4. Education

The function of Education is primarily the purview of local education agencies (LEAs) but also has some activities at the state level. Education institutions subject to this schedule include Governor Morehead School for the Blind, North Carolina School for the Deaf, Eastern North Carolina School for the Deaf, state operated healthcare facilities operated by the Department of Health and Human Services (DHHS), and prisons, youth development centers, and juvenile detention centers operated by the Department of Public Safety (DPS). This schedule applies to the Governor's School program and the curriculum and assessment standards developed by the Department of Public Instruction (DPI). This schedule also applies to agencies that oversee professional credentialing.

NOTE: Separate records retention and disposition schedules govern the records of the North Carolina Community College System campuses and the UNC System institutions.

See AGENCY MANAGEMENT for history and planning records. See GOVERNANCE for records from the State Board of Education (SBE), including textbook adoptions, charter school authorizations, and graduation requirements. See HUMAN RESOURCES for on-the-job training. See MONITORING AND COMPLIANCE for compliance with federal education mandates and teacher certification as well as oversight of charter, conventional, home, and proprietary schools. See PUBLIC RELATIONS for agency programming that does not grant credentials or diplomas. Accreditation standards and decisions are records of the SBE, while the reviews of schools by DPI staff during the accreditation process are under MONITORING AND COMPLIANCE.

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 Education records are produced on an academic year basis, so the triggers to begin the retention period are usually the end of the academic year. Many records, such as the Course Matrix (RC No. 412), have little value beyond the year for which it was generated and should be destroyed in office when it becomes obsolete. In all cases, it is best to organize education records chronologically. For example, by doing so, in 2018 an agency could easily identify and destroy any Classroom Grades (RC No. 452) that were completed before 2017. The graduate lists produced by DPI (RC No. 456) are archival in nature; after many years of transferring to the State Archives on paper as part of annual reports, they now transfer electronically.

Because of the federal Family Educational Rights and Privacy Act (20 USC 1232g) or FERPA (implemented in 34 CFR Part 99), most student records are confidential; therefore, the security of both paper and electronic records should be maintained at all times. (Further elaboration on the confidentiality of education records is codified in 34 CFR § 300 parts 560-577.) However, FERPA does allow for the release of directory information, which the educational institution must define (see 34 CFR 99.3).

Juvenile offender records are conferred confidentiality by G.S. § 7B-1413, and the 1972 NC Court of Appeals decision in *Goble* v. *Bounds* (13 N.C. App. 579) affirmed that prison records of inmates are confidential and not subject to inspection by the public.

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.

4.1 Administration of LEAs

DEFINED: Activities related to the management of educational facilities of the Department of Health and Human Services (DHHS), the Department of Public Instruction (DPI), and the Department of Public Safety (DPS).

SEE ALSO: Records concerning accreditation by the Southern Association of Colleges and Schools (SACS) are under AGENCY MANAGEMENT, as are school histories and transportation reports. Scholarship and other fiscal records are under FINANCIAL MANAGEMENT. Food services records are under AGENCY MANAGEMENT and FINANCIAL MANAGEMENT. Personnel records are under HUMAN RESOURCES. Any accreditations granted by the agency ***to other entities*** *are covered under MONITORING AND COMPLIANCE, as are any internal audits conducted to ensure compliance with federal mandates such as the National Defense Education Act (NDEA) or the Elementary and Secondary Act (ESEA). Student handbooks are considered publications under PUBLIC RELATIONS. For residential life records (e.g., visitor logs) as well as accidents or incidents that occur on school grounds, see RISK MANAGEMENT. General correspondence is under AGENCY MANAGEMENT. Library/media center records are under ASSET MANAGEMENT.*

RC No.	Record Types	Description	Disposition Instructions	Citation
411.3	Attendance Lists	school-wide headcount reports	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
411.<		individual classroom attendance records	RETAIN UNTIL: End of academic year THEN: Destroy	Confidentiality 20 USC 1232g
412.<	Course Matrix	includes course selection and verification reports and slips, student scheduling reports, and teacher assignments	RETAIN UNTIL: End of academic year THEN: Destroy	
413.T	Disciplinary Actions	records concerning student violations of academic or non-academic regulations; includes expulsion notices	TRANSFER to Cumulative Record when issued	Confidentiality 20 USC 1232g
413.5		includes charges, evidence, transcripts, correspondence, and other related records; also includes residential life disciplinary actions that do not result in suspension	RETAIN UNTIL: Student graduates or separates from program PLUS: 5 years THEN: Destroy	Confidentiality 20 USC 1232g

