8. Human Resources

Human Resources records document the management of a government agency's personnel. This function incorporates both the human and the payroll management aspects of personnel.

NOTE: For training conducted for non-agency personnel, see EDUCATION or PUBLIC RELATIONS.

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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.

No Human Resources records have archival value, although several have long retention periods (e.g., personnel policies [RC No. 861.P] should be retained permanently). The retention periods for these records are often triggered by the separation date of the employee; for this reason, it is best to organize human resources records chronologically according to the trigger events. For example, by doing so, in 2020 an agency could easily identify and destroy any time sheets (RC No. 827) that were completed before 2015.

Many human resources records are confidential according to General Statutes §§ 126-22 and 126-24. Rather than list these citations beside each individual record, the lock symbol indicates confidentiality under this legislation; any *additional* confidentiality provisions are noted in the citation column. In addition, note that G.S. § 126-23 stipulates which "records [about employees] to which there is a right of inspection and copying" (including name; age; dates of employment, promotion, demotion, transfer, suspension, or separation; terms of contract; current position and title; and current salary along with dates of any increases or decreases). For additional guidance refer to the 2010 Attorney General's opinion that was issued in response to a list of clarifying questions from the State Personnel Director concerning the legislative changes to G.S. § 126-23. The opinion is available on the Attorney General's website at http://ncdoj.gov/About-DOJ/Legal-Services/Legal-Opinions/Personnel-Information-Required-to-Be-Made-Availabl.aspx.

The Office of the State Controller (OSC) operates and maintains the technical support for the Integrated Human Resources-Payroll System. State agencies input information into this system and are considered the records owners. Although both OSC and the Office of State Human Resources have access to information in the Integrated HR-Payroll System for operational purposes, data requests for the purposes of litigation or public records requests are directed to the originating agency (with the exception of the monthly payroll information provided for publication by the *News and Observer*).

For agencies responsible for maintaining personnel files for criminal justice officers, please consult 12 NCAC 09C .0307 for the mandatory records of certification that must be housed in these personnel files. Although this schedule indicates shorter retention periods for some of these records, such as medical examination reports, the more stringent requirements of the North Carolina Criminal Justice Education and Training Standards Commission apply to the personnel files of criminal justice officers.

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.

8.1 Administrative Investigations

DEFINED: Activities related to the investigation of conduct problems among agency personnel.

SEE ALSO: For Performance Management Records, see Employee Evaluations and Certifications. For disciplinary actions and other personnel issues, see Personnel Management. For conflicts requiring adjudication, see LEGAL.

RC No.	Record Types	Description	Disposition Instructions	Citation
811.3	Complaints	complaints lodged against personnel that are resolved without an internal investigation	RETAIN UNTIL: Resolution PLUS: 3 years THEN: Destroy*	
811.5$_1$		complaints lodged against personnel that are exonerated	RETAIN UNTIL: Final disposition PLUS: 5 years THEN: Destroy*	
811.5$_2$		complaints lodged against personnel that are settled out-of-court	RETAIN UNTIL: Final disposition or expiration of relevant statute of limitations PLUS: 5 years THEN: Destroy*	
812.T	Internal Affairs Case Records	investigation reports, disciplinary actions, and other related records	RETAIN UNTIL: Complete THEN: Transfer to official personnel record	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

8.2 Attendance and Leave

DEFINED: Activities related to the monitoring of work schedules for agency personnel.

NOTES: For agencies using the Integrated HR-Payroll System, much of this information is recorded in that system. Agencies should be aware that for the purpose of retirement benefit verification, all of the following represent creditable service that may need to be documented if a member of the Teachers' and State Employees' Retirement System wishes to purchase years of service: Part-Time Service, Leave of Absence while in receipt of NC Workers' Compensation, Temporary Employment, Omitted Membership, Extended Illness without pay, Maternity Leave, Involuntary Administrative Furlough, and Retroactive Service.

