

## **REQUEST FOR BOARD ACTION**

### **HENDERSON COUNTY BOARD OF COMMISSIONERS**

**MEETING DATE:** March 2, 2009

**SUBJECT:** Records Retention and Disposition Schedule

**ATTACHMENTS:**

1. Memorandum from Sheriff Davis
2. Records Retention and Disposition Schedule Approval Sheet
3. Records Retention Schedule Amendments

#### **SUMMARY OF REQUEST:**

The Local Records Unit of the Government Records Branch published a new County Sheriffs' Records Retention and Disposition Schedule in November, 2008. The schedule is the primary way the Department of Cultural Resources gives its consent to destroy records as outlined in G.S. 121-5 and G.S. 132-3. The Board of Commissioners is requested to approve the attached new Records Retention and Disposition Schedule for applicability to the Henderson County Sheriff's Office.

#### **BOARD ACTION REQUEST:**

The Board is requested to approve the new Records Retention and Disposition Schedule for the Sheriff's Office as presented.

#### **Suggested Motion:**

I move the Board of Commissioners approve the new Records Retention and Disposition Schedule for the Sheriff's Office as presented.

# Memorandum

**To:** Steve Wyatt, County Manager

**From:** Rick Davis, Sheriff

**Date:** 9 Feb 2009

**Re:** Disposition Schedule

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As you may know, the Local Records Unit of the Government Records Branch published a new County Sheriffs' Records Retention and Disposition Schedule in November 2008.

This schedule is the primary way the Department of Cultural Resources gives its consent to destroy records as outlined in G.S. 121-5 and G.S. 132-3.

The disposition schedule is 95 pages in length. In an effort to reduce the volume of paper consumed for effort, here is the link for further review:

<http://www.records.ncdcr.gov/local/SheriffSchedule2008.pdf>

I have attached form I, which requires Chairman Moyer's signature if so approved.

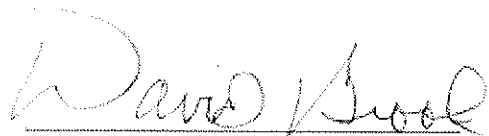
I respectfully request this item be placed on Board of Commissioner's consent agenda at their next meeting.

**COUNTY SHERIFF'S OFFICE  
Records Retention  
and Disposition 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 Chapter 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. 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**

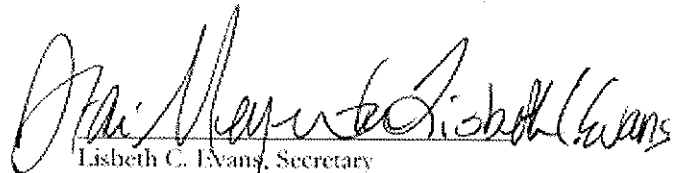
\_\_\_\_\_  
County Sheriff



David Brook, Director  
Division of Historical Resources

**APPROVED**

\_\_\_\_\_  
Chairman, Bd. County Commissioners



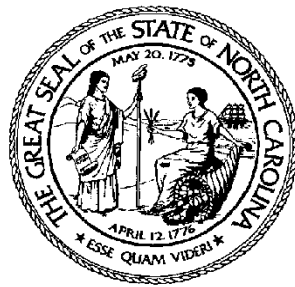
Lisbeth C. Evans, Secretary  
Department of Cultural Resources

November 10, 2008

HENDERSON  
County Name

# RECORDS RETENTION AND DISPOSITION SCHEDULE

## COUNTY SHERIFF'S OFFICE



Issued By:

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

November 10, 2008

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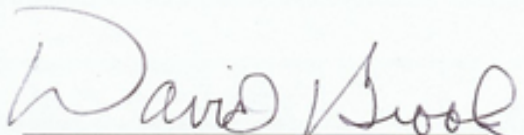
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**COUNTY SHERIFF'S OFFICE**  
**Records Retention**  
**and Disposition Schedule**

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provision of Chapter 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. 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.

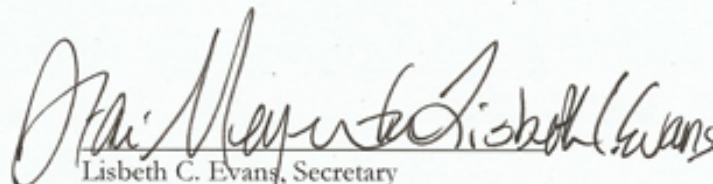
**APPROVAL RECOMMENDED**

\_\_\_\_\_  
County Sheriff

  
\_\_\_\_\_  
David Brook, Director  
Division of Historical Resources

**APPROVED**

\_\_\_\_\_  
Chairman, Bd. County Commissioners

  
\_\_\_\_\_  
Lisbeth C. Evans, Secretary  
Department of Cultural Resources

November 10, 2008

\_\_\_\_\_  
County Name

## EXECUTIVE SUMMARY

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**Q. *Why do I need this schedule?***

- A.** 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. This schedule is the primary way DCR gives its consent. Without approving this schedule, your agency is obligated to obtain the Department's permission to destroy *any* record, no matter how insignificant.
- 

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

- A.** Each records 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 "Retain in office permanently," which means that those records must be kept in your offices forever.
- 

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

- A.** 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 (the original) in our security vault.

There is a nominal fee for filming and duplicate film. Contact the analyst assigned to your county for costs and procedures. There is no fee for storage.

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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) 807-7365 for the Head of the Local Records Program or (919) 807-7339 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 larger disasters.

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**Q. *Who can I call with questions?***

- A.** If you are located west of about Statesville, call our Western Office in Asheville at (828) 274-6789. East of Statesville, all the way to the coast, call our Raleigh office at (919) 807-7350.

## 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 sheriff offices across the state to use when managing the records in their offices. It lists records commonly found in county sheriff 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 county 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. *Why do I need this schedule?***

- A.** 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. This schedule is the primary way DCR gives its consent. Without approving this schedule, your agency is obligated to obtain permission to destroy *any* record, no matter how insignificant.
- 

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

- A.** The County Sheriff and the County Board of Commissioners must approve this schedule for use by your agency. 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. *I can’t find some of my records on this schedule.***

- A.** Call the Records Management Analyst assigned to your county. We will work with you to amend this records schedule so that you may destroy records 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. They 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 email, 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 destroyed in accordance with the provisions of the appropriate records schedule.

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**Q. *Can 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 could expire.

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**Q. *Aren't all of our old records at the State Archives?***

**A.** Probably not. The State Archives collects only very specific types of records from county offices. You are certainly welcome to contact the analyst assigned to your county for more information about appraisal and accessioning.

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**Q. *I have found some really old records. What should I do with them?***

**A.** Call the analyst assigned to your county. We will help you examine the records and assess their historical value.

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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 analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives.

---

**Q. *Who can I call with questions?***

**A.** If you're west of about Statesville, call our Western Office in Asheville at (828) 274-6789. East of Statesville, all the way to the coast, call our Raleigh office at (919) 807-7350.

## AUDITS, LITIGATION AND OTHER OFFICIAL ACTION

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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 maybe 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 5, page 1 and **AUDITS: FINANCIAL** Item 5, page 11.) 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 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 simply “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?*”)
- 

***Q. How do I destroy records?***

- A.** After your county 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.
- 

***Q. Do I have to tell anyone about the destruction?***

- A.** We recommend that you report on your records retention activities to your governing board 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.
- 

***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 AND DIGITAL IMAGING

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**Q. *When can I delete my email?***

- A.** Electronic 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 email 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 email simply because storage limits have been reached.

Three of our publications will be particularly helpful (available online at <http://www.ah.dcr.state.nc.us/records/>):

- *E-Mail as a Public Record in North Carolina: Guidelines for its Retention and Disposition;*
  - *E-Mail User Guidelines Checklist;*
  - *North Carolina Public Records with Short-Term Value: Guidelines for their Retention and Disposition.*
- 

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

- A.** You may scan any record, including permanent records. 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,” 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. 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 (located at the end of this schedule) for our approval.

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**Q. *Do I have to print my email to file it?***

- A.** As long as the email is not a permanent record, as defined by the schedule, you may elect to keep it in electronic format.
- 

**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.
- 

**Q. *I use my personal email account for work. No one can see my personal email.***

- A.** The best practice is to avoid using personal resources, including private email 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 email account is irrelevant.

## 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. 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.

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.

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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 costs and procedures. There is no fee for storage.

---

**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.ah.dcr.state.nc.us/records/micro.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) 807-7350, and ask for the analyst in charge of minutes.

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**Q. *Can I email you my minutes?***

**A.** Not at this time. We require 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) 807-7365 for the Head of the Local Records Program or (919) 807-7339 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.

---

**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.** While we have a group of prepared workshops that we can offer at any time, we are also happy to 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 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. Just let the analyst assigned to your county know what type of training you need.
- 

**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.
- 

**Q. *Is there a fee for workshops?***

- A.** Not at this time.

## 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 electronic 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 electronic 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 concerning the authority, operating philosophy, methods, primary functions, and routine office administration of a county sheriff department.

<b>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
1.	<b>ADMINISTRATIVE DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES</b>	<ul style="list-style-type: none"> <li>a) Retain official copy permanently.</li> <li>b) Destroy in office remaining copies 3 years after superseded.</li> </ul>	
2.	<b>APPLICATIONS FOR APPOINTMENT</b> Applications and related documentation received from individuals applying for appointments to serve on public boards, commissions, councils and committees.	<ul style="list-style-type: none"> <li>a) Destroy in office records concerning individuals appointed 1 year after expiration of term.</li> <li>b) Destroy in office remaining records after 2 years.</li> </ul>	
3.	<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.	
4.	<b>ASSOCIATIONS AND ORGANIZATIONS FILE</b> Records concerning associations, organizations, groups, etc., that have some form of association or relationship with the agency.	<ul style="list-style-type: none"> <li>a) Retain records with historical value permanently.</li> <li>b) Destroy in office remaining records when administrative value ends.</li> </ul>	
5.	<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 5, page 11.	<ul style="list-style-type: none"> <li>a) Retain reports permanently.</li> <li>b) Destroy in office working papers and remaining records 3 years after the date of the report.</li> </ul>	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.



