

# RECORDS RETENTION AND DISPOSITION SCHEDULE

## COUNTY BOARD OF ELECTIONS



Issued By:



North Carolina Department of Cultural Resources  
Division of Historical Resources  
Archives and Records Section  
Government Records Branch

April 4, 2012

## CONTENTS

EXECUTIVE SUMMARY .....	ii
MANAGING PUBLIC RECORDS IN NORTH CAROLINA.....	iii
AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS.....	vi
DESTRUCTION OF PUBLIC RECORDS.....	vii
ELECTRONIC RECORDS AND DIGITAL IMAGING .....	viii
MICROFILM .....	ix
DISASTER ASSISTANCE .....	x
STAFF TRAINING.....	xi
PUBLIC RECORDS WITH SHORT-TERM VALUE .....	xiii
STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS .....	1
STANDARD-2. BUDGET, FISCAL, AND PAYROLL RECORDS .....	19
STANDARD-3. INFORMATION TECHNOLOGY (IT) RECORDS .....	30
STANDARD-4. LEGAL RECORDS.....	49
STANDARD-5. PERSONNEL RECORDS .....	54
STANDARD-6. PUBLIC RELATIONS RECORDS.....	72
STANDARD-7. PROGRAM OPERATIONAL RECORDS: CANDIDACY, CAMPAIGN FINANCE, AND PETITIONS RECORDS.....	76
STANDARD-8. PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS .....	78
STANDARD-9. PROGRAM OPERATIONAL RECORDS: VOTER REGISTRATION RECORDS .....	86
REQUEST FORMS.....	89
INDEX .....	92

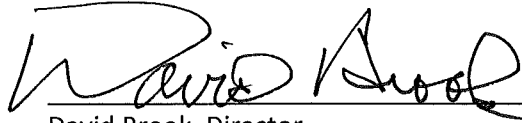
**County Boards of Elections  
Records Retention Schedule**

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provision of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

This local government agency and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow these records to be destroyed when "*administrative/reference value ends.*" The local government agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Cultural Resources has scheduled with the disposition instruction "*destroy when administrative/reference value ends.*" If an office does not establish internal policies and retention periods, the office is not complying with the provisions of this retention schedule and is not authorized by Cultural Resources to destroy the records with the disposition instruction "*destroy when administrative/reference value ends.*"

It is further agreed that these records may not be destroyed prior to the time periods stated; however, for sufficient reason they may be retained for longer periods. This schedule is to remain in effect from the date of approval until it is reviewed and updated.

**APPROVAL RECOMMENDED**



David Brook, Director  
Division of Historical Resources

**APPROVED**



Gary O. Bartlett, Executive Director  
State Board of Elections



Linda A. Carlisle, Secretary  
Department of Cultural Resources

**ACKNOWLEDGED (AGREED TO COMPLY)**

\_\_\_\_\_  
County Board of Elections, Director

\_\_\_\_\_  
Chairman, County Board of Elections

April 4, 2012  
~~August 29, 2011~~ 600

\_\_\_\_\_  
County/Region

## EXECUTIVE SUMMARY

- ✓ According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources (DCR). This schedule is the primary way DCR gives its consent. Without approving this schedule, your office is obligated to obtain the Department's permission to destroy *any* record, no matter how insignificant.
- ✓ Each record series listed on this schedule has specific disposition instructions which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your offices forever. In other cases, the retention period may be "destroy in office when administrative/reference value ends." Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization." Your agency must establish and enforce internal policies by setting minimum retention periods for the records that the Department of Cultural Resources has scheduled with the disposition instructions "destroy when administrative/reference value ends."
- ✓ E-mail is a record as defined by G.S. §121-5 and G.S. §132. It is the content of the e-mail that is critical when determining the retention period of a particular e-mail, including attachments not the media in which the records were created. E-mail should be retained in the same manner as its paper counterpart. It is important for all agency employees and officials to determine the appropriate record series for specific e-mails, and retain them according to the disposition instructions.
- ✓ The Department of Cultural Resources recommends that all agency employees and officials take our online tutorials in order to familiarize themselves with records management principals and practices. DCR's online tutorials include topics such as records management, utilizing the retention schedule, e-mail management, and scanning guidelines.
- ✓ The Department of Cultural Resources provides microfilming of the minutes of major decision-making boards and commissions in a county. Once those records are filmed, we will store the silver negative (original) in our security vault.
- ✓ There is a nominal fee for filming and duplicating film. Contact the analyst assigned to your county for the most current information.

## MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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**Q. *What is this “records retention and disposition schedule”?***

- A.** This document is a tool for the employees of county board’s of elections across the state to use when managing the records in their offices. It lists records commonly found in board of elections offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your office and the Department of Cultural Resources.

This schedule serves as the inventory and schedule that the Department of Cultural Resources is directed by G.S. §121-5 (c) and G.S. §132-8 to provide. It supersedes all previous editions, including all amendments.

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**Q. *How do I get it approved?***

- A.** This schedule must be acknowledged by the governing board of your county board of elections. That approval should be made in a regular meeting and recorded as an action in the minutes. It may be done as part of the consent agenda, by resolution, or other action.
- 

**Q. *Do I have to have all of the records listed on this schedule?***

- A.** No. This is not a list of records you must have in your office.
- 

**Q. *What is the definition of “administrative value”?***

- A.** Administrative value is defined as, “the usefulness of records to support ancillary operations and the routine management of an organization.” Records having administrative value are generally considered useful or relevant to the activities that caused the record to be created and/or during an audit of those activities. Traditionally, records managers have seen “administrative value” as transitory. (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*)
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**A. *Do the standards correspond to the organizational structure of my office?***

- A.** Standards are grouped together to make it easier for users to find records. You may find that the records groupings reflect according to the organizational structure of your office, or you may find that records are located in various standards depending on the content of the record. The intent of the schedule’s organization is to provide an easy reference guide for the records created in your office.
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**Q. *I can’t find some of my records on this schedule.***

- A.** Contact the Records Management Analyst assigned to your county. We will work with you to amend this records schedule to include records so that you may destroy them appropriately.
- 

**Q. *What are public records?***

- A.** The *General Statutes of North Carolina*, Chapter §132, provides this definition of public records:

"Public record" or "public records" shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data- processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

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**Q. *Can anyone see my records?***

**A.** Yes, except as restricted by specific provisions in state or federal law. G.S. §132-6 instructs:

“Every custodian of public records shall permit any record in the custodian's custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. ... No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request.”

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**Q. *What about my confidential records?***

**A.** Not all government records are open to public inspection. Exceptions to the access requirements in G.S. §132-6 and the definition of public records in G.S. §132-1 are found throughout the General Statutes. You must be able to cite a specific provision in the General Statutes or federal law when you restrict or deny access to a particular record.

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**Q. *Do I have to make copies of drafts available to the public that haven't been approved?***

**A.** Yes, even if a report, permit, or other record has not been finalized. Any record that is not confidential by law must be copied when a request is received, whether it is “finished” or not.

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**Q. *What do I do with permanent records?***

**A.** Permanent records should be maintained in the office that created the records, forever. Permanent records must also have a preservation duplicate, which is either a paper or microfilm copy. The State Archives will store the silver halide (original) copy of your microfilm, as long as it has been properly processed.

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**Q. *What is historical value?***

**A.** Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its citizens. Call the analyst assigned to your county for further assistance.

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**Q. *I don't have any records.***

**A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and e-mail, are public records. Even if your records aren't the official or final version, your records are public records. Not all records have high historical, legal, or fiscal value, but they all must be retained or destroyed in accordance with the provisions of the appropriate records schedule.

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**Q. *May I store our unused records in the basement (attic, outdoor shed)?***

**A.** Public records are public property. While we encourage offices to find places to store records that do not take up too much valuable office space, the selected space should be dry, secured, and free from pests and mold. Your office must ensure that records stored away from your main office area are well protected from natural and man-made problems, while remaining readily available to your staff and the public.

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**Q. *Our old records are stored in the attic, basement or off-site building, etc. Do we have to let anyone who asks see them?***

**A.** Yes, as long as the records are not confidential by law. You should also be aware that confidentiality can expire.



## AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS

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***No record involved in a pending audit, legal or other official action may be destroyed before that audit or action is resolved.***

We have used an asterisk (\*) in the disposition instructions to mark records series that are commonly audited, litigated or may be subject to other official actions; however, any record has this potential. Records custodians are responsible for being aware of potential actions, and for preventing the destruction of any record that is, or may be reasonably expected to become, involved in an audit, legal or other official action.

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See **AUDITS: PERFORMANCE** Item 6, page 2 and **AUDITS: FINANCIAL** Item 6, page 16.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the county board of elections should inform records custodians when legal matters are concluded and records will no longer be needed. Following the conclusion of any legal action, the records may be destroyed if they have met the retention period in the schedule. Otherwise, they should be kept for the remaining time period.



## DESTRUCTION OF PUBLIC RECORDS

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**Q. *When can I destroy records?***

- A. Each record series listed on this schedule has specific disposition instructions that indicate how long that series must be kept in your offices. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question below, “*How should I deal with my permanent records?*”)
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**Q. *How do I destroy records?***

- A. After your agency has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- a) burned, unless prohibited by local ordinance;
  - b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
  - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - d) buried under such conditions that the record nature of the documents or materials will be terminated;
  - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.  
— N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used.

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**Q. *How can I destroy records if they are not listed on this schedule?***

- A. Contact the Records Management Analyst assigned to your county. Your analyst will discuss the nature of the records with you to determine if the records have historical value. If the records do have historical value, we will discuss the possibility of transferring the records to the State Archives to be preserved permanently.

If the records do not have historical value, we will ask you to complete a **Request and Approval of Unscheduled Records Disposal** (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

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**Q. *I have some old records that aren't on this schedule, but that we don't use any more. How can I get them destroyed?***

- A. At the end of this schedule is a form called the **Request and Approval of Unscheduled Records Disposal**. Complete that form and submit it to us. We will get in touch with you, and make a determination about that destruction.
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**Q. *Do I have to tell anyone about the destruction?***

- A. We recommend that you report on your records retention activities to your Board of Commissioners on an annual basis. This report does not need to be detailed, but it is important that significant destructions be entered into the minutes of the Board.
- 

**Q. *Computer storage is cheap. I'll just keep my computer records.***

- A. The best practice is to destroy all records that have met their retention requirements at the same time, regardless of format.

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**Q. Can I give my old records to the historical society or public library?**

- A. Before you offer any record to a historical society, public library, or any other entity, you must contact the Records Management Analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives.

**ELECTRONIC RECORDS:  
E-MAIL, BORN DIGITAL RECORDS, AND DIGITAL IMAGING**

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**Q. When can I delete my e-mail?**

- A. E-mail is a public record as defined by G.S. §121-5 and G.S. §132. E-mail is just as much a record as any traditional paper record, and must be treated in the same ways. **It is the content of each message that is important.** If a particular message would have been filed as a paper memo, it should still be filed (either in your e-mail program or in your regular directory structure), and it should be retained the same length of time as its paper counterparts. ***It is inappropriate to destroy e-mail simply because storage limits have been reached.***

Our publications will be particularly helpful in managing your e-mail (available online at <http://www.records.ncdcr.gov/>):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
- *Online E-mail Tutorial: Managing Your Inbox: E-mail as a Public Record*
- *Online Tutorial: Managing Public Records for Local Government Agencies*
- *Guidelines for E-mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail*

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**Q. Do I have to print my e-mail to file it?**

- A. As long as the e-mail is not a permanent record, as defined by the schedule, you may elect to keep it in electronic format. Permanent records should be printed and kept in human readable form.

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**Q. I use my personal e-mail account for work. No one can see my personal e-mail.**

- A. The best practice is to avoid using personal resources, including private e-mail accounts, for public business. G.S. §132-1 states that records “made or received pursuant to law or ordinance *in connection with the transaction of public business* by any agency of North Carolina government or its subdivisions” are public records (emphasis added). The fact that public records reside in a personal e-mail account is irrelevant.

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**Q. We have an imaging system. Do we have to keep the paper?**

- A. You may scan any record, including permanent records. You will need to get approval from our agency in order to destroy paper originals that have been digitized. Your office should follow the instructions in the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* to conduct the Self Warranty process, develop an Electronic Records Policy, and complete a copy of the **Request to Destroy Records Duplicated by Electronic Means**, (located at the end of this schedule). Then submit all three to us.

**Permanent records** must have a preservation copy as defined by G.S. §132-8.2:

Preservation duplicates shall be durable, accurate, complete and clear, and such duplicates made by a photographic, photo static, microfilm, micro card, miniature photographic, or other process which accurately reproduces and forms a durable medium for so reproducing the original shall have the same force and effect for all purposes as the original record

whether the original record is in existence or not. ... Such preservation duplicates shall be preserved in the place and manner of safekeeping prescribed by the Department of Cultural Resources.

The preservation duplicate of permanent records must be either on paper or microfilm.

**Non-permanent records** may be retained in any format, and therefore you may be approved to destroy hard copy originals after proper imaging. You will have to take precautions with records that you must keep more than about 10 years. Computer systems do not have long life cycles. Each time you change computer systems, you will have to convert all records to the new system so that you can assure their preservation and provide access. Your office will still be required to conduct the Self-Warranty process, establish an Electronic Records Policy, and submit the **Request to Destroy Records Duplicated by Electronic Means** form for our approval.

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**Q. *Computer storage is cheap. I'll just keep my computer records.***

- A.** The best practice is to destroy all records that have met their retention requirements at the same time, regardless of format.

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**Q. *For Further Guidance regarding the creation and handling of electronic public records.***

- A.** The following documents are available on the Government Records Branch Website (<http://www.records.ncdcr.gov/>):
- Best Practices for File Naming
  - Guidelines for Digital Imaging Systems
  - Security Backup Files as Public Records in North Carolina: Guidelines for Recycling, Destruction, Erasure, and Re-Use of Security Backup Files
  - Best Practices for Social Media Usage in North Carolina

## MICROFILM

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**Q. *Why do you still use microfilm?***

- A.** Microfilm is a legally acceptable replacement for original records, as outlined in G.S. §8-45 and §153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass. There is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection. Our office provides a publication, *Micrographics: Technical and Legal Procedures*, on our website. It explains the four groups of national standards for the production of archival quality microfilm:
- manufacture of raw film
  - filming methods
  - processing (developing) film
  - storage methods

That publication also provides sample forms, targets, and procedures that you or your vendor can use in producing film of your records.

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**Q. *What film services do you provide?***

- A.** The Department of Cultural Resources provides microfilming of minutes of major decision-making boards and commissions in a county. Once those records are filmed, we will store the silver original in our security vault.

There is a nominal fee for filming and duplicate film. Contact the analyst assigned to your county for the most current information.

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**Q. *How do I get my minutes filmed?***

**A.** We have two processes to film minutes. First, you can send photocopies of your approved minutes to us in the mail. Simply include a copy of the “*Certification of the Preparation of Minutes for Microfilming*” form (available online at <http://www.records.ncdcr.gov/imaging.htm#minutes>) with each shipment. For more detailed instructions, contact the analyst assigned to your county.

Alternatively, you can bring us your original books. We will film them and return them to you. This process is most useful when you have more minutes to film than you are willing to photocopy. It is important to remember that a representative of your office or ours must transport the original books in person so that the custody of the records is maintained. You should not mail or ship your original minutes. Call the analyst assigned to your county to make arrangements for an appointment for your books to be filmed. We will make every effort to expedite the filming so that your books will be returned to you as quickly as possible.

