrator	7.34
	Assistant Commissioner, Agricultural Services	
	Assistant Commissioner, Consumer Protection	
	Assistant Commissioner, NC Forest Service	
	Chief Deputy Commissioner	
	Chief of Staff	
	Commissioner	
	Director, Division of Soil and Water Conservation	
	Director, Marketing Division	
	Executive Director, Agricultural Finance Authority	
	General Counsel	
	Manager, N.C. State Fair Division	
	Rulemaking Coordinator	
	State Forester	
Commerce, Department of	Assistant Secretary for Rural Economic Development	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Commerce, Department of (cont.)	Assistant Secretary of Workforce Solutions	37.9
	Commerce Chief of Staff	
	Commissioner of Banks	
	Executive Director of the Office of Science, Technology & Innovation	
	Secretary	
Commerce, Department of -- Division of Employment Security	Chief Financial Officer	45.13
	Director, Unemployment Insurance	
Environmental Quality, Department of	Assistant Secretary for the Environment	82.59
	Assistant Secretary for Natural Resources	
	Chief Deputy Secretary	
	Chief Financial Officer	
	Chief Information Officer	
	Chief, Energy Section	
	Communications Director for Environmental Protection	
	Department PIO	
	Deputy Director, Water Resources	
	Director, Air Quality	
	Director, Coastal Management	
	Director, Energy, Mineral, & Land Resources	
	Director, Legislative Affairs	
(continued on following page)	Director, Marine Fisheries	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Environmental Quality, Department of (cont.)	Director, Mitigation Services	
	Director, Waste Management	
	Director, Water Resources	
	Executive Assistant to Assistant Secretary for Environment	
	Executive Assistant to Secretary	
	Executive Director for Energy	
	General Counsel	
	N.C. Geological Survey	
	Secretary	
Health and Human Services, Department of	Deputy Secretary for Human Services	91.53
	Deputy Secretary of Behavioral Health and Developmental Disabilities Services	
	Deputy Secretary of Health Services	
	Deputy Secretary of Medical Assistance	
	Secretary	
Industrial Commission, North Carolina	Chair of the Industrial Commission	181.3
Information Technology, Department of	Chief Data Officer, Deputy State CIO	6002.10
	Chief Financial Officer	
	Chief Strategy Officer, Deputy CIO	
	Deputy State Chief Information Officer/ Chief Services Officer	
	Director of Intergovernmental Affairs and Vendor Relations	
(continued on following page)	Director of Public Affairs	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Information Technology, Department of (cont.)	General Counsel and Policy Director	
	IT Compliance Auditor Team Lead	
	Legislative Affairs / Program Coordinator	
	State Chief Information Officer	
	State Chief Information Risk Officer	
Labor, Department of	Agricultural Safety & Health Bureau Chief	10.26
	Assistant Deputy Commissioner Occupational Safety and Health	
	Boiler Safety Bureau Chief	
	Chief of Staff	
	Commissioner of Labor	
	Consultative Services Bureau Chief	
	Deputy Commissioner, Occupational Safety and Health Division	
	Deputy Commissioner, Standards and Inspections	
	Director of Administration and Governmental Affairs	
	Director of Budget and Management	
	Director of Communication	
	Education, Training and Technical Assistance Bureau Chief	
	Elevator and Amusement Device Bureau Chief	
	Employment Discrimination Bureau Chief	
	Executive Assistant	
(continued on following page)	General Counsel	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Labor, Department of (cont.)	Mine and Quarry Bureau Chief	
	Planning, Statistics and Information Management Bureau Chief	
	Research and Policy Director	
	Safety & Health Compliance Eastern Bureau Chief	
	Safety & Health Compliance Western Bureau Chief	
	State Plan Administrator	
	Wage and Hour Bureau Administrator	
Military and Veterans Affairs, Department of	Assistant Secretary of Military Affairs	115.6
	Assistant Secretary for Veterans Affairs	
	Business Officer	
	Secretary	
Natural and Cultural Resources, Department of	Assistant Secretary for Marketing and Communication	57.35
	Assistant to Chief Deputy Secretary	
	Assistant to Deputy Secretary	
	Assistant to Secretary	
	Chief Deputy Secretary	
	Chief Financial Officer	
	Chief Information Officer	
	Communication Director	
	Deputy Secretary	
(continued on following page)	Deputy Secretary for Archives, History, and Parks	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Natural and Cultural Resources, Department of (cont.)	Director, Clean Water Management Trust Fund	
	Director, Division of Aquarium	
	Director, Historical Resources	
	Director, Marketing	
	Director, Museum of Art	
	Director, Natural Sciences Museum	
	Director, State Historic Sites	
	Director, State History Museums	
	Director, State Parks	
	Director, Zoological Park	
	Executive Director, North Carolina Arts Council	
	General Counsel	
	Legislative Liaison	
	Secretary	
	Special Assistant for Public Affairs	
	State Archivist	
	State Librarian	
Public Instruction, Department of	Attorney II	104.384
	Chief Academic and Digital Learning Officer	
	Chief Financial Officer	
(continued on following page)	Chief Information Officer	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Public Instruction, Department of (cont.)	Deputy State Superintendent	
	Director, Accountability Services	
	Director, Data, Research & Federal Policy	
	Director, District and School Transformation	
	Director, Internal Auditor	
	Director, K-12 Curriculum and Technology	
	Executive Director, State Board of Education	
	Legislative & Community Affairs Director	
	Senior Policy Advisor	
	Special Assistant	
	Special Assistant/Scheduler	
	State Superintendent	
Public Safety, Department of	Adjutant General, North Carolina National Guard	54.16
	Attorney	
	Chair, Post Release Supervision and Parole Commission	
	Chairman, Alcoholic Beverage Control Commission	
	Chief Information Officer	
	Commander, State Highway Patrol	
	Commissioner of Adult Correction and Juvenile Justice	
	Commissioner of Operations	
(continued on following page)	Controller	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Public Safety, Department of (cont.)	Deputy Commissioner, Administration	
	Deputy Commissioner, Juvenile Justice	
	Deputy Commissioner, Operations	
	Deputy Director of Administration, Prisons	
	Director of Communications	
	Director of Engineering	
	Director of Human Resources	
	Director of Internal Audit	
	Director of Special Operations	
	Director of Special Projects	
	Director, Budget & Analysis	
	Director, Community Corrections	
	Director, Correction Enterprises	
	Director, Emergency Management	
	Director, Prisons	
	Director, Private Protective Services Board/Alarm System Licensing Board	
	Director, Purchasing & Logistics	
	Director, Rehabilitative Programs & Services	
	Executive Director, Governor's Crime Commission	
	Executive Director, Inmate Grievance Resolution Board	
(continued on following page)	General Counsel	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Public Safety, Department of (cont.)	Manager of Combined Records	
	Rulemaking Coordinator	
	Secretary	
	Sr. Legislative Liaison, Governmental Affairs	
Revenue, Department of	Assistant Secretary	11.14
	COO	
	Secretary	
State Auditor, Office of	Agency Legal Consultant	5.55
	Chief Deputy	
	Chief Information Officer	
	Deputy State Auditor	
	External Affairs Manager	
	General Counsel	
	Public Information Officer	
	State Auditor	
State Controller, Office of	Business Manager/Chief Financial Officer	22.14
	Chief Deputy State Controller	
	Deputy State Controller	
	Executive Assistant	
	Legislative Affairs Program Manager	
	State Controller	