<b>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
6.	<b>BLUEPRINTS AND SPECIFICATIONS</b> Blueprints and specifications of agency owned buildings and facilities. May include as-built plans and related documentation concerning approved changes.	Retain for life of structure.	Comply with applicable provisions of G.S. §132-1.6 regarding the confidentiality of security records.
7.	<b>BULLETINS</b>	Destroy in office when administrative value ends.	
8.	<b>CALENDARS OF EVENTS AND APPOINTMENTS</b>	Destroy in office when superseded or obsolete.	
9.	<b>CITIZEN COMPLAINTS AND SERVICE REQUESTS</b> Records concerning objections, dissatisfaction or disagreements with actions or positions taken or not taken by the agency. May include routine requests for service or information and petition with no legal affect.	a) Destroy in office 1 year after resolution.* b) Transfer to <b>LITIGATION CASE RECORDS</b> item 11, page 31 if legal action is taken.	
10.	<b>CONFERENCES AND WORKSHOPS FILE</b> Record concerning conferences and workshops conducted or attended by county employees.  See also <b>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS</b> item 31, page 39.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
11.	<b>CORRESPONDENCE AND MEMORANDA</b>  See also <b>Public Records with Short Term Value</b> page x. For information on handling electronic mail, See <b>Electronic Records and Digital Imaging</b> section page vii.	a) Retain records with historical value permanently. b) Destroy routine administrative correspondence and memoranda when administrative value ends. c) Destroy in office remaining records after 3 years.	
12.	<b>DONATIONS AND SOLICITATIONS</b>	Destroy in office after 1 year.	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
13.	<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.	
14.	<b>EQUIPMENT AND VEHICLE REFERENCE FILE</b> Includes operation, specification and technical manuals, brochures, bulletins and related documentation.	Destroy in office when superseded, obsolete or asset is no longer owned.	
15.	<b>EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> Records concerning the maintenance, repair and inspection of agency owned facilities. See also <b>GRANTS</b> item 23, page 4.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of equipment. b) Retain for life of equipment records documenting all other equipment maintenance and repairs.	
16.	<b>EQUIPMENT, FACILITY AND VEHICLE 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.	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.	
17.	<b>FACILITY ACCESSIBILITY FILE</b> Records concerning compliance with the Americans with Disabilities Act (ADA). May include survey of buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.	Destroy in office after 5 years.*	29 CFR 1602 (1992).

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
18.	<b>FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> Records concerning the maintenance, repair and inspection of agency owned facilities. See also <b>GRANTS</b> item 23, page 4.	<ul style="list-style-type: none"> <li>a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of facilities.</li> <li>b) Destroy records documenting all other facility maintenance, repair and inspection (including plumbing, electrical, fire and other systems) in office after 3 years.</li> </ul>	
19.	<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.	<ul style="list-style-type: none"> <li>a) Retain records with historical value permanently.</li> <li>b) Destroy in office remaining records after 1 year.</li> </ul>	
20.	<b>GOALS AND OBJECTIVES</b>	<ul style="list-style-type: none"> <li>a) Retain records with historical value permanently.</li> <li>b) Destroy in office remaining records when superseded or obsolete.</li> </ul>	
21.	<b>GRANT CONTRACT APPEALS CASES</b>	Destroy in office 10 years after final action or decision.*	
22.	<b>GRANT PROPOSALS</b>	<ul style="list-style-type: none"> <li>a) Transfer records concerning approved grants to <b>GRANTS</b> item 23, page 4 if approved.</li> <li>b) Destroy in office rejected or withdrawn grant proposals when reference value ends.</li> </ul>	
23.	<b>GRANTS</b> Records concerning approved federal, state, and private grants. May include applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records. See also <b>GRANTS: FINANCIAL</b> item 28, page 14.	<ul style="list-style-type: none"> <li>a) Destroy in office records relating to specific non-continuing grants 5 years after termination or when released from audit, whichever occurs later.</li> <li>b) Destroy in office yearly records relating to specific continuing grants 5 years after annual financial report is filed.</li> <li>c) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.</li> </ul>	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
24.	<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 documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
25.	<b>INDEX FILE</b>	Destroy in office when reference value ends.	
26.	<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.	
27.	<b>LITIGATION CASE FILE</b> Legal cases in which the agency is a party.	a) Transfer to <b>LITIGATION CASE RECORDS</b> item 11, page 31 when reference value ends. b) Destroy copies in office when administrative value ends.	Comply with applicable provisions of G.S. §132-1.1 regarding confidentiality of legal records.
28.	<b>LOST AND STOLEN PROPERTY REPORTS</b> Includes reports of vandalism.	Destroy in office after 3 years.*	
29.	<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 carries.	a) Destroy in office Sunshine Lists when superseded or obsolete. b) Destroy in office all other records when administrative value ends.	G.S. § 142-318.12 (b) 2
30.	<b>MANAGEMENT STUDIES</b>	a) Retain record with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

<b>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
31.	<b>MINUTES (STAFF MEETINGS)</b> Minutes of meetings including agendas, referenced and attached documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	G.S. § 143-318.10(c)
32.	<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 tapes not required to support known investigations or litigation b) Destroy in office after 1 year.	Comply with applicable provisions of G.S. § 132-1.6 regarding the confidentiality of security records.
33.	<b>ORGANIZATION RECORDS</b> Includes organizational charts, reorganization studies and similar documentation 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.	
34.	<b>PARKING FILE</b> Records concerning staff parking assignments.	Destroy in office when superseded or obsolete.	
35.	<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 record with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
36.	<b>PRINTING REQUESTS</b>	Destroy in office when reference value ends.	
37.	<b>PROJECTS FILE</b> Includes project correspondence, 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.	

<b>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
38.	<b>PUBLICATIONS RECEIVED</b> Includes books, magazines, periodicals, pamphlets, brochures, journals and newspapers, whether printed or electronic.	Destroy in office when reference value ends.	
39.	<b>PUBLIC RECORDS DISCLOSURE FILE</b> Formal requests submitted by persons seeking access to agency records.	Destroy in office 2 years after resolution.*	
40.	<b>RECORDS MANAGEMENT FILE</b> Includes correspondence with state and/or federal agencies, records disposition documentation and copies of records retention and disposition schedules.	<ul style="list-style-type: none"> <li>a) Retain records concerning the final disposition of records permanently.</li> <li>b) Destroy in office remaining records when superseded, obsolete or administrative value ends, whichever occurs first.</li> </ul>	
41.	<b>REFERENCE (READING) FILE</b> Subject files containing informational copies of record organized by areas of interest.	Destroy in office when reference value ends.	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
42.	<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, sub-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 after 3 years reports prepared monthly, bimonthly, or semi-annually.</p> <p>d) Destroy in office after 1 year activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis.</p> <p>e) Destroy in office remaining reports and studies when administrative value ends.</p> <p><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i></p>	
43.	<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 8, page 12.</p>	<p>Destroy in office when superseded, obsolete or administrative value ends, whichever occurs first.</p>	
44.	<p><b>REQUISITIONS FILE</b> Requests for payment of parts and inventory items.</p>	<p>Destroy in office after 1 year.</p>	
45.	<p><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.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends.</p>	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
46.	<b>STATE AND OTHER COUNTY PROGRAMS</b> Resource materials, program information, and other related records concerning other state or county programs.	Destroy in office when reference value ends.	
47.	<b>SURPLUS PROPERTY FILE</b>	Destroy in office 3 years after disposition of property.*	
48.	<b>TELEPHONE USAGE LOGS AND REPORTS</b>	Destroy in office when administrative value ends.	
49.	<b>TRAVEL REQUESTS</b>	Destroy in office after 1 year.*	
50.	<b>VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> Records concerning the maintenance, repair and inspection of agency owned facilities. See also <b>GRANTS</b> item 23, page 4.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of vehicles. b) Retain for life of vehicle records documenting all other maintenance and repairs.	
51.	<b>VETERANS COMMISSION QUARTERLY REPORTS</b>	Destroy in office after 5 years.	
52.	<b>WORK ORDERS (EQUIPMENT REPAIR)</b> Records include date and location or work, cost of materials used and labor, type of work performed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work was completed follow disposition instructions for <b>EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> item 15, page 3.	
53.	<b>WORK ORDERS (FACILITY REPAIR)</b> Records include date and location or work, cost of materials used and labor, type of work performed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work was completed follow disposition instructions for <b>FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> item 18, page 4.	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.



<i>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</i>			
<i>ITEM #</i>	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
54.	<p><b>WORK ORDERS (VEHICLE REPAIR)</b>  Records include date and location or 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 was completed follow disposition instructions for <b>VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS</b> item 50, page 9.</p>	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