* 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.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© 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
414.5	Enrollments and Withdrawals	attendance records of enrollments and withdrawals from the program, including transfers and dropouts; includes attendance verifications	RETAIN UNTIL: End of academic year PLUS: 5 years THEN: Destroy	
415. P	FERPA Compliance	includes requests for formal hearings, written decisions of hearing panel, waivers for rights of access, notifications, requests for release of information, consent forms, opt-out requests, correspondence, and other related records	PERMANENT	Confidentiality 20 USC 1232g
416.<	Field Trip Authorizations	includes dates of trips, purpose of trips, trip destinations, itineraries, parental consent forms, and other related information	RETAIN UNTIL: End of academic year THEN: Destroy	
417.1	Institutional Correspondence SEE ALSO: Correspondence (AGENCY MANAGEMENT)	records concerning requests for documentation from other LEAs or educational institutions; also includes responses	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
418.R	Student Associations and Organizations	includes constitutions, by-laws, newsletters, minutes, brochures, announcements, photographs, reports, scrapbooks, and other related records	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
419.5	Student Awards and Honors	includes recommendations, approvals, references, and other related records	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
4110.2	Student Counseling and Advisement Records	includes advisors' notes and reports, interview forms, student test profiles, aptitude test scores, approved schedule forms, recommendations, references, career planning forms, correspondence, and other related records	RETAIN UNTIL: Student graduates or separates from program PLUS: 2 years THEN: Destroy	Confidentiality 20 USC 1232g

* 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.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© 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
4111.<	Student Medical Treatment Records SEE ALSO: Accident/Incident Reports (RISK MANAGEMENT)	records concerning medical attention provided to students on campus by school officials; includes injury report forms, medication and procedures logs, and other related records	RETAIN UNTIL: Student reaches age 19 THEN: Destroy*	Confidentiality 42 USC 1320d-2(d)(2)

* 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.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

4.2 Credentialing

DEFINED: Activities conducted by agencies who offer courses to non-agency personnel that are necessary for professional or recreational credentialing and re-certification.

SEE ALSO: The records for continuing education that is required for a position is under HUMAN RESOURCES. The records documenting education obtained in order to receive or renew a professional or recreational license are scheduled under MONITORING AND COMPLIANCE for the agency that oversees the license, where the participant records on this schedule belong to the agency conducting the training. If an agency merely authorizes another entity to provide training, those records are also under MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
421.A	Coursework SEE ALSO: Training Certifications (MONITORING AND COMPLIANCE)	comprehensive qualifying examinations written by occupational licensing boards	PERMANENT (archival) ∞	*NOTE: Abide by any confidentiality restrictions relevant to the agency.*
421.P		materials produced for the training of law enforcement officers	PERMANENT	
421.S		records concerning courses offered to non-agency personnel that are necessary for professional or recreational credentialing and re-certification; includes instructional materials, assessments, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
422.5	Participant Information SEE ALSO: Licenses and Permits (MONITORING AND COMPLIANCE)	includes applications, contact information, deliverables/assessments, effective and expiration dates of certificate/permit/ credential, continuing education units (CEUs), and other related records	RETAIN UNTIL: Complete PLUS: 5 years Ω THEN: Destroy	Confidentiality G.S. § 132-1.10 *NOTE: Abide by any additional confidentiality restrictions relevant to the agency.*

* 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.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

4.3 Curriculum and Assessment Development

DEFINED: Activities conducted by the Department of Public Instruction (DPI) to develop Standard Courses of Study and end-of-grade and end-of course tests. Also includes materials and assessments generated by classroom teachers.

RC No.	Record Types	Description	Disposition Instructions	Citation
431.S	Assessments	assessments developed and administered by classroom teachers	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
431.P		assessments developed and administered by the Department of Public Instruction; includes end-of-grade and end-of-course tests	PERMANENT	Confidentiality G.S. § 115C-174.13(a) 16 NCAC 06D .0306
432.S	Course Development	includes proposals, outlines, syllabi, and pacing guides	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
433.P	Curriculum Development	Standard Courses of Study developed by the Department of Public Instruction to define the scope and sequence of courses	PERMANENT	
434.S	Lesson Plans	lesson plans developed by individual teachers or teams	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
		lesson plans licensed from vendors	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	Abide by any relevant copyright restrictions

* 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.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

4.4 Governor's School of North Carolina

DEFINED: Activities conducted by the Department of Public Instruction (DPI) to develop and coordinate a summer residential program for intellectually gifted high school students.