(continued on following page)

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
State Controller, Office of (cont.)	State Controller/Business Systems Manager	
State Human Resources, Office of	Business Operations Division Director	34.17
	Communication Director	
	Deputy Director of State Human Resources	
	Diversity and Inclusion Division Director	
	Division Director	
	Employee Relations Director	
	Executive Assistant	
	General Counsel	
	Human Resources Director	
	Legislative Liaison	
	Local Government Director	
	Safety, Health and Wellness Division Director	
	State Human Resources Director	
Transportation, Department of	Chief Deputy Secretary	80.29
	Chief Financial Officer	
	Chief Information Officer	
	Commissioner of Motor Vehicles	
	Deputy Secretary Communications	
	Deputy Secretary for Transit	
(continued on following page)	Director of Civil Rights	

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Position	Archival State Records Series Number
Transportation, Department of (cont.)	Director of Division of Highways/State Highway Administrator	
	Environmental Program Advisor	
	Executive Assistant to the Secretary	
	Executive Director NC Turnpike Authority	
	General Counsel	
	NC State Port Authority CEO	
	Public Records Manager	
	Research and Development Manager	
	Secretary	
	State Program Analysis Engineer	
	Technical Services Administrator	
Wildlife Resources Commission	Chief Deputy Director	87.19
	Deputy Director of Operations	
	Executive Director	

133.A Archival Correspondence: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives. (NOTE: This includes e-mail accounts from state agencies that do not use Department of Information Technology services; these accounts will be manually transferred to the Archives and are designated with an * after the series title.)

