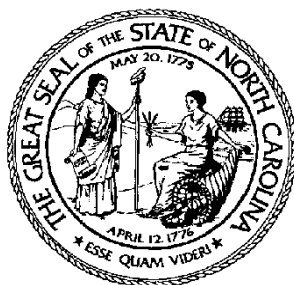


RECORDS RETENTION AND DISPOSITION SCHEDULE

REGIONAL COUNCILS



Issued By:

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

April 15, 2008

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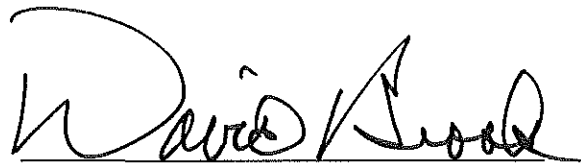
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Regional Councils Records Retention and Disposition Schedule

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. 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

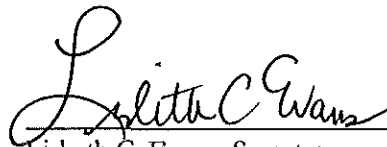
Executive Director
Regional Council of Governments



David Brook, Director
Division of Historical Resources

APPROVED

Chairman, Board of Directors



Lisbeth C. Evans, Secretary
Department of Cultural Resources

April 15, 2008

County/Region

EXECUTIVE SUMMARY

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 department is obligated to obtain the DCR'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 (original) film in our security vault.

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

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

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

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

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

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) 814-6900.

MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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

- A.** This document is a tool for the employees of local government departments across the state to use when managing the records in their offices. It lists records commonly found in local government 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 department/agency 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.

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 department is obligated to obtain DCR’s permission to destroy *any* record, no matter how insignificant.

Q. *How do I get it approved?*

- A.** The governing board of your organization must approve this schedule for use. 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.

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.”

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.

Q. Do I have to make copies of drafts available to the public that hasn'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.

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.

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.

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 are not 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.

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.

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 may expire.

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 local government offices. You are certainly welcome to contact the analyst assigned to your county for more information about appraisal and accessioning.

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.

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.

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) 814-6900.

AUDITS, LITIGATION AND OTHER OFFICIAL ACTION

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 6, page 2 and **AUDITS: FINANCIAL** Item 5, page 13.) 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

Q. *When can I destroy records?*

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

Q. *How do I destroy records?*

- A.** After your department 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.

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.

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

- 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 or Board of Commissioners on an annual basis. This report does not need to be detailed, but it is important that significant destructions be entered into the minutes of the Board.

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

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

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

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**, (located at the end of this schedule). Then submit all three to us.

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

Preservation duplicates shall be durable, accurate, complete and clear, and such duplicates made by a photographic, photo static, microfilm, micro card, miniature photographic, or other process which accurately reproduces and forms a durable medium for so reproducing the original shall have the same force and effect for all purposes as the original record whether the original record is in existence or not. . . . Such preservation duplicates shall be preserved in the place and manner of safekeeping prescribed by the Department of Cultural Resources. The preservation duplicate of permanent records must be either 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 for our approval.

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

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.

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 local governments. Once those records are filmed, we will store the silver original film in our security vault.

There is a nominal fee for filming and for 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/>) 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.

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

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

Q. Can I email you my minutes?

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

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.

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

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

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

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

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

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.
-

STAFF TRAINING

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 to do after a disaster happens.
 - **Microfilming as a Preservation Tool: Digital Imaging and Microfilm** – why microfilm is still used, and how it can work with digital technologies.
-

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

- A.** Yes, we will. Let the analyst assigned to your county know what type of training you need.
-

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.



As of March 1, 2019, all local government agencies in North Carolina will use the General Records Schedule for Local Government Agencies to find the appropriate disposition instructions for records that fall under these standards:

- Administration and Management Records
- Budget, Fiscal, and Payroll Records
- Geographic Information Systems Records
- Information Technology Records
- Legal Records
- Personnel Records
- Public Relations Records
- Risk Management Records
- Workforce Development Records

More information about this transition can be found on our blog at <https://ncrecords.wordpress.com/2019/01/14/new-retention-schedule-model-for-north-carolina-local-governments/>.

This new Local Government General Records Schedule can be found on our website at <https://archives.ncdcr.gov/government/retention-schedules/local-government-schedules> and supersedes the correlating standards that were a part of previously approved local government agency schedules, so we have deleted those standards from the published version of this schedule.

If you have any questions, please contact [a records management analyst](#) in the Government Records Section of the State Archives of North Carolina.