RC No.	Record Types	Description	Disposition Instructions	Citation
821.T	Educational Leave	records concerning approved requests for educational leave	RETAIN UNTIL: Employee returns or separates THEN: Transfer to official personnel record	
822.5	Family Medical Leave Act (FMLA)	records concerning approved requests for leave under FMLA	RETAIN UNTIL: Employee returns or separates PLUS: 5 years THEN: Destroy	Authority 29 CFR 825.110 Retention 25 NCAC 01E .0211 25 NCAC 01E .0315 29 CFR 825.500(b)
823.5	Leave File	records concerning approved leave requests by agency personnel; includes civil leave, community service leave, and leave without pay	RETAIN UNTIL: Employee returns or separates PLUS: 5 years THEN: Destroy	Retention 25 NCAC 01E .0211 25 NCAC 01E .0315
823.<		records concerning denied leave requests	RETAIN UNTIL: Denial PLUS: 6 months THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
824.5	Military Leave	records concerning approved requests for military leave provided under the Uniformed Services Employment and Reemployment Act (USERRA)	RETAIN UNTIL: Employee returns or separates PLUS: 5 years THEN: Destroy	Authority 5 CFR 1208 Retention 25 NCAC 01E .0211 25 NCAC 01E .0315
825.T	Parental Leave	records concerning approved requests for parental leave	RETAIN UNTIL: Employee returns or separates THEN: Transfer to official personnel record	Authority EO No. 95 (2019)
826.5	Shared Leave	records concerning participation in the voluntary shared leave program	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	Retention 25 NCAC 01E .0211 25 NCAC 01E .0315
827.5	Time Sheets	records concerning daily hours worked; includes time sheets or time cards	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	Retention 04 NCAC 24D .0501(a) 29 CFR 516.6(a)(1) *Note: Time sheets that contain only information necessary for payroll purposes are public records, while those that also include personnel information and/or PII may be in part confidential.*[1]
828.1	Work Schedules	records concerning shift and duty assignments	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	

[1] https://canons.sog.unc.edu/are-local-government-employee-time-sheets-public-records-applying-the-framework-for-answering-questions-about-public-records-requests/

8.3 Benefits

DEFINED: Activities related to the compensation of employees by means other than wages.

NOTE: Most enrollment forms for benefits plans are sent directly by employees to third-party providers. For unemployment insurance records see PUBLIC ASSISTANCE AND SUPPORT SERVICES.

RC No.	Record Types	Description	Disposition Instructions	Citation
831.3	Benefits Continuation	notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability or family leave (e.g., Consolidated Omnibus Budget Reconciliation Act [COBRA])	RETAIN UNTIL: Employee returns or eligibility expires PLUS: 3 years THEN: Destroy	
832.3	Death Claims	death claims filed with the Department of State Treasurer by dependents of retired or active employees	RETAIN UNTIL: Settled PLUS: 3 years THEN: Destroy	
833.3$_1$	Disability Claims	short-term disability claims forms and other related records	RETAIN UNTIL: Employee returns or separates PLUS: 3 years THEN: Destroy*	
833.3$_2$		disability income plan claims and medical records filed by disabled employees applying to the Department of State Treasurer for disability benefits	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
834.3	Educational Assistance	records concerning tuition assistance and reimbursement	RETAIN UNTIL: Reimbursement PLUS: 3 years THEN: Destroy*	
835.6	Enrollment Forms	enrollment forms for the State Health Plan received by the Department of State Treasurer; also includes member authorizations and other related records subject to HIPAA compliance	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy	Retention 45 CFR 164.530(j)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
836.1	Insurance and Fringe Benefits Plans and Programs	records describing health, life, and other insurance and fringe benefit plans and programs available to agency employees	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	Retention 29 CFR 1627.3(b)(2)
837.1[1]	Retirement Records	descriptive information about retirement systems	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	Retention 29 CFR 1627.3(b)(2)
837.3		records concerning payment of deferred compensation	RETAIN UNTIL: Payment PLUS: 3 years THEN: Destroy*	
837.7		records concerning employer-sponsored retirement plans (e.g., 401(k)); includes plan documents and amendments, trust records, annuity contracts, participant records, and other related records	RETAIN UNTIL: Payment PLUS: 7 years THEN: Destroy*	
837.1[2]		annual benefit statements provided to retirement system members by the Department of State Treasurer	RETAIN UNTIL: Creation PLUS: 1 year THEN: Destroy	Confidentiality G.S. § 128-33.1(f) G.S. § 135-6.1(f)
837.100		retirement systems member file maintained by Department of State Treasurer; includes documentation of contributions and remittances, applications for retirement benefits or for return of accumulated retirement contributions, forms identifying beneficiaries for death benefits, correspondence, and other related records	RETAIN UNTIL: Member joins PLUS: 100 years THEN: Destroy*	Confidentiality G.S. § 128-33.1(f) G.S. § 135-6.1(f) G.S. § 132-1.10 5 USC 552a
838.3	Unemployment Insurance SEE ALSO: Unemployment Insurance Records (PUBLIC ASSISTANCE AND SUPPORT SERVICES)	forms submitted to the Department of Commerce to report wage records of terminated employees	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

8.4 Employee Evaluations and Certifications

DEFINED: Activities related to the evaluation of fitness, competencies, and performance of agency applicants and personnel.