Agency	Series Title	Item Number
Administration, Department of	Commission of Indian Affairs Executive Director's Correspondence File	70
	Secretary's Correspondence File	5

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Series Title	Item Number
Administrative Hearings, Office of	Director's Correspondence File	18608
	Human Relations Commission Director's Correspondence File	47
Administrative Office of the Courts	Director's Correspondence File	2308
Agriculture and Consumer Services, Department of	Commissioner's Correspondence File	221
Commerce, Department of	Secretary's Correspondence File	299
Community College System, North Carolina	President's Correspondence File	584
Environmental Quality, Department of	Secretary's Correspondence File	2478
Health and Human Services, Department of	Secretary's Correspondence File	1573
Housing Finance Agency, North Carolina	Director's Correspondence File	19596
Information Technology, Department of	Secretary's Correspondence File	36031
Insurance, Department of	Commissioner's Correspondence File	11620
Justice, Department of	Attorney General's Correspondence File*	2344
Labor, Department of	Commissioner's Correspondence File	50824
Military and Veterans Affairs, Department of	Secretary's Correspondence File	179
Natural and Cultural Resources, Department of	Secretary's Correspondence File	750
Public Instruction, Department of	State Superintendent's Correspondence File	33435
Public Safety, Department of	NC Alcoholic Beverage Control Commission Chairman's Correspondence File	314
	Secretary's Correspondence File	50821
Revenue, Department of	Secretary's Correspondence File	2755
Secretary of State, Department of the	Secretary's Correspondence File*	2914
State Auditor, Office of the	State Auditor's Correspondence File	47653
State Budget and Management, Office of	Director's Correspondence File	1531
State Bureau of Investigation	Director's Correspondence File	16574
State Controller, Office of the State	State Controller's Correspondence File	44633
State Human Resources, Office of	Director's Correspondence File	165
State Treasurer, Department of	State Treasurer's Correspondence File*	16271
Transportation, Department of	Secretary's Correspondence File	2927

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

133.P Long-Term Correspondence (by position): Records will be maintained permanently in office, during which time the records will be appraised for possible transfer to the Archives. (An + indicates e-mail from this position holder will also be captured from the Department of Information Technology through the Capstone project.)

Agency	Series Title	Item Number
Administrative Office of the Courts	Assistant Director's Correspondence File	2313
	Guardian ad Litem Administrator's Correspondence File	40560
	Research and Planning Division Director's Correspondence File	10572
Agriculture and Consumer Services, Department of	Division of Marketing Director's Correspondence File +	3512
	Meat and Poultry Inspection Division Director's Correspondence File	47450
	Plant Industry Division Director's Correspondence File	35561
Commerce, Department of	Assistant Secretary of Workforce Solutions Correspondence File +	27104
Environmental Quality, Department of	Environmental Management Director's Correspondence File	31344
Health and Human Services, Department of	Division of Medical Assistance Deputy Director's Correspondence File	33273
	Division of Medical Assistance Director's Correspondence File	1853
Information Technology, Department of	Customer and Public Relationship Director's Correspondence File	47439
	Deputy State Chief Information Officer's Correspondence File +	47358
	Information Security Manager's Correspondence File	47322
	State Chief Information Officer's Correspondence File +	47357
Insurance, Department of	Assistant Commissioner's Correspondence File	11870
	Chief Deputy Commissioner's Correspondence File	41769
	Chief Information Officer's Correspondence File	50601
	Life and Health Insurance Division Commissioner's Correspondence File	35341
	Office of State Fire Marshal Senior Deputy Commissioner's Correspondence File	11877
Labor, Department of	Director of Administration and Governmental Affairs Correspondence File +	50126
	Research and Policy Division Director's Correspondence File +	46406
Lottery Commission, North Carolina State	Executive Director's Correspondence File	47590
Natural and Cultural Resources, Department of	Chief Deputy Secretary's Correspondence File +	760
	Communications Director's File +	2096