STANDARD-8. AGING PROGRAM RECORDS

Records concerning the Area Agency on Aging (AAA) and related programs and services administered by regional councils in cooperation with the North Carolina Department of Health and Human Services, Division of Aging, and the Corporation for National Service.

ITEM #	STANDARD-8: AGING PROGRAM RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ASSISTED LIVING PROGRAM FILE Programmatic and grant records documenting USDA (United States Department of Agriculture) Rural Development Section 504 services provided to the elderly by regional councils.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* <i>Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.¹</i>	
2.	FOSTER GRANDPARENTS AND SENIOR COMPANIONS PROGRAM FILE. Records documenting foster grandparents and senior companions program provided to the elderly by regional councils.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office yearly records relating to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* <i>Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.¹</i>	10A NCAC 46.0209

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-8: AGING PROGRAM RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	HOME AND COMMUNITY BLOCK GRANT FILE. Records documenting services provided to the elderly by regional councils.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* <i>Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.¹</i>	
4.	REGIONAL OMBUDSMAN FILE Records documenting ombudsman services provided to the elderly, residents, and caregivers by regional councils.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* <i>Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.¹</i>	Comply with applicable provisions of G.S. §143B-181.

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-8: AGING PROGRAM RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	REGIONAL OMBUDSMAN (CASE FILES) Records concerning technical assistance and consultation, complaint resolution, volunteer management, and educational outreach.	a) Destroy in office records regarding complaints 3 years after resolution.* b) Destroy in office remaining records when administrative value ends.	Comply with applicable provisions of G.S. §143B-181.
6.	TITLE V GRANT FILE Records concerning employment services provided to the elderly by regional councils.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* <i>Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.¹</i>	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-8: AGING PROGRAM RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	VOLUNTEER SERVICE PROGRAMS FILE Records concerning Retired and Senior Volunteer Program (RSVP) and Volunteers in Service to America (VISTA) programs administered by the council of governments.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* <i>Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.'</i>	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

STANDARD-9. COMMUNITY AND ECONOMIC DEVELOPMENT RECORDS

Records concerning community development programs and services administered by regional councils.

<i>ITEM #</i>	<i>STANDARD-9: COMMUNITY AND ECONOMIC DEVELOPMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	A-12372 REGIONAL CLEARINGHOUSE RECORDS FILE Records created and received as outlined by The North Carolina Intergovernmental Review Process (IRP) established as a result of Presidential Order 12372 and administered by the North Carolina Department of Administration. File includes copies of notification for assistance forms, site location maps, review and comment forms, correspondence, and other related records.	Destroy in office when superseded or obsolete.	
2.	CENSUS DATA FILE AND RELATED STATISTICAL INFORMATION FILE Records concerning population and socio-economic information for a given region and/or population.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
3.	CERTIFIED DEVELOPMENT CORPORATION RECORDS Records concerning grant and loan applications to assist small businesses in receiving federal Small Business Administration 504 Loan packages, as well as loans from private lenders.	Destroy in office 5 years after denial of application, completion of project and final payment.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

<i>ITEM #</i>	<i>STANDARD-9: COMMUNITY AND ECONOMIC DEVELOPMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
4.	CHILD DEVELOPMENT PROGRAMS FILE Records concerning grants and case files for child development programs and services administered by regional councils.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	
5.	CRIMINAL JUSTICE PROGRAMS FILE Records concerning criminal justice programs and services administered by regional councils.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-9: COMMUNITY AND ECONOMIC DEVELOPMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	ECONOMIC ADJUSTMENT PROGRAM GRANTS FILE. Records concerning programs and grants used to solve recent or anticipated severe adjustment problems resulting in abrupt, serious job losses (e.g. natural disasters and military installation closures) and to help areas implement strategies to reverse and halt long-term economic deterioration.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	
7.	ECONOMIC DEVELOPMENT ADMINISTRATION FILE Records regarding 301(B) programs and planning grants, infrastructure, and revolving loan funds.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-9: COMMUNITY AND ECONOMIC DEVELOPMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	INDUSTRIAL DEVELOPMENT FUND FILE Records regarding programs and grants to provide financial incentive for job creation in the state's most economically distressed counties.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	
9.	ECONOMIC DEVELOPMENT PLANNING GRANTS FILE Records concerning grants awarded to states, cities, regional planning councils and Indian Tribes to help pay for the expertise needed to plan, coordinate, and implement comprehensive economic development programs.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