SEE ALSO: General records regarding the operation of the Governor's School, including histories, are under AGENCY MANAGEMENT. The records of the Board of Governors are under GOVERNANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
441.P	Attendance Lists	lists of students attending each session	PERMANENT	
442.S	Classroom Administrative Records	includes proposals, outlines, syllabi, pacing guides, lesson plans, activities, and student work	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
443.2	Nominations	includes basic student information form and essays, personal readiness form, recommendation form, student eligibility form, and nomination form	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	
444.3	On-Site Administrative Records	records concerning the day-to-day administration of each campus; includes student activity and recreation records, correspondence, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
445.5	Student Records	includes special needs forms, publicity releases, permission forms, personal information, health forms, disciplinary records, and other related records	RETAIN UNTIL: Complete 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.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

4.5 Student Progress

DEFINED: Records documenting K-12 student progress toward a high school diploma or graduation certificate as well as preparation for a General Educational Development (GED) test while at a Department of Health and Human Services (DHHS), Department of Public Instruction (DPI), or Department of Public Safety (DPS) facility. Youth development centers operate as LEAs, so their records are subject to the below requirement for cumulative records.

SEE ALSO: Patient clinical records for children receiving services from CDSAs are under HEALTHCARE.

RC No.	Record Types	Description	Disposition Instructions	Citation
451.2	Academic Action Authorizations	records concerning changes made to students' cumulative records	RETAIN UNTIL: Student graduates or withdraws PLUS: 2 years THEN: Destroy	Confidentiality 20 USC 1232g
452.1	Classroom Grades	records maintained by teachers documenting grades earned by students on individual assignments	RETAIN UNTIL: End of academic year PLUS: 1 year THEN: Destroy	Confidentiality 20 USC 1232g
453.P	Cumulative Record	records of students' pre-school, elementary and secondary educational career; includes final course grades, identification and attendance data, notices of any long-term suspensions or expulsions imposed, and such other factual information as may be deemed appropriate by the local board of education having jurisdiction over the school wherein the record is maintained	PERMANENT ©	Confidentiality and Retention G.S. § 115C-402 *Goble* v. *Bounds* (13 N.C. App. 579)
453.2		family information, health and immunization records, accountability worksheets, standardized test dates and results, grade sheets, and other related records	RETAIN UNTIL: Student graduates or withdraws PLUS: 2 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.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© 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
454.T	Driver Education Program	driver education completion certificate	TRANSFER to Cumulative Record when issued	
454.<		includes driver eligibility forms and other related records	RETAIN UNTIL: Student reaches age 18 or obtains high school diploma or its equivalent THEN: Destroy	
455.1	Exam Reports	class record sheets, summary goal reports, individual and class roster reports, and other records related to standardized assessments	RETAIN UNTIL: End of academic year PLUS: 1 year THEN: Destroy	Confidentiality G.S. § 115C-174.13(b)
456.A	Graduation Lists	annual list of high school graduates compiled by the Department of Public Instruction	PERMANENT (archival) ∞	
457.1	Parent/Guardian Contacts	records concerning parent or guardian interactions with teachers and administrators; includes meeting notes and correspondence	RETAIN UNTIL: End of academic year PLUS: 1 year THEN: Destroy	Confidentiality 20 USC 1232g