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Series Title	Item Number
Natural and Cultural Resources, Department of (cont.)	Division of Aquariums Director's Correspondence File +	36705
	Division of Archives and Records Director's Correspondence File +	3989
	North Carolina Museum of Art Director's Correspondence File +	858
	North Carolina Museum of Natural Sciences Director's Correspondence File +	212
	North Carolina Zoological Park Curator's General Correspondence File	23677
	State History Museum Director's Correspondence File +	23068
	State Librarian's Correspondence File +	8911
	State Parks Director's Correspondence File +	3406
	Tryon Palace Historic Sites and Gardens Administrator's Correspondence File	26566
Public Instruction, Department of	Division of Fiscal Control Services Director's Correspondence File	20474
	Division of Human Resource Management Director's Correspondence File	33218
	Division of School Facility Services Director's Correspondence File	35389
Public Safety, Department of	Branch Head of Alcohol Law Enforcement Correspondence File	50472
Revenue, Department of	Assistant Commissioner's and Deputy Secretaries' Correspondence File	2756
Secretary of State, Department of the	Business Registration Division Director's Correspondence File	48167
	Certification and Filing Division Director's Correspondence File	50844
	Charitable Solicitation Licensing Director's Correspondence File	50842
	Chief Deputy Secretary Correspondence File	50442
	Deputy Securities Administrator's Correspondence File	50841
	Electronic Notarization and Notary Enforcement Director's Correspondence File	50845
	Land Records Manager's Correspondence File	50843
	Trademarks Registration Office Registrar's Correspondence File	50846
State Bureau of Investigation	Assistant Director of Field Operations (East) Correspondence File	50443
	Assistant Director of Field Operations (West) Correspondence File	50470
	Assistant Director of Professional Standards Correspondence File	50471
	Deputy Director's Correspondence File	50473
State Treasurer, Department of	State Health Insurance Plan Director's Correspondence File	20796

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Series Title	Item Number
Transportation, Department of	Chief Deputy Secretary's Correspondence File +	21875
	Chief Engineer's Correspondence File	4119
	Division of Aviation Director's Correspondence File	16374
	Division of Motor Vehicles Commissioner's Correspondence File +	3156
Wildlife Resources Commission	Executive Director's Correspondence File	2742

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

133.P Long-Term Correspondence (by entity): Records will be maintained permanently in office, during which time the records will be appraised for possible transfer to the Archives.

Agency	Series Title	Item Number
Administrative Office of the Courts	Guardian ad Litem Agency, Institutional, and Organizational Correspondence File	40561
	Office of Counsel Correspondence and Memoranda File	2315
Agriculture and Consumer Services, Department of	Agriculture Cost-Share Program Correspondence File	17302
	Agriculture Research Stations and State Farm Operations Division Correspondence File	9268
	Plant Protection Section Correspondence File	9125
	Veterinary Division Office Correspondence File	8976
Commerce, Department of	Rural Electrification Authority Correspondence File	525
Environmental Quality, Department of	Division of Forest Resources Correspondence File	2508
	Division of Soil and Water Conservation Correspondence File	17842
	Division of Water Quality Correspondence File	2602
Ethics Commission, NC State	Correspondence File	3889
Health and Human Services, Department of	Division of Medical Assistance Control Correspondence File	4075
	Health Care Financing Administration Correspondence File	33274
	Radiation Protection Other States' Agencies Correspondence File	7575
Insurance, Department of	North Carolina Building Code Council Correspondence File	3738
Natural and Cultural Resources, Department of	Historical Publications Administrative Correspondence File	18974
	Historical Research Branch General Correspondence File	13974
	North Carolina Museum of Art Correspondence File	18855
	North Carolina Museum of Art Organizational Correspondence File	859
	Office of Archives and History Administrative Correspondence File	13037
	Office of State Archaeology Correspondence File	818
	State Historic Preservation Office Administrative Correspondence File	808
	State Historic Sites Correspondence File	29274
Public Instruction, Department of	North Carolina Professional Teaching Standards Commission Correspondence File	30593

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Series Title	Item Number
Public Instruction, Department of (cont.)	Teacher Education Section Initial Certification Program Correspondence File	29688
Secretary of State, Department of the	Advance Health Care Directives Section Correspondence File	50854
	Authentications Section Correspondence File	50853
	Certification and Filing Division Correspondence File	50850
	Charitable Solicitation Licensing Division Correspondence File	50848
	Electronic Notarization and Notary Enforcement Division Correspondence File	50851
	Land Records Section Correspondence File	50849
	Notary Public Division Correspondence File	17110
	Securities Division Correspondence File	50847
	Trademarks Registration Office Correspondence File	50852
Sentencing and Policy Advisory Commission, NC	Correspondence File	39223
State Treasurer, Department of	Actuary Correspondence File	16277

137.A Membership Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
State Bureau of Investigation	State Bureau of Investigation Committees, Commissions, and Associations File	16575