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**Q. *What if I need my books while they’re being filmed?***

**A.** Just call the Raleigh Office at (919) 814-6900, and ask for the analyst in charge of minutes.

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**Q. *Can I e-mail you my minutes?***

**A.** Not at this time. We require originals or photocopies of the approved minutes, complete with signatures.

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**Q. *I have some old minutes that aren’t signed. Can they still be filmed?***

**A.** If the only copy you have available is unsigned, and you use it as the official copy, we will film it.

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**Q. *What if my books are destroyed after they have been filmed?***

**A.** Call the analyst assigned to your county, who will help you make arrangements to purchase copies of the microfilm from our office. You can then send those reels to a vendor, who can either make new printed books, or scan the film to create a digital copy.

## DISASTER ASSISTANCE

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**Q. *What should I do in case of fire or flood?***

**A.** Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 814-6903 for the Head of the Local Records Program or (919) 814-6876 for the State Preservation Officer. If you’re in the western part of the state, call our Asheville Office at (828) 274-6789. Nights and weekends, call your local emergency management office.

***DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.***

Damaged records are extremely fragile and require careful handling. Our staff is trained in preliminary recovery techniques, and professional vendors can handle your larger disasters.

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**Q. *What help do you give in case of an emergency?***

- A.** We will do everything we can to make a visit to you at the earliest opportunity to provide hands-on assistance. We can assist you in appraising the records that have been damaged so that precious resources (and especially time) are not spent on records with lesser value. We can provide lists of professional recovery vendors that you can contact to preserve your essential and permanent records.
- 

**Q. *What can I do to prepare for an emergency?***

- A.** We provide training to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the analyst assigned to your county.
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## STAFF TRAINING

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**Q. *What types of workshops or training do you offer?***

- A.** We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact your records management analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are::
- **Managing Public Records: Law and Practice in North Carolina** – our basic introduction to the Public Records law and records management;
  - **Evaluating Filing Systems** – how to evaluate and improve paper or electronic filing systems;
  - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
  - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens;
  - **Microfilming as a Preservation Tool: Digital Imaging and Microfilm** – why microfilm is still used, and how it can work with digital technologies.
- 

**Q. *Will you design a workshop especially for our office?***

- A.** Yes, we will. Let the analyst assigned to your county know what type of training you need.
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**Q. *Do we have to come to Raleigh for workshops?***

- A.** No, we will come to your offices to present the workshops you need. We have no minimum audience requirement. We will also do presentations for professional associations, regional consortiums, and the public.
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**Q. *Is there a fee for workshops?***

- A.** Not at this time.
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**Q. *Are the workshops available in an online format?***

- A.** Yes. There are several online tutorials available on our website (<http://www.records.ncdcr.gov/workshops.htm>), including:
- **Managing Public Records for Local Agencies**- our basic introduction to the Public Records law and records management.

- **Managing Your Inbox: E-mail as a Public Record-** More and more government employees use computers as they conduct their daily business. While computers are invaluable tools that store large amounts of data that can be easily searched, depending solely upon electronic records can be dangerous. In this workshop you will learn some of the problems associated with electronic records and you will receive advice on how to protect those records.
- **Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls-** In addition to face-to-face workshops, the Government Records Branch is now offering an online tutorial combining an introduction to public records, electronic records, and handling e-mail.

## **PUBLIC RECORDS WITH SHORT-TERM VALUE**

### ***GUIDELINES FOR THEIR RETENTION AND DISPOSITION***

According to North Carolina General Statutes §121 and §132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristic, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with any approved program records retention and disposition schedule, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- facsimile cover sheets containing only transmittal (“to” and “from”) information, or information that does not add significance to the transmitted material;
- routing slips or other records that transmit attachments;
- reservations and confirmations;
- personal messages (including e-mail) not related to official business;
- preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records;
- documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business;
- records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives.

The records described above may be destroyed or otherwise disposed of when their reference value ends.

**These guidelines are not intended to serve as authorization to destroy or otherwise dispose of unscheduled records.** They are intended to complement the use of an approved records retention and disposition schedule for the creating government or agency, not replace or supersede it. Should a creating government or governmental agency lack an approved records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including e-mail) until it receives approval of its **Request and Approval of Unscheduled Records Disposal** (located at the end of this schedule). Such offices should contact the Government Records Branch of the Division of Historical Resources for assistance in creating a schedule.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

**STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS**

Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine administration of County Board of Elections.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ADMINISTRATIVE DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES</b>	a) Retain official copies of directives, rules, and regulations permanently. b) Destroy in office policies and procedures 3 years after superseded.	
2.	<b>AGENDA AND MEETING PACKETS FILE</b> Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies.  See also <b>MINUTES OF PUBLIC BODIES</b> item 36, page 10.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends. Local Policy: Destroy in office after _____ †	
3.	<b>APPLICATIONS FOR APPOINTMENT</b> Applications and related records received from individuals applying for appointments to serve on public boards, commissions, councils and committees.	a) Destroy in office records concerning appointed individuals 1 year after expiration of term. b) Destroy in office remaining records after 1 year.	

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

*† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Cultural Resources has scheduled with the disposition instruction "destroy when administrative/reference value ends." Please use the space provided.*



ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>APPOINTMENTS REPORTING RECORDS</b> Includes public boards, commissions, councils and committees annual appointment reports filed with the NC Department of the Secretary of State and related records.	Destroy in office after 2 years.	G.S. § 143-157.1
5.	<b>ASSOCIATIONS AND ORGANIZATIONS FILE</b> Records concerning associations, organizations, groups, etc., that have some form of association or relationship with the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends. Local Policy: Destroy in office after _____. <sup>†</sup>	
6.	<b>AUDITS: PERFORMANCE</b> Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, and related records.  See also <b>AUDITS: FINANCIAL</b> item 6, page 20.	a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	
7.	<b>AUDIO AND VIDEO RECORDING OF MEETINGS</b>	Destroy in office after approval of official written minutes.	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>BLUEPRINTS AND SPECIFICATIONS</b> Blueprints and specifications of county owned buildings and facilities. May include as-built plans and related records concerning approved changes.	Retain in office for life of structure.	Comply with applicable provisions of G.S.§132-1.6 regarding the confidentiality of security records.
9.	<b>BULLETINS</b>	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	
10.	<b>CALENDARS OF EVENTS AND APPOINTMENTS</b>	Destroy in office when superseded or obsolete.	
11.	<b>CENSUS PROJECT FILE</b> Records created to assist the U.S. Census Bureau and county agencies with the decennial census.	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	
12.	<b>CHARTER RECORDS</b> Charter and charter proceedings related to adoption, amendment and/or repeal.	Retain in office permanently.	
13.	<b>CITIZEN COMPLAINTS AND SERVICE REQUESTS</b> Records concerning objections, dissatisfaction or disagreements with actions or positions taken or not taken by a county agency. May include routine requests for service or information.	Destroy in office 1 year after resolution.*	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<p><b>COMPREHENSIVE PLAN</b> Long-range plan outlining policies, guidelines and plans for future development of the county. Includes but not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.</p>	<p>a) Retain official copy in office permanently.</p> <p>b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.</p>	
15.	<p><b>CONFERENCES AND WORKSHOPS FILE</b> Records concerning conferences and workshops conducted or attended by county employees.</p> <p>See also <b>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS</b> item 29, page 62.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends. Local Policy: Destroy in office after _____ †</p>	
16.	<p><b>CORRESPONDENCE AND MEMORANDA</b> Administrative and management correspondence/memorandum written or received by the office concerning agency authority, operating philosophy, purpose, methods, and any other function.</p> <p>See also <b>Public Records with Short Term Value</b> page xiii. For information on handling e-mail, See <b>Electronic Records</b> section page viii.</p>	<p>a) Transfer after 3 years correspondence, including e-mail with historical value to the <b>HISTORIES FILE</b> item 30, page 8.</p> <p>b) Destroy in office routine administrative correspondence and memoranda when administrative value ends.</p> <p>c) Destroy in office remaining records after 3 years.</p> <p><i>Retention Note: The correspondence, including e-mail, of the director and department heads have historical value and should be retained.</i></p>	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>CUSTOMER CALL CENTER RECORDINGS</b> Recordings made of calls to customer service centers for quality assurance and training purposes.	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	
18.	<b>DONATIONS AND SOLICITATIONS</b>	Destroy in office after 1 year.	
19.	<b>EQUIPMENT AND FACILITY USAGE RECORDS</b> Records concerning the assignment, request and usage of agency assets. May include mileage and check out logs, fuel consumption reports, facility reservation requests, authorizations and similar records relating to the assignment and use of agency owned property.  See also <b>VEHICLE USAGE RECORDS</b> item 63, page 17.	a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.*  b) Destroy in office remaining records after 1 year.	
20.	<b>EQUIPMENT AND PROPERTY INVENTORIES</b> Inventories describing the type of property or equipment, its location and related information.	Destroy in office when superseded or obsolete.	
21.	<b>EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> Records concerning the maintenance, repair and inspection of county owned equipment.  See also <b>GRANTS</b> item 29, page 8.	a) Destroy in office records documenting routine inspections, janitorial cleaning and maintenance of equipment after 1 year.  b) Retain for life of equipment records documenting all other equipment maintenance and repairs.	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<b>EQUIPMENT REFERENCE FILE</b> Includes operation, specification and technical manuals, brochures, bulletins and related records.	Destroy in office when superseded, obsolete or asset is no longer owned.	
23.	<b>FACILITY ACCESSIBILITY FILE</b> Records concerning compliance with the Americans with Disabilities Act (ADA). May include survey of county buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence, including e-mail resolutions, and solutions to access problems.	Destroy in office after 5 years.*	29 CFR 1602 (1992)
24.	<b>FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> Records concerning the maintenance, repair and inspection of county owned facilities.  See also <b>GRANTS</b> item 29, page 8.	a) Destroy in office records documenting routine inspections, janitorial cleaning and maintenance of facilities after 1 year.  b) Destroy in office records concerning all other facility maintenance, repair and inspection (including plumbing, electrical, fire and other systems) in office after 3 years.	
25.	<b>FUND DRIVE AND EVENT RECORDS</b> Records concerning the promotion and organization of fund drives and other special events in which the agency participated.	a) Retain records with historical value permanently.  b) Destroy in office remaining records after 1 year.	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<b>GOALS AND OBJECTIVES</b>	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
27.	<b>GRANT CONTRACT APPEALS CASES</b>	Destroy in office 10 years after final action or decision.*	
28.	<b>GRANT PROPOSALS</b> Proposals submitted for grants. File may include applications, correspondence, including e-mail, and other related records.	a) Transfer records concerning approved grants to <b>GRANTS</b> item 29, page 8 if approved. b) Destroy in office rejected or withdrawn grant proposals when reference value ends. Local Policy: Destroy in office after _____. †	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	<p><b>GRANTS</b> Records concerning approved HAVA and other federal, state, and private grants. May include applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records.</p> <p>See also <b>GRANTS: FINANCIAL</b> item 35, page 24.</p>	<p>a) Destroy in office records relating to specific non-continuing grants 5 years after termination or when released from audit.*</p> <p>b) Destroy in office yearly records relating to specific continuing grants 5 years after annual financial report is filed.</p> <p>c) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.</p> <p>d) Always request permission from the State Board of Elections before destroying any documents related to HAVA grants</p>	
30.	<p><b>HISTORIES FILE (AGENCY AND EMPLOYEES)</b> Records concerning the history of the organization and its employees. May include published and unpublished histories, photographs, newspaper clippings, and other related records.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
31.	<p><b>INDEX FILE</b> Listing of where specific information can be found.</p>	<p>Destroy in office when reference value ends.</p> <p>Local Policy: Destroy in office after_____. †</p>	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	<b>LEGISLATION AND REGULATORY RECORDS</b> Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.	Destroy in office when reference value ends.  Local Policy: Destroy in office after _____. †	
33.	<b>LITIGATION CASE FILE</b> Legal cases in which the agency is a party.	a) Transfer to <b>LITIGATION CASE RECORDS</b> item 10, page 52 when reference value ends.  b) Destroy in office copies when administrative value ends. Local Policy: Destroy in office after _____. †	Comply with applicable provisions of G.S. §132-1.1 regarding confidentiality of legal records.
34.	<b>MAILING AND DISTRIBUTION RECORDS</b> Includes mailing and meeting notification lists, Sunshine Lists and related documentation of transactions with the U.S. Postal Service or private carriers.	a) Destroy in office Sunshine Lists when superseded or obsolete.  b) Destroy in office all other records when administrative value ends. Local Policy: Destroy in office after _____. †	G.S. § 142-318.12 (b) 2
35.	<b>MANAGEMENT STUDIES</b> Internal studies by administrators and staff throughout all agency offices. File may include studies, surveys, statistical reports, memoranda, cost analysis, projections, problem solving and comparable data that examine any aspect of the agency administration.	a) Retain records with historical value permanently.  b) Destroy in office remaining records when superseded or obsolete.	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	<p><b>MINUTES OF PUBLIC BODIES</b> As defined by G.S. § 143-318.10 (b), includes official and reference copies of the governing board and all subsidiary and advisory boards. Subsidiary boards are defined as boards that exercise or are authorized to exercise legislative, policy-making, quasi-judicial, or administrative functions. Also includes minutes of subcommittees of the governing board and its subsidiary and advisory boards.</p> <p>See the <b>Microfilm</b> section on page ix for instructions on microfilming.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed upon approval by the NC State Archives. The NC State Archives reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the NC State Archives reserves the right to designate the minutes as permanent.</p> <p>d) Reference copies of minutes of any public body may be destroyed when administrative value ends. No NC State Archives approval to purge is required.</p>	G.S. § 143-318.10