* 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.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© 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
458.5	Services to Students with Disabilities *NOTE: Includes qualifications under Section 504 of the 1973 Rehabilitation Act and the Individuals with Disabilities Education Act (IDEA).* SEE ALSO: Children's Developmental Service Agency (CDSA) Patient Clinical Records (HEALTHCARE), Case Records (PUBLIC ASSISTANCE AND SUPPORT SERVICES)	records concerning students enrolled in Department of Health and Human Services, Department of Public Instruction, or Department of Public Safety facilities; includes achievement results; intelligence, eligibility, and physical test results; medical reports if the student is physically or mentally impaired; individual education plans (IEPs) and forms; operating plans; testing accommodations; meeting notes and multidisciplinary team reports; screening, placement, referral, parental consent and notification forms; correspondence and other related records; also includes records from adjudication, mediation, or due process hearings regarding the provision of services to students with disabilities	RETAIN UNTIL: Student separates from program PLUS: 5 years THEN: Destroy* *NOTE: The parent, guardian, surrogate parent, or eligible student must be notified prior to destruction of personally identifiable information so copies of records can be provided if desired. Information must be destroyed at the request of parents if no longer needed to provide educational services to the child. (34 CFR 300.573)*	Confidentiality G.S. § 115C-402 *Goble* v. *Bounds* (13 N.C. App 579)
459.<	Student Work	work submitted by students for individual assignments and assessments	RETAIN SAMPLES UNTIL: End of academic year THEN: Destroy *NOTE: Most work is returned to student after assessment.*	Confidentiality 20 USC 1232g
4510.1	Transcript Requests	requests by students for transcripts	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
4511.T	Transition File	records documenting credentials and certifications earned by individuals in Department of Public Safety correctional facilities	RETAIN UNTIL: Release THEN: Transfer to individual	Confidentiality *Goble* v. *Bounds* (13 N.C. App 579)

* 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.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

Records That Will Transfer to the State Records Center

421.A Comprehensive Exams: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
North Carolina Auctioneers Commission	Comprehensive Examination File	48729
North Carolina Board of Podiatry Examiners	Comprehensive Examination File	48815
North Carolina Landscape Contractors' Licensing Board	Comprehensive Examination File	48733
North Carolina On-Site Wastewater Contractors and Inspectors Certification Board	Comprehensive Examination File	48735
North Carolina Psychology Board	Examinations Security File	17032
North Carolina Real Estate Commission	Examinations File	20151
North Carolina State Bar	Paralegal Certification Examinations File	47996
	Specialization Certification Examinations File	48003
North Carolina State Board of Examiners of Fee-Based Practicing Pastoral Counselors	Comprehensive Examination File	48639
North Carolina State Hearing Aid Dealers and Fitters Board	Comprehensive Examination File	50806
North Carolina Water Treatment Facility Operators Certification Board	Examination File	19730
State Board of Examiners of Electrical Contractors	Comprehensive Examination File	48731
State Board of Refrigeration Examiners	Examination Questions File	48105
State Board of Registration for Foresters	Comprehensive Examination File	48737

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

422.5 Participant Information: Transfer to the State Records Center after examination results are completed. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Board of Law Examiners of the State of North Carolina	Failed Applications File	3322
	Failed Examinations File	3326
	Passed Examination File	3325
	Withdrawn Applications File	3323

453.P Cumulative Record: Transfer records to the State Records Center when juvenile turns 18 years old, except for violent offenders whose commitments have been extended to 19 or 21 years old, to be microfilmed for permanent security storage.

Agency	Series Title	Item Number
Department of Public Safety	Division of Youth Development Student Education File	2247

456.A Graduation Lists: Transfer records annually to the State Records Center upon certification by the State Board of Education for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Public Instruction	N.C. High School Graduate Reports File	980

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*

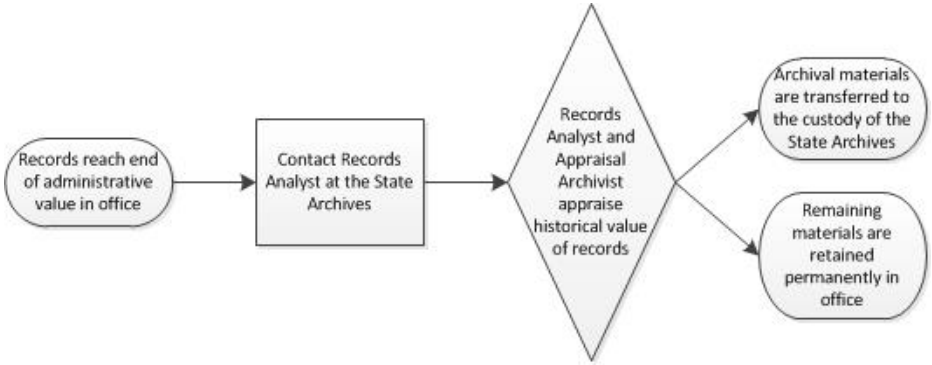
The State Archives of North Carolina (SANC) has further elaborated selection criteria that help distinguish records with archival value:

- 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