2. Asset Management

The Asset Management function encompasses acquisition, maintenance, inventory, and disposal of physical assets. Agencies document the management of physical assets, including facilities, land, equipment, vehicles, etc.

NOTE: For financial assets, see FINANCIAL MANAGEMENT. For personnel records, see HUMAN RESOURCES. For data assets, see INFORMATION TECHNOLOGY. Titles, deeds, leases, contracts, and other agreements are under LEGAL.

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.

Many Asset Management records are retained for the life of the asset, so it is important to institute good recordkeeping practices that can be sustained long-term, whether these records are maintained on paper or electronically. Other records have a relatively short retention required after the completion of the work, such as maintenance requests, which can be destroyed after 1 year. These sorts of records are likely best organized chronologically based on

the trigger event. For example, if work orders (RC No. 222.1) are filed by year, at the beginning of 2018 all 2016 work orders can be destroyed. There are also some records on this schedule that are of an iterative nature and, therefore, necessary to retain only until superseded or obsolete. Examples include fixed asset inventories (RC No. 224.S). Many Asset Management records will be retained and destroyed in office, but there are some records that are retained permanently in office, such as Accession Records (RC No. 211), and there are also some archival records.

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.

2.1 Natural and Cultural Resource Management

DEFINED: Activities related to the management of natural and cultural resources owned by the State, including libraries, museums, zoos, aquariums, historic sites, forests, parks, trails, and the State Archives.

SEE ALSO: Authentications and certifications of animals, artifacts, and collections are under LEGAL, as are permissions to publish text or images from agency collections. Exhibits, presentations, and visitor/researcher information are under PUBLIC RELATIONS. Records management materials for individual agencies are under AGENCY MANAGEMENT. Websites and social media for individual agencies are under PUBLIC RELATIONS.

RC No.	Record Types	Description	Disposition Instructions	Citation
211.P	Accession Records	records concerning objects, artifacts, and collections acquired or declined by the agency along with documentation regarding loans to the agency; includes deeds of gift, donor correspondence, access restrictions, deaccession information, metadata, and other related records	PERMANENT	
212.P	Collections Management Records	records concerning conservation assessments and treatments of objects, artifacts, and documents; also includes restorations of historic sites and all animal and veterinary records	PERMANENT	
213.P	Finding Aids	indices and other information compiled to facilitate the discovery of information within collections of the Department of Natural and Cultural Resources	PERMANENT	
214.P	Historical Marker Records	records concerning each historical highway marker approved by the Department of Natural and Cultural Resources; includes site description, inscription, and photograph	PERMANENT	

* 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.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Description	Disposition Instructions	Citation
215.1	Library Catalog Records	integrated library system (ILS) as well as other catalogs; includes patron information and circulation data	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy	Confidentiality G.S. § 125-19
215.S		includes bibliographic data, shelf lists, interlibrary loan data, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
216.P	Loan Records	records related to artifacts and collections borrowed from the agency; includes inventories, agreements, conservation assessments, transfer receipt forms, and other related records	PERMANENT	
216.S		facilities reports from borrowing institutions	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
217.A	Protections Records	records concerning endangered species of plants and animals, grounds granted for oyster beds, natural and scenic rivers, Natural Heritage Areas; includes lists, evaluations, reports, and other related records	PERMANENT (archival) ∞	Retention G.S. § 121-8(b)
		significant statewide inventories of biological, natural, and ecological resources, conducted by the State Parks; includes quadrangle maps, field reports, site descriptions, surveys, and other related records	PERMANENT (archival) ∞	
		records of the Department of Natural and Cultural Resources concerning the North Carolina Register of Historic Places and the National Register of Historic Places; includes photographs	PERMANENT (archival) ∞	

(continued on following page)

* 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.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Description	Disposition Instructions	Citation
217.P	Protections Records (cont.)	records of the Department of Natural and Cultural Resources concerning the North Carolina Register of Historic Places and the National Register of Historic Places; includes nominations, maps, site forms, property surveys, correspondence, and other related records	PERMANENT (appraisal required) ∞	
218.A	Records Management Documentation	retention and disposition schedules written by the State Archives	PERMANENT (archival) ∞	
218.P	SEE ALSO: Records Management Materials (AGENCY MANAGEMENT)	guidance and directives provided by the State Archives to state and local government agencies	PERMANENT ©	
		turnover file documenting the transfer, storage, and disposition actions taken concerning inactive state agency records transferred to the State Records Center	PERMANENT ©	
		records concerning the development or amendment of retention schedules for local and state agencies, universities, licensing boards, and independent commissions	PERMANENT ©	

* 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.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

2.2 Property, Facility, Equipment, and Supplies Management

DEFINED: Activities related to the oversight of supplies, fixed assets, and capital assets necessary for the functioning of State government agencies. Includes fixed asset management, buildings and grounds maintenance, and space planning and allocation along with the acquisition, maintenance, and disposal of supplies and equipment.

SEE ALSO: Reports are under AGENCY MANAGEMENT. Fee and rate schedules, purchase orders, and tax returns are under FINANCIAL MANAGEMENT. As-built drawings for buildings overseen by the Department of Administration, along with surveys, maps, and road/rail maintenance records are under INFRASTRUCTURE MANAGEMENT. Titles, deeds, leases, contracts, and other agreements are under LEGAL. Environmental monitoring of locations outside agency facilities as well as permits for recreational and other activities are under MONITORING AND COMPLIANCE. Office security, stolen/damaged property reports, disaster planning and recovery, asbestos management plans, and insurance records are under RISK MANAGEMENT.