SEE ALSO: For documentation of required training for employees, see Staff Development.

RC No.	Record Types	Description	Disposition Instructions	Citation
841.2	Aptitude and Skills Testing	records concerning aptitude and skills tests required of job applicants or of current employees seeking promotion or transfer	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	Retention 29 CFR 1602.31 29 CFR 1627.3(b)(1)(iv)
842.5	Certifications and Qualifications	records concerning certification or qualification required for employment, continued employment, or promotion	RETAIN UNTIL: Expiration or employee separation PLUS: 5 years THEN: Destroy	
843.5	Employee Background Checks	records concerning pre-employment or periodic records checks conducted on prospective or current staff, interns, and volunteers	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	Confidentiality specific citation for criminal record checks can be found in agency's enabling legislation
844.3	Employee Polygraphs	includes statements informing employee of the time, place, and reasons for the test; copy of notice sent to examiner identifying employee to be tested; and copies of opinions, reports, or similar records generated by the examiner and provided to the agency	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy *NOTE: If no examination is given, destroy records 3 years from date test was requested.*	Retention 29 CFR 801.30

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
845.3	Performance Management Records	records concerning employees' work plans; includes goals, tasks, values, and performance evaluations	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	Retention 25 NCAC 01O .0113 *NOTE: Only performance evaluations are confidential.*
846.2	Service Awards	records concerning employees receiving awards	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	
847.1	Verifications of Employment	inquiries and responses concerning verification of an employee's prior or current employment with the agency	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

8.5 Payroll Management

DEFINED: Records documenting employees' salaries, wages, bonuses, net pay, and deductions.

SEE ALSO: For other payments and reimbursements as well as direct deposit forms and tax forms, see FINANCIAL MANAGEMENT.

NOTE: In the case of retirement system audits on accounts, agencies may be asked to verify dates of employment/termination as well as break down compensation into regular pay versus terminal payouts (e.g., annual leave or longevity).

RC No.	Record Types	Description	Disposition Instructions	Citation
851.2	Classification and Compensation Records	salary ranges and classifications of positions established by the Office of State Human Resources; includes wage rate tables	RETAIN UNTIL: Superseded/Obsolete PLUS: 2 years THEN: Destroy	Retention 29 CFR 516.6(a)(2)
852.4	Deduction Registers SEE ALSO: Tax Forms (FINANCIAL MANAGEMENT)	records used to start, modify, or stop all voluntary or required deductions from payroll; includes tax withholding forms (e.g., NC-4, W-4)	RETAIN UNTIL: Termination of deduction PLUS: 4 years THEN: Destroy*	Retention IRS Publication 15
852.2		includes deductions for retirement contributions, bank payments, savings plans, insurance, dues, and other related records	RETAIN UNTIL: Termination of deduction PLUS: 2 years THEN: Destroy*	Retention 29 CFR 516.6(c)(1)
853.3	Garnishments	records concerning the garnishments of employees' wages	RETAIN UNTIL: Termination of deduction PLUS: 3 years THEN: Destroy*	
854.2	Lapsed Salaries	records concerning lapsed salaries	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	
855.5	Longevity Pay	records concerning employees eligible for longevity pay	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	Retention 04 NCAC 24D .0501(a)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
856.5	Payroll SEE ALSO: Electronic Funds Transfers (FINANCIAL MANAGEMENT)	records concerning salaries paid to employees (including employed apprentices or students, interns, contract employees, and temporary employees)	RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy*	Authority 29 CFR 516.30(a) Confidentiality G.S. § 132-1.10[2] Retention 04 NCAC 24D .0501(a) 29 CFR 516.5(a) 29 CFR 1627.3(a)
		records concerning benefits paid by Department of State Treasurer to retired employees or their beneficiaries	RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy*	
857.T	Salary Changes	notifications of salary changes; includes increments and salary increases mandated by legislative action	TRANSFER to Personnel File *NOTE: Records documenting current and past salaries should be retained in accordance with the public information provision delineated in G.S. § 126-23.*	
858.5	Shift Premium Pay	authorizations and other related records concerning employees receiving shift premium pay	RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy*	Retention 04 NCAC 24D .0501(a)
859.3	Statements of Back Pay	forms used to determine the gross pay an employee would have earned during a specified period for back pay in a grievance decision, settlement agreement, or a State Human Resources Commission order	RETAIN UNTIL: Paid PLUS: 3 years THEN: Destroy*	

[2] Although salary information is public according to G.S. § 126-23, personal identifying information and deductions are confidential.