<i>ITEM #</i>	<i>STANDARD-9: COMMUNITY AND ECONOMIC DEVELOPMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
10.	PUBLIC WORKS GRANTS FILE Records concerning grants for building and expanding public facilities essential to industrial and commercial growth.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	
11.	REVOLVING LOAN FUND AND MICROENTERPRISE REVOLVING LOAN GRANTS FILE Records regarding grants awarded to help depressed areas overcome specific capital market gaps and to encourage greater private sector participation in economic development activities.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-9: COMMUNITY AND ECONOMIC DEVELOPMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	ECONOMIC DEVELOPMENT TECHNICAL ASSISTANCE GRANTS FILE Records concerning grants used to study the economic feasibility of resource development, establish jobs, and provide on-the-scene assistance for innovative economic development techniques.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	
13.	FOREIGN TRADE ZONE FILE Records concerning the administration of foreign trade zones. File includes contracts, fiscal records, applications, annual reports (federal and state), and minutes and agendas for the board to the Foreign Trade Zone. See also MINUTES OF PUBLIC BODIES item 34, page 7.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-9: COMMUNITY AND ECONOMIC DEVELOPMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	HOUSING SERVICES FILE Records concerning the administration of the grant funded HUD (Housing and Urban Development) Section 8 Rental Assistance Program, which provides rental assistance to low- income families. File also concerns Family Self-Sufficiency program, and HOME Consortium programs.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* d) Destroy in office client files 5 years from date of last contact. e) Destroy in office after 5 years denied or terminated applications and supporting records.	
15.	INTERMEDIARY RE-LENDING PROGRAM (IRP) FILE Records regarding loan programs administered by regional councils.	Destroy in office 5 years after denial of application, completion of project and final payment.*	
16.	RURAL BUSINESS ENTERPRISE GRANTS FILE (FEDERAL CAT. #10.769) Records concerning grants to facilitate and support the development of small and emerging private business enterprises in rural areas.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-9: COMMUNITY AND ECONOMIC DEVELOPMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	STATE BOND LOAN FUND FILE Records of grants used to finance wastewater treatment facilities, interceptors, and collection sewers, including land cost.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	
18.	SUPPLEMENTS TO OTHER FEDERAL GRANTS IN AID FILE (FEDERAL CAT. #23.002) Records concerning grants to assist in the improvement of water and sewer systems, which will facilitate the creation or retention of industrial and commercial jobs.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-9: COMMUNITY AND ECONOMIC DEVELOPMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	WATER AND WASTEWATER LOAN AND GRANT PROGRAM FILE (FEDERAL CAT. #10.760) Programmatic and grant records concerning the grants and loans for the upgrading of water and wastewater programs as well as electric and telephone services.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	
20.	SMALL BUSINESS LOAN APPLICATION FILE Records concerning reporting records, loan packages, annual and quarterly reports, and applications.	Destroy in office 5 years after denial of application, completion of project and final payment.*	
21.	TRANSPORTATION, TELECOMMUNICATION, & CABLE SERVICES PROGRAMS FILE Records concerning transportation, telecommunication, and cable service programs and services administered by a regional council. File includes minutes and agenda packets for meetings, records concerning citizen advisory groups, research records, work plans, annual plans, special task force records, correspondence, grant applications and management records, statistical information, progress notes, copies of budget records and contracts, client case files, and other related records.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

STANDARD-10. CONTRACTUAL SERVICES RECORDS

Records concerning contractual services provided to local governments and administered by regional councils.

<i>ITEM #</i>	<i>STANDARD-10: CONTRACTUAL SERVICES RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	GRANTS MANAGEMENT AND FACILITATION PROGRAMS FILE Records concerning grant writing and facilitation assistance services provided by regional councils to public and private groups, agencies and organizations. File includes copies of minutes, agenda packets and handouts of meetings, background information, correspondence, copies of grants made to county/municipal agencies such as Community Development Block Grants, copies of contractual services agreements, planning records, project objectives and outlines, reports, questionnaires, publications, brochures, proposals, drafts, and other related records.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	
2.	PLANNING AND TECHNICAL ASSISTANCE RECORDS FILE Records concerning planning and technical assistance provided by regional councils to public and private groups, agencies and organizations. (For example, the Air Quality Program administered by the Triangle J Council of Governments). File consists of quarterly and annual reports, management records, budgetary records, copies of minutes, agenda packets and handouts of meetings, background information, correspondence, copies of contractual services agreements, project objectives and outlines, publications, brochures, proposals, drafts, and other related records.	a) Retain records with historical value permanently. b) Destroy in office remaining records 5 years after completion of project, or 5 years from date record was created; whichever occurs last.*	
3.	AERIAL PHOTOGRAPHS FILE Photographs either created by a council of government or a county or municipal agency.	a) Retain records with historical value permanently. b) Destroy in office reference copies when administrative value ends.	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