139.P Project Documentation: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Administration, Department of	Commission of Indian Affairs Project File	73
Information Technology, Department of	Administrative Services Agency File	47369
	Administrative Services Projects File	47359
Natural and Cultural Resources, Department of	Capital Improvement Projects File	3428
	Office of Archives and History Special Projects File	13063
	State Capitol Projects File	22838

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

141.A Reports Received by the Agency: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
General Assembly	State Agency Reports to the General Assembly	48284

142.A Reports Written by the Agency: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Acupuncture Licensing Board	Reports File	50132
Administrative Hearings, Office of	Human Relations Commission Reports File	57
Administrative Office of the Courts	Guardian ad Litem Division Statistical Reports File	40585
Agriculture and Consumer Services, Department of	North Carolina Forest Service Federal Reports File	2702
	North Carolina Forest Service State Reports File	24231
Appraisal Board, North Carolina	Reports File	50136
Architecture, North Carolina Board of	Reports File	50143
Athletic Trainer Examiners, North Carolina Board of	Reports File	50160
Auctioneers Commission, North Carolina	Reports File	50303
Barber Examiners, State Board of	Reports File	50192
Cemetery Commission, North Carolina	Reports File	50301
Certified Public Accountant Examiners, North Carolina State Board of	Annual Reports	21059
Chiropractic Examiners, North Carolina State Board of	Reports File	28878
Commerce, Department of	Rural Manpower Reports File	12073

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Series Title	Item Number
Commerce, Department of – Economic Development Partnership of North Carolina	Annual Reports File	14885
Cosmetic Art Examiners, North Carolina Board of	Annual Reports File	17476
Counselors, North Carolina Board of Licensed Professional	Reports File	50193
Dental Examiners, North Carolina State Board of	Governor's Reports File	45729
Dietetics/Nutrition, North Carolina Board of	Reports File	50195
Electrical Contractors, State Board of Examiners of	Reports File	50196
Electrolysis Examiners, North Carolina Board of	Reports File	50219
Engineers and Surveyors, North Carolina State Board of Examiners for	Reports File	50220
Environmental Health Specialist Examiners, State Board of	Annual Reports File	20094
Environmental Quality, Department of	Groundwater Section Reports File	17386
Foresters, State Board of Registration for	Reports File	50221
Funeral Service, North Carolina Board of	Reports File	21850
General Contractors, North Carolina Licensing Board for	Annual Reports File	28752
Geologists, North Carolina Board for Licensing of	Annual Reports File	26950
Hearing Aid Dealers and Fitters Board, North Carolina State	Reports File	50251
Interpreter and Transliterator Licensing Board, North Carolina	Reports File	50252
Insurance, Department of	Managed Care and Health Benefits Division Annual Reports File	43699
Irrigation Contractors' Licensing Board, North Carolina	Reports File	50283
Labor, Department of	Occupational Safety and Health Annual Comparisons Reports File	35269
	Occupational Safety and Health Fatality Reports File	35277

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Series Title	Item Number
Landscape Architects, North Carolina Board of	Reports File	21116
Landscape Contractors' Licensing Board, North Carolina	Reports File	21978
Law Examiners of the State of North Carolina, Board of	Reports File	20181
Locksmith Licensing Board, North Carolina	Reports File	50284
Lottery Commission, North Carolina State	Reports File	47591
Marriage and Family Therapy Licensing Board, North Carolina	Reports File	50285
Massage and Bodywork Therapy, North Carolina Board of	Reports File	50287
Medical Board, North Carolina	Administrative Reports File	20111
Military and Veterans Affairs, Department of	Statistical File	180
Natural and Cultural Resources, Department of	Historical Research Reports File	13977
	North Carolina Historical Commission Reports File	13030
	Office of Archives and History Reports File	794
	State Historic Sites Reports File	22894
	Statistics and Directory of NC Public Libraries	17772
	USS North Carolina Battleship Commission Director's Reports File	3834
Nursing Home Administrators, State Board of Examiners for	Reports File	50288
Occupational Therapy, North Carolina Board of	Reports File	50289
On-Site Wastewater Contractors and Inspectors Certification Board, North Carolina	Reports File	50290
Opticians, North Carolina State Board of	Reports File	28363
Optometry, North Carolina State Board of Examiners in	Reports File	29013