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

8.6 Personnel Management

DEFINED: Activities coordinating the assignment and oversight of agency personnel, including temporary and contract workers as well as interns and volunteers.

SEE ALSO: For records related to reasonable accommodations for agency visitors, see RISK MANAGEMENT. Workers' compensation program claims as well as personnel grievance hearings at the Office of Administrative Hearings are under LEGAL. Investigations and hearings of employee complaints under the Retaliatory Employment Discrimination Act (REDA) by the Department of Labor are also under LEGAL.

NOTES: The official personnel file is designated as RC No. 8615; any supplementary materials about employees that are kept outside of the official personnel jacket should be destroyed when their specific retention requirements have been met, and any copies of materials also housed in the official personnel jacket may be destroyed when their reference value ends. For agencies responsible for maintaining personnel files for criminal justice officers, please consult 12 NCAC 09C .0307 for the mandatory records of certification that must be housed in the personnel file.

RC No.	Record Types	Description	Disposition Instructions	Citation
861.P	Administrative Records SEE ALSO: Workers' Compensation Program Administration (below)	agency personnel policies and procedures	PERMANENT	
861.5		personnel correspondence and memoranda	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
861.S		agreements and authorizations required of employees; includes orientation materials and informational data	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
862.T	Aggregate Service History	complete history of each employee's service with the agency	TRANSFER to Personnel File	Authority G.S. § 126-23
863.2	Apprentice, Intern, and Volunteer Records SEE ALSO: Employee Training Materials (below) (continued on following page)	records concerning participants in internships and volunteer positions; includes applications and selection materials as well as aggregated data	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
863.5	Apprentice, Intern, and Volunteer Records (cont.)	records concerning participants in apprenticeships, including applications and selection materials as well as aggregated data; also includes affirmative action plans for apprenticeship programs	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	Authority 29 CFR 30.4(a) 29 CFR 1602.20 Retention 29 CFR 30.12(d) 29 CFR 1602.21
864.1	Civil Rights Cases SEE ALSO: Applications for Employment (below)	records concerning discrimination complaints by employees or former employees; includes equal opportunity (EO) complaints	RETAIN UNTIL: Final disposition of the charge or action PLUS: 1 year THEN: Destroy *Note: 29 CFR 1602.14 defines final disposition of the charge or the action as "the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated."*	Retention 29 CFR 1602.14
864.2		requests for reasonable accommodation by employees or former employees	RETAIN UNTIL: Obsolete PLUS: 2 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
865.3	Civil Rights Records SEE ALSO: Civil Rights Cases (above); Reasonable Accommodations (RISK MANAGEMENT)	records concerning documentation of policies and procedures to comply with the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), the Equal Pay Act, the Genetic Information Nondiscrimination Act (GINA), Section 504 of the 1973 Rehabilitation Act, and the 1964 Civil Rights Act; includes reports required by the Equal Employment Opportunity (EEO) Commission and affirmative action plans	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	Authority G.S. § 126-19 29 CFR 1602.7 29 CFR 1602.41 29 CFR 1608.4 Retention 29 CFR 1602.30 29 CFR 1602.32 29 CFR 1602.39
866.T	Disciplinary Actions SEE ALSO: Grievances (below); OAH Case Records, Discrimination Complaint Investigations (LEGAL)	records concerning disciplinary actions taken against employees	TRANSFER to Personnel File *NOTE: Records documenting disciplinary actions should be retained in accordance with the public information provision delineated in G.S. § 126-23.*	
867.1	Dual and Secondary Employment	records concerning employees engaging in dual employment with State government or secondary employment with an outside employer	RETAIN UNTIL: Termination of outside employment PLUS: 1 year THEN: Destroy	
867.<		denied requests for outside employment	RETAIN UNTIL: Denial PLUS: 6 months THEN: Destroy	
868.30[1]	Employee Medical Records *NOTE: Records must be kept separately from employee's personnel jacket. At time of separation, provide medical records to employees who have worked for less than 1 year.* (continued on following page)	records concerning asbestos, toxic substances, and bloodborne pathogen exposure	RETAIN UNTIL: Exposure PLUS: 30 years THEN: Destroy	Confidentiality 29 CFR 1910.1030 (h)(1)(iii) Retention 29 CFR 1910.1020(d)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
868.5	Employee Medical Records (cont.)	first aid records of minor job-related injuries	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	Retention 29 CFR 1910.1020(d)
868.1	SEE ALSO: Workers' Compensation Program Claims (LEGAL)	physical examinations required by the employer in connection with any personnel action; includes health or physical examination reports, or certificates created in accordance with the Americans with Disabilities Act (ADA)	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	Confidentiality 29 CFR 1630.14(c)(1) Retention 29 CFR 1627.3 (b)(1)(v) 42 USC 12112(d)(3)
868. 30[2]		remaining employee medical records	RETAIN UNTIL: Employee separation PLUS: 30 years THEN: Destroy	Retention 29 CFR 1910.1020(d)
869.4	Employee Suggestions and Surveys	records concerning adopted suggestions of employees through the Employee Suggestion (ES) System of the Department of Administration	RETAIN UNTIL: Received PLUS: 4 years THEN: Destroy	
869.1		employee surveys, rejected suggestions, and other related records outside of the ES System	RETAIN UNTIL: Received PLUS: 1 year THEN: Destroy	
8610.5	Employment Eligibility Verification	employment authorization documents filed with the U.S. Department of Labor	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	Retention 20 CFR 656.10(f)
8610.3[1]		I-9 forms used for verifying the identity and employment authorization of individuals hired for employment in the United States	RETAIN UNTIL: Employee separation PLUS: 3 years THEN: Destroy *NOTE: After separation, destroy records 3 years from date of hire or 1 year from separation, whichever occurs later.*	Retention 8 USC 1324a(b)(3)