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

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

<b>STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
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>	Destroy in office official/audit copies 3 years after account is paid, collected, or determined to be uncollectible.*	
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>AUDITS: FINANCIAL</b> Records concerning internal and external financial statement and financial related audits. Includes reports, working papers, and related records. See also <b>AUDITS: PERFORMANCE</b> , item 5, page 1.	a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	G.S. § 159-34
6.	<b>AUTHORIZATION FORMS</b>	Destroy in office after 3 years.*	
7.	<b>BANK STATEMENTS, CANCELED CHECKS, DEPOSIT SLIPS, RECONCILIATIONS, AND WARRENTS.</b>	Destroy in office after 3 years.*	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
8.	<b>BIDS FOR PURCHASE</b> Records concerning quotes to supply products and services. May include advertisements, requests for proposals, and tabulations, bid bonds, awards letters, records of bids and related records concerning accepted and rejected bids.	<ul style="list-style-type: none"> <li>a) Destroy in office successful (awarded) construction (capital improvements) bid records 6 years after completion or termination of project.*</li> <li>b) Destroy in office all other successful (awarded) bid records 3 years after purchase.*</li> <li>c) Destroy in office unsuccessful bid records not awarded or opened after 1 year.</li> </ul>	G.S. § 143 Article 8
9.	<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
10.	<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 after 3 years after settlement.*	
11.	<b>BUDGET RESOLUTIONS AND ORDINANCES</b> Includes reference copies of budget, annual balanced budget, and project ordinances, resolutions, and amendments.	Destroy in office when administrative value ends.	G.S. § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S. § 159-15
12.	<b>BUDGET REQUESTS AND WORKING PAPERS</b> Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence and related records.	Destroy in office after 3 years.*	G.S. § 159-10
13.	<b>CASH RECEIPTS</b>	Destroy in office after 3 years.*	
14.	<b>CHECK STUBS</b> Stubs for checks written on agency accounts.	<ul style="list-style-type: none"> <li>a) Destroy official/audit copies after 3 years.*</li> <li>b) Destroy remaining records after 1 year.</li> </ul>	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
15.	CHECK REGISTER, VARIOUS FUNDS	a) Destroy computerized check registers in office after 1 year.* b) Destroy in office all other registers after 3 years.*	
16.	CONTRACT BUDGET AND EXPENDITURE REPORTS	Destroy in office after 3 years.*	
17.	CREDIT CARD USE FILE	Destroy in office after 1 year.*	
18.	DAILY CASH REPORTS	Destroy in office after 1 year.*	
19.	DAILY DETAIL REPORTS	Destroy in office after 1 year.*	
20.	DAILY JOURNAL AND LEDGER ENTRY UPDATE PRINTOUTS	Destroy in office after 1 year.*	
21.	DEPOSITS	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	G.S. § 159-32
22.	DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER)	a) Destroy in office annual reports after 3 years. b) Destroy in office all other reports after 1 year.	
23.	DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS	Destroy in office when superseded or obsolete.	
24.	DISTRICT INVESTMENT RECORDS	Destroy in office after 3 years.*	
25.	EXPENDITURE REPORTS	Destroy in office after 3 years.*	
26.	FACILITY SERVICE AND MAINTENANCE AGREEMENTS See Also GRANTS: FINANCIAL item 28, page 14.	a) Destroy depreciation schedules 3 years after asset is fully depreciated or disposed. b) Destroy in office remaining records after 3 years.*	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
27.	FINANCIAL JOURNALS AND LEDGERS	a) Destroy in office after 3 years year-end summaries of receipts and disbursements. b) Destroy in office after 1 year daily, monthly or quarterly transaction detail journals and ledgers.	
28.	<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 23, page 4.	Destroy in office after 5 years after submission of final report.*	
29.	<b>INSURANCE FILE</b> Certificates of insurance and related records provided by insurance provides as proof of coverage. See also <b>BILLING AND CLAIMS</b> item 10, page 12. See also <b>GRANTS: FINANCIAL</b> item 28, page 14.	Destroy in office 3 years from date of termination, expiration, or settlement of all claims.	
30.	<b>INVOICES</b>	Destroy in office after 3 years.*	
31.	<b>LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS</b>	Destroy in office after 3 years.*	G.S. §159-33 and §159-33.1.
32.	<b>LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS</b>	Destroy in office after 3 year.*	
33.	<b>MONTHLY BUDGET REPORTS</b>	Destroy in office after 2 years.*	
34.	<b>PAID CHECKS, BILLS AND VOUCHERS</b>	Destroy in office after 3 years.*	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
35.	<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.	a) Destroy in office deduction authorization forms and records when superseded or obsolete. b) Destroy remaining records in office after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
36.	<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.	a) Transfer records documenting personnel actions to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , Item 48, page 42. b) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. c) Destroy all remaining records in office after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records. FICA Reg. § 316001-1 29 CFR 516.2, 516.5 29 CFR 1627.3(a)
37.	<b>PURCHASE ORDERS</b> Records, forms and attached documents used to purchase supplies, equipment, and services.  See also <b>GRANTS: FINANCIAL</b> item 28, page 14.	Destroy in office after 3 years.*	
38.	<b>PURCHASING REPORTS AND LOGS</b> Reports and logs containing quote information such as vendor name, item descriptions, price, award dates, and related information.	Destroy in office after 1 year.*	
39.	<b>RECIPIENT CHECK AND CANCELLATION REGISTERS</b>	Destroy in office after 3 years.*	
40.	<b>TELEPHONE LOGS (BILLINGS)</b>	Destroy in office after 1 year.*	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

<b>STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
41.	<b>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS</b> Records concerning 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 all remaining records in office after 4 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
42.	<b>TRAVEL REIMBURSEMENTS</b> Includes authorizations and requests for reimbursement for travel and related expenses.  See also <b>GRANTS: FINANCIAL</b> item 28, page 14.	Destroy in office after 3 years.*	
43.	<b>VEHICLE MAINTENANCE FILE</b> Includes billing records.  See also <b>GRANTS: FINANCIAL</b> item 28, page 14.	Destroy in office after 3 years.*	
44.	<b>VENDOR FILE</b> Records concerning specific vendors. May include accounts payable activity, Federal Tax Identification Number, name and address, correspondence and related records.	Destroy in office when administrative value ends.	
45.	<b>VOUCHER REGISTERS FILE</b>	Destroy in office after 3 years.*	
46.	<b>VOUCHERS</b>	Destroy in office after 3 years.*	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
47.	<p><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.</p>	<p>a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification.</p> <p>b) Destroy all remaining records in office after 4 years.*</p>	<p>Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.</p> <p>29 CFR 1627.3  26 CFR 31.6001-1  26 CFR 31.6001-4</p>

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.



**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)).*

<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
<b>GENERAL ADMINISTRATION</b>			
Records concerning IT policy development, planning, and the coordination of activities.			
1.	<b>ADMINISTRATION FILE</b> Records concerning the administration of IT services. May include correspondence, memorandums, reports, publications, and other related records.	a) Retain records with historical value permanently. b) Destroy in office when superseded or obsolete.	
2.	<b>POLICIES AND PROCEDURES</b> Records concerning policies and procedures. May include systems development, data retention and disposition, and data ownership, access and security.	a) Retain official copy of internal agency policies permanently. b) Destroy reference copies and external policy procedures when superseded or obsolete.	
3.	<b>SERVICES PLANNING FILE</b> Plans for information resources management, information systems development, technology acquisitions, data processing services provision, and related functions.	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.	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
4.	<p><b>PROCUREMENT (HARDWARE &amp; SOFTWARE) FILE</b>            Reference copies of records concerning the procurement of system hardware and software. May include request for proposals, proposals, quotations and bids, benchmark/acceptance testing information, correspondence, 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 when reference value ends.</p>	
5.	<p><b>PROCUREMENT (IT SERVICES) FILE</b>            Reference copies of records concerning the purchasing process, authorize and provide funds for payments, and satisfy claims by private service providers. May include purchase orders, invoice requests, receipts, agency vouchers, service reports, and other supporting documentation.</p>	<p>Destroy in office when reference value ends.</p>	
6.	<p><b>USER CHARGE BACK FILE</b>            Records concerning documentation of usage, calculation of costs, and billing of program units for IT services.</p>	<p>Destroy in office after 3 years. *</p>	
<p><b>SYSTEMS AND APPLICATION DEVELOPMENT</b>            Records concerning the development, modification, procurement, and testing of systems and applications.</p>			

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
7.	<p><b>APPLICATION DEVELOPMENT PROJECT FILE</b></p> <p>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.</p>	<p>Destroy in office 3 years after completion of project.</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>	
8.	<p><b>APPLICATION DOCUMENTATION FILE</b></p> <p>Records concerning program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.</p>	<p>Destroy in office 1 year after program is superseded or obsolete. *</p>	
9.	<p><b>DATA DOCUMENTATION FILE</b></p> <p>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>	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
10.	<p><b>SYSTEMS DOCUMENTATION 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 superseded or obsolete.</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>	
11.	<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>	<p>Destroy in office 3 years after associated source code is superseded or obsolete. *</p>	
12.	<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><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>			
13.	<p><b>AUDIT TRAILS FILE</b> Records documenting user actions affecting the contents of monitored systems.</p>	<p>Destroy in office after 3 years. *</p>	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
14.	<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.	Destroy in office when administrative value ends. *	
15.	<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.	Destroy in office when superseded or obsolete and after transfer of data to new hardware environment.	
16.	<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.	Destroy in office after completion of data entry and after all verification and quality control procedures.  <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>	
17.	<b>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.	
18.	<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 40, page 7.  b) Destroy all other records in office after 3 years.*	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
19.	<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.	
20.	<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.*	
21.	<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.			
22.	<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, or origin of data. May include information on data element definitions, data structures or file layout, code tables, and other data attribute information.	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.  <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 offline. 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>	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
23.	<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.	Destroy in office when superseded or obsolete.	
24.	<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.	Destroy in office when related paper or electronic records have been destroyed or transfer in accordance with the disposition of the related paper or electronic records, as appropriate.	
<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.			
25.	<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.	
26.	<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. *	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
27.	<p><b>SITE, EQUIPMENT, AND SOFTWARE SUPPORT FILE</b></p> <p>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 and memorandums.</p>	<p>a) Destroy service histories and other summary records when equipment or software is no longer in use.</p> <p>b) Destroy remaining records after 3 years.</p>	
28.	<p><b>TRAINING COURSE INFORMATION</b></p> <p>Records concerning training courses run by a user support or office automation support group. May include memorandums, flyers, catalogues, registration forms, rosters, and other related records.</p>	Destroy in office when superseded or obsolete.	
<p><b>NETWORK AND DATA COMMUNICATION SERVICES</b></p> <p>Records concerning installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and communications with network providers.</p>			
29.	<p><b>CIRCUITS INVENTORIES FILE</b></p> <p>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.</p>	Destroy in office when superseded or obsolete.	
30.	<p><b>NETWORK AND CIRCUIT INSTALLATION AND SERVICE FILE</b></p> <p>Records concerning requests by departments to public or private providers for data communication service, installation, or repair. May include work orders, correspondence, memorandums, 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.

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.



<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
31.	<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.	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
32.	<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.	a) Destroy service histories and other summary records when equipment is no longer in use. b) Destroy remaining records after 3 years.	
<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>			
33.	<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 site, agency Telnet services, or other service providers.	Destroy in office when administrative value ends.*	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
34.	<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.*	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
35.	<b>COMPUTER USAGE FILE</b> Electronic files or automated logs created to monitor computer system usage. May include log-in files, system usage files, data entry logs, data concerning individual computer program usage, security logs, and other related records.	Destroy in office when administrative value ends.*	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
36.	<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 other records when superseded or obsolete.	
37.	<b>NETWORK USAGE FILE</b> Electronic files or automated logs created to monitor network usage. May include log-in files, system usage files, and other related records.	Destroy in office when administrative value ends.*	
38.	<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.*	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
39.	<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.)	Destroy in office in accordance with your office's established, regular backup plan and procedures. <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>	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.