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	<b>MINUTES (STAFF MEETINGS)</b> Minutes of meetings including all referenced and attached documentation.	a) Retain records with historical value permanently.  b) Destroy in office remaining records when administrative value ends. Local Policy: Destroy in office after_____. †	G.S. § 143-318.10(c)
38.	<b>NOTICES OF PUBLIC MEETINGS</b> Includes notices and regular meeting schedules.  See also <b>AFFIDAVITS OF PUBLICATION</b> item 1, page 49.	Destroy in office when administrative value ends.  Local Policy: Destroy in office after_____. †	
39.	<b>OFFICE SECURITY RECORDS</b> Records concerning the security of the office, its equipment, and office personnel. May include visitor’s register, security and surveillance system reports and tapes.	a) Destroy in office or reuse after 30 days recordings not required to support known investigations or litigation  b) Destroy in office all remaining records after 1 year.	Comply with applicable provisions of G.S.§132-1.6 regarding the confidentiality of security records.
40.	<b>ORDINANCES</b> Includes code of ordinances and ordinance development records.  See the <b>Microfilm</b> section on page ix for instructions on microfilming.	a) Retain official copy permanently.  b) Destroy in office additional copies (including tabled or failed ordinances) when administrative value ends.  c) Destroy in office development records when ordinance is no longer in effect or when administrative value ends. Local Policy: Destroy in office after_____. †	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	<b>ORGANIZATION RECORDS</b> Includes organizational charts, reorganization studies and similar records describing the arrangement and administrative structure of the agency.	a) Retain records with historical value permanently. b) Destroy in office all other copies when superseded or obsolete.	
42.	<b>PARKING FILE</b> Records concerning staff parking assignments.	Destroy in office when superseded or obsolete.	
43.	<b>PETITIONS (CITIZEN)</b> File consists of petitions signed by citizens requesting action by agency.	Destroy in office after 1 year. *	
44.	<b>PLANNING AND DEVELOPMENT FILE</b> Records concerning the formulation, planning and adoption of policies, procedures and functions of the agency and its departments.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
45.	<b>PRINTING REQUESTS</b>	Destroy in office when reference value ends.  Local Policy: Destroy in office after _____. †	
46.	<b>PROCLAMATIONS AND ORDERS</b> Proclamation and orders issued by the city/town council.	Destroy in office 1 year after recording in minutes.	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
47.	<b>PROJECTS FILE</b> Includes project correspondence, including e-mail, final reports, specifications and contract documents, notices to proceed, cost estimates, change orders, performance and payment bonds and similar documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records destroy in office 3 years after completion of project.	
48.	<b>PUBLIC HEARING RECORDS</b> Includes agendas, minutes, speaker sign up sheets and similar documentation.	a) Retain minutes permanently. b) Destroy in office remaining records when administrative value ends. Local Policy: Destroy in office after _____ . †	
49.	<b>PUBLIC RECORDS DISCLOSURE FILE</b> Formal requests submitted by persons seeking access to agency records.	Destroy in office 2 years after resolution.*	
50.	<b>PUBLICATIONS RECEIVED</b> Includes books, magazines, periodicals, pamphlets, brochures, journals and newspapers, whether printed or electronic.	Destroy in office when reference value ends. Local Policy: Destroy in office after _____ . †	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
51.	<b>RECORDS MANAGEMENT FILE</b> Includes correspondence, including e-mail, with state and/or federal agencies, records disposition documentation and copies of records retention and disposition schedules.	a) Retain records concerning the final disposition of records permanently.  b) Destroy in office remaining records when superseded or obsolete.	
52.	<b>REFERENCE (READING) FILE</b> Subject file containing informational copies of records organized by areas of interest.	Destroy in office when reference value ends.  Local Policy: Destroy in office after _____. †	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	<p><b>REPORTS AND STUDIES (INTERNAL ADMINISTRATION)</b> Records concerning the performance of a department, program, or project, as well as those created for planning purposes. May include all annual, semi-annual, or irregularly prepared reports and studies generated by an agency or prepared by consultants hired by the agency.</p>	<p>a) Retain in office 1 copy of all biennial and annual reports permanently.</p> <p>b) Retain reports and studies prepared by request of an agency's governing body or a court permanently.</p> <p>c) Destroy in office reports prepared monthly, bimonthly, or semi-annually after 3 years.</p> <p>d) Destroy in office activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis after 1 year .</p> <p>e) Destroy in office remaining reports and studies when administrative value ends. Local Policy: Destroy in office after _____ . †</p> <p><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i></p>	
54.	<p><b>REQUESTS FOR PROPOSALS</b> Proposals submitted by vendors in response to requests from departments.</p> <p>See also <b>BIDS FOR PURCHASE</b> item 9, page 20.</p>	<p>Destroy in office when administrative value ends.</p> <p>Local Policy: Destroy in office after _____ . †</p>	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
55.	<b>REQUISITIONS FILE</b> Requests for payment of parts and inventory items.	Destroy in office after 1 year.	
56.	<b>RESEARCH AND STUDIES FILE (ADMINISTRATIVE)</b> Includes feasibility studies, planning and land use studies, transportation system plans, and similar documents and supporting records with potential long-term value.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
57.	<b>RESOLUTIONS AND ORDINANCES</b> File consists of resolutions and ordinances indicating date, issues or policy involved, and appropriate signatures.  See the <b>Microfilm</b> section on page ix for instructions on microfilming .	c) Retain records with historical value permanently. a) Destroy in office remaining records when reference value ends.	
58.	<b>SURPLUS PROPERTY FILE</b>	Destroy in office 3 years after disposition of property.*	
59.	<b>TELEPHONE USAGE LOGS AND REPORTS</b>	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	
60.	<b>TRAVEL REQUESTS</b>	Destroy in office after 1 year.*	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
61.	<p><b>VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> Records concerning the maintenance, repair and inspection of county owned vehicles.</p> <p>See also <b>GRANTS</b> item 29, page 8.</p>	<p>a) Destroy in office records documenting routine inspections, janitorial cleaning and maintenance of vehicles after 1 year.</p> <p>b) Retain records documenting all other maintenance and repairs for life of vehicle.</p>	
62.	<p><b>VEHICLE REGISTRATION CARDS</b> North Carolina registration cards for vehicles in the county fleet.</p>	<p>a) Retain original in vehicle until superseded.</p> <p>b) Destroy in office copies when reference value ends.</p>	
63.	<p><b>VEHICLE USAGE RECORDS</b> Records concerning the assignment, request and usage of county vehicles. May include mileage and checkout logs, fuel consumption reports, authorizations and similar records relating to the assignment and use of county vehicles.</p>	<p>a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.*</p> <p>b) Destroy in office remaining records after 1 year.</p>	
64.	<p><b>VETERANS COMMISSION QUARTERLY REPORTS</b></p>	<p>Destroy in office after 5 years.</p>	
65.	<p><b>WORK ORDERS (EQUIPMENT REPAIR)</b> Records include date and location of work, cost of materials used and labor, type of work performed and similar information.</p>	<p>a) Destroy in office 1 year after work is completed.*</p> <p>b) If this is the only record documenting work completed, follow disposition instructions for <b>EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> item 21, page 5.</p>	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
66.	<p><b>WORK ORDERS (FACILITY REPAIR)</b> Records include date and location of work, cost of materials used and labor, type of work performed and similar information.</p>	<p>a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work completed, follow disposition instructions for <b>FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> item 24, page 6.</p>	
67.	<p><b>WORK ORDERS (VEHICLE REPAIR)</b> Records include date and location of work, cost of materials used and labor, type of work performed and similar information.</p>	<p>a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work completed, follow disposition instructions for <b>VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> item 61, page 17.</p>	

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**STANDARD-2. BUDGET, FISCAL AND PAYROLL RECORDS**

Records created and accumulated incidental to the managerial control, budgeting, disbursement, collection and accounting of the county offices.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCOUNTS PAYABLE</b> Records concerning the status of accounts in which the county owes money to firms or individuals.	Destroy in office after 3 years.*	
2.	<b>ACCOUNTS RECEIVABLE</b> Records concerning receivables owed and collected.	Destroy in office after 3 years.*	
3.	<b>ACCOUNTS UNCOLLECTABLE</b> Records of accounts deemed uncollectable; including supporting documentation and write-off authorization.	Destroy in office official/audit copies 3 years after account is paid, collected, or determined to be uncollectable.*	
4.	<b>ANNUAL BUDGET</b> Annual budget and budget message submitted to governing board for approval.	a) Retain records with historical value permanently. b) Destroy in office remaining records after 5 years.	G.S. § 159-11
5.	<b>ARBITRAGE RECORDS</b> Records concerning arbitrage rebate calculations and funds rebated.	Destroy in office 3 years after final redemption date of the bonds and all related debts and obligations have been satisfied.*	26 CFR Part 1 Section 1.148-5(d)(6)(iii)

\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Cultural Resources has scheduled with the disposition instruction "destroy when administrative/reference value ends." Please use the space provided.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p><b>AUDITS: FINANCIAL</b> Records concerning internal and external financial statements and related financial audits. Includes reports, working papers, and related records.</p> <p>See also <b>AUDITS: PERFORMANCE</b> item 6, page 2.</p>	<p>a) Retain reports permanently.</p> <p>b) Destroy in office working papers and remaining records 3 years after the date of the report.</p>	G.S. § 159-34
7.	<p><b>AUTHORIZATION FORMS</b> Authorization to purchase materials.</p>	Destroy in office after 3 years.*	
8.	<p><b>BANK STATEMENTS, CANCELED CHECKS, DEPOSIT SLIPS, RECONCILIATIONS, AND WARRANTS.</b></p>	Destroy in office after 3 years.*	
9.	<p><b>BIDS FOR PURCHASE</b> Records concerning quotes to supply products and services. May include advertisements, requests for proposals, tabulations, bid bonds, awards letters, records of bids, good faith effort documentation, and related records concerning accepted and rejected bids.</p>	<p>a) Destroy in office successful (awarded) construction (capital improvements) bid records 6 years after completion or termination of project.*</p> <p>b) Destroy in office all other successful (awarded) bid records 3 years after purchase.*</p> <p>c) Destroy in office unsuccessful bid records not awarded or opened after 1 year.*</p>	G.S. § 143 Article 8

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<b>BIDS FOR DISPOSAL OF PROPERTY</b> Records concerning the disposal of surplus property. May include various disposition procedures used, such as sealed bids and public auction.	Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*	G.S. § 153A-176
11.	<b>BILLING AND CLAIMS</b> Records used as the basis for payment of bills and claims for damages made by and against the agency.	Destroy in office 3 years after settlement.*	
12.	<b>BOND AND OTHER DEBT FINANCIAL RECORDS</b> Includes banks statements, reconciliation records, requisitions, and notices of principle and interest due.	Destroy in office 3 years after entire issuance has been satisfied.*	
13.	<b>BOND CLOSING RECORDS</b> Includes applications, agreements, tax records, contracts, official statements, legal opinions, ratings letters, public hearing bonds, title insurance, deeds of trust, and other related records.	Destroy in office 3 years after entire issuance has been satisfied.*	G.S. § 159 Article 7
14.	<b>BONDS, NOTES AND COUPONS</b>	Destroy in office 1 year from date of payment.	G.S. § 159-139
15.	<b>BOND REGISTER</b> Records of all bonds, notes, and coupons issued detailing the purpose of issuance, the date of issue, serial numbers (if any), denomination, maturity date, and total principal amount.	Retain in office permanently.	G.S § 159-130

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<b>BUDGET RESOLUTIONS AND ORDINANCES</b> Includes copies of budget, annual balanced budget, and project ordinances, resolutions, and amendments.	a) Retain official copies in the minutes of the governing board permanently.  b) Destroy in office remaining copies when administrative value ends. Local Policy: Destroy in office after _____ †	G.S § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S § 159-15
17.	<b>BUDGET REQUESTS AND WORKING PAPERS</b> Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence, including e-mail, and related records.	Destroy in office after 3 years.*	G.S. § 159-10
18.	<b>CASH RECEIPTS</b>	Destroy in office after 3 years.*	
19.	<b>CHECK STUBS</b> Stubs for checks written on agency accounts.	a) Destroy in office official/audit copies after 3 years.*  b) Destroy in office remaining records after 1 year.	
20.	<b>CHECK REGISTERS, VARIOUS FUNDS</b> Register listing for all checks written for various funds.	a) Destroy in office computerized check registers after 1 year.*  b) Destroy in office all other registers after 3 years.*	
21.	<b>CONTRACT BUDGET AND EXPENDITURE REPORTS</b> Reports concerning agency budget transactions.	Destroy in office after 3 years.*	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<b>COST ALLOCATION PLANS</b>	Destroy in office after 3 years.*	
23.	<b>CREDIT CARD USE FILE</b>	Destroy in office after 1 year.*	
24.	<b>DAILY CASH REPORTS</b> Daily status of cash. Reports include receipts, disbursements, cash and invested balances.	Destroy in office after 1 year.*	
25.	<b>DAILY DETAIL REPORTS</b>	Destroy in office after 1 year.*	
26.	<b>DAILY JOURNAL AND LEDGER ENTRY UPDATE PRINTOUTS</b> Information concerning the posting of business transactions on a daily basis.	Destroy in office after 1 year.*	
27.	<b>DEPOSITS</b>	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	G.S. § 159-32
28.	<b>DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER)</b>	a) Destroy in office annual reports after 3 years. b) Destroy in office all other reports after 1 year.	
29.	<b>DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS</b>	Destroy in office when superseded or obsolete.	
30.	<b>DISTRICT INVESTMENT RECORDS</b>	Destroy in office after 3 years.*	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	ESCHEAT AND UNCLAIMED PROPERTY FILE	Destroy in office after 10 years.	Comply with applicable provisions of G.S. §116B-60 and §116-73.
32.	EXPENDITURE REPORTS	Destroy in office after 3 years.*	
33.	FACILITY SERVICE AND MAINTENANCE AGREEMENTS  See also <b>GRANTS: FINANCIAL</b> item 35, page 24.	a) Destroy in office depreciation schedules 3 years after asset is fully depreciated or disposed.  b) Destroy in office remaining records after 3 years.*	
34.	FINANCIAL JOURNALS AND LEDGERS	a) Destroy in office year-end summaries of receipts and disbursements after 3 years.  b) Destroy in office daily, monthly or quarterly transaction detail journals and ledgers after 1 year.	
35.	<b>GRANTS: FINANCIAL</b> Records concerning approved federal, state, and private grants. May include all relevant accounting, purchasing, payroll, and financial records.  See also <b>GRANTS</b> Item 29, page 8.	Destroy in office 5 years after submission of final report.*	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	<p><b>INSURANCE FILE</b> Certificates of insurance and related records provided by insurance providers as proof of coverage.</p> <p>See also <b>BILLING AND CLAIMS</b> item 11, page 21; and <b>GRANTS: FINANCIAL</b> item 35, page 24.</p>	Destroy in office 3 years from date of termination, expiration, or settlement of all claims.*	
37.	<p><b>INVESTMENT RECORDS</b> Includes fund information, portfolio listings and reports, balance sheets, requests to invest and withdrawal, notices, and other related account activity documentation.</p>	Destroy in office after 3 years.*	G.S. § 159-30
38.	<b>INVOICES</b>	Destroy in office after 3 years.*	
39.	<b>LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS</b>	Destroy in office after 3 years.*	G.S. §159-33 and §159-33.1.
40.	<b>LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS</b>	Destroy in office after 3 years.*	
41.	<b>MONTHLY BUDGET REPORTS</b>	Destroy in office after 2 years.*	
42.	<b>PAID CHECKS, BILLS AND VOUCHERS</b>	Destroy in office after 3 years.*	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
43.	<p><b>PAYROLL DEDUCTION RECORDS</b> Records used to start, modify, or stop all voluntary or required deductions from payroll. May include bank payments, savings plans, insurance, association dues, W-4 forms, orders of garnishment, etc. Used as proof the employee approved of the deduction(s). Does not include federal tax deduction records.</p>	<p>a) Destroy in office deduction authorization forms and records when superseded or obsolete.</p> <p>b) Destroy in office remaining records after 4 years.*</p>	<p>Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.</p>
44.	<p><b>PAYROLL AND EARNINGS RECORDS</b> Records containing information such as the name, social security number, number of hours worked, compensation rate, deductions, and total wages paid each employee per payroll period. May include individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.</p>	<p>a) Transfer records documenting personnel actions to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.</p> <p>b) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification.</p> <p>c) Destroy in office all remaining records after 4 years.*</p>	<p>Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.</p> <p>FICA Reg. § 316001-1 29 CFR 516.2, 516.5 29 CFR 1627.3(a)</p>
45.	<p><b>POPULAR ANNUAL FINANCE REPORT</b></p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office copies when administrative value ends. Local Policy: Destroy in office after _____ . †</p>	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
46.	<p><b>PURCHASE ORDERS</b> Records, forms, packing slips and attached documents concerning purchased supplies, equipment, and services.</p> <p>See also <b>GRANTS: FINANCIAL</b> item 35, page 24.</p>	<p>Destroy in office after 3 years.*</p> <p><i>Retention note: Packing slips may be destroyed upon verification of items received if they are not the only record of the purchase of the item.</i></p>	
47.	<p><b>PURCHASING REPORTS AND LOGS</b> Reports and logs containing quote information such as vendor name, item descriptions, price, award dates, and related information.</p>	<p>Destroy in office after 1 year.*</p>	
48.	<p><b>RECIPIENT CHECK AND CANCELLATION REGISTERS</b></p>	<p>Destroy in office after 3 years.*</p>	
49.	<p><b>ROOM OCCUPANCY TAX REPORTS</b></p>	<p>Destroy in office after 3 years.*</p>	<p>Comply with applicable provisions of G.S. §153A-148.1 regarding confidentiality of taxpayer income/receipts.</p>
50.	<p><b>TELEPHONE LOGS (BILLINGS)</b> Log used to record telephone calls, charges, and costs.</p>	<p>Destroy in office after 1 year.*</p>	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
51.	<b>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS</b> Records concerning the work hours and attendance of employees.	a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification.  b) Destroy in office all remaining records after 5 years.*	29 CFR 516.5 29 CFR 516.6 29 CFR 825.500 29 CFR 1627.3 26 CFR 31.6001-1 26 CFR 31.6001-4
52.	<b>TRAVEL REIMBURSEMENTS</b> Includes authorizations and requests for reimbursement for travel and related expenses.  See also <b>GRANTS: FINANCIAL</b> item 35, page 24.	Destroy in office after 3 years.*	
53.	<b>VENDOR FILE</b> Records concerning specific vendors. May include accounts payable activity, Federal Tax Identification Number, name and address, correspondence, including e-mail, and related records.	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	
54.	<b>VOUCHER REGISTERS FILE</b>	Destroy in office after 3 years.*	
55.	<b>VOUCHERS</b>	Destroy in office after 3 years.*	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
56.	<b>WITHHOLDING TAX FILE</b> Records concerning individual employee's income taxes. May include wage and income tax reports, IRS forms W-2, W-3, W-4, 1099, and similar records of withheld federal and state income taxes.	a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification.  b) Destroy in office all remaining records after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.  29 CFR 1627.3 26 CFR 31.6001-1 26 CFR 31.6001-4

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**STANDARD-3. INFORMATION TECHNOLOGY (IT) RECORDS**

Information technology encompasses all activities undertaken by county departments to design, develop, and operate electronic information systems. This section covers records for which Information Technology personnel are responsible, including administrative records and those used to process data and monitor and control operations.