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Series Title	Item Number
Pastoral Counselors, North Carolina State Board of Examiners of Fee-Based Practicing	Reports File	50291
Physical Therapy Examiners, North Carolina Board of	Reports File	21993
Plumbing, Heating, and Fire Sprinkler Contractors, State Board of Examiners of	Reports File	50292
Podiatry Examiners, North Carolina Board of	Reports File	50293
Psychology Board, North Carolina	Reports File	17046
Public Instruction, Department of	Governor's School Annual Reports File	1454
	North Carolina Professional Educator Preparation and Standards Commission Reports File	47011
Public Safety, Department of	Adult Corrections Reports File	10172
	Community Corrections Statistical Reports File	36302
	Division of Emergency Management Annual Operations Reports File	37455
	Division of Emergency Management Hazard Mitigation Program Status and Financial Reports File	37155
Real Estate Commission, North Carolina	Reports File	50294
Recreational Therapy Licensure, North Carolina Board of	Reports File	50295
Refrigeration Contractors, State Board of	Reports File	50296
Revenue, Department of	Secretary of Revenue Reports File	2752
Social Work Certification and Licensure Board, North Carolina	Reports File	31172
Soil Scientists, North Carolina Board for Licensing of	Reports File	50297
Speech and Language Pathologists and Audiologists, Board of Examiners for	Reports File	50298
State Treasurer, Department of	Deputy Treasurer's Reports File	16272

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

Agency	Series Title	Item Number
State Treasurer, Department of (cont.)	Retirement Systems Divisional Reports File	16279
	Treasurer's Reports File	50832
Substance Abuse Professional Practice Board, North Carolina	Reports File	50299
Transportation, Department of	State Maintenance Branch Prison Labor Reports File	3135
Veterinary Medical Board, North Carolina	Reports File	50300

151.P Agency Policies: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Agriculture and Consumer Services, Department of	NC Forest Service Forest Management Policies File	2679
Elections, State Board of	Administrative File	21076
Housing Finance Agency, NC	Housing Partnership Board Policies File	19644
Information Technology, Department of	Center for Geographic Information and Analysis Policies, Procedures, and Regulations File	36003
	Enterprise Technology Policies Guidelines and Standards	48058
Labor, Department of	Division of Occupational Safety and Health Policies File	35298
Natural and Cultural Resources, Department of	Archival Electronic Records Guidelines, Policies, and Procedures File	47793
	Digital Services Policies and Guidelines File	50405
Revenue, Department of	Corporate, Excise and Insurance Tax Division Policies File	48976
State Human Resources, Office of	Directives File	28213
State Treasurer, Department of	Financial Operations Division Policies File	49343
	Investment Management Division Policies File	48231
	Retirement Systems Division Policies File	48646
	State and Local Government Finance Division Policies File	48571

154.P Strategic Plans: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Commerce, Department of	NCWorks Commission Strategic Plan File	49469
Information Technology, Department of	Biennial State Information Technology Plan File	47361
	Business Plan File	47367
Natural and Cultural Resources, Department of	Systems Development File	50408
Transportation, Department of	Transportation Planning File	23466

Glossary

Audit

The Society of American Archivists *Glossary of Archival and Records Terminology* defines an audit as "an independent review and examination of records and activities to test for compliance with established policies or standards, often with recommendations for changes in controls or procedures."[1] The North Carolina Office of the State Auditor defines three types of audits that can be performed for state agencies[2]:

- Financial Statement Audits that "determine whether an agency's financial statements are fairly presented"
- Performance/Financial Related Audits that "provide independent and objective appraisals of agency management practices and operational results"
- Information Systems Audits that "evaluate risks relevant to information systems assets and assess controls in place to reduce or mitigate these risks"

Many state agencies also have an internal auditor's office that is responsible for assessing whether agency employees, units, and business operations are in compliance with applicable federal and state laws and regulations, as well as agency policies and procedures. Some agencies are also responsible for auditing work of external organizations, including consultants and subrecipients. Agencies in receipt of funding from outside sources may be subject to audits to verify the appropriate expenditure of these funds. Audits may be performed on a routine recurring basis; they also may be prompted by concerns reported to the State Auditor's Hotline.

Historical Value

The term historical value is used interchangeably with archival value. The Society of American Archivists *Glossary of Archival and Records Terminology* defines it as "the importance or usefulness of records that justifies their continued preservation because of the enduring administrative, legal, fiscal, or evidential information they contain."[3] Two criteria for determining historical value are inherent interest and extraordinary documentation:

- Inherent interest is created by non-routine events, by the involvement of famous parties, and by compelling contexts. For instance, foreclosure proceedings from the 1930s have high historical value because they date from the era of the Great Depression.
- Extraordinary documentation is found in records that shed light on political, public, or social history. For instance, the records from the replevin case that returned the Bill of Rights to North Carolina hold more historical value than most property case files because of the political history intertwined with this case.