(continued on following page)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
8610.3₂	Employment Eligibility Verification (cont.)	immigrant or nonimmigrant petitions filed by the agency	RETAIN UNTIL: Employee separation PLUS: 3 years THEN: Destroy	
8610.1		E-Verify forms	RETAIN UNTIL: Employee separation PLUS: 1 year THEN: Destroy	Retention G.S. § 64-26(b)
		Selective Service Registration compliance forms	RETAIN UNTIL: Employee separation PLUS: 1 year THEN: Destroy	Authority G.S. § 143B-421.1
8611.1	Exit Interviews	interviews or questionnaires conducted with employees planning to separate from the agency	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
8612.2	Grievances SEE ALSO: OAH Case Records (LEGAL)	records concerning employee grievances; includes EEO informal inquiry process and formal internal grievance process	RETAIN UNTIL: Resolution PLUS: 2 years THEN: Destroy*	
8612.5		records concerning hearings conducted by the Office of State Human Resources	RETAIN UNTIL: Resolution PLUS: 5 years THEN: Destroy*	
8613.5	Occupational Safety and Health Administration (OSHA) Records	records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms; also includes ergonomic assessments for employees as well as OSHA inspections and/or citations of the agency *NOTE: The receiving agency is the records owner for records generated by Department of Labor assessments.*	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	Retention 29 CFR 1904.33 29 CFR 1904.44

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
8614.T	Personnel Action Requests	records concerning personnel action changes (e.g., hire, termination, retirement, resignation)	TRANSFER to Personnel File *NOTE: Records documenting personnel action requests should be retained in accordance with the public information provision delineated in G.S. § 126-23.*	
8615.30	Personnel File	records that document events in permanent and temporary individuals' employment history that have long-term consequences for the employee and the agency; also includes dismissals that are not challenged by the employee	RETAIN UNTIL: Separation PLUS: 30 years Ω THEN: Destroy *NOTE: Records should be retained in accordance with the public information provision delineated in G.S. § 126-23.*	Authority G.S. § 126-23
8616.5	Seasonal and Contract Worker Records	records that document events in an individual's short-term employment history	RETAIN UNTIL: Separation PLUS: 5 years THEN: Destroy	
8617.S	Workers' Compensation Program Administration SEE ALSO: Workers' Compensation Program Claims (LEGAL)	includes program policies, guidelines, 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.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

8.7 Position Management

DEFINED: Activities related to the management of the employee positions allocated to the agency, including recruitment of personnel.