<b>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
40.	<b>SYSTEM USERS ACCESS RECORDS</b> Records concerning control or monitoring individual access to a system and its data.	Destroy in office after access for employee is withdrawn. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

**STANDARD-4. LEGAL RECORDS**

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

<b>STANDARD-4: LEGAL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
1.	<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.	a) Retain permanently if record provides only evidence of action(s) taken. b) Destroy remaining records in office after 3 years.*	G.S. § 1 Article 50
2.	<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.	a) Destroy in office 2 years after final disposition of the charge. b) Transfer to <b>LITIGATION CASE RECORDS</b> item 11, page 31 if legal action is taken.	
3.	<b>CONTRACTS AND AGREEMENTS</b> Contracts and agreements for construction, equipment, supplies, services, special programs, and projects. May include franchise agreements and memorandums of understanding.	a) Destroy construction (capital improvements) contracts 6 years after completion or termination of project.* b) Destroy all other contracts and agreements 3 years after expiration, termination, or completion.* c) Retain contracts and agreements with historical value permanently.	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

**STANDARD-4: LEGAL RECORDS**

<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
4.	<p><b>CORRESPONDENCE (LEGAL)</b> Correspondence and related records concerning actions taken to recover debts, fines, penalties, and assure violations are addressed.</p>	<p>a) Destroy in office 3 year after resolution. b) Transfer to <b>LITIGATION CASE RECORDS</b> item 11, page 31 if legal action is taken.  See also <b>Public Records with Short Term Value</b> page x. For information on handling electronic mail, See <b>Electronic Records and Digital Imaging</b> section page vii.</p>	Comply with provisions of G.S. § 132-1.1(a) regarding the confidentiality of written communications by legal council.
5.	<p><b>CRIMINAL JUSTICE PARTNERSHIP PROGRAM RECORDS</b> Includes client case files and related records pertaining to county Day Reporting Centers and all other Criminal Justice Partnership Program initiatives.</p>	Destroy 5 years from date of service termination.	G.S. § 122C-51 through 56
6.	<p><b>EASEMENTS AND RIGHT OF WAY AGREEMENTS</b> Granted to and by the agency.</p>	<p>a) Retain originals permanently. b) Destroy copies in office when administrative value ends.</p>	
7.	<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 original records 6 years from date of termination or settlement of all claims, whichever occurs first.* b) Destroy copies in office when administrative value ends.</p>	
8.	<p><b>LEASES FILE</b> Records concerning leases for property leased by and from other parties and agency property leased to the public.  See also <b>GRANTS</b> item 23, page 4.</p>	<p>a) Destroy original records 3 years after termination of lease.* b) Destroy copies in office when administrative value ends.</p>	
9.	<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. b) Destroy copies in office when administrative value ends.</p>	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

**STANDARD-4: LEGAL RECORDS**

<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
10.	<p><b>LEGAL REVIEW RECORDS</b> Includes legal reviews of by-laws and charges to boards and commissions, conflict of interest, and all other departmental matters as requested.  See also <b>LEGAL OPINIONS</b> item 9, page 31.</p>	<p>a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends or expiration of relevant statute of limitations; whichever is longer.</p>	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal council.
11.	<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. b) Destroy in office adjudicated cases 5 years after final disposition. c) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations; whichever is longer.  <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 council.
12.	<p><b>OATHS OF OFFICE FILE</b></p>	<p>a) Transfer official copy to the County Clerk to the Board. b) Destroy in office 3 years after official termination.  <i>Retention Note: The County Clerk to the Board should present a copy of the oaths of elected officials to the Clerk of Superior Court for recording. The County Clerk to the Board maintains the original oaths.</i></p>	
13.	<p><b>PRE-TRIAL RELEASE PROGRAM</b> Includes case files and personnel case plans of individuals participating in the program. Includes electronic monitoring, drug screens, employment or school verification forms and records of rehabilitation activities.</p>	<p>a) Destroy records concerning individuals approved for the program 3 years from date of service termination. b) Destroy records concerning individuals not approved for the program when administrative value ends.</p>	
14.	<p><b>OWNERSHIP RECORDS (DEEDS, TITLES)</b></p>	<p>Destroy in office 1 year after county relinquishes ownership of land.*</p>	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-4: LEGAL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
15.	VEHICLE TITLES	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	
16.	WARRANTIES	Destroy in office 1 year after expiration of warranty.	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

**STANDARD-5. PERSONNEL RECORDS**

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

<b>STANDARD-5: PERSONNEL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
1.	ABOLISHED POSITION FILE	Destroy in office when reference value ends.	
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 after 5 years all reports, analyses, and statistical data. 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)
6.	APTITUDE AND SKILLS TESTING RECORDS 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.  See also <b>EMPLOYMENT SELECTION RECORDS</b> item 33, page 39.	a) Destroy applicant and employee test papers 2 years from date record was created. b) Destroy in office validation studies and copies of tests 2 years after no longer in use. c) Destroy records relating to the planning and administration of tests in office after 2 years.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49



<b>STANDARD-5: PERSONNEL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
7.	<b>CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS</b>	<ul style="list-style-type: none"> <li>a) Destroy in office administrative records after all audits plus 3 years.</li> <li>b) Destroy yearly enrollment records after 1 year.</li> <li>c) Destroy claim records and receipts after all audits plus 3 years.</li> </ul>	
8.	<b>COBRA RECORDS (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT)</b> Includes notifications, election and claim forms, rejection letters and similar information.	Destroy in office 3 years from date eligibility ended.	29 USC 1161 26 USC 4980B 42 USC 300-bb-1
9.	<b>DEFERRED COMPENSATION FILE</b>	Destroy in office when reference value ends.	
10.	<b>DISABILITY SALARY CONTINUATION CLAIMS</b>	<ul style="list-style-type: none"> <li>a) Transfer original forms to Local Government Retirement System for action when received.</li> <li>b) Destroy in office reference copies after 1 year.</li> </ul>	
11.	<b>DISCIPLINARY FILE</b> Correspondence 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 on appeal, an adverse action against an employee.	<ul style="list-style-type: none"> <li>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 42.</li> <li>b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.</li> </ul>	29 CFR 1602.14 29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

**STANDARD-5: PERSONNEL RECORDS**

<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
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 after 5 years 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.</p> <p>b) Destroy in office after 3 years records obtained from previous employers concerning drug and alcohol test results.</p> <p>c) Destroy in office after 2 years 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.</p> <p>d) Destroy in office after 1 year records of negative and cancelled drug or alcohol test results, including alcohol test results with a concentration of less than 0.02.</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>
13.	<p><b>DUAL EMPLOYMENT FILE</b>                      Records concerning employees' requests and authorizations to accept secondary employment.</p>	<p>a) Destroy approved requests and related records 1 year after employee terminates outside employment.</p> <p>b) Destroy unapproved requests and related records after 6 months.</p>	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-5: PERSONNEL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
14.	<b>EDUCATIONAL LEAVE AND REIMBURSEMENT FILE</b>	<p>a) Destroy in office records concerning approved requests when released from all audits.</p> <p>b) Destroy in office records concerning disapproved requests 6 months after disapproval.</p>	
15.	<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 39.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 42.</p> <p>b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.</p>	
16.	<b>EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES</b> Includes records listing employees, their job titles, work locations, phone numbers, e-mail address, and similar information.	Destroy in office when superseded or obsolete.	
17.	<b>EMPLOYEE BENEFITS REGISTER</b>	Destroy in office after 2 years.	
18.	<b>EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS</b> Includes records requesting tuition assistance, repayments, and other related records.	Destroy in office 3 years after completion, denial, repayment, and removal from program or until audited, whichever is later.	
19.	<b>EMPLOYEE ELIGIBILITY RECORDS</b> Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification forms (1-9) forms.	<p>a) Destroy certificates, 1-9 forms, statements, etc. in office 3 years after individual was hired or 1 year from date of separation, whichever is longer.</p> <p>b) Destroy registers in office after 2 years.</p>	8 USC 1324(b)

**STANDARD-5: PERSONNEL RECORDS**

<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
20.	<b>EMPLOYEE EXIT INTERVIEW RECORDS</b>	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 42. b) Destroy all remaining records in office after 1 year.	
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).	Destroy in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	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 exposure records 40 years from date of exposure or 30 years from date of separation, whichever occurs later.* b) Destroy records pertaining to job-related illness and injury in office after 5 years. c) Destroy results of medical examinations required in connection with personnel actions and similar records in office after 1 year.	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.	<i>Retention Note: Records must be maintained separately from an employee's personnel jacket.</i> Destroy in office 1 year after plan is terminated.	29 CFR 1627.3
24.	<b>EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS</b> Forms providing personal identifying data, beneficiary information, option selection, and similar information.	a) Transfer pension and deferred compensation enrollment forms to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 42. b) Destroy life, health, and disability insurance enrollment forms 4 years after termination of coverage.	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-5: PERSONNEL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
25.	<b>EMPLOYEE PERFORMANCE REVIEW FILE</b>	<p>a) Destroy in office after 3 years supervisor approved, signed work plans.</p> <p>b) Destroy in office remaining records when administrative value ends.</p>	
26.	<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 the tested. Copies of opinions, reports, or similar records generated by the examiner and provided to the agency.	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.	29 CFR 801.30
27.	<b>EMPLOYEE SECURITY RECORDS</b> Records concerning the issuance of keys, identification cards, pass, parking permits, etc., to employees.	Destroy in office when administrative value ends.	
28.	<b>EMPLOYEE SUGGESTIONS</b>	Destroy in office when administrative value ends.	
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 42 if such training and testing is required for the position held or could affect career advancement. Destroy remaining records when administrative value ends.</p> <p>b) Destroy in office non-employee-specific records 1 year from date record was created.</p>	29 CFR 1627.3
30.	<b>EMPLOYEE WORK SCHEDULES AND ASSIGNMENT RECORDS</b> Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office when administrative value ends.	

**STANDARD-5: PERSONNEL RECORDS**

<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
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 42.</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, whichever is longer.</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 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>
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 33.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 42.</p> <p>b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3</p>

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

<b>STANDARD-5: PERSONNEL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
34.	<b>EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS</b> Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the county.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 42 b) Destroy all remaining records in office 2 years after resolution of case.*	29 CFR 1602.31
35.	<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.	Destroy in office after 3 years.	29 CFR 1602
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.	
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 34.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 42. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<b>STANDARD-5: PERSONNEL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
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.	
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 leave ends.* b) Destroy in office records concerning non-military service leave 5 years after leave ends.*	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 employee-specific records in office 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 42. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	



<b>STANDARD-5: PERSONNEL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
48.	<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.	Destroy in office 30 years from date of separation. See also <b>EMPLOYEE MEDICAL RECORDS</b> item 22, page 37.	G.S. § 160A-168 (Municipal Employees) G.S. § 153A-98 (County Employees)
49.	<b>PERSONNEL RECORDS (REFERENCE COPY)</b> Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 42. b) Destroy remaining records when administrative value ends.	
50.	<b>POLICIES AND PROCEDURES (PERSONNEL)</b>	a) Retain official copy of internal agency personnel policies permanently. b) Destroy reference copies and external policy procedures when superseded or obsolete.	
51.	<b>POSITION CLASSIFICATION- POSITION HISTORY FILE</b>	Retain in office permanently.	
52.	<b>POSITION CONTROL CARDS</b>	Destroy in office when reference value ends.	
53.	<b>POSITION DESCRIPTION RECORDS</b> Includes information on job title, grade, duties, agency assigned, duties and responsibilities.	Destroy in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	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.	
55.	<b>SALARY SURVEY RECORDS</b>	Destroy in office when administrative value ends.	