*Note: Administration, use, and retention of records concerning computer and information security should comply with applicable provisions of G.S. 132-6.1 on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes". (G.S. 132-6.1 (c))*

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
<b>GENERAL ADMINISTRATION</b>			
Records concerning IT policy development, planning, and the coordination of activities.			
1.	<b>ACCESS AND SECURITY POLICIES</b> Records concerning data processing policies relating to access and security.	Destroy in office 3 years after superseded or obsolete.*	
2.	<b>AGENCY INFORMATION TECHNOLOGY AND DATA PROCESSING SERVICES PLANNING</b> Records concerning planning for information systems development, technology acquisitions, data processing services provision, or related areas.	a) Retain records with historical value permanently. b) Destroy in office master copies of plans and supporting records after 3 planning cycles subsequent to completion or revision of plans. c) Destroy in office remaining records when superseded or obsolete.	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>DATA PROCESSING ADMINISTRATION FILE</b> Records concerning the administration of agency data processing services. Files include correspondence, including e-mail, memorandums, reports, publications, and other related records.	Destroy in office when superseded or obsolete.	
4.	<b>DATA PROCESSING PRODUCT/VENDOR REFERENCE FILE</b> Records concerning data processing equipment, software, and other products and their vendors.	Destroy in office when reference value ends.	
5.	<b>POLICIES AND PROCEDURES</b> Records concerning policies and procedures. May include systems development, data retention and disposition, data ownership, and access and security.	<ul style="list-style-type: none"> <li>a) Retain official copy of internal agency policies permanently.</li> <li>b) Destroy in office reference copies and external policy procedures when superseded or obsolete.</li> </ul>	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information and G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>USER CHARGE BACK FILE (IT)</b> Records concerning documentation of usage, calculation of costs, and billing of program units for IT services.	Destroy in office after 3 years. *	
<b>SYSTEMS AND APPLICATION DEVELOPMENT</b> Records concerning the development, redesign, modification, procurement, and testing of systems and applications, as well as to maintaining the documentation generated by these processes.			
7.	<b>APPLICATION DEVELOPMENT PROJECT FILE</b> Records concerning the development and modification of an automated system or application. May include project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence, including e-mail.	Destroy in office 3 years after completion of project.  <i>Retention Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long-term and secondary research value beyond the agency). Please see North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems available on Government Records Branch website.</i>	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes".

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<p><b>APPLICATION DOCUMENTATION FILE</b> Records concerning program codes, program flowcharts, program maintenance logs, system change notices, and other records that document modifications to computer programs.</p>	Destroy in office 1 year after program is superseded or obsolete. *	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”.
9.	<p><b>AUTOMATED PROGRAM LISTING SOURCE CODE FILE</b> Automated program code that generates the machine-language instructions used to operate an automated information system.</p>	Destroy in office after supersession or replacement of associated source code.*	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<p><b>DATA DOCUMENTATION FILE</b>  Records (sometimes known as metadata) concerning the development and modification of and the access, retrieval, manipulation, and interpretation of data in an automated system. May include data element dictionary, file layout, codebook or table, and other records concerning the meaning, purpose, structure, logical relationships, and origin of the data elements.</p>	<p>Destroy in office 3 years after system or application has been discontinued and after system's or application's instance data have been destroyed or transferred to a new structure or format.</p> <p><i>Retention Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long-term and secondary research value beyond the agency). Please see North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems available on Government Records Branch website.</i></p>	<p>Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes".</p>

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<p><b>DATA SYSTEMS SPECIFICATIONS FILE</b> Records concerning user and operational documentation describing how an application system operates from a functional user and data processing point of view. May include records documenting data entry, manipulation, output and retrieval records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or work flow records, system specifications, and input and output specifications.</p>	<p>Destroy in office 3 years after discontinuance of all systems and after all data created by every system instance has been destroyed or transferred to new operating environment.</p> <p><i>Retention Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long-term and secondary research value beyond the agency). Please see North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems available on Government Records Branch website.</i></p>	
12.	<p><b>PROCUREMENT (HARDWARE &amp; SOFTWARE) FILE</b> Records concerning the procurement of system hardware and software. May include request for proposals, proposals, quotations and bids, benchmark/acceptance testing information, correspondence, including e-mail, duplicate copies of contracts, purchase orders, technical reviews, and vendor information, including references and literature on the firm or product line.</p>	<p>Destroy in office contracts and related records after 3 years.*</p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<p><b>PROCUREMENT (IT SERVICES) FILE</b> Records concerning the purchasing process, authorizes and provides funds for payments, and satisfies claims by private service providers. May include purchase orders, invoice requests, receipts, agency vouchers, service reports, and other supporting documentation.</p>	Destroy in office contracts and related records after 3 years.*	
14.	<p><b>QUALITY ASSURANCE FILE</b> Records concerning the adherence of applications and systems development procedures and products to established policies, processes, architectures, deliverables, performance metrics, budgetary allocations, and deadlines. May include reviews, assessments, and supporting documentation.</p>	Destroy in office 3 years after associated source code is superseded or obsolete. *	
15.	<p><b>TECHNICAL PROGRAM DOCUMENTATION</b> Records concerning program codes, program flowcharts, program maintenance logs, system change notices, and other records that document modifications to computer programs.</p>	Destroy in office 1 year after program is superseded or obsolete.*	
16.	<p><b>TEST DATABASE FILE</b> Records concerning benchmark data sets, test results constructed or used to test or develop a system, and other related documentation.</p>	<p>Destroy in office when reference value ends. *</p> <p>Local Policy: Destroy in office after _____ . †</p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<p><b>TRAINING COURSE INFORMATION FILE</b> Records concerning training courses run by a data processing user support or office automation support unit. File includes memorandums, flyers, catalogues, registration forms, rosters, and other related records.</p>	Destroy in office when superseded or obsolete.	
<p><b>COMPUTER OPERATIONS AND TECHNICAL SUPPORT</b> Records concerning operating systems, maintaining hardware and software, data input services, system backup off-line storage operations, job and production control, monitoring system usage, and liaison with hardware and software vendors.</p>			
18.	<p><b>AUTOMATED OFF-LINE STORAGE LIBRARY SYSTEM FILE .</b> Automated records used to control the location, maintenance, and disposition of off-line storage media such as tapes) in a media library.</p>	Destroy in office after related records or media are destroyed or withdrawn from the media library.	
19.	<p><b>AUDIT TRAILS FILE</b> Records documenting user actions affecting the contents of monitored systems.</p>	Destroy in office after 3 years. *	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	<p><b>COMPUTER RUN SCHEDULING</b> Records concerning the scheduling of computer runs. May include daily schedules, run reports, run requests, and other records documenting the successful completion of a run.</p>	<p>Destroy in office when administrative value ends. *</p> <p>Local Policy: Destroy in office after _____ . †</p>	
21.	<p><b>COMPUTER SECURITY FILE</b> Records concerning routine monitoring of the state’s information technology systems, telecommunications networks, web sites and electronic security systems, including associated software and hardware.</p>	<p>Destroy in office when administrative value ends.*</p> <p>Local Policy: Destroy in office after _____ . †</p>	
22.	<p><b>COMPUTER SECURITY INCIDENT REPORT FILE</b> Records associated with cyber incidents involving unauthorized attempted entry, probes and/or attacks on agency information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. File includes formal reports, logs, extracts and compilations of data, and other related records.</p>	<p>Destroy in office finalized cyber incident reports after 5 years.*</p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	<p><b>COMPUTER USAGE FILE</b> Electronic files or automated logs created to monitor computer system usage including log-in files, system usage files, charge-back files, data entry logs, data concerning individual computer program usage, security logs, and other related records.</p>	Destroy in office when administrative value ends	
24.	<p><b>HARDWARE DOCUMENTATION</b> Records concerning the use, operation, and maintenance of an agency's IT equipment. May include operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.</p>	Destroy in office when superseded or obsolete and after transfer of data to new hardware environment.	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes".
25.	<p><b>INPUT/SOURCE RECORDS</b> Records or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled in any agency records schedule.</p>	<p>Destroy in office after completion of data entry and after all verification and quality control procedures.</p> <p><i>Retention Note: Records retained for fiscal audit or legal purposes, or records that include information not entered into the data file, need to be scheduled separately by the responsible program unit.</i></p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<b>IT MAINTENANCE CONTRACTS</b> Reference copies of maintenance contracts and related records for data processing equipment. May include copies of contracts, service histories, and work orders.	Destroy in office after administrative value ends.  Local Policy: Destroy in office after _____. †	
27.	<b>OFF-LINE STORAGE LIBRARY CONTROL RECORDS</b> Records (automated or non-automated) concerning control of the location, maintenance, and disposition of off-line storage media. May include lists of holdings, control logs, and scratch reports (file destruction reports).	a) Retain destruction records permanently unless transferred to <b>RECORDS MANAGEMENT FILE</b> item 51, page 14.  b) Destroy in office all other records after 3 years.*	
28.	<b>SYSTEM AND HARDWARE CONVERSION PLANS</b> Records concerning the replacement of equipment or computer systems.	Destroy in office 1 year after completion of conversion.	
29.	<b>SCANNING AND DATA ENTRY AUDIT REPORTS</b> Reports documenting the sampling of records produced and what remedial procedures were followed if the expected level of accuracy was not achieved.	Destroy in office after 3 years.*	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<b>SCANNING AND DATA ENTRY QUALITY CONTROL RECORDS</b> Logs and reports documenting quality control procedures and corrective action taken in scanning and data entry processes.	Destroy in office after 3 years.*	
<b>DATA ADMINISTRATION</b> Records concerning data administration support. May include maintenance of data standards, corporate data models, and data definitions and dictionaries.			

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	<p><b>DATA/DATABASE DICTIONARY</b> Records concerning the management of data in an agency's information systems and that explain the meaning, purpose, logical relationships, ownership, use, and origin of data. May include information on data element definitions, data structures or file layout, code tables, and other data attribute information.</p>	<p>Destroy in office 3 years after discontinuance or modification of the related application and after application data has been destroyed or transferred to new structure or format.</p> <p><i>Please Note: These records are essential for managing electronic records in agency automated information systems and have value as long as the data/electronic records are retained. In some cases, agencies will retain data for extended periods of time, sometimes off-line. In such cases, it is essential that related documentation be retained in an accessible format and that it be listed in a program records retention and disposition schedule.</i></p>	
32.	<p><b>DATA/DATABASE DICTIONARY REPORTS</b> Periodic printouts from a data/database dictionary system. May include data element attribute reports, database schema, and related records used for reference purposes.</p>	<p>Destroy in office when superseded or obsolete.</p>	
33.	<p><b>FINDING AIDS (INDEXES)/TRACKING SYSTEMS FILE</b> Includes electronic indexes, lists, registers, and other finding aids providing access to records in paper and electronic format in the custody of the data processing unit.</p>	<p>Destroy in office when related paper or electronic records have been destroyed or transferred in accordance with the disposition of the related paper or electronic records, as appropriate.</p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
<b>USER/OFFICE AUTOMATION SUPPORT</b> Records concerning the support to users of a computer application or office automation system. May include assisting users to solve software and hardware problems, installing hardware or software, providing training, and providing review and recommendation of software for agency use.			
34.	<b>HARDWARE AND SOFTWARE REVIEW</b> Records concerning the review of and recommendations for hardware and software use. May include vendor information, manuals, hardware and software reviews, and other related records.	a) Destroy in office review materials after selected hardware or software is no longer in use.  b) Destroy in office review material for non-selected hardware or software after reference value ends.	
35.	<b>HELP DESK TELEPHONE LOGS AND REPORTS</b> Records concerning requests for technical assistance and responses to these requests as well as the collection of information on the use of computer equipment for program delivery, security, or other purposes.	Destroy in office after 2 years. *	
36.	<b>SITE, EQUIPMENT, AND SOFTWARE SUPPORT FILE</b> Records concerning support services provided to specific equipment and software or installations. May include site visit reports, program and equipment service reports, service histories, and correspondence, including e-mail, and memoranda.	a) Destroy in office service histories and other summary records when equipment or software is no longer in use.  b) Destroy in office remaining records after 3 years.	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	<b>TRAINING COURSE INFORMATION (IT)</b> Records concerning training courses run by a user support or office automation support group. May include memoranda, flyers, catalogues, registration forms, rosters, and other related records.	Destroy in office when superseded or obsolete.	
<b>NETWORK AND DATA COMMUNICATION SERVICES</b> Records concerning installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and communicating with network providers.			
38.	<b>INTERNET SERVICES LOGS .</b> Electronic files or automated logs created to monitor access and use of agency services provided via the Internet and use of the internet by employees. May include services provided via FTP (file transfer protocol). World Wide Web site, via agency Telnet services, or other service providers.	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	
39.	<b>CIRCUITS (IT) INVENTORIES FILE</b> Records concerning network circuits used by the agency. May include circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other related records.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40.	<p><b>NETWORK AND CIRCUIT INSTALLATION AND SERVICE FILE</b> Records concerning requests by departments to public or private providers for data communication service, installation, or repair. May include work orders, correspondence, including e-mail, memoranda, work schedules, copies of building or circuitry diagrams, copies of fiscal documents, and other related records.</p>	Destroy in office 2 years after completion of work. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
41.	<p><b>NETWORK IMPLEMENTATION PROJECT FILE</b> Records concerning the planning for and implementation of a network. May include reports, justifications, working diagrams of proposed network, wiring schematics, diagrams and other related records.</p>	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
42.	<p><b>NETWORK SITE AND EQUIPMENT SUPPORT FILE</b> Records concerning support services provided to specific sites and computer to computer interfaces on a network. May include site visit reports, trouble reports, service histories, and correspondence and memoranda, including e-mail.</p>	<p>a) Destroy in office service histories and other summary records when equipment is no longer in use.</p> <p>b) Destroy in office remaining records after 3 years.</p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
<b>COMPUTER AND INFORMATION SECURITY</b> Records concerning measures taken to secure government property, networks, and data.  <i>Note: Administration, use, and retention of records concerning computer and information security should comply with applicable provisions of G.S. 132-6.1 on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes". (G.S. 132-6.1 (c))</i>			
43.	<b>AGENCY INTERNET SERVICES LOGS</b> Electronic files or automated logs created to monitor access and use of services provided via the Internet and use of the internet by employees. May include FTP (file transfer protocol), World Wide Web sites, agency Telnet services, or other service providers.	Destroy in office after 1 year. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
44.	<b>COMPUTER USAGE FILE</b> Electronic files or automated logs created to monitor computer system usage. May include login files, system usage files, data entry logs, data concerning individual computer program usage, security logs, and other related records.	Destroy in office after 3 years. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	<b>COMPUTER SECURITY INCIDENT FILE</b> Records concerning incidents involving unauthorized attempted entry, probes and/or attacks on electronic data processing systems, information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. May include reports, logs, extracts and compilations of data, and other related records.	Destroy in office when administrative value ends. *  Local Policy: Destroy in office after _____. †	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
46.	<b>DISASTER PREPAREDNESS AND RECOVERY PLANS (IT)</b> Records concerning the protection and reestablishment of data processing services and equipment in case of a disaster. (Disaster preparedness and recovery plans should be stored in secure, off-site location.)	a) Retain records documenting past disaster recovery permanently.  b) Destroy in office when superseded or obsolete.	
47.	<b>NETWORK USAGE FILE</b> Electronic files or automated logs created to monitor network usage. May include login files, system usage files, and other related records.	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	
48.	<b>NETWORK USAGE REPORTS</b> Summary reports and other related records created to document computer usage for reporting or other purposes.	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
49.	<p><b>SYSTEM BACKUP FILE</b> Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction. (System backup files and records should be stored in secure, off-site location.)</p>	<p>Destroy in office in accordance with your office's established, regular backup plan and procedures.</p> <p><i>See Also: Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files, available on Government Records Branch website.</i></p>	<p>Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.</p>
50.	<p><b>SYSTEM USERS ACCESS RECORDS</b> Records concerning control or monitoring individual access to a system and its data.</p>	<p>Destroy in office 1 year after access for employee is withdrawn.*</p>	<p>Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.</p>