<i>ITEM #</i>	<i>STANDARD-10: CONTRACTUAL SERVICES RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
4.	COUNTY/MUNICIPAL MAPS FILE Maps either created by a council of governments or a county/municipal agency. File includes census tracking maps, county/municipal regional maps, existing land-use maps, extra-territorial jurisdiction (ETJ) maps, land-use planning maps, natural disaster damage maps, state watershed maps, topography maps, geographical information systems maps (GIS) and wetland maps.	a) Retain records with historical value permanently. b) Destroy in office reference copies when administrative value ends.	
5.	ORDINANCIES, ZONING, ANNEXATION AND PLANNING RECORDS Planning and zoning records created for or by a locality including contracts regarding zoning or rezoning, zoning ordinances and permits, annexation studies, Coastal Area Management Act (CAMA) land use plans, annexation and extraterritorial jurisdiction studies, development or regulation ordinances, and subdivision regulations. File includes annexation records, county/municipal comprehensive plans, junk vehicle ordinances, land use plans, minimum housing code records, rezoning records, subdivision ordinances, subdivision review records, code/permit violations, zoning ordinance text amendments, zoning permits, and other related records. File also contains site plan reviews conducted for the county/municipality by the council of governments.	a) Retain records with historical value permanently. b) Destroy in office remaining records 5 years after completion of project, or 5 years from date record was created; whichever occurs last.* c) Destroy in office reference copies of records created by county/municipal agencies when administrative value ends.	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

<i>ITEM #</i>	<i>STANDARD-10: CONTRACTUAL SERVICES RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
6.	TECHNICAL ASSISTANCE RECORDS FILE Records concerning technical assistance provided by regional councils to public and private groups, agencies and organizations. File consists of quarterly and annual reports, management records, budgetary records, copies of minutes, agenda packets and handouts of meetings, background information, correspondence, copies of contractual services agreements, project objectives and outlines, publications, brochures, proposals, drafts, and other related records.	a) Retain records with historical value permanently. b) Destroy in office remaining records 5 years after completion of project, or 5 years from date record was created; whichever occurs last.* c) Destroy in office reference copies when administrative value ends.	
7.	EMERGENCY MEDICAL SERVICES RECORDS Records concerning emergency medical services (EMS) administered through grant funding to citizens within the council of government region, and records generated from meetings of the Emergency Medical Services Advisory Committee. Service files include documentation of disaster preparedness training, EMS training, equipment and technical assistance training, and records relating to drug and alcohol testing administered by the regional council.	a) Destroy in office records related to specific non-continuing grants 5 years after termination.* b) Destroy in office yearly records related to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-10: CONTRACTUAL SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	DRUG TESTING SERVICES FILE File includes municipal and county contracts with council of governments to provide drug and alcohol testing for potential employees of the contracting agencies. File also includes test results.	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 & Alcohol Management Information System (MIS) reports submitted to Federal Transit Administration (FTA), equipment calibrations, and records related to the administration of the testing program. b) Destroy in office after 3 years records obtained from previous employers concerning drug and alcohol test results. 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. 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. e) Destroy in office records not related to testing 5 years after completion of project, or 5 years from date record was created; whichever occurs last.* <i>Retention Note: Records should be maintained in a location with controlled access.</i>	G.S. §153A-98 49 CFR 382.401 49 CFR 40.333 49 CFR 655.71

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

<i>ITEM #</i>	<i>STANDARD-10: CONTRACTUAL SERVICES RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
9.	EMERGENCY MEDICAL SERVICES ADVISORY COMMITTEE RECORDS Minutes, agenda packets and handouts. File also includes records concerning the administration or grants for emergency medical services and other training. See also MINUTES OF PUBLIC BODIES item 34, page 7.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* d) Destroy in office remaining records 5 years after completion of project, or 5 years from date record was created; whichever occurs last.*	G.S. §153A-98
10.	SAFETY SERVICES FILE File includes municipal and county contracts with council of governments to provide disaster preparedness training, EMS training, and equipment and technical assistance training.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* d) Destroy in office remaining records 5 years after completion of project, or 5 years from date record was created; whichever occurs last.*	G.S. §153A-98

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

<i>ITEM #</i>	<i>STANDARD-10: CONTRACTUAL SERVICES RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
11.	ENVIRONMENTAL PROGRAMS FILE Records concerning environmental programs and services administered by regional councils. Programs include land use, management and zoning services and programs, clean water management trust fund services, air quality, hazardous waste management, land conservation, water quality, revolving land funds, water conservation, water impact studies, water grant, and solid waste management.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* d) Destroy in office remaining records 5 years after completion of project, or 5 years from date record was created; whichever occurs last.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

STANDARD-11. WORKFORCE DEVELOPMENT RECORDS

Records concerning workforce development programs and services administered by regional councils.