NOTE: Pursuant to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after final disposition of the property/equipment. See also Grants Management on the FINANCIAL MANAGEMENT schedule.

RC No.	Record Types	Description	Disposition Instructions	Citation
221.T	Aircraft Logbooks	records concerning maintenance of airplanes; includes schedule of maintenance, documentation on parts ordered, maintenance agreements and warranties, record of repairs performed, and other related records required by the Federal Aviation Administration	RETAIN UNTIL: Ownership of aircraft changes THEN: Transfer to new owner	Authority/Retention 14 CFR 43 14 CFR 91
222.3	Facility Management Records SEE ALSO: Infrastructure Maintenance Records (INFRASTRUCTURE MANAGEMENT) (continued on following page)	system repair and improvement records (including plumbing, electrical, fire, and other systems)	RETAIN UNTIL: Complete PLUS: 3 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
222.1$_1$	Facility Management Records (cont.)	as-built drawings, updated as necessary for renovations or additions	RETAIN UNTIL: building is renovated or demolished PLUS: 1 year THEN: Destroy *NOTE: If building is sold, transfer records to new owner.*	Confidentiality G.S. § 132.1-7
222.1$_2$	SEE ALSO: IT Assistance Records (INFORMATION TECHNOLOGY), As-Built Drawings (INFRASTRUCTURE MANAGEMENT), Monitoring Surveys and Reports (MONITORING AND COMPLIANCE)	environmental monitoring records within agency facilities	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
		routine janitorial cleaning and maintenance records for properties, facilities, vehicles, and other equipment; includes work/repair orders and other related records	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
222.S		blueprints, floorplans, drawings, and other preliminary design and construction documents	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	Confidentiality G.S. § 132.1-7
223.A	Ferry Plans	building plans and specifications for each ferry operated by the Department of Transportation	PERMANENT (archival) ∞	
224.3	Inventory Management Records	inventory control and usage records; includes records that track the movement of inventory, such as requisitions/draw tickets, along with mileage logs, request forms, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
224.S		lists of properties, facilities, fixed assets, supplies, and surplus property	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
		operating manuals, specifications, and warranties	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
225.3	Permits SEE ALSO: Licenses and Permits (MONITORING AND COMPLIANCE)	records conferring permission to use State property or facilities (including timber harvests); includes applications, permits, and other related records	RETAIN UNTIL: Expiration PLUS: 3 years THEN: Destroy*	
226.3	Property Management Records	management plans for state farms, forests, and parks; includes wildfires, use of pesticides, etc. and other related records	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	
226.S	SEE ALSO: Damaged Property Reports (RISK MANAGEMENT), Surveys and Maps (INFRASTRUCTURE MANAGEMENT)	appraisals of the financial valuation of State-owned property and surveys of and geographical data collected about State-owned property	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
		plats and maps of State-owned property; also includes GIS data	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
226.A		records of burial information at cemeteries operated by the Department of Military and Veterans Affairs	PERMANENT (archival) ∞	
227.S	Vehicle Registration Records SEE ALSO: Vehicle Titles (LEGAL)	registration documents for all State-owned vehicles	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.

Records That Will Transfer to the State Records Center

217.A Protections 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
Department of Agriculture and Consumer Services	Endangered Plants File	9127
Department of Natural and Cultural Resources	Historic Structures Photographic Negatives File	36340
	State Parks Geographic Manuals and Element Classifications File	35206
	State Parks Managed and Protected Natural Areas File	35208
Wildlife Resources Commission	Rare and Endangered Species File	20654

217.P Protections 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
Department of Natural and Cultural Resources	Property Survey File	3551

218.A Records Management 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
Department of Natural and Cultural Resources	Superseded Records Retention and Disposition Schedules File	3919

218.P Records Management Documentation: Transfer to the State Records Center when reference value ends for permanent security storage.

Agency	Series Title	Item Number
Department of Natural and Cultural Resources	Local Agency Program File	3915
	Local Schedule Development File	39089
	Records Reference Requests File	23648
	Records Turnover File	23649
	State Agency and University Schedule Development File	23960
	State Agency Program File	3802
	University Program File	23629

223.A Ferry 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
Department of Transportation	Ferry Plans and Specifications File	26066

226.A Property Management 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
Department of Military and Veterans Affairs	Veterans Cemeteries File	50825

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*

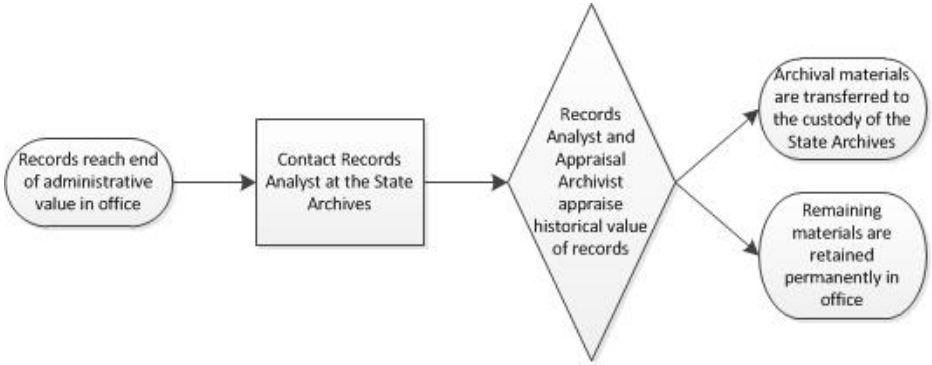
The State Archives of North Carolina (SANC) has further elaborated selection criteria that help distinguish records with archival value:

- 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