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**STANDARD-4. LEGAL RECORDS**

Official law and legal documentation created or accumulated to substantiate the rights, obligations, or interests of county departments or their individual employees or clients.

ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p><b>AFFIDAVITS OF PUBLICATION</b> Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales etc.</p> <p>See also <b>NOTICES OF PUBLIC MEETINGS</b> item 38, page 11.</p>	<p>a) Retain permanently if record provides only evidence of action(s) taken.</p> <p>b) Destroy in office remaining records after 3 years.*</p>	G.S. § 1 Article 50
2.	<p><b>COMPLAINTS (DISCRIMINATION)</b> Records concerning discrimination charges. May include charges made under the Age Discrimination in Employment Act, Americans with Disability Act, Housing and Urban Development Act, and the Civil Rights Act of 1964.</p>	Destroy in office 2 years after final disposition of the charge.*	

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p><b>CONTRACTS AND AGREEMENTS</b> Contracts and agreements for construction, equipment, supplies, services, special programs, and projects. May include franchise agreements, hold harmless agreements, good faith effort documentation and memorandums of understanding.</p>	<p>a) Destroy in office construction (capital improvements) contracts 6 years after completion or termination of project.*</p> <p>b) Destroy in office all other contracts and agreements 3 years after expiration, termination, or completion.*</p> <p>c) Retain contracts and agreements with historical value permanently.</p>	
4.	<p><b>CORRESPONDENCE (LEGAL)</b> Correspondence, including e-mail, and related records concerning actions taken to recover debts, fines, penalties, and assure violations are addressed.</p>	<p>Destroy in office 5 years after resolution.*</p> <p>See also <b>Public Records with Short Term Value</b> page xiii. For information on handling electronic mail, see <b>Electronic Records</b> section page viii.</p>	<p>Comply with provisions of G.S. § 132-1.1(a) regarding the confidentiality of written communications by legal counsel.</p>
5.	<p><b>CRIMINAL JUSTICE PARTNERSHIP PROGRAM RECORDS</b> Includes client case files and related records pertaining to Day Reporting Centers, Pre-Trial Release Programs, and all other Criminal Justice Partnership Program initiatives.</p>	<p>Destroy in office 5 years from date of service termination.</p>	<p>Title 42 CFR and G.S. § 122C-51 through 56</p>

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p><b>INSURANCE POLICIES</b> Records concerning purchased accident, sickness, automobile, theft, fire, life, and all other insurance policies purchased by the county.</p>	<p>a) Destroy in office when superseded or obsolete if no outstanding litigation.*</p> <p>b) Destroy other records in office 6 years after settlement.</p> <p>c) Destroy in office copies when administrative value ends. Local Policy: Destroy in office after_____. †</p>	
7.	<p><b>LEASES FILE</b> Records concerning leases for property leased by and from other parties and agency property leased to the public.</p> <p>See also <b>GRANTS</b> item 29, page 8.</p>	<p>a) Destroy original records 3 years after termination of lease.*</p> <p>b) Destroy copies in office when administrative value ends. Local Policy: Destroy in office after_____. †</p>	
8.	<p><b>LEGAL OPINIONS</b> Formal legal opinions written by counsel in response to requests concerning the governance and administration of local government.</p>	<p>a) Retain original records permanently.</p> <p>b) Destroy copies in office when administrative value ends. Local Policy: Destroy in office after_____. †</p>	

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p><b>LEGAL REVIEW RECORDS</b> Includes legal reviews of bylaws and charges to boards and commissions, conflict of interest, and all other departmental matters as requested.</p> <p>See also <b>LEGAL OPINIONS</b> item 8, page 51.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends or expiration of relevant statute of limitations.</p>	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.
10.	<p><b>LITIGATION CASE RECORDS</b> Civil suits to which the county is a party. May include affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.</p>	<p>a) Retain cases having precedent or historical value permanently.</p> <p>b) Destroy in office adjudicated cases 5 years after final disposition.</p> <p>c) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations.</p> <p><i>Retention Note: Records are retained by the Clerk of Superior Court's office in each county.</i></p>	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>OATHS OF OFFICE FILE</b>	a) Transfer official copy to the Clerk to the Board. b) Destroy remaining records in office 3 years after official termination.  <i>Retention Note: The Clerk to the Board should present a copy of the oaths of elected officials to the Clerk of Superior Court for recording. The Clerk to the Board maintains the original oaths.</i>	
12.	<b>ORDINANCE AND RESOLUTION DEVELOPMENT RECORDS</b> Records concerning the analysis and development of ordinances and resolutions submitted before the governing board for approval.	Destroy in office development records when ordinance is no longer in effect.	
13.	<b>OWNERSHIP RECORDS (DEEDS, TITLES)</b>	Destroy in office 1 year after the Board of Elections relinquishes ownership of land.*	
14.	<b>PRE-TRIAL RELEASE PROGRAM RECORDS</b>	Destroy in office 5 years from date of service termination.	
15.	<b>VEHICLE TITLES</b> Titles of agency owned vehicles.	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	
16.	<b>WARRANTIES</b> Warranties that accompany equipment or commodities purchased by the agency.	Destroy in office 1 year after expiration of warranty.	

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**STANDARD-5. PERSONNEL RECORDS**

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of county employees. Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABOLISHED POSITION FILE	Destroy in office when reference value ends. Local Policy: Destroy in office after _____. †	
2.	ADDRESS FILE	Destroy in office when superseded or obsolete.	
3.	ADS AND NOTICES OF OVERTIME, PROMOTION, AND TRAINING OPPORTUNITIES	Destroy in office 1 year from date record was made.	29 CFR 1627.3
4.	AFFIRMATIVE ACTION FILE	a) Destroy in office all reports, analyses, and statistical data after 5 years.  b) Destroy in office affirmative action plans 5 years from date superseded.	29 CFR 30.8(b) 29 CFR 1608.4
5.	APPRENTICESHIP PROGRAM RECORDS	Destroy in office 5 years from the date of enrollment.	29 CFR 30.8(e)

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p><b>APTITUDE AND SKILLS TESTING RECORDS</b> Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. May include civil service examinations.</p> <p>See also <b>EMPLOYMENT SELECTION RECORDS</b> item 33, page 64.</p>	<p>a) Destroy in office applicant and employee test papers 2 years from date record was created.</p> <p>b) Destroy in office validation studies and copies of tests 2 years after no longer in use.</p> <p>c) Destroy in office records relating to the planning and administration of tests in office after 2 years.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49</p>
7.	<p><b>CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS</b> Records concerning incentive systems in which employees can select the fringe benefits they want from a menu of available alternatives.</p>	<p>a) Destroy in office administrative records 3 years after completion of all audits.*</p> <p>b) Destroy in office yearly enrollment records after 1 year.</p> <p>c) Destroy in office claim records and receipts 3 years after completion of all audits.*</p>	
8.	<p><b>COBRA RECORDS (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT)</b> Includes notifications, election and claim forms, rejection letters and similar information.</p>	<p>Destroy in office 3 years from date eligibility ended.</p>	<p>29 USC 1161 26 USC 4980B 42 USC 300-bb-1</p>
9.	<p><b>DEFERRED COMPENSATION FILE</b></p>	<p>Destroy in office when reference value ends. Local Policy: Destroy in office after_____. †</p>	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<b>DISABILITY SALARY CONTINUATION CLAIMS</b> Forms used by disabled employees to apply for salary continuation benefits.	a) Transfer original forms to Local Government Retirement System for action when received.  b) Destroy in office reference copies after 1 year.	
11.	<b>DISCIPLINARY FILE</b> Correspondence, including e-mail, and other records concerning disciplinary action taken against employees by personnel or supervisory staff, including records documenting terminations. May include records created by civil service boards when considering, or reconsidering an appeal or an adverse action against an employee.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.  b) Destroy in office all remaining records 2 years after resolution of all actions.	29 CFR 1602.14 29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<p><b>DRUG AND ALCOHOL PROGRAMS FILE</b> Records concerning an agency's alcohol misuse and controlled substances use prevention programs. May include test results, evaluations and referrals, annual summary reports, education and training records, chain of custody forms and all other program-related documents.</p>	<p>a) Destroy in office alcohol test results indicating an alcohol concentration of 0.02 or greater, records of verified positive drug or alcohol test results, documentation of refusals to take required alcohol and/or drug tests (including substituted or adulterated drug test results), referrals to Substance Abuse Professionals (SAP), SAP reports, all follow-up tests and schedules for follow-up tests, copies of annual Drug &amp; Alcohol Management Information System (MIS) reports submitted to Federal Transit Administration (FTA), equipment calibrations, and records related to the administration of the testing program after 5 years.</p> <p>b) Destroy in office records obtained from previous employers concerning drug and alcohol test results after 3 years.</p> <p>c) Destroy in office records of the inspection, maintenance, and calibration of Evidential Breath Testing Devices (EBTs), records related to the collection process, and records concerning the training of program staff after 3 years.</p> <p>d) Destroy in office records of negative and cancelled drug or alcohol test results, including alcohol test results with a concentration of less than 0.02 after 1 year.</p> <p><i>Retention Note: Records should be maintained in a location with controlled access.</i></p>	<p>49 CFR 382.401 49 CFR 40.333 49 CFR 655.71</p>

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<p><b>DUAL EMPLOYMENT FILE</b> Records concerning employees' requests and authorizations to accept secondary employment.</p>	<p>a) Destroy in office approved requests and related records 1 year after employee terminates outside employment.</p> <p>b) Destroy in office unapproved requests and related records after 6 months.</p>	
14.	<p><b>EDUCATIONAL LEAVE AND REIMBURSEMENT FILE</b></p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.</p> <p>b) Destroy in office other records concerning approved requests when released from all audits.</p> <p>c) Destroy in office records concerning disapproved requests 6 months after disapproval.*</p>	
15.	<p><b>EMPLOYEE BENEFITS REGISTER</b></p>	<p>Destroy in office after 2 years.</p>	
16.	<p><b>EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS</b> Records concerning certification or qualification as required for employment, continued employment, or promotion.</p> <p>See also <b>EMPLOYMENT APPLICATIONS AND RESUMES</b> item 31, page 63.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.</p> <p>b) Destroy in office all remaining records 2 years after resolution of all actions.</p>	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES</b> Includes records listing employees, their job titles, work locations, phone numbers, e-mail addresses, and similar information.	Destroy in office when superseded or obsolete.	
18.	<b>EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS</b> Includes records requesting tuition assistance, repayments, and other related records.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67. b) Destroy in office other records 3 years after completion, denial, repayment, and removal from program.*	
19.	<b>EMPLOYEE ELIGIBILITY RECORDS</b> Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification (I-9) forms.	a) Destroy in office certificates, I-9 forms and statements, 3 years after individual was hired or 1 year from date of separation. b) Destroy in office registers after 2 years.	8 USC 1324(b)
20.	<b>EMPLOYEE EXIT INTERVIEW RECORDS</b>	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67. b) Destroy in office all remaining records after 1 year.	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	<b>EMPLOYEE HEALTH CERTIFICATES</b> Includes health or physical examination reports or certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA).	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.  b) Destroy all other records in office 2 years after resolution of all actions.	29 CFR 1602.31
22.	<b>EMPLOYEE MEDICAL RECORDS</b> Records concerning asbestos, toxic substances, and blood-borne pathogen exposure, medical examinations required by state or federal law, and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.)	a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*  b) Destroy in office records pertaining to job-related illness and injury after 5 years.  c) Destroy in office results of medical examinations required in connection with personnel actions and similar records after 1 year.  <i>Retention Note: Records must be maintained separately from an employee's personnel jacket.</i>	29 CFR 1627.3 29 CFR 1630.14 29 CFR 1904.4 29 CFR 1910
23.	<b>EMPLOYEE PENSION AND BENEFITS PLANS</b> Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance, seniority and merit systems; and deferred compensation plans, including amendments.	Destroy in office 1 year after plan is terminated.	29 CFR 1627.3

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<p><b>EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS</b> Forms providing personal identifying data, beneficiary information, option selection, and similar information.</p>	<p>a) Transfer pension and deferred compensation enrollment forms to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.</p> <p>b) Destroy life, health, and disability insurance enrollment forms 4 years after termination of coverage.</p>	
25.	<p><b>EMPLOYEE PERFORMANCE REVIEW FILE</b> Information used to establish employees goals and primary tasks. Records used to evaluate each employees work performance.</p>	<p>a) Destroy in office supervisor approved and signed work plans after 3 years.</p> <p>b) Destroy in office remaining records when administrative value ends.</p>	
26.	<p><b>EMPLOYEE POLYGRAPH RECORDS</b> Includes statements informing employee of the time, place and reasons for the test. Copy of notice sent to examiner identifying employee to be tested. Copies of opinions, reports, or similar records generated by the examiner and provided to the agency.</p>	<p>Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.</p>	29 CFR 801.30
27.	<p><b>EMPLOYEE SECURITY RECORDS</b> Records concerning the issuance of keys, identification cards, pass, parking permits, etc., to employees.</p>	<p>Destroy in office when administrative value ends. Local Policy: Destroy in office after_____.</p>	†