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[1] Richard Pearce-Moses, *A Glossary of Archival and Records Terminology* (2005)
[2] https://www.ncauditor.net/pub42/TypesOfAudits.aspx
[3] *A Glossary of Archival and Records Terminology*

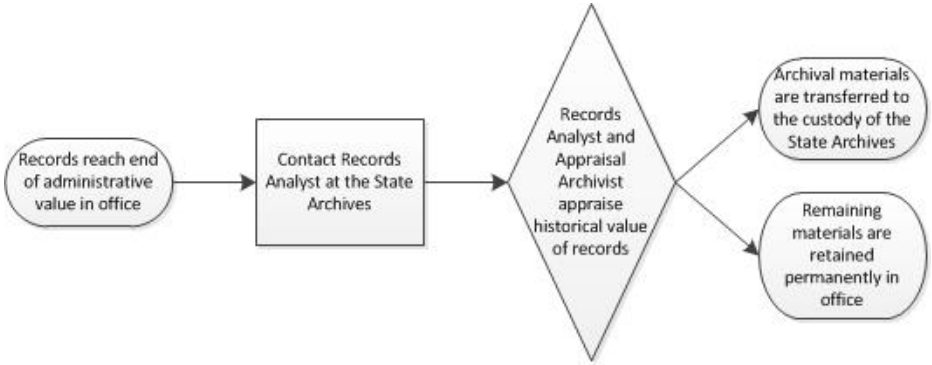
The State Archives of North Carolina (SANC) has further elaborated selection criteria that help distinguish records with archival value:

- Do they protect the rights and property of citizens?
- Do they have a long-term impact on citizens?
- Do they document the core functions of an agency?
- Do they document high-level decision-making that shapes an agency's policies or initiatives?
- Do they summarize an agency's activities?

Records with historical value are identified with one of three designations in the Disposition Instructions:

- PERMANENT: These records will be retained in office permanently.

- PERMANENT (appraisal required): When these records no longer have administrative value in office, the agency will contact the Government Records Section so the records can be appraised by a records analyst and an appraisal archivist. These individuals will determine whether the records should be retained in office permanently or transferred to the custody of the State Archives of North Carolina.



- PERMANENT (archival): These records will transfer to the State Records Center so they can be transferred to the custody of the State Archives of North Carolina.

Record Copy

A record copy is defined as "the single copy of a document, often the original, that is designated as the official copy for reference and preservation."[4] The record copy is the one whose retention and disposition is mandated by these functional schedules; all additional copies are considered reference or access copies and can be destroyed when their usefulness expires. In some cases, postings to social media may be unofficial copies of information that is captured elsewhere as a record copy (e.g., a press release about an upcoming agency event that is copied to various social media platforms). Appropriately retaining record copies and disposing of reference copies requires agencies to designate clearly what position or office is required to maintain an official record for the duration of its designated retention period. To facilitate this process, SANC has provided a sample file plan for agency use (available on the state agency records management page at

[4] Ibid.

https://archives.ncdcr.gov/documents/state-agency-rm). In identified cases where records overlap between state agencies, SANC has specified on the schedules which agency is considered the record owner.

Record Custody

The agency that creates or receives a record is the legal custodian of that record and responsibility for fulfilling any retention requirements and public records requests. If an agency transfers records to the State Records Center for temporary storage prior to destruction, those records remain in the legal custody of the originating agency. Any records requests must be authorized by the originating agency, and ultimate destruction must also be authorized by that agency. If an agency transfers archival records to the State Records Center, once those records have been accessioned by the State Archives, their legal custody transfers to the State Archives. From that point forward, all records requests should be channeled through the State Archives. In a few instances, records transfer to the State Records Center to be held in permanent security storage (indicated by a © on the functional schedule); in these cases, the records remain in the legal custody of the originating agency.

Reference Value

The disposition instruction to destroy in office when reference value ends is usually applied to records that were not created by the recipient. Reference files include materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency; subject files containing informational copies of records organized by areas of interest; and reference copies of records where another individual or agency is responsible for maintaining the record copy. The agency is given the discretion to determine how long these records should be retained before destruction, and this decision should be documented in a file plan or other policy so that all members of the agency can be consistent in their handling of these records.