<b>STANDARD-5: PERSONNEL RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
56.	<b>SERVICE AWARDS AND COMMENDATIONS</b> File 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 42.  b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	
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.	Destroy in office 1 year 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 Department of Commerce, Unemployment Insurance Division, when received.  b) Destroy in office remaining records after 2 years.	
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.	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

**STANDARD-5: PERSONNEL RECORDS**

<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
62.	<p><b>WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE</b> Includes program policies, guidelines, and related administrative documentation.</p>	<p>a) Retain records with historical value permanently. b) Destroy in office when administrative value ends.</p>	
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. May also include 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.* b) If official action has been initiated, transfer to <b>LITIGATION CASE RECORDS</b> item 11, page 31.</p>	<p>Comply with applicable provisions of G.S. § 8-53 regarding the confidentiality of physician-patient records.</p>

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

**STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS.**

Records received and created by a county sheriff department necessary to meet all statutory requirements. Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of law enforcement records.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCREDITATION RECORDS</b> Records concerning compliance with those standards outlined by professional law enforcement agencies' accreditation programs.	Destroy in office 1 year after accreditation is obtained, renewed, or no longer valid.*	
2.	<b>ACTIVITY REPORTS</b> Reports of activities of officers on each shift or special detail worked. Includes lists of information on occurrence of all criminal activity, complaints and arrests, traffic violations and accidents, rescue service calls, hours worked, miles traveled, location of call, type of call, time of call, papers served, and other related information. (This information is normally collected by the day and month for statistical reporting.)	Follow disposition instructions for <b>REPORTS AND STUDIES (INTERNAL ADMINISTRATION)</b> item 42, page 8.	
3.	<b>ALARM CALL REPORTS</b> Reports completed by officers responding to alarm calls. Includes listings of alarm type, time received, time arrived, reason for activation, and other related information. May include forms completed by businesses naming emergency contacts, location of safe, and other related information.	a) Destroy in office when administrative value ends if records are not made part of a case file.  b) If records are made part of a case file follow applicable disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.	
4.	<b>ALTERNATIVE SENTENCING PROGRAMS</b> Records documenting alternative sentencing programs including work release and weekend service.	Destroy in office 3 years after individual leaves program.	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>ANIMAL CONTROL RECORDS</b> Reports of animal control calls. May include information regarding animal bites, animals received from citizens, strays caught, animals taken to shelter or returned to owner, use of tranquilizer guns, and other related information.	a) Destroy in office records concerning dangerous animals until known dead or after 10 years. b) Destroy in office records concerning animal abuse cases after 5 years. c) Destroy in office remaining records after 1 year.	G.S. 105-284
6.	<b>ARREST PROCESSING: TRACKING RECORDS</b> Records used to track a defendant's time and activities while in arrest processing. May include time of arrival and time to and from each workstation.	Destroy in office 1 year after date of arrest.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
7.	<b>ARREST PROCESSING: DWI TRACKING RECORDS</b> Records used to track a defendant's time and activities while in arrest processing. May include time of arrival and time to and from each workstation, time to and from the magistrate's office, time allowed to use the telephone, and notes documenting any unusual and/or violent behavior.	Destroy in office 2 years after date of arrest.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
8.	<b>ARREST REPORTS</b> Reports concerning arrests made by officers. May include complete name, alias or nickname of person arrested; residence; sex; age; date of birth; physical description; offense committed; car make; license number; occupation; telephone numbers; names of witnesses; name of arresting officer(s); and other related information.	a) Destroy in office 5 years from date of last arrest if report is not made part of a case file. b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p><b>AUCTION RECORDS</b> Records concerning abandoned and unclaimed articles and found property sold at public auction. May include auction receipts of monies received for items sold.</p>	<p>Destroy in office after 3 years.*</p>	
10.	<p><b>CASE HISTORY FILE: FELONIES</b> Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports; statements of seized and returned property, interview sheets; case status reports, photographs, court orders, correspondence; officer's notes, laboratory tests, court dispositions and other related records.</p> <p>See also <b>ELECTRONIC RECORDINGS OF INTERROGATIONS (HOMICIDE)</b> item 34, page 52.</p>	<p>a) Destroy in office records concerning solved cases after 20 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.</p> <p>b) Retain in office records concerning unsolved cases until solved, and then follow disposition instructions in part (a).</p>	<p>Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.</p>
11.	<p><b>CASE HISTORY FILE: MISDEMEANORS</b> Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports, statements of seized and returned property, interview sheets, case status reports, photographs, court orders, correspondence, officer's notes, laboratory tests, court dispositions; and other related records.</p>	<p>a) Destroy in office records concerning solved malicious misdemeanor cases after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.</p> <p>b) Retain in office records concerning unsolved malicious misdemeanor cases until solved, and then follow disposition instructions in part (a).</p> <p>c) Destroy in office records concerning all misdemeanor cases not covered in (a) or (b) after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.</p>	<p>Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.</p>

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<b>CASE HISTORY FILE: CASES NOT OFFICIALLY INVESTIGATED</b>	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
13.	<b>CHEMICAL ANALYSIS RECORDS</b> Records and reports generated when individuals suspected of being under the influence of illegal drugs or alcohol are chemically tested.	a) Destroy in office when administrative value ends if records are not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.	
14.	<b>CITIZEN COMPLAINTS/ADMINISTRATIVE INVESTIGATION RECORDS</b> Citizen complaints against employees of the department. May include administrative investigation reports initiated within the sheriff's office.  See also <b>INTERNAL AFFAIRS CASE RECORDS</b> item 62, page 59.	Destroy in office 1 year after resolution.  Transfer to <b>LITIGATION CASE RECORDS</b> item 11, page 31 if legal action is taken.	
15.	<b>CIVIL PROCESS RECORDS</b> Records concerning civil papers processed and served by sheriff's office. May include lists of summons, notices, subpoenas, and court orders served; lists of items seized or sold on executions; lists of judgments collected, and ejectments. (Entries are usually filed numerically by case number and indexed by name).  See also <b>ACCOUNTS RECEIVABLE</b> item 2, page 11.	a) Return originals to issuing clerk of court's office as required by law once served, canceled, withdrawn or otherwise disposed of. b) Destroy in office after 3 years records concerning judgments collected and similar claims and deliveries.* c) Destroy in office records concerning all other civil orders including department copies of warrants, subpoenas and orders of arrest when administrative value ends.	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<b>COMMUNICATIONS RECORDS</b> Tapes, printouts, and logs of telephone, radio, dispatch, 911 emergency calls, and computer aided dispatch (CAD) systems incoming and/or outgoing communications. May include time and date of call, contents of call, location of call, name of unit sent to scene, and other related information.	a) Destroy in office after 30 days.* b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE; FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE; MISDEMEANORS</b> item 11, page 47.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
17.	<b>COMPLAINTS FILE</b> Records concerning complaints to which a unit responded. May include logs listing name and address of victim, time, date, nature of complaint, responding officer's name, action taken, and other related information.	a) Destroy in office when administrative value ends if records are not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for <b>CASE HISTORY FILE; FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE; MISDEMEANORS</b> item 11, page 47.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
18.	<b>COMPOSITE INTERVIEWS</b> Summaries of interviews used to determine the physical description of suspects. May include race, sex, build, weight, eye and hair color, skin tone, weapon description, and other related information.	a) Destroy in office when administrative value ends if not made part of case file. b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE; FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE; MISDEMEANORS</b> item 11, page 47.	
19.	<b>CONFIDENTIAL FUNDS FILE</b> Records concerning the use of confidential funds for vice/narcotics and special investigations.	Destroy in office after 3 years. *	
20.	<b>CRIME ANALYSIS RECORDS</b> Records used to anticipate, prevent, or monitor possible criminal activity. May include crime reports, photographs, complaints, copies of citations, criminal profile information, and interoffice memorandums generated or accumulated in connection with investigations or directed patrols.	a) Destroy in office when administrative value ends if not made part of case file. b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE; FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE; MISDEMEANORS</b> item 11, page 47.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.



STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	<b>CRIME PREVENTION RECORDS</b> Records concerning sheriff's office and community meetings and other functions which seek to prevent or monitor possible criminal activity. May include meeting schedules and agendas and other related records.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
22.	<b>CRIMINAL HISTORY RECORDS</b> Records concerning the arrest history of individuals. May include summary sheets or cards, arrest reports, mug shots, fingerprint cards, and other related records.	a) Destroy in office when administrative value ends if not made part of case file. b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE; FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE; MISDEMEANORS</b> item 11, page 47.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
23.	<b>DAILY BULLETINS</b> Daily bulletins used to provide officers with information concerning stolen vehicles, missing persons, new warrants, wanted persons, and any other specific complaint or incident. May include "be on the lookout" records and forms.	Destroy in office when administrative value ends.	
24.	<b>DEATH OF INMATE REPORTS</b> Reports filed by office upon the death of an inmate. A report must be sent to the county health director and N.C. Department of Health and Human Services, within five days of the death.	Destroy in office after 3 years.*	G.S. §153A-225
25.	<b>DETENTION FACILITY INSPECTION RECORDS</b> Inspection reports of county detention facilities. May include reports made by the N.C. Department of Health and Human Services.	a) Destroy in office after 1 year from date of report if no violations are recorded. b) If violations are recorded destroy in office 1 year after corrective action was approved.	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
26.	<p><b>DETENTION FACILITY OPERATIONAL RECORDS</b></p> <p>Records concerning all activities occurring during shifts at detention facilities. May include end of duty (shift change reports, key and radio control lists, equipment and inmate/non-inmate housing check lists, cell inspection reports, laundry exchange and controlled property lists, tour reports, etc.) and inmate accountability (rosters, commitment and release reports, cell locations, etc.) records.</p>	Destroy in office after 1 year.*	
27.	<p><b>DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) ENTRIES</b></p> <p>Records and logs listing entries and inquiries made against DCI-NCIC networks and concerning missing persons, wanted persons, stolen vehicles or other property, and other related topics.</p>	Destroy in office 1 year after period covered by audit.*	
28.	<p><b>DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) VALIDATION RECORDS</b></p> <p>Requests and proofs of verification for DCI-NCIC or other law enforcement information networks.</p>	Destroy in office after 1 year.*	
29.	<p><b>DNA SAMPLING RECORDS</b></p> <p>Records documenting the collection of DNA samples from persons for qualifying offenses. Samples are forwarded to the N.C. State Bureau of Investigation. May include copies of judgments.</p>	<p>a) Destroy in office 1 year from date sample was obtained.</p> <p>b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.</p>	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<b>DOMESTIC VIOLENCE: ACTIVITY REPORTS</b> Report concerning statistical information relating to the Domestic Violence Unit including orders served, miles driven, hours worked and arrests made.	Follow disposition instructions for <b>REPORTS AND STUDIES (INTERNAL ADMINISTRATION)</b> item 42, page 8.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
31.	<b>DOMESTIC VIOLENCE RECORDS</b> Restraining orders and related records.	a) Destroy in office after order expiration of order if not made part of a case file. b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
32.	<b>DRIVING UNDER THE INFLUENCE (DUI) REPORTS FILE</b> Reports used for persons arrested for driving under the influence of alcohol. May include breathalyzer analysis reports.	a) Transfer original records to county clerk of superior court's office. b) Destroy in office reference copies when administrative value ends if not made part of a case file. c) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.	
33.	<b>DWI KNOLL MOTIONS</b> Copies of motions to suppress evidence and related documentation.	Destroy in office 3 years from date motion was filed.	G.S. § 20-38.6
34.	<b>ELECTRONIC RECORDINGS OF INTERROGATIONS (HOMICIDE)</b>	Destroy in office electronic recordings of homicide interrogations of convicted defendants 1 year after the completion of all State and Federal appeals of the conviction.	G.S. § 15A-211