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
28.	<b>EMPLOYEE SUGGESTIONS</b>	Destroy in office when administrative value ends. Local Policy: Destroy in office after_____. †	
29.	<b>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS</b> Includes employee-specific records (certificates, transcripts, test scores, etc.) and non-employee-specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.	<p>a) Transfer employee-specific records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67 if such training and testing is required for the position held or could affect career advancement.</p> <p>b) Destroy in office non-employee-specific records 1 year from date record was created.</p> <p>c) Destroy in office remaining records when administrative value ends. Local Policy: Destroy in office after_____. †</p>	29 CFR 1627.3
30.	<b>EMPLOYEE WORKS SCHEDULES AND ASSIGNMENT RECORDS</b> Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office when administrative value ends. Local Policy: Destroy in office after_____. †	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	<p><b>EMPLOYMENT APPLICATIONS AND RESUMES</b> Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. May include applications, transcripts, resumes, letter of reference and similar records.</p>	<p>a) Transfer application, resumes, transcripts and similar records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.</p> <p>b) Destroy in office all remaining records concerning individuals hired 2 years from date record was created, received, or the personnel action involved.</p> <p>c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.*</p> <p>d) Destroy in office unsolicited applications/resumes, and those received after posted closing dates in office 2 years after receipt.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49</p>
32.	<p><b>EMPLOYMENT LISTINGS, ADVERTISEMENTS AND ANNOUNCEMENTS</b></p>	<p>Destroy in office after 2 years.</p>	<p>29 CFR 1602</p>

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33.	<p><b>EMPLOYMENT SELECTION RECORDS</b> Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. May include interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, health or physical examinations, and similar records.</p> <p>See also <b>APTITUDE AND SKILLS TESTING RECORDS</b> item 6, page 55.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.</p> <p>b) Destroy in office all remaining records in office 2 years after resolution of all actions.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3</p>
34.	<p><b>EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS</b> Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the county.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.</p> <p>b) Destroy in office all remaining records 2 years after resolution of case.*</p>	<p>29 CFR 1602.31</p>
35.	<p><b>EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS AND REPORTS</b> Reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provisions of Title VII and the Americans with Disabilities Act (ADA). May include compiled documentation used to complete EEO reports.</p>	<p>Destroy in office after 3 years.</p>	<p>29 CFR 1602</p>

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	<b>EQUAL PAY RECORDS</b> Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.	Destroy in office after 2 years.	29 CFR 1620.32
37.	<b>FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS</b> Records concerning leave taken, premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over FMLA and other related records.	Destroy in office 3 years after leave ends.*	29 CFR 825.500(b)
38.	<b>FRINGE BENEFITS FILE</b>	Destroy in office when reference value ends. Local Policy: Destroy in office after _____. †	
39.	<b>GRIEVANCE FILE</b> Includes initial complaint, investigations, actions, summary, and disposition. May include disciplinary correspondence.  See also <b>DISCIPLINARY FILE</b> item 11, page 56.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.  b) Destroy in office all remaining records after 2 years.	
40.	<b>HEALTH INSURANCE FILE</b> Completed claim forms and other records concerning employees covered by health plans.	Destroy in office after 2 years.*	
41.	<b>INCREMENTS FILE</b>	Destroy in office when released from all audits.	

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	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42.	<b>INTERNSHIP PROGRAM FILE</b>	Destroy in office after 3 years.	
43.	<b>LEAVE FILE</b> Records concerning employee leave including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, military, etc.	a) Destroy in office records concerning military service leave 5 years after returning for active duty.* b) Destroy in office records concerning non-military service leave after 5 years.*	5 CFR 1208  29 CFR 825.500(b)
44.	<b>LEAVE WITHOUT PAY FILE</b>	Destroy in office 5 years after return of employee or termination of employment.	
45.	<b>LONGEVITY PAY REQUESTS</b>	Destroy in office when released from all audits.	
46.	<b>MERIT AND SENIORITY SYSTEM RECORDS</b>	a) Destroy in office employee-specific records after 3 years. b) Destroy in office system and plan records 1 year after no longer in effect.	29 CFR 1627.3
47.	<b>PERSONNEL ACTION NOTICES</b> Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, position or job title, name change and leave.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67. b) Destroy in office all remaining records 2 years from date record was created, received, or the personnel action involved.	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
48.	<p><b>PERSONNEL RECORDS (OFFICIAL COPY)</b> Official copy of personnel file maintained on each agency employee. May include basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.</p> <p>See also <b>EMPLOYEE MEDICAL RECORDS</b> item 22, page 60.</p>	Destroy in office 30 years from date of separation.	G.S. § 160A-168 (Municipal Employees) G.S. § 153A-98 (County Employees)
49.	<p><b>PERSONNEL RECORDS (REFERENCE COPY)</b> Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.</p> <p>b) Destroy in office remaining records when administrative value ends.</p>	
50.	<p><b>POLICIES AND PROCEDURES (PERSONNEL)</b></p>	<p>c) Retain official copy of internal agency personnel policies permanently.</p> <p>d) Destroy in office reference copies and external policy procedures when superseded or obsolete.</p>	
51.	<p><b>POSITION CLASSIFICATION/POSITION HISTORY FILE</b></p> <p>See also <b>POSITION DESCRIPTION RECORDS</b> item 53, page 68.</p>	<p>a) Destroy in office when superseded or obsolete.</p> <p>b) Retain records with historical value permanently.</p>	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
52.	<b>POSITION CONTROL CARDS</b>	Destroy in office when reference value ends.  Local Policy: Destroy in office after _____. †	
53.	<b>POSITION DESCRIPTION RECORDS</b> Includes information on job title, grade, duties, agency assigned, duties and responsibilities.	Destroy in office 2 years from the date of record.	29 CFR 1620.32
54.	<b>POSITION REQUISITION AND ANALYSIS RECORDS</b> Records used to fill vacant positions and request new positions.	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	
55.	<b>SALARY SURVEY RECORDS</b>	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	
56.	<b>SERVICE AWARDS AND COMMENDATIONS</b> Includes award and selection committee reports, nominations, selection criteria, and similar employee recognition or incentive programs administrative records.	a) Transfer employee-specific records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.  b) Destroy in office all remaining records 2 years from date record was created, received, or the personnel action involved.	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
57.	<b>TEMPORARY EMPLOYEE RECORDS</b> Records concerning temporary employees who were not provided or eligible for benefits. Does not include personnel records created for specific federal programs.	a) If employee is employed by county, transfer applicable records to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 67.  b) If the employee is a temporary service company employee, destroy in office 3 years from date of separation.	
58.	<b>UNEMPLOYMENT COMPENSATION CLAIMS</b> Claim form and other related records concerning unemployment compensation cases.	Destroy in office after 3 years.*	
59.	<b>UNEMPLOYMENT COMPENSATION REPORTS</b> Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with Employment Security Commission.	Destroy in office after 3 years.*	
60.	<b>UNEMPLOYMENT INSURANCE FILE</b>	a) Transfer original records to the N.C. Department of Commerce, Unemployment Insurance Division, when received.  b) Destroy in office remaining records after 2 years.	

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	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
61.	<b>VOLUNTEER RECORDS</b> Records concerning individuals who volunteered to assist with various agency activities and/or serve on boards.	Destroy in office 3 years from date of last inquiry or entry.	
62.	<b>WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE</b> Includes program policies, guidelines, and related administrative documentation.	a) Retain records with historical value permanently. b) Destroy in office when administrative value ends. Local Policy: Destroy in office after _____ †	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
63.	<p><b>WORKERS' COMPENSATION PROGRAM CLAIMS FILE</b>  Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. May include Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, reference copies of medical invoices, and other related records. Also includes reference copies. (Records concerning claims filed for injuries that occurred prior to July 5, 1994 are considered permanent records in compliance with <i>Hylar v. GTE Prods. Co.</i>, 333 N. C. 258 S.E.2d 698 (1993).)</p>	<p>a) Retain in office permanently records concerning claims filed for injuries that occurred prior to July 5, 1994. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with county personnel policy. Retain in office permanently records concerning claims filed for injuries that occurred on or after July 5, 1994, for which the Industrial Commission form "Employee's Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. §97-25.1" (Form 18M) has been filed. Destroy remaining records in office 5 years after closing, in accordance with G.S. §97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated.*</p> <p>b) If official action has been initiated, transfer to <b>LITIGATION CASE RECORDS</b> item 10, page 52.</p>	<p>Comply with applicable provisions of G.S. § 8-53 regarding the confidentiality of physician-patient records.</p>

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**STANDARD-6. PUBLIC RELATIONS RECORDS**

Official records and materials created and accumulated by internal public information programs operated by county administrative offices.

ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ADVERTISEMENTS</b> Includes advertisements of special events and services concerning the agency which appear in newspapers, journals, newsletters etc.	a) Destroy the advertisements in office 3 years after expiration.*  b) Destroy in office billing information and other fiscal records when released from all audits.  c) Retain record with historical value permanently.  d) Destroy remaining records in office when reference value ends, but within 5 years. Local Policy: Destroy in office after _____. †	
2.	<b>AGENCY PUBLICATIONS</b> Publications created at agency expense.	a) Retain records with historical value permanently.  b) Destroy remaining copies in office when administrative value ends. Local Policy: Destroy in office after _____. †	

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ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>AUDIO RECORDINGS (PUBLIC RELATIONS)</b> Audio recordings produced by agency. This does not include audio recordings of public meetings.	a) Retain records with historical value permanently.  b) Destroy remaining records in office when administrative value ends. Local Policy: Destroy in office after_____. †	
4.	<b>BIOGRAPHICAL DATA</b> Biographical sketches, news releases, news clippings, and photographs of various agency officials.	a) Retain records with historical value permanently.  b) Destroy in office remaining records when reference value ends. Local Policy: Destroy in office after_____. †	
5.	<b>FILMS FILE</b> Films produced by agency for public or departmental use.	a) Retain records with historical value permanently.  b) Destroy in office remaining films when administrative value ends. Local Policy: Destroy in office after_____. †	
6.	<b>NEWS CLIPPINGS</b> Clippings from newspapers concerning the agency or agency employees.	a) Retain records with historical value permanently.  b) Destroy in office remaining items when reference value ends. Local Policy: Destroy in office after_____. †	

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ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<b>NEWS AND PRESS RELEASES</b> News and press releases issued concerning programs, activities, and services of the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends. Local Policy: Destroy in office after_____. †	
8.	<b>PHOTOGRAPHS</b> Photographs (including digital) and negatives used in publicizing programs, services, and other related agency matters.	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends. Local Policy: Destroy in office after_____. †	
9.	<b>PUBLIC RELATIONS FILE</b> Records concerning overall public relations of county administrative offices. May include procedures, correspondence, including e-mail, and other related records.	Destroy in office after 5 years.	
10.	<b>SLIDES</b> Slides (including digital) produced by public relations offices concerning programs, services, and other related agency matters.	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends. Local Policy: Destroy in office after_____. †	

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ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>SPEECHES</b> Speeches made by agency officials.	a) Retain records with historical value permanently.  b) Destroy in office remaining items when administrative value ends. Local Policy: Destroy in office after _____. †	
12.	<b>VIDEO RECORDINGS</b> Video recordings (including digital) produced by the agency.	a) Retain records with historical value permanently.  b) Destroy in office remaining items when administrative value ends. Local Policy: Destroy in office after _____. †	
13.	<b>VISUAL AIDS</b>	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	
14.	<b>WEBSITE (ELECTRONIC) FILE</b> Electronic records concerning the administration and maintenance of the agency's Website. (A network administrator or information systems office may maintain electronic files.)	a) Retain records with historical value permanently. Can be maintained in electronic or paper form.  b) Erase/destroy in office when superseded or obsolete.	

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**STANDARD-7. PROGRAM OPERATIONAL RECORDS: CANDIDACY, CAMPAIGN FINANCE, AND PETITIONS RECORDS**

Records created and received by county boards of elections and used in connection with conducting local, state, and federal elections.

ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS: CANDIDACY AND CAMPAIGN FINANCE RECORDS AND PETITIONS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p><b>CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORTS</b> Includes all reports, statements, and other documents filed with county boards of elections per Article 22A Regulating Contributions and Expenditures in Political Campaigns.</p>	<p>Destroy in office remaining records 3 years after the close of a committee, unless it is a candidate committee and the candidate continues to hold elected office. In those cases destroy candidate committee records 3 years after the candidate has left elected office and has closed all his candidate committees.</p>	G.S. § 163-278.40
2.	<p><b>CANDIDACY RECORDS</b> Includes applications, pledges and notices, filing fee records, withdrawals, certification of registration and party affiliation, and all other related documentation.</p>	<p>Retain for election cycle plus term of office.</p>	G.S. § 163 Articles 10 and 11
3.	<p><b>CANDIDATES LISTS</b> Records listing all candidates and offices sought.</p>	<p>Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____ . †</p>	
4.	<p><b>PETITIONS AND CERTIFICATIONS FOR NEW PARTY (COPIES)</b></p>	<p>Destroy in office 1 year after submission of petition for certification of names.</p>	G.S. § 163-96
5.	<p><b>PETITIONS FOR ELECTIONS AND REFERENDA</b></p>	<p>Destroy in office 1 year from date of registration.</p>	G.S. § 163 Article 19

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6.	PETITIONS FOR NOMINATION (COPIES)	Destroy in office when administrative value ends.  Local Policy: Destroy in office after _____. †	G.S. § 163-213.5
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**STANDARD-8. PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS.** Records created and received by county boards of elections and used in connection with conducting local, state, and federal elections.

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ABSENTEE BALLOT APPLICATIONS</b> Generated electronically. Includes both Mail-in and One-Stop Absentee ballots.	Destroy in office 1 year from date they were received.	G.S. § 163-233
2.	<b>ABSENTEE VOTER REGISTER</b> Lists, catalogs, indexes, and registers of approved civilian and military absentee voters who have been mailed absentee ballots.	a) Destroy in office 2 months after certification all records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification all records concerning a primary, general, or special election involving federal offices.	G.S. § 163-228 42 U.S.C. 1973gg et seq.
3.	<b>ABSENTEE VOTER POLL BOOK</b> Lists of civilian and military voters in each precinct who have executed absentee ballots.	a) Destroy in office 2 months after certification all records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification all records concerning a primary, general, or special election involving federal offices.	G.S. § 163-234(5) 42 U.S.C. 1973gg et seq.

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>ABSENTEE BALLOTS (EXECUTED), LIST OF</b> Including military and civilian absentee ballots executed.	a) Destroy in office 2 months after certification all records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification all records concerning a primary, general, or special election involving federal offices.	G.S. § 163-232 42 U.S.C. 1973gg et seq.
5.	<b>ABSTRACTS</b> Official records of elections.	a) First original. Retain in office permanently.  b) Second original. Deposit with clerk of superior court. (Note: Destroy 10 years after filing)  c) Third original. Deposit with the State Board of Elections who forwards it to the Secretary of State.	G.S. § 163-182.6 (a)
6.	<b>ABSTRACTS (MUNICIPAL ELECTIONS)</b>	a) Election board conducting the election: Retain one copy in office permanently.  b) Election board conducting the election: Deposit one copy with the State Board of Elections.  c) File one copy with city clerk.	G.S. § 163-300
7.	<b>BALLOT PREPARATION AND APPROVAL RECORDS</b> Includes all documentation generated electronically or otherwise received or created by county boards of	a) Destroy in office 2 months after certification all records concerning a primary, general, or special election not involving federal offices.	G.S. § 163 Article 13A 42 U.S.C. 1973 gg et seq.