RC No.	Record Types	Description	Disposition Instructions	Citation
871.1	Abolished Positions	records concerning positions that have been abolished	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
872.1	Applicant Flow Records	statistical data retained by the Office of State Human Resources concerning all applicants who apply for agency positions	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
873.T	Applications for Employment	applications and other related records for hired candidates; includes offers of employment	TRANSFER to Personnel File upon hiring	
873.2		applications and other related records that are unsolicited or are received from individuals who are not hired or do not accept offered position	RETAIN UNTIL: Received PLUS: 2 years THEN: Destroy*	Retention 29 CFR 1602.31 & .40 29 CFR 1627.3(b)(1)
874.2	Hiring Packages	includes interview documentation, rosters, eligibility lists, test ranking sheets, tracking forms, justification statements, and other related records	RETAIN UNTIL: Hiring decision PLUS: 2 years THEN: Destroy*	
875.S	Position Control	records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
876.2	Position Descriptions	job descriptions for each position	RETAIN UNTIL: Superseded/Obsolete PLUS: 2 years THEN: Destroy	Retention 29 CFR 1620.32

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
877.1	Position Evaluations	forms used to evaluate the primary purpose of a position	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
878.P	Position History	classification records and complete histories of salaried positions within the agency; includes listings providing classification, titles, and position numbers	PERMANENT	
879.1	Recruitment Records	includes ads and notices of overtime, promotion, and training; also includes employment listings	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	Retention 29 CFR 1627.3(b)(1)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

8.8 Staff Development

DEFINED: Activities related to the training required for agency personnel.

SEE ALSO: For required training conducted by another State agency, the coursework and participant records are held by that agency under the EDUCATION schedule.

RC No.	Record Types	Description	Disposition Instructions	Citation
881.1	Asbestos Training	employee-specific records concerning training programs for the proper management of asbestos	RETAIN UNTIL: Separation PLUS: 1 year THEN: Destroy	Retention 29 CFR 1910.1001 (m)(4)
882.3	Bloodborne Pathogen Training	records concerning training programs for the proper avoidance of bloodborne pathogen exposure; includes rosters, contents or summaries of sessions, names and qualifications of instructors, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	Retention 29 CFR 1910.1030 (h)(2)(ii)
883.S	Employee Training Materials SEE ALSO: Bloodborne Pathogen Training (above), Hazardous Waste Training (below), and Law Enforcement Training (below)	records concerning the delivery of training to agency personnel; includes training manuals, syllabi and course outlines, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
884.2	Employee Training Records SEE ALSO: Asbestos Training (above)	employee-specific records documenting the training of agency personnel; includes certificates, transcripts, test scores, selections, and other related records	TRANSFER to Personnel Jacket if training is necessary for current position or could affect career advancement RETAIN REMAINING RECORDS UNTIL: Complete PLUS: 2 years THEN: Destroy	Retention 29 CFR 1602.31 29 CFR 1627.3(b)(1)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
885.5	Hazardous Waste Training	records concerning training programs for the proper avoidance of hazardous material exposure; includes rosters, contents or summaries of sessions, names and qualifications of instructors, and other related records	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	Authority 29 CFR 1910.120 (p)(8)(iii)
886.P	Law Enforcement Training	records concerning internal training for law enforcement personnel	PERMANENT	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

Records That Will Transfer to the State Records Center

8615.30 Personnel File: Transfer to the State Records Center 5 years after employee separation. Records will be held 25 additional years and then destroyed. NOTES: When an entity moves from one agency to another, any personnel records for separated personnel that date prior to this move remain in the legal custody of the original agency. The Department of Administration also handles personnel records for some additional agencies.