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	<b>EMERGENCY ACTION RECORDS</b> Response plans and procedures to be taken in the event of a fire, disaster, bomb threat, or other emergency. May include records documenting emergency drills.	Destroy in office when superseded or obsolete.	
36.	<b>EQUIPMENT INVENTORY AND ISSUANCE RECORDS</b> Inventories of equipment issued to all personnel.	Destroy in office when superseded or obsolete.	
37.	<b>EXPUNCTIONS</b> Records concerning the expunction of a convicted individual's records. May include petitions, affidavits, and other related records. If the petition is approved all records relating to that case are to be destroyed in accordance with the court order.	Transfer Final Disposition Report to the State Bureau of Investigation once all records relating to the case are expunged.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.  G.S. §15A-145 G.S. §15A-146 G.S. §90-96 G.S §90-113-14
38.	<b>EXTRADITION CASE RECORDS</b> Records concerning the extradition of prisoners in and out of state. May include court orders, correspondence, and other related records.	Follow applicable disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.	
39.	<b>FEDERAL FIREARMS NOTIFICATION RECORDS</b> Copies of records and forms provided by individuals apply for certain federal firearm licenses.	Destroy in office when administrative value ends.	18 USC 923(d)(1)(f)(iii)
40.	<b>FEDERAL FORFEITURE RECORDS</b> Records concerning funds received from seized assets and records concerning expenditures made with federal forfeiture funds.	Destroy in office after 3 years.*	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	<b>FIELD OBSERVATION REPORTS</b> Reports concerning field observations of suspicious persons or vehicles. May include subject's name, address, and physical description; date, time, and location of occurrence; reason for stop; name of officer conducting interview; and other related information.	<ul style="list-style-type: none"> <li>a) Destroy in office when administrative value ends if not made part of case file.</li> <li>b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.</li> </ul>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
42.	<b>FINGERPRINT CARDS</b> Numerically numbered index or similar record used to verify a subject's identity. May include fingerprints and all necessary information required to identify an individual. Fingerprint cards are often part of a case or criminal history file.	<ul style="list-style-type: none"> <li>a) Transfer original copy of fingerprint records to State Bureau of Investigation in accordance with G.S. §15A-502</li> <li>b) Destroy in office duplicate records after 3 years.</li> </ul>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
43.	<b>FINGERPRINT CARDS (LATENT)</b> Latent finger and palm prints which were found at the scene of a crime without identification of suspects.	<ul style="list-style-type: none"> <li>a) Transfer original copy of fingerprints to State Bureau of Investigation in accordance with G.S. §15A-502.</li> <li>b) Retain in office duplicate records concerning investigated cases according to applicable disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.</li> </ul>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
44.	<b>FORCIBLE ENTRY REPORTS</b> Reports concerning forcible entries made by sheriff's office personnel.	Destroy in office after 1 year.	
45.	<b>FUGITIVE WARRANTS CASE RECORDS</b> Records concerning fugitive warrant sent to a department from another jurisdiction requesting assistance in finding an individual. May include fugitive profile and warrant.	Destroy in office 1 year after case is closed.	

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
46.	<b>HANDGUN PERMITS</b> Applications filed for handguns and concealed handguns. May include lists of permit holders, records of background checks, and other related documentation.	<ul style="list-style-type: none"> <li>a) Destroy in office all approved applications 5 years after the date of last renewal.</li> <li>b) Destroy in office criminal histories and related records concerning approved applications when permit is issued.</li> <li>c) Destroy in office denied applications and related records 5 years from date of denial, or resolution of petition filed with district court, whichever is longer.</li> </ul>	G.S. §14-415
47.	<b>IDENTIFICATION PHOTOGRAPHS</b> Photographs (mug-shots) and negatives of persons arrested in association with formal investigations. May include driver's license photos.	<ul style="list-style-type: none"> <li>a) Destroy in office after 3 years if not made part of a case file.</li> <li>b) If record is made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.</li> </ul>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
48.	<b>IMMIGRATION AND CUSTOMS ENFORCEMENT (ICE) DETAINEE RECORDS</b> Records concerning individuals incarcerated in county detention facilities per the U.S. Illegal Immigration Reform and Immigrant Responsibility Act (IIRAIRA), Section 287(g).	Destroy in office 3 years after individual is released (transferred) from the facility.	
49.	<b>INCIDENT/OFFENSE REPORTS</b> Reports completed by officers responding to incidents. May include victim, suspect and witness information; damaged and stolen property reports; statement sheets; Miranda waiver forms; and other related records.	<ul style="list-style-type: none"> <li>a) Destroy in office records not made part of a case file when administrative value ends.</li> <li>b) If record is made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.</li> </ul>	

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
50.	<p><b>INCIDENT REPORTS: DETENTION FACILITY</b> Detention facility incident reports. Include narratives of incidents, lists of those involved, statements and interview reports, inmates' refusal of medical treatment, inmates' refusal to press charges, and other related records.</p> <p>See also <b>LITIGATION CASE FILES</b> item 11, page 31 if legal action is taken.</p>	<p>Follow disposition instructions for <b>ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)</b> item 1, page 71.</p>	
51.	<p><b>INFORMANT RECORDS</b> Records concerning informants. May include correspondence, payment records, and other related records.</p>	<p>a) Destroy in office records not made part of a case file when administrative value ends.</p> <p>b) If record is made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.</p>	<p>Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.</p>
52.	<p><b>INMATE CLASSIFICATION RECORDS</b> Records concerning classification information gathered by the detention facility while inmates are incarcerated. May include incident reports, behavioral or disciplinary reports, interviews, classification level assigned, requested housing moves, and other related records.</p>	<p>a) Destroy in office after 3 years from date of release or transfer of inmate.*</p> <p>b) Destroy in office records concerning Immigration and Customs Enforcement (ICE) detainees with no state or federal charges when individual is released (transferred) from the facility.</p>	
53.	<p><b>INMATE COMMITMENT RECORDS</b> Copies of judgment and commitment papers (PC 107s) received from the Clerk of Superior Court's office used to validate time spent incarcerated.</p>	<p>Destroy in office when administrative value ends.</p>	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
54.	<b>INMATE FINANCIAL RECORDS</b> Records concerning individual inmate funds maintained by a detention facility for use by the inmate while incarcerated. May include balance sheets listing inmate's name and number, amount of funds, dates of deposits and withdrawals, and other related information.	Destroy in office after 3 years from date of release or transfer of inmate.*	
55.	<b>INMATE GRIEVANCE RECORDS</b> Records concerning grievances filed by inmates and actions taken.	Destroy in office 3 years from date of release or transfer of inmate.* If legal action is taken follow disposition instructions for <b>LITIGATION CASE FILES</b> item 11, page 31.	
56.	<b>INMATE INCARCERATION RECORDS (ACTIVE AND INACTIVE)</b> Records concerning non-medical information gathered on inmates in county detention facilities. May include entry and release summaries, detainees' arrest sheets; court commitment and release orders, work release records, pretrial release agreements, and other related records concerning the arrest and confinement of an individual.	Destroy in office 3 years from date of release or transfer of inmate.*	
57.	<b>INMATE LAW LIBRARY (RESEARCH) REQUESTS</b> Requests filed by inmates seeking use of a facility's law library or similar collection containing research materials.	Destroy in office 1 year from date of request.	
58.	<b>INMATE MAIL/TELEPHONE/VISITOR RECORDS</b> Records concerning telephone calls and mail sent and received by inmates, and attorneys, ministers, or family members visiting inmates confined in county detention facilities. May include logs listing inmate's name, date and time of call or mail, visitor's signature and address, and other related information.	Destroy in office after 1 year.*	

\*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.



STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
59.	<p><b>INMATE MEAL RECORDS</b> Records concerning the planning and scheduling of inmate meals. May include food service daily shift reports, daily meal sheets, food order forms, kitchen checklists, lists of inmates receiving meals and other related records.</p>	Destroy in office after 3 years.*	10A NCAC 14J .1723
60.	<p><b>INMATE MEDICAL RECORDS</b> Records concerning medical examinations, diagnoses, and treatments of inmates. May include medical information sheets and screening forms, medical histories as provided by inmate, receipt and/or release forms for medications and medical articles, laboratory and x-ray reports, blood pressure records, sick bay transfer forms, special diet authorizations, psychological evaluation forms, suicide watch sheets, progress notes, health assessment forms, dental forms, doctors' orders, transportation records to outside clinics or hospitals, and other related records. May also include authorization records for release of medical information to detention facility staff, informed consent forms, refusal of treatment forms, and release of financial responsibility forms.</p>	Destroy in office 5 years from date of release or transfer of inmate.*	Comply with applicable provisions of G.S. §8-53 regarding confidentiality of records.
61.	<p><b>INMATE PERSONAL IDENTIFICATION RECORDS</b> Records concerning changes to be made to an inmate's incarceration file. May include personal identification changes, superior court calendar, long form dismissals and other related records.</p>	Destroy in office 30 days after receipt.*	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
62.	<b>INTERNAL AFFAIRS CASE RECORDS</b> Records concerning internal investigations of alleged officer misconduct. May include complaints, investigation reports, and other related records.	<ul style="list-style-type: none"> <li>a) Transfer records concerning substantiated cases as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 42.</li> <li>b) Destroy in office records concerning unsubstantiated cases when administrative value ends.</li> </ul>	
63.	<b>JUVENILE CASE HISTORY FILES</b> Includes incident and arrest reports, detention orders, disposition instructions, name and address of person having legal and/or physical custody of child, fingerprint cards, photographs, correspondence with county or state juvenile services, and other related records.	<ul style="list-style-type: none"> <li>a) Destroy records when juvenile reaches 21 years of age if adjudicated for an offense that would have been a Class A, B1, B2, C, D, or E felony if committed by an adult.</li> <li>b) Destroy records related to all other cases when juvenile reaches 18 years of age.</li> </ul>	Comply with applicable provisions of G.S. §7B Juvenile Code regarding confidentiality of records.
64.	<b>JUVENILE DETENTION RECORDS</b> Records concerning medical and non-medical information gathered on juvenile inmates held in county detention facilities.	<ul style="list-style-type: none"> <li>a) Destroy in office medical records when juvenile reaches 21 years of age.</li> <li>b) Destroy in office non-medical records when juvenile reaches 18 years of age.</li> </ul>	Comply with applicable provisions of G.S. §7B Juvenile Code regarding confidentiality of records.
65.	<b>LIST OF INMATES REPORTS</b> Lists of inmates furnished weekly to the clerk of superior court.	Destroy in office when administrative value ends.	G.S. §153A-229 G.S. §7A-109.1
66.	<b>MASTER INDEX FILE</b> Alphabetical or numerical indexes containing information on each individual having contact with the sheriff's office either as a witness, complainant, victim, or arrested person. May include indexes used to locate cases or any other record used or created by the department.	Destroy in office when superseded or obsolete.	

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
67.	<b>MOBILE UNIT VIDEO TAPES</b> Tapes generated by mobile audio and video recording equipment installed in patrol vehicles.	a) Destroy in office after 30 days if not made part of a case file. b) If record is made part of a case file follow disposition instructions for <b>CASE HISTORY FILE; FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE; MISDEMEANORS</b> item 11, page 47.	
68.	<b>MODIFIED DIET REQUESTS</b> Records concerning requests for special diets made by inmates due to religious or medical reasons.	Destroy in office after 3 years.*	
69.	<b>MONTHLY CONFINEMENT (JAIL) REPORTS</b> Monthly reports submitted to the N.C. Department of Health and Human Services listing confinement figures.	Destroy in office after 3 years.*	
70.	<b>MULTIPLE FIREARMS SALES REPORTS</b> Reports received from dealers reporting the sale of multiple firearms.	Destroy in office when administrative value ends, but no longer than 20 days after receipt.	
71.	<b>MULTIPLE FIREARMS SALES REPORTS DESTRUCTION RECORDS</b> Records submitted to the U.S. Attorney General's Office certifying that all multiple firearm sales reports received from dealers have been destroyed	Destroy in office after 1 year.	
72.	<b>MUTUAL AID AGREEMENT RECORDS</b> Records concerning officers who work with other agencies and vice versa. May include mutual aid agreements and supporting documentation.	Destroy in office when administrative value ends.	
73.	<b>OBSERVATION REPORTS</b> Reports filed by field training officers who observe trainees.	Follow disposition instructions for <b>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS</b> item 31, page 39.	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
74.	<b>PAWNSHOP CARDS</b> Pawnshop cards and property records submitted to sheriff's department.	a) Destroy in office after 1 year if records not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47	
75.	<b>PAROLE COMMISSION NOTIFICATION REPORTS</b> Reports submitted to the N.C. Parole Commission listing dates of incarceration, jail credit, and other related documentation.	Destroy in office when administrative value ends.	G.S. §148-32.1
76.	<b>PERMISSION TO SEARCH RECORDS</b> Authorizations for officers to search property, and if necessary, confiscate property deemed pertinent to an investigation.	a) Destroy in office when administrative value ends if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47	
77.	<b>PERSONAL HISTORIES OF KNOWN OR SUSPECTED LAW BREAKERS</b> Records collected concerning an identifiable person or group of persons in an effort to anticipate, prevent or monitor criminal activity. May include witnesses' statements, laboratory tests, surveillance, reports, investigators' or confidential informants' statements, photographs, vital statistics, and other related records.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
78.	<p><b>PERSONNEL INSPECTION REPORTS</b> Inspection reports concerning individual officer's physical appearance and condition of uniform and weapons.</p> <p>See also <b>EMPLOYEE PERFORMANCE REVIEW FILE</b> item 25, page 38.</p>	Destroy in office when administrative value ends.	
79.	<p><b>PHYSICAL FORCE RECORDS</b> Reports made by any officer or employee of a detention facility who applies physical force to an inmate or arrestee.</p>	Destroy in office after 3 years.*	
80.	<p><b>PRISONER/MENTAL PATIENT DELIVERY RECORD</b> Verification forms completed by receiving party of prisoner/mental patient.</p>	Destroy in office after 1 year.	
81.	<p><b>PROPERTY RECORDS: CONFISCATED</b> Itemized lists of all property confiscated by the sheriff's office pursuant to law.</p>	Destroy in office 1 year after disposition of property.	
82.	<p><b>PROPERTY RECORDS: EVIDENCE</b> Records used to control and track evidence. May include descriptions of property, physical evidence examination requests, and records documenting final disposition of property.</p>	Destroy in office 1 year after disposition of property.	
83.	<p><b>PROPERTY RECORDS: STOLEN/RECOVERED</b> Records concerning the recovery of stolen property. May include descriptions of property and its value, serial numbers, and other related records. Records may be filed with original incident report.</p>	Destroy in office 1 year after disposition of property.	

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STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
84.	<b>PROPERTY RECORDS: UNCLAIMED</b> Disposition records concerning unclaimed property held by sheriff's office. May include descriptions of property and serial or identification numbers.	Destroy in office 1 year after disposition of property.	
85.	<b>PURSUIT LOGS</b> Logs concerning pursuits by sheriff's office personnel.	a) Destroy in office after 1 year if not made part of a case file. b) If record is made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.	
86.	<b>REIMBURSEMENT REQUESTS FOR INMATES CONFINED LOCALLY</b> Reports and supporting documentation sent to the N.C. Department of Corrections requesting state and/or federal reimbursement for inmates serving sentences of thirty days or more in a county detention facility.	Destroy in office after 3 years.*	G.S. §148-32.1
87.	<b>RIDE-ALONG PROGRAM RECORDS</b> Records concerning a sheriff's office ride-along program. May include citizens' applications to participate, waivers of liability, and other related records.	Destroy in office after 3 years.*	
88.	<b>SERIOUS INCIDENT REPORTS</b> Detention facility incident reports. May include detailed narratives of incidents, lists of those involved, statements and interview reports, inmates' refusal of medical treatment, inmates' refusal to press charges, and other related records.	Destroy in office after 3 years.*	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
89.	<b>SEXUAL OFFENDER RECORDS</b> Records concerning sexual offenders living within jurisdiction.	<p>a) Destroy in office records of persons registered in the “Sex Offender and Public Protection Program” after court petition and review by the State, or when individual is known dead or moves from jurisdiction.</p> <p>b) Destroy in office records of persons registered in the “Sexually Violent Predator Program” when individual is known dead or moves from jurisdiction.</p>	G.S. §14-208
90.	<b>SHIFT ASSIGNMENT RECORDS</b> Schedules assigning officers to the shifts they will be working. May include special assignments for extra work.	Destroy in office when superseded or obsolete.	
91.	<b>SPECIAL ORDER RECORDS</b> Special orders issued by sheriff concerning the adoption or revision of policy and established procedures on department, division, section, or individual level.	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
92.	<b>STATISTICAL REPORTS</b> Statistical reports and summaries of all law enforcement activities undertaken by sheriff’s office. May include copies of uniform crime reports submitted to the N.C. Department of Justice.	Follow disposition instructions for <b>REPORTS AND STUDIES (INTERNAL ADMINISTRATION)</b> item 42, page 8.	
93.	<b>TELETYPES FILE</b> Teletype notices received from or sent to various law enforcement agencies concerning lost property, wanted persons, arrests, missing persons, and other related topics.	Destroy in office when administrative value ends.	
94.	<b>TOWED/SEIZED VEHICLE INVENTORIES</b> Inventories of towed and seized vehicles.	Destroy in office after 1 year.	

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
95.	<b>TRAFFIC ACCIDENT REPORTS</b> Records concerning traffic accidents. May include general correspondence, property receipts, collision reports, waivers signed by involved parties agreeing to settle damages among themselves, and other related records.	<ul style="list-style-type: none"> <li>a) Transfer original collision report to the N.C. Division of Motor Vehicles within 10 days of accident.</li> <li>b) Destroy in office duplicate reports when reference value ends.</li> <li>c) Destroy in office after 3 years records concerning accidents not meeting N.C. Division of Motor Vehicles reporting requirements, but for which a report was made.</li> </ul>	
96.	<b>TRAFFIC CITATIONS</b> Citations issued to drivers violating motor vehicle and traffic laws. May include time, date, and location of violation, license number, violation code, officer's name, signature of person receiving citation, and other related information.	<ul style="list-style-type: none"> <li>a) Transfer original to county clerk of superior court's office.</li> <li>b) Destroy department copies when administrative value ends if not made part of a case file.</li> <li>c) If record is made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.</li> </ul>	
97.	<b>TRAINING RECORDS</b> Records concerning each course taught by sheriff's office. May include schedules, course curriculum, attendance rosters, instructor's name, development material, and other related records.	Follow disposition instructions for <b>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS</b> item 31, page 39.	
98.	<b>TRAINING RECORDS: PERSONNEL</b> Records concerning the training of officers. May include records documenting in-service training schools conducted to develop skills, knowledge, and abilities; field training observation reports; supervisory career assessment forms; certificates; firearms qualifications; and other related records maintained in accordance with N.C. Administrative Code and Criminal Justice Commission standards and regulations.	Follow disposition instructions for <b>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS</b> item 31, page 39.	



STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
99.	<b>TRESPASS LAW ENFORCEMENT RECORDS</b> Authorizations by property owners, lessees, or managers for sheriff's office officers to take whatever actions they deem appropriate to remove unauthorized persons and issue trespass warnings.	Destroy in office when superseded or obsolete.	
100.	<b>UNCLAIMED PROPERTY RECORDS: INMATES</b> Records concerning unclaimed personal property stored by the department during an inmate's incarceration.	Destroy in office 90 days after release and attempt to notify former inmate.	
101.	<b>UNIFORM CRIME REPORTS (UCR)</b> Copies of reports submitted to the State Bureau of Investigation summarizing statistics on criminal activity and agency operations.	Destroy in office when administrative value ends.	
102.	<b>VEHICLE INSPECTION AND INVENTORY REPORTS</b> Inspection reports of patrol units and inventories of equipment assigned to each vehicle. (Records are used to identify any missing or damaged items.)	Destroy in office after 1 year.	
103.	<b>VEHICLE TOWING RECORDS</b> Includes recovery authorizations and consent forms completed by owners to have vehicle towed, removed, stored, or left at the scene.	a) Destroy in office after 1 year if not made part of a case file. b) If record is made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.	
104.	<b>WARNING TICKETS</b> Warning tickets issued by sheriff's office. May include name and address of person and reason for warning.	a) Destroy in office after 1 year if not made part of a case file. b) If record is made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
105.	<b>WARRANTS FILE</b> Warrants issued by a court directing a person to be taken into custody to answer charge.	Return to issuing clerk of superior court's office as required by law once served, canceled, withdrawn, or otherwise disposed of.	
106.	<b>WARRANT REGISTERS</b> Registers listing warrants served by sheriff's office.	Destroy in office when administrative value ends.	
107.	<b>WORK RELEASE EARNINGS REPORTS</b> Inmates' work release earnings reports submitted either to the N.C. Department of Corrections or the Clerk of Superior Court.	Destroy in office after 3 years.*	G.S. §148-32.1
108.	<b>WRECKER SERVICE RECORDS</b> Records concerning wrecker requests or calls. May include lists of wrecker company's towing and storage rates, rotation lists, notification records when vehicles are towed from private property, and other related records.	a) Destroy in office after 1 year if not made part of a case file. b) If record is made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> item 10, page 47; or <b>CASE HISTORY FILE: MISDEMEANORS</b> item 11, page 47.	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

**STANDARD-7. PUBLIC RELATIONS RECORDS**

Official records and materials created and accumulated by internal public information programs operated by a county sheriff department.

<b>STANDARD-7: PUBLIC RELATIONS RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
1.	<b>ADVERTISEMENTS</b> Includes advertisements of special events and services concerning the agency which appear in newspapers, journals, newsletters etc.	<ul style="list-style-type: none"> <li>a) Destroy the advertisements in office 3 years after expiration.*</li> <li>b) Destroy in office billing information and other fiscal records when released from all audits.</li> <li>c) Retain record with historical value permanently.</li> <li>d) Destroy remaining records in office when reference value ends, but within 5 years.</li> </ul>	
2.	<b>AGENCY PUBLICATIONS</b>	<ul style="list-style-type: none"> <li>a) Retain 1 copy permanently.</li> <li>b) Destroy remaining copies in office when administrative value ends.</li> </ul>	
3.	<b>AUDIO TAPES (PUBLIC RELATIONS)</b>	<ul style="list-style-type: none"> <li>a) Retain records with historical value permanently.</li> <li>b) Destroy remaining records in office when administrative value ends.</li> </ul>	
4.	<b>BIOGRAPHICAL DATA</b>	<ul style="list-style-type: none"> <li>a) Retain records with historical value permanently.</li> <li>b) Destroy in office remaining records when reference value ends.</li> </ul>	
5.	<b>FILMS FILE</b>	<ul style="list-style-type: none"> <li>a) Retain records with historical value permanently.</li> <li>b) Destroy in office remaining films when administrative value ends.</li> </ul>	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-7: PUBLIC RELATIONS RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
6.	<b>HOMEPAGE (ELECTRONIC) FILE</b> Electronic records concerning the administration and maintenance of the agency's Web site. (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.	
7.	<b>NEWS CLIPPINGS</b>	a) Retain records with historical value permanently. b) Destroy in office remaining items when reference value ends.	
8.	<b>NEWS AND PRESS RELEASES</b>	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
9.	<b>PHOTOGRAPHS</b>	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
10.	<b>PUBLIC RELATIONS FILE</b> Records concerning overall public relations of county administrative offices. May include procedures, correspondence, and other related records.	Destroy in office after 5 years.	
11.	<b>SLIDES</b>	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
12.	<b>SPEECHES</b>	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	

<b>STANDARD-7: PUBLIC RELATIONS RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
13.	VIDEO TAPES (PUBLIC RELATIONS)	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
14.	VISUAL AIDS	Destroy in office when administrative value ends.	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

**STANDARD-8. RISK MANAGEMENT RECORDS**

Official records and materials created and accumulated by risk management programs operated by a county sheriff department.

<b>STANDARD-8: RISK MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
1.	<p><b>ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)</b></p> <p>See also <b>WORKERS' COMPENSATION PROGRAM CLAIMS FILE</b> item 63, page 44.</p> <p>See also <b>LITIGATION CASE FILE</b> item 11, page 31, if report results in legal action.</p>	<p>a) Transfer records resulting in workers' compensation to <b>WORKERS' COMPENSATION PROGRAM CLAIMS FILE</b> item 63, page 44.</p> <p>b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.*</p> <p>c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.*</p> <p>d) Destroy in office reports that do not result in claims or official action after 3 years.</p>	
2.	<b>ASBESTOS MANAGEMENT PLAN</b>	Destroy in office 1 year after building is destroyed or ownership is transferred.	29 CFR 1910.1001
3.	<p><b>BLOODBORNE PATHOGEN TRAINING RECORDS</b></p> <p>Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualification of instructors.</p>	<p>a) Transfer employee-specific records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> item 48, page 42 if such training and testing is required for the position held or could affect career advancement. Destroy remaining records when administrative value ends.</p> <p>b) Destroy remaining records in office after 3 years.*</p>	29 CFR 1910.1030(h)(2)(ii).
4.	<b>CLAIM COST REPORTS AND/OR STATEMENTS</b>	Destroy in office after 3 years.*	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

<b>STANDARD-8: RISK MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
5.	<b>DISASTER AND EMERGENCY MANAGEMENT PLANS</b> Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious).	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.6 regarding the confidentiality of security records.
6.	<b>EMPLOYEE MEDICAL EXPOSURE RECORDS</b> Records concerning the exposure of employees to potential hazardous materials, including asbestos and blood-borne pathogens.	Destroy exposure records 40 years from date of exposure or 30 years from date of separation, whichever occurs later.*	29 CFR 1910.
7.	<b>FIRE AND SAFETY FILE</b>	Destroy in office when superseded or obsolete.	
8.	<b>FUEL OIL STORAGE TANK RECORDS</b>	<ul style="list-style-type: none"> <li>a) Destroy in office closure records 3 years after completion of permanent closure in accordance with G.S. §280.32 and 280.72.</li> <li>b) Destroy in office performance claims and tank tightness tests completed every 5<sup>th</sup> year after 5 years.</li> <li>c) Destroy in office maintenance reports, repair and upgrade reports, product inventory measuring charts, tank tightness tests completed on a yearly schedule, and all other tests and related records after 1 year.</li> </ul>	40 CFR 280.34 40 CFR 280.74
9.	<b>HAZARDOUS MATERIALS TRAINING RECORDS</b> Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.	Destroy in office after 5 years.	
10.	<b>HEALTH AND SAFETY RECORDS</b> Records concerning agency safety measures. May include reports, logs and similar records documenting health and safety inspections of agency facilities.	<ul style="list-style-type: none"> <li>a) Destroy in office after 1 year if no violations are recorded.</li> <li>b) If violations are recorded destroy in office 1 year after corrective action has been approved.</li> </ul>	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

<b>STANDARD-8: RISK MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
11.	<b>HOLD HARMLESS AGREEMENTS</b>	Destroy in office 6 years from date of termination or settlement of all claims, whichever occurs first.	
12.	<b>INSURANCE AUDITS, SURVEYS AND REPORTS</b>	Destroy in office when administrative value ends.	
13.	<b>INSURANCE AND LIABILITY WAIVERS</b>	Destroy in office 6 years from date of termination or settlement of all claims.*	
14.	<b>LOSS CONTROL INSPECTION REPORTS</b> Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office after 1 year.	
15.	<b>MATERIAL SAFETY DATA SHEETS</b> Forms supplied to local government agencies from manufacturers and distributors of hazardous materials.	Destroy in office 30 years after materials have been disposed of according to manufactures instructions.  <i>Retention Note: A data sheet for a mixture may be discarded if the new data sheet includes the same hazardous chemicals as the original formulation. If the formulation is different, both data sheets must be retained for 30 years. Data sheets may also be discarded if some other record identifying the substances used, where it was used, and when it was used is retained the required 30 year period.</i>	29 CFR 1910.1200 and 29 CFR 1910.22E
16.	<b>NOTIFICATION OF PENALTY ASSESSMENT FILE</b>	Destroy in office after 6 years.	
17.	<b>OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) FILE</b> Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms 101 and 200.	Destroy in office after 5 years.	
18.	<b>RESPIRATOR PROGRAM RECORDS</b> Includes respirator fit test records.	Destroy in office when administrative value ends.	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.



<b>STANDARD-8: RISK MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
19.	SELF-INSURER CERTIFICATION FILE	Destroy in office 6 years from date of termination or settlement of all claims.	
20.	U.S. BUREAU OF LABOR STATISTICS AND SUMMARY FILE	Destroy in office when administrative value ends.	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

**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 \_\_\_\_\_  
Phone \_\_\_\_\_

**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 UNSCHEDULED RECORDS**

**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 \_\_\_\_\_

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of records listed below. These records have no further use or value for official or administrative purposes.

RECORDS TITLE	DESCRIPTION	INCLUSIVE DATES	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

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

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

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

**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 an amendment to your programs schedule from the Department of Cultural Resources to dispose of paper 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 been microfilmed or photocopied. In addition, this form does not apply to records with a permanent retention or that are to be transferred to the State Archives. Records with a permanent retention or which will come to the State Archives must have a paper of microfilm copy.

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	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

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

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

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

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