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
	elections concerning the preparation, distribution and financing of ballots.	b) Destroy in office 22 months after certification all records concerning a primary, general, or special election involving federal offices.	
8.	<b>BALLOT REPORTS</b> Reports detailing the circumstances surrounding the loss, destruction, damage, or theft of ballots.	Place ballot reports relating to loss and theft of ballots into County Board of Election minutes for permanent retention.	G.S. § 163-182.2 08 NCAC 10B .0105
9.	<b>BALLOTS (USED AND UNUSED)</b> Includes paper ballots, electronic or electromechanical ballots, tabulation cards or tapes, voting machine ballot cards, and all similar ballot materials.	a) Destroy in office 2 months after certification all materials concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification all materials concerning a primary, general, or special election involving federal offices.  c) Destroy unused ballots used in federal elections 2 months after the certification of the election.	G.S. § 163 Article 15A G.S. § 163-234(9) 08 NCAC 10B .0106  U.S. Code Title 42, Chapter 20, Subchapter II § 1974  42 U.S.C. 1973gg et seq.
10.	<b>CANDIDATE CHALLENGES</b> Includes notices of challenge, request and notice of hearing, affidavits, and all other related documentation concerning challenges.	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. §-163 Article 11B

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>CERTIFICATES OF ELECTION (COPIES)</b>	Retain in office permanently.	G.S. § 163-182.15 G.S. § 163-182.16 G.S. § 163-301
12.	<b>MUNICIPAL ELECTION AGREEMENTS AND RESOLUTIONS</b> Agreements regarding conduct of city elections and financial arrangements, resolutions permitting use of absentee ballots, etc.	Destroy in office when superseded or obsolete.	G.S. § 163-285 G.S. § 163-302
13.	<b>POLL LIST/REGISTRATION LIST/ROSTER/AUTHORIZATION TO VOTE (ATV)</b> Lists documenting registered electors and votes cast. Includes electronic or paper ATV related records such as ATV books, forms, unused stickers, lists, registers, indexes, or similar authorization to vote record. Includes books, computer printouts, or similar record used to verify persons are registered voters at each polling location.	<ul style="list-style-type: none"> <li>a) Destroy in office all remaining records 2 months after certification records concerning a primary, general, or special election not involving federal offices.</li> <li>b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.</li> <li>c) Destroy unused ATV stickers used in federal elections 2 months after the certification of the election.</li> <li>d) Contact State Archives prior to destroying old poll books and voter registration books.</li> </ul>	G.S. § 163 Article 15A G.S. § 163-166.7 08 NCAC 10B .0103 42 U.S.C. 1973gg et seq.

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<p><b>PRECINCT BOUNDARY AND VOTER TABULATION DISTRICTS (VTD's) RECORDS</b> Includes copies of maps drawn to scale with all major observable features, worded description of the geographical boundaries, and all precinct organization correspondence, including e-mail. Also includes polling place change notices.</p>	Destroy in office when superseded or obsolete. Obtain permission from State Board prior to such destruction.	G.S. § 163-128
15.	<p><b>PRECINCT OFFICIALS APPOINTMENT RECORDS</b> Includes recommendations, qualifications, oaths, and all other related documentation concerning the appointment of board members, director of elections, precinct officials, ballot counters, and observers.</p>	Destroy in office 2 years after expiration of term.	G.S. § 163 Article 5
16.	<p><b>PRECINCT VOTING MANAGEMENT RECORDS</b> Includes written instructions on how ballots should be marked and counted; unofficial and duplicate precinct returns; receipts for ballots, boxes, and voting equipment; precinct officials' certifications and statements; and all other related documentation.</p>	<p>a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.</p> <p>b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.</p>	G.S. § 163 Article 12 42 U.S.C. 1973gg et seq.

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>PROTEST OF ELECTION RECORDS</b> Includes records relating to the way an election was conducted.	a) Destroy in office records concerning protests that are not appealed 60 days after the board's ruling.  b) Destroy in office after 2 years or when challenge is sustained, overruled, or dismissed, whichever occurs later.*	G.S. § 163-182.9 et seq. 08 NCAC Chapter 02
18.	<b>RECOUNT RECORDS</b> Records relating to the request and conduct of a recount of votes cast.	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. § 163-182.7 08 NCAC Chapter 09 42 U.S.C. 1973gg et seq.
19.	<b>RETURNS BASED UPON VOTING TABULATION DISTRICT (VTD)</b> Record of votes cast by voters in each VTD regardless of where that voted.	Destroy in office after two years.	G.S. § 163-132.5G
20.	<b>SAMPLE AUDIT COUNTS</b>	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. § 163-182.2

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	STATE BOARD OF ELECTIONS CORRESPONDENCE AND REPORTS	<p>Destroy in office after administrative value ends.*</p> <p>Local Policy: Destroy in office after _____ . †</p>	
22.	STATE BOARD OF ELECTIONS NUMBERED MEMOS Includes SEIMS and Administrative records.	Destroy in office when administrative value ends or otherwise authorized by the SBOE.	Issued as needed by the SBOE.
23.	VOTING MACHINE LISTS, TESTING RECORDS AND CERTIFICATIONS Includes inventory lists showing number of machines, storage locations and registration numbers. Includes records of machine testing prior to each election where the machine is used. Certifications relate to the preparation of and sealing of machines.	<p>a) Destroy in office inventories, warranties, and registration data after the voting systems are no longer in use and have been disposed of as authorized by the SBE.</p> <p>b) Destroy certifications and machine testing related records 5 years after the certification of the election the machine was tested for.</p> <p>c) Destroy in office remaining records when superseded or obsolete.</p>	

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<b>VOTER CHALLENGES</b> Includes notices of challenge, request and notice of hearing, affidavits, and all other related documentation concerning challenges.	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. §-163 Article 8

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**STANDARD-9. PROGRAM OPERATIONAL RECORDS: VOTER REGISTRATION RECORDS**

Records created and received by county boards of elections and used to register voters and maintain voter rolls for local, state, and federal elections.

ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: VOTER REGISTRATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>AGENCY NATIONAL VOTER REGISTRATION ACT (NVRA): PREFERENCE FORM FROM PUBLIC AGENCIES</b> Forms confirming that a person has declined an offer to register to vote.	Destroy in office after the completion of two list maintenance procedures. Electronic versions of such data in possession of the SBOE shall be the responsibility of the SBOE and not the county.	G.S. § 163-82.14 11 C.F.R. 8
2.	<b>DENIED/INCOMPLETE VOTER REGISTRATION FORMS IN QUE</b>	Destroy in office after two federal elections.	2009-05 SBOE Numbered Memo and Guidelines for Voter Registration

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ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: VOTER REGISTRATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p><b>LIST MAINTENANCE DOCUMENTS AND RECORDS</b> Includes</p> <ul style="list-style-type: none"> <li>a) Reports from the county board, from the Department of Transportation or a voter registration agency</li> <li>b) A notice of cancellation on a Voter Registration Application/Update Form</li> <li>c) A notice of cancellation received from an election jurisdiction outside the state</li> <li>d) Confirmation mailing sent by the county board <ul style="list-style-type: none"> <li>1. A postage prepaid and preaddressed return card returned as undeliverable by the Postal Service</li> <li>2. Nonforwardable mail sent by the county board to voter and returned by the Postal Service as undeliverable</li> </ul> </li> <li>e) National Change of Address (NCOA) list maintenance records.</li> <li>f) All documents generated by the required biennial list maintenance procedures.</li> </ul>	Destroy in office after the completion of two list maintenance procedures.	G.S. § 163-82.14
4.	<p><b>LOGBOOKS FOR VOTER REGISTRATION DRIVES</b> Includes logbooks of voter registration forms given out to voter registration drives.</p>	Destroy in office after 1 year.	G.S. § 163-82.14

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ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: VOTER REGISTRATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p><b>VOTER-REQUESTED CHANGES</b>  A Voter Registration Application/Update form, or a voter registration card, or a written statement that is signed with registrant’s current information requesting changes of records.</p> <ul style="list-style-type: none"> <li>a) Change of name and/or address</li> <li>b) Change of party affiliation</li> </ul>	Destroy in office 5 years after voter is classified as Removed and contact State Archives prior to destroying.	G.S. § 163-82.14
6.	<b>VOTER REGISTRATION LISTS AND REPORTS</b>	Destroy in office when superseded or obsolete.	G.S. § 163 Article 7A
7.	<p><b>VOTER REGISTRATION RECORDS</b>  Includes all voter registration records (active, inactive, removed). Also includes records regarding voluntary and involuntary cancellations (death, felony convictions, notices from other jurisdictions, voter requests).</p>	<ul style="list-style-type: none"> <li>a) Destroy in office 5 years after voter is classified as Removed.</li> <li>b) Contact State Archives prior to destroying old voter registration records.</li> </ul>	G.S. § 163 Article 7A GS § 163-82.10(a)

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North Carolina Department of Cultural Resources
Division of Historical Resources
Government Records Branch

REQUEST FOR CHANGE IN RECORDS SCHEDULE

TO Assistant Records Administrator
N.C. Division of Historical Resources
Government Records Branch
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name
County
Agency or department

INSTRUCTIONS

Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Submit the signed original, and keep a copy for your file. A proposed amendment will be prepared and submitted to the appropriate state and local officials for their approval and signature. Copies of the signed amendment will be sent to you for insertion in your copy of the schedule.

CHANGE REQUESTED

Add a new item
Delete an existing item Standard Number Page Item Number
Change an retention period Standard Number Page Item Number

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

INCLUSIVE DATES OF RECORDS VOLUME OF RECORDS IN LINEAR INCHES

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

Requested by: Signature Title Date





**North Carolina Department of Cultural Resources  
Division of Historical Resources  
Government Records Branch**

**REQUEST FOR DISPOSAL OF ORIGINAL RECORDS DUPLICATED BY ELECTRONIC MEANS**

**TO** Assistant Records Administrator  
N.C. Division of Historical Resources  
Government Records Branch  
4615 Mail Service Center  
Raleigh, NC 27699-4615

**FROM** Name \_\_\_\_\_  
County \_\_\_\_\_  
Agency or department \_\_\_\_\_  
Phone number \_\_\_\_\_

Use this form to request approval from the Department of Cultural Resources to dispose of records you have scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to computer or digital environments. This form does not apply to records which have only been microfilmed or photocopied.  
A completed copy of the "Electronic Records Production Control Self-Warranty" form **must** be attached. It can be found in the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems*.

RECORDS TITLE	DESCRIPTION	INCLUSIVE DATES	NUMBER OF TAPES OR DISKS	MICROFILMED? (YES OR NO)	RETENTION PERIOD

Requested by: \_\_\_\_\_  
Signature Title Date

Approved by: \_\_\_\_\_  
Signature Mayor/Head of Governing Board Date

Concurred by: \_\_\_\_\_  
(except as indicated) Signature Assistant Records Administrator Date  
NC Division of Historical Resources

## INDEX

### A

ABOLISHED POSITION FILE, 54  
ABSENTEE BALLOT APPLICATIONS, 78  
ABSENTEE BALLOTS (EXECUTED), LIST OF, 79  
ABSENTEE VOTER POLL BOOK, 78  
ABSENTEE VOTER REGISTER, 78  
ABSTRACTS, 79  
ABSTRACTS (MUNICIPAL ELECTIONS), 79  
ACCESS AND SECURITY POLICIES, 30  
ACCOUNTS PAYABLE, 19  
ACCOUNTS RECEIVABLE, 19  
ACCOUNTS UNCOLLECTABLE, 19  
ADDRESS FILE, 54  
ADMINISTRATION AND MANAGEMENT RECORDS, 1  
ADMINISTRATIVE DIRECTIVES, POLICIES,  
PROCEDURES, REGULATIONS, RULES, 1  
ADS & NOTICES OF OVERTIME, PROMOTION, &  
TRAINING OPPORTUNITIES, 54  
ADVERTISEMENTS, 72  
AFFIDAVITS OF PUBLICATION, 49  
AFFIRMATIVE ACTION FILE, 54  
AGENCY INFORMATION TECHNOLOGY AND DATA-  
PROCESSING SERVICE PLANNING, 30  
AGENCY INTERNET SERVICES LOGS, 46  
AGENCY NATIONAL VOTER REGISTRATION ACT  
(NVRA) FORM FROM PUBLIC AGENCIES, 86  
AGENCY PUBLICATIONS, 72  
AGENDA & MEETING PACKETS FILE, 1  
ANNUAL BUDGET, 19  
APPLICATION DEVELOPMENT PROJECT (IT) FILE, 32  
APPLICATION DOCUMENTATION (IT) FILE, 33  
APPLICATIONS FOR APPOINTMENT, 1  
APPOINTMENTS REPORTING RECORDS, 2  
APPRENTICESHIP PROGRAM RECORDS, 54  
APTITUDE & SKILLS TESTING RECORDS, 55  
ARBITRAGE RECORDS, 19  
ASSOCIATIONS & ORGANIZATIONS FILE, 2  
AUDIO & VIDEO RECORDINGS OF MEETINGS, 2  
AUDIO RECORDINGS (PUBLIC RELATIONS), 73  
AUDIT TRAILS FILE, 37  
AUDITS  
FINANCIAL, 20  
PERFORMANCE, 2  
AUTHORIZATION FORMS, 20  
AUTOMATED OFF LINE STORAGE LIBRARY SYSTEM  
FILE, 37  
AUTOMATED PROGRAM LISTING SOURCE CODE FILE,  
33

### B

BALLOT PREPARATION AND APPROVAL RECORDS, 79  
BALLOT REPORTS, 80  
BALLOTS (USED AND UNUSED), 80  
BANK STATEMENTS, 20  
BIDS FOR DISPOSAL OF PROPERTY, 21  
BIDS FOR PURCHASE, 20  
BILLING & CLAIMS, 21  
BIOGRAPHICAL DATA, 73  
BLUEPRINTS & SPECIFICATIONS, 3  
BOND & OTHER DEBT FINANCIAL RECORDS, 21  
BOND CLOSING RECORDS, 21  
BOND REGISTER, 21  
BONDS, NOTES & COUPONS, 21  
BUDGET REQUESTS & WORKING PAPERS, 22  
BUDGET RESOLUTIONS & ORDINANCES, 22  
BUDGET, FISCAL & PAYROLL RECORDS, 19  
BULLETINS, 3