<i>ITEM #</i>	<i>STANDARD-11: WORKFORCE DEVELOPMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	CIRCULARS AND ISSUANCES FILE Guidelines issued by the Division of Employment and Training regarding the administration of the Workforce Development Program.	Destroy in office when superseded or obsolete.	
2.	FEDERAL WORKFORCE DEVELOPMENT ACT REGULATIONS Record contains instructions from federal government regarding how program money is spent and parameters for eligibility.	Destroy in office when superseded or obsolete.	
3.	JOB TRAINING INITIATIVES FILE Records concerning job training programs and services administered by regional councils.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* d) Destroy in office remaining records 5 years after completion of project, or 5 years from date record was created; whichever occurs last.*	
4.	NON-EXPENDABLE PROPERTY FILE File includes inventory in numerical sequence identifying date of purchase, acquisition cost, serial number, location of inventory, and contracting agency.	Destroy in office 5 years after final disposition of property or when released from all audits, claims, or other official action; whichever occurs last.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

ITEM #	STANDARD-11: WORKFORCE DEVELOPMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	STATE JOB TRAINING PLAN FILE Records concerning the State Board's bid process for contracting workforce development programs.	Destroy in office when supersede or obsolete.	
6.	WORK STUDIES PROGRAMS FILE Provides internships to graduate students. File contains monthly reports, time sheets, grade reports, and fiscal records.	Destroy in office 5 years after internship ends or when released from all audits, claims, or other official action; whichever occurs last.*	
7.	WORKFORCE DEVELOPMENT ACT FILE Education and training for economically disadvantaged.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* d) Destroy in office remaining records 5 years after completion of project, or 5 years from date record was created; whichever occurs last.*	
8.	WORKFORCE DEVELOPMENT ACT PARTICIPANT RECORDS Records documenting each participant in the Workforce Development Program, and their prior eligibility.	Destroy in office 5 years from date of last contact or when released from all audits, claims, or other official action; whichever occurs last.*	
9.	WORKFORCE DEVELOPMENT SUBGRANT AND RECIPIENTS/PARTICIPANTS COMPLAINTS AND ACTIONS FILE Records include participant and sub-grant recipients' or contractors' grievances, which are non-criminal.	Destroy in office 5 years from date of resolution or when released from all audits, claims, or other official action; whichever occurs last.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page vii.

REQUEST FOR CHANGE IN RECORDS SCHEDULE

TO Assistant Records Administrator
Division of Archives and Records
Government Records Section
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____
Mailing address _____
Phone or email _____

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
☐ Change an retention period
- Standard Number _____ Page _____ Item Number _____
Standard Number _____ Page _____ Item Number _____

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

INCLUSIVE DATES OF RECORDS _____ **APPROXIMATE VOLUME OF RECORDS** _____

DESCRIPTION OF RECORDS**PROPOSED RETENTION PERIOD**

Requested by: _____, _____, _____
Signature Title Date

REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

TO Assistant Records Administrator
Division of Archives and Records
Government Records Section
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____
Mailing address _____
Phone or email _____

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 (Requestor's supervisor) Date

Concurred by: _____, _____, _____
(except as indicated) Signature Assistant Records Administrator State Archives of North Carolina Date



Request for Disposal of Original Records Duplicated by Electronic Means

If you have questions, call (919) 814-6900 and ask for the Records Management Analyst assigned to your agency.

This form is used to request approval from the Department of Cultural Resources to dispose of non-permanent paper records which have been scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to a digital environment. This form does not apply to records which have been microfilmed or photocopied, or to records with a permanent retention.

Agency Contact Name:		Date (MM-DD-YYYY):
Phone (area code):	Email:	
County/Municipality:	Office:	
Mailing address:		

Record Series Title A group of records as listed in records retention schedule	Description of Records Specific records as referred to in-office	Inclusive Dates (1987-1989; 2005-present)	Approx. Volume of Records (e.g. "1 file cabinet," "5 boxes")	Retention Period As listed in records retention schedule

Requested by: _____
Signature Requestor Date

Approved by: _____
Signature Requestor's Supervisor Date

Concurred by: _____
Signature Assistant Records Administrator
State Archives of North Carolina Date

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