Agency	Series Title	Item Number
Administration, Department of	Inactive Personnel File	88
Administrative Hearings, Office of	Inactive Personnel File	18617
Administrative Office of the Courts	Inactive Personnel File	2324
Agriculture and Consumer Services, Department of	Inactive Personnel File	242
Commerce, Department of	Department of Commerce Inactive Personnel File	313
	Division of Employment Security Inactive Personnel File	415
	Division of Workforce Solutions Inactive Personnel File	49952
Community College System, North Carolina	System Office Inactive Personnel File	19777
Environmental Quality, Department of	Inactive Personnel File	2484
	Division of Environmental Management Inactive Personnel File	33824
Health and Human Services, Department of	Inactive Personnel File	1613
	Division of Child Development Inactive Personnel File	7765
	Division of Health Service Regulation Inactive Personnel File	1713
	Division of Medical Assistance Inactive Personnel File	6409
	Division of Mental Health, Developmental Disabilities, and Substance Abuse Services Inactive Personnel File	1890
	Division of Public Health Inactive Personnel File	44004
	Division of Services for the Blind Inactive Personnel File	1659
	Division of Social Services Inactive Personnel File	2101
	DSOHF Black Mountain Neuro-Medical Treatment Center Inactive Personnel File	3497
	DSOHF Broughton Hospital Inactive Personnel File	1957
	DSOHF Caswell Developmental Center Inactive Personnel File	1963
	DSOHF Central Regional Hospital Inactive Personnel File	50480
	DSOHF Cherry Hospital Inactive Personnel File	1966
	DSOHF J. Iverson Riddle Developmental Center Inactive Personnel File	3592

(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.

Agency	Series Title	Item Number
Health and Human Services, Department of (cont.)	DSOHF Julian F. Keith Alcohol and Drug Abuse Treatment Center Inactive Personnel File	1954
	DSOHF Longleaf Neuro-Medical Treatment Center Inactive Personnel File	1996
	DSOHF Murdoch Developmental Center Inactive Personnel File	1995
	DSOHF O'Berry Neuro-Medical Treatment Center Inactive Personnel File	1998
	DSOHF Walter B. Jones Alcohol and Drug Abuse Treatment Center Inactive Personnel File	2009
	Division of Vocational Rehabilitation Inactive Personnel File	2214
Housing Finance Agency, North Carolina	Inactive Personnel File	19631
Information Technology, Department of	Inactive Personnel File	47987
Insurance, Department of	Inactive Personnel File	2249
Justice, Department of	Inactive Personnel File	14171
Labor, Department of	Inactive Personnel File	2448
Natural and Cultural Resources, Department of	Inactive Personnel File	775
	State Parks Inactive Personnel File	3419
Occupational Safety and Health Review Commission, North Carolina	Inactive Personnel File	6003
Public Instruction, Department of	Inactive Personnel File	972
	Education Services for the Deaf and Blind Inactive Personnel File	50094
Public Safety, Department of	Inactive Personnel File	50798
	North Carolina Air National Guard Individual Military Personnel File	747
	Private Protective Services Inactive Registered Employees File	3925
	State Highway Patrol Report of Investigation File	35451
Revenue, Department of	Inactive Personnel File	2856
Secretary of State, Department of the	Inactive Personnel File	2894
State Auditor, Office of the	Inactive Personnel File	4081
State Budget and Management, Office of	Inactive Personnel File	38376
State Controller, Office of the	Inactive Personnel File	39729
State Human Resources, Office of	Inactive Temporary Solutions Workforce Personnel File	15403
State Treasurer, Department of	Inactive Personnel File	16234

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.

Agency	Series Title	Item Number
Transportation, Department of	Division of Motor Vehicles Inactive Personnel File	3160
	Department of Transportation Inactive Personnel File	2947
Wildlife Resources Commission	Inactive Personnel File	2745

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*

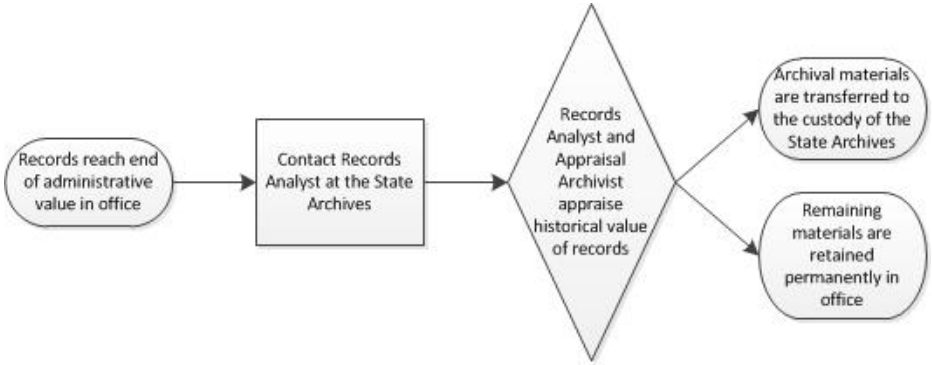
The State Archives of North Carolina (SANC) has further elaborated selection criteria that help distinguish records with archival value:

- 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