### C

CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS, 55  
CALENDARS OF EVENTS & APPOINTMENTS, 3  
CAMPAIGN CONTRIBUTION AND EXPENDITURE  
REPORTS, 76  
CANCELLED CHECKS, 20  
CANDIDACY RECORDS, 76  
CANDIDATE CHALLENGES, 80  
CANDIDATES LISTS, 76  
CASH RECEIPTS, 22  
CENSUS PROJECT FILE, 3  
CERTIFICATES OF ELECTION, 81  
CERTIFICATES OF INSURANCE. *See* INSURANCE FILE  
CHARTER RECORDS, 3  
CHECK REGISTER, VARIOUS FUNDS, 22  
CHECK STUBS, 22  
CIRCUITS (IT) INVENTORIES FILE, 44  
CITIZEN COMPLAINTS & SERVICE REQUESTS, 3  
COBRA RECORDS (CONSOLIDATED OMNIBUS  
BUDGET RECONCILIATION ACT), 55  
COMPLAINTS (DISCRIMINATION), 49  
COMPREHENSIVE PLAN, 4  
COMPUTER & INFORMATION SECURITY, 46  
COMPUTER OPERATIONS & TECHNICAL SUPPORT, 37  
COMPUTER RUN SCHEDULING, 38  
COMPUTER SECURITY FILE, 38  
COMPUTER SECURITY INCIDENT FILE, 47  
COMPUTER SECURITY INCIDENT REPORT FILE, 38  
COMPUTER USAGE FILE, 39, 46  
CONFERENCES & WORKSHOPS FILE, 4  
CONTRACT BUDGET & EXPENDITURE REPORTS, 22

CONTRACTS & AGREEMENTS, 50  
CORRESPONDENCE & MEMORANDA, 4  
CORRESPONDENCE (LEGAL), 50  
COST ALLOCATION PLANS, 23  
CREDIT CARD USE FILE, 23  
CRIMINAL JUSTICE PARTNERSHIP PROGRAM  
RECORDS, 50  
CUSTOMER CALL CENTER RECORDINGS, 5

## **D**

DAILY CASH REPORTS, 23  
DAILY DETAIL REPORTS, 23  
DAILY JOURNAL & LEDGER ENTRY UPDATE  
PRINTOUTS, 23  
DATA ADMINISTRATION (IT), 41  
DATA DOCUMENTATION (IT) FILE, 34  
DATA PROCESSING ADMINISTRATION FILE, 31  
DATA PROCESSING PRODUCT/VENDOR REFERENCE  
FILE, 31  
DATA/DATABASE DICTIONARY, 42  
DATA/DATABASE DICTIONARY REPORTS, 42  
DEEDS, TITLES, 53  
DEFERRED COMPENSATION FILE, 55  
DENIED/INCOMPLETE VOTER REGISTRATION FORMS  
IN IQUE, 86  
DEPOSIT SLIPS, 20  
DEPOSITS, 23  
DETAIL REPORT FILE (FINANCIAL RECORDS FOR  
GENERAL FUND OR GENERAL LEDGER), 23  
DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS,  
23  
DISABILITY SALARY CONTINUATION CLAIM, 56  
DISASTER PREPAREDNESS & RECOVERY PLANS (IT), 47  
DISCIPLINARY FILE, 56  
DISTRICT INVESTMENT RECORDS, 23  
DONATIONS & SOLICITATIONS, 5  
DRUG & ALCOHOL PROGRAMS FILE, 57  
DUAL EMPLOYMENT FILE, 58

## **E**

EDUCATIONAL LEAVE & REIMBURSEMENT FILE, 58  
EMPLOYEE BENEFITS REGISTER, 58  
EMPLOYEE CERTIFICATION & QUALIFICATION  
RECORDS, 58  
EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES, 59  
EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM  
RECORDS, 59  
EMPLOYEE ELIGIBILITY RECORDS, 59  
EMPLOYEE EXIT INTERVIEW RECORDS, 59  
EMPLOYEE HEALTH CERTIFICATES, 60  
EMPLOYEE MEDICAL RECORDS, 60  
EMPLOYEE PENSION & BENEFIT PLAN ENROLLMENT  
FORMS, 61

EMPLOYEE PENSION & BENEFITS PLANS, 60  
EMPLOYEE PERFORMANCE REVIEW FILE, 61  
EMPLOYEE POLYGRAPH RECORDS, 61  
EMPLOYEE SECURITY RECORDS, 61  
EMPLOYEE SUGGESTIONS, 62  
EMPLOYEE TRAINING & EDUCATIONAL RECORDS, 62  
EMPLOYEE WORKS SCHEDULES & ASSIGNMENT  
RECORDS, 62  
EMPLOYMENT APPLICATIONS & RESUMES, 63  
EMPLOYMENT LISTINGS, ADVERTISEMENTS &  
ANNOUNCEMENTS, 63  
EMPLOYMENT SELECTION RECORDS, 64  
EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE  
RECORDS, 64  
EQUAL EMPLOYMENT OPPORTUNITY (EEO)  
RECORDS & REPORTS, 64  
EQUAL PAY RECORDS, 65  
EQUIPMENT & PROPERTY INVENTORIES, 5  
EQUIPMENT AND FACILITY USAGE RECORDS, 5  
EQUIPMENT MAINTENANCE, REPAIR & INSPECTION  
RECORDS, 5  
EQUIPMENT REFERENCE FILE, 6  
ESCHEAT & UNCLAIMED PROPERTY FILE, 24  
EXPENDITURE REPORTS, 24

## **F**

FACILITY ACCESSIBILITY RECORDS, 6  
FACILITY MAINTENANCE, REPAIR & INSPECTION  
RECORDS, 6  
FACILITY SERVICE & MAINTENANCE AGREEMENTS,  
24  
FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS, 65  
FILMS FILE, 73  
FINANCIAL JOURNALS & LEDGERS, 24  
FINDING AIDS (INDEXES)/TRACKING SYSTEMS FILE,  
42  
FRINGE BENEFITS FILE, 65  
FUND DRIVE & EVENT RECORDS, 6

## **G**

GOALS & OBJECTIVES, 7  
GRANT CONTRACT APPEALS CASES, 7  
GRANT PROPOSALS, 7  
GRANTS, 8  
FINANCIAL, 24  
GRIEVANCE FILE, 65

## **H**

HARDWARE & SOFTWARE REVIEW, 43  
HARDWARE DOCUMENTATION, 39  
HEALTH INSURANCE FILE, 65  
HELP DESK TELEPHONE LOGS & REPORTS, 43  
HISTORIES FILE (AGENCY & EMPLOYEES), 8

## I

INCREMENTS FILE, 65  
INDEX FILE, 8  
INFORMATION TECHNOLOGY (IT) RECORDS, 30  
INPUT/SOURCE DOCUMENTS (IT), 39  
INSURANCE FILE, 25  
INSURANCE POLICIES, 51  
INTERNET SERVICES LOGS, 44  
INTERNSHIP PROGRAM FILE, 66  
INVESTMENT RECORDS, 25  
INVOICES, 25  
IT GENERAL ADMINISTRATION, 30  
IT MAINTENANCE CONTRACTS, 40  
IT SYSTEMS & APPLICATION DEVELOPMENT, 32

## L

LEASES FILE, 51  
LEAVE FILE, 66  
LEAVE WITHOUT PAY FILE, 66  
LEGAL OPINIONS, 51  
LEGAL RECORDS, 49  
LEGAL REVIEW RECORDS, 52  
LEGISLATION & REGULATORY RECORDS, 9  
LIST MAINTENANCE DOCUMENTS AND RECORDS, 87  
LITIGATION CASE FILE, 9  
LITIGATION CASE RECORDS, 52  
LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS, 25  
LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS, 25  
LOGBOOKS FOR VOTER REGISTRATION DRIVES, 87  
LONGEVITY PAY REQUESTS, 66

## M

MAILING & DISTRIBUTION RECORDS, 9  
MANAGEMENT STUDIES, 9  
MERIT & SENIORITY SYSTEM RECORDS, 66  
MILITARY LEAVE, 66  
MINUTES (STAFF MEETINGS), 11  
MINUTES OF PUBLIC BODIES, 10  
MONTHLY BUDGET REPORTS, 25  
MUNICIPAL ELECTION AGREEMENTS AND RESOLUTIONS, 81

## N

NETWORK & CIRCUIT INSTALLATION & SERVICE FILE, 45  
NETWORK & DATA COMMUNICATION SERVICES, 44  
NETWORK IMPLEMENTATION PROJECT FILE, 45  
NETWORK SITE & EQUIPMENT SUPPORT FILE, 45  
NETWORK USAGE FILE, 47  
NETWORK USAGE REPORTS, 47

NEWS & PRESS RELEASES, 74  
NEWS CLIPPINGS, 73  
NOTICES OF PUBLIC MEETINGS, 11

## O

OATHS OF OFFICE FILE, 53  
OFFICE SECURITY RECORDS, 11  
OFF-LINE STORAGE LIBRARY CONTROL RECORDS, 40  
ORDINANCE & RESOLUTION DEVELOPMENT RECORDS, 53  
ORDINANCES, 11  
ORGANIZATION RECORDS, 12  
OWNERSHIP RECORDS (DEEDS, TITLES), 53

## P

PAID CHECKS, BILLS & VOUCHERS, 25  
PARKING FILE, 12  
PAYROLL & EARNINGS RECORDS, 26  
PAYROLL DEDUCTION RECORDS, 26  
PERSONNEL ACTION NOTICES, 66  
PERSONNEL RECORDS, 54  
PERSONNEL RECORDS (OFFICIAL COPY), 67  
PERSONNEL RECORDS (REFERENCE COPY), 67  
PETITIONS (CITIZEN), 12  
PETITIONS AND CERTIFICATIONS FOR NEW PARTY (COPIES), 76  
PETITIONS FOR ELECTIONS AND REFERENDA, 76  
PETITIONS FOR NOMINATION (COPIES), 77  
PHOTOGRAPHS, 74  
PLANNING & DEVELOPMENT FILE, 12  
POLICIES, 1  
POLICIES & PROCEDURES (IT), 31  
POLICIES & PROCEDURES (PERSONNEL), 67  
POLL LIST/REGISTRATION LIST/ROSTER/AUTHORIZATION TO VOTE (ATV), 81  
POPULAR ANNUAL FINANCE REPORT, 26  
POSITION CLASSIFICATION/POSITION HISTORY FILE, 67  
POSITION CONTROL CARDS, 68  
POSITION DESCRIPTION RECORDS, 68  
POSITION REQUISITION & ANALYSIS RECORDS, 68  
PRECINCT BOUNDARY AND VOTER TABULATION DISTRICTS (VTD's) RECORDS, 82  
PRECINCT OFFICIALS APPOINTMENT RECORDS, 82  
PRECINCT VOTING MANAGEMENT RECORDS, 82  
PRE-TRIAL RELEASE PROGRAM RECORDS, 53  
PRINTING REQUESTS, 12  
PROCEDURES, 1  
PROCLAMATIONS AND ORDERS, 12  
PROCUREMENT (HARDWARE & SOFTWARE) FILE, 35  
PROCUREMENT (IT SERVICES) FILE, 36  
PROGRAM OPERATIONAL RECORDS

CANDIDACY, CAMPAIGN FINANCE, AND  
PETITIONS RECORDS, 76  
ELECTION RECORDS, 78  
VOTER REGISTRATION RECORDS, 86  
PROJECTS FILE, 13  
PROTEST OF ELECTION RECORDS, 83  
PUBLIC HEARING RECORDS, 13  
PUBLIC RECORDS DISCLOSURE FILE, 13  
PUBLIC RELATIONS FILE, 74  
PUBLIC RELATIONS RECORDS, 72  
PUBLICATIONS RECEIVED, 13  
PURCHASE ORDERS, 27  
PURCHASING REPORTS & LOGS, 27

## Q

QUALITY ASSURANCE (IT) FILE, 36

## R

RECIPIENT CHECK & CANCELLATION REGISTERS, 27  
RECONCILIATIONS, 20  
RECORDS MANAGEMENT FILE, 14  
RECOUNT RECORDS, 83  
REFERENCE (READING) FILE, 14  
REGULATIONS, 1  
REPORTS & STUDIES (INTERNAL ADMINISTRATION),  
15  
REQUEST AND APPROVAL OF UNSCHEDULED  
RECORDS DISPOSAL FORM, 90  
REQUEST FOR CHANGE IN RECORDS SCHEDULE  
FORM, 89  
REQUEST FOR DISPOSAL OF ELECTRONIC DATA  
PROCESSING PUBLIC RECORDS FORM, 91  
REQUEST FORMS, 89  
REQUESTS FOR PROPOSALS, 15  
REQUISITIONS FILE, 16  
RESEARCH & STUDIES FILE (ADMINISTRATIVE), 16  
RESOLUTIONS, PROCLAMATIONS & ORDERS, 16  
RETURNS BASED UPON VOTING TABULATION  
DISTRICT (VTD), 83  
ROOM OCCUPANCY TAX REPORTS, 27  
RULES, 1

## S

SALARY SURVEY RECORDS, 68  
SAMPLE AUDIT COUNTS, 83  
SCANNING & DATA ENTRY AUDIT REPORTS, 40  
SCANNING & DATA ENTRY QUALITY CONTROL  
RECORDS, 41  
SERVICE AWARDS & COMMENDATIONS, 68  
SITE, EQUIPMENT & SOFTWARE SUPPORT FILE, 43  
SLIDES, 74  
SPEECHES, 75

STATE BOARD OF ELECTIONS CORRESPONDENCE  
AND REPORTS, 84  
STATE BOARD OF ELECTIONS NUMBERED MEMOS,  
84  
SURPLUS PROPERTY FILE, 16  
SYSTEM AND HARDWARE CONVERSION PLANS, 40  
SYSTEM BACKUP FILE, 48  
SYSTEM USERS ACCESS RECORDS, 48  
SYSTEMS DOCUMENTATION (IT) FILE, 35

## T

TECHNICAL PROGRAM DOCUMENTATION, 36  
TELEPHONE LOGS (BILLINGS), 27  
TELEPHONE USAGE LOGS & REPORTS, 16  
TEMPORARY EMPLOYEE RECORDS, 69  
TEST DATABASE FILE, 36  
TIME SHEETS, CARDS, & ATTENDANCE RECORDS, 28  
TRAINING COURSE INFORMATION (IT), 44  
TRAINING COURSE INFORMATION FILE, 37  
TRAVEL REIMBURSEMENTS, 28  
TRAVEL REQUESTS, 16

## U

UNEMPLOYMENT COMPENSATION CLAIMS, 69  
UNEMPLOYMENT COMPENSATION REPORTS, 69  
UNEMPLOYMENT INSURANCE FILE, 69  
USER CHARGE BACKS FILE (IT), 32  
USER/OFFICE AUTOMATION SUPPORT, 43

## V

VEHICLE MAINTENANCE, REPAIR & INSPECTION  
RECORDS, 17  
VEHICLE REGISTRATION CARDS, 17  
VEHICLE TITLES, 53  
VEHICLE USAGE RECORDS, 17  
VENDOR FILE, 28  
VETERANS COMMISSION QUARTERLY REPORTS, 17  
VIDEO RECORDINGS (PUBLIC RELATIONS), 75  
VISUAL AIDS, 75  
VOLUNTEER RECORDS, 70  
VOTER CHALLENGES, 85  
VOTER REGISTRATION LISTS AND REPORTS, 88  
VOTER REGISTRATION RECORDS, 88  
VOTER-REQUESTED CHANGES, 88  
VOTING MACHINE LISTS AND CERTIFICATIONS, 84  
VOUCHER REGISTERS FILE, 28  
VOUCHERS, 28

## W

WARRANTIES, 53  
WEBSITE (ELECTRONIC) FILE, 75  
WITHHOLDING TAX FILE, 29  
WORK ORDERS (EQUIPMENT REPAIR), 17

WORK ORDERS (FACILITY REPAIR), 18  
WORK ORDERS (VEHICLE REPAIR), 18  
WORKERS' COMPENSATION PROGRAM  
(ADMINISTRATIVE) FILE, 70

WORKERS' COMPENSATION PROGRAM CLAIMS FILE,  
71