Transitory Records

Transitory records are defined as "record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use."[5] North Carolina has a broad definition of public records. However, the Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called "transitory records." They may be disposed of according to the guidance below. However, all public employees should be familiar with the *Functional Schedule for North Carolina State Agencies* and any other applicable guidelines for their office. If there is a required retention period for these records, that requirement must be followed. When in doubt about whether a record is transitory or whether it has special significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

[5] Ibid.

Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed. Similarly, "while you were out" slips, memory aids, and other records requesting follow-up actions (including voicemails and calendar invites) have minimal value once the official action these records are supporting has been completed and documented. These records may be destroyed or otherwise disposed of once the action has been resolved.

Drafts and working papers, including notes and calculations, are materials gathered or created to assist in the creation of another record. All drafts and working papers are public records subject to all provisions of General Statute § 132, but many of them have minimal value after the final version of the record has been approved and may be destroyed after final approval if they are no longer necessary to support the analysis or conclusions of the official record. Drafts and working documents that may be destroyed after final approval include:

- Drafts and working papers for internal and external policies
- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports;
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and
- Drafts and working papers for presentations, workshops, and other explanations of agency policy that is already formally documented.

Forms used solely to create, update, or modify records in an electronic medium may be destroyed in office after completion of data entry and after all verification and quality control procedures, as long as these records are not required for audit or legal purposes. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g., a signature or notary's seal), they should be retained according to the disposition instructions for the records series encompassing the forms' function.

Key

– symbol designating that records in this series may be confidential or may include confidential information

RC No. – a unique identifying number assigned to each record type for ease of reference

Function No.	Sub-function No.	Record Type No.	Retention Abbreviation
15	4	5	A

The example above indicates the numbering scheme for Speeches (1545.A):

- Public Relations is the 15th function
- Marketing and Publicity is the 4th sub-function under Public Relations
- Speeches are the 5th record type under Marketing and Publicity
- Retention abbreviations provide a quick method of identifying the retention requirement for a particular record:

A	transfer to the State Archives
P	retain in office permanently or contact the State Archives for appraisal
R	destroy in office when reference value ends *(NOTE: Agencies must establish internal policies to ensure consistency in retention and destructions.)*
S	destroy in office when superseded or obsolete
T	transfer completed record to another record series
<	retention period shorter than 1 year
	any numerical designation indicates the number of years the record should be retained

Record Types – groupings of records that are "created, received, or used in the same activity."[1]

Description – a description of the records, often including the types of records that can be frequently found in that series

Disposition Instructions – instructions dictating the length of time a series must be retained, and how the office should dispose of those records after that time (either by destruction or transfer to the State Archives). For any records that will transfer to the State Records

[1] Richard Pearce-Moses, *A Glossary of Archival and Records Terminology* (2005)

Center, either for temporary storage or for transfer to the State Archives, consult the Appendix for the item number that is necessary to track these records. ***Note***: No destruction of records may take place if litigation or audits are pending or reasonably anticipated.

This border on the right and left of the Description and Disposition Instruction cells indicates a record that belongs to a particular agency, as identified in the Description. If other agencies possess copies of this record, they are reference copies that can be discarded when their reference value ends.

Citation – a listing of references to statutes, laws, and codes related to the records series. Citations can include Authorities (governing the creation of records), Confidentiality (limiting access to public records), and Retention (setting a retention period).

- CFR = citation from the Code of Federal Regulations
- G.S. = citation from the North Carolina General Statutes
- USC = citation from the United States Code

The Disposition Instructions include a number of triggers that begin the retention period:

- Adoption of plan: With a record such as a strategic plan, the retention period begins as soon as the plan is adopted by the governing body.
- Closed: With a record such as an investigation, the retention period begins once the case is closed.
- Complete: With a record such as a report, the retention period begins once the report has been finalized.
- Execution of plan: With a record such as a business plan, the retention period begins once the plan has been carried out.
- Reference value ends: Once the content of a record is no longer useful or significant, it can be destroyed. This disposition is usually applied to records that were not created by the agency.
- Service ends: With a record relating to an elected or appointed office, the retention period begins once the term of service ends.
- Superseded or Obsolete: With any record that is produced in versions, an older version can be destroyed when the new version is received.

Several symbols are used within the disposition instructions:

∞ archival records that should transfer to the State Archives for permanent retention

archival records that will transfer to the State Archives in an electronic format

Ω records that transfer to the State Records Center for temporary storage before destruction

© records that transfer to the State Records Center for permanent security storage