

NC STATE UNIVERSITY

Campus-Specific Records Retention and Disposition Schedule

August 2017

NORTH CAROLINA STATE UNIVERSITY

Program Records Retention and Disposition Schedule

The Program 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 described within the

NCSU CAMPUS-SPECIFIC RECORDS RETENTION AND DISPOSITION SCHEDULE

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Natural and Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

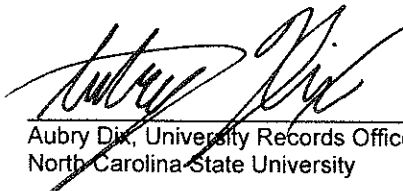
North Carolina State University, the University of North Carolina General Administration, and the Department of Natural and Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Natural and Cultural Resources that such records have no further use or value for official and administrative business and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them.

Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.

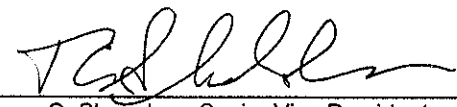
NORTH CAROLINA STATE UNIVERSITY

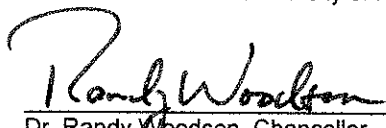
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

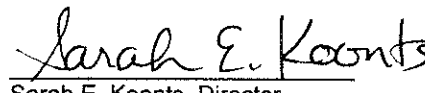
APPROVAL RECOMMENDED


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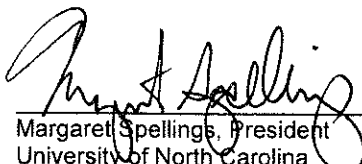

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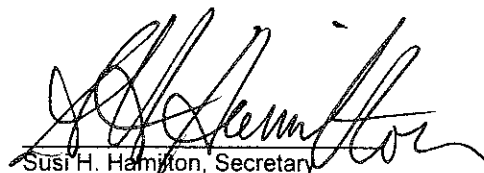

Susi H. Hamilton, Secretary
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A. Overview of Campus-Specific Records Retention and Disposition Schedule

What is the “Campus-Specific Records Retention and Disposition Schedule” (the “Schedule”)

This document is a tool for NC State staff and faculty to use when managing the records in their offices. It lists records commonly found in NC State offices and gives an assessment of their retention value by indicating when, and if, those records may be destroyed. It supersedes all previous records retention and disposition schedules, including the University of North Carolina - General Records Retention and Disposition Schedule and those that have been created for individual units, and serves all units of the university.

Why do I need this Schedule?

According to N.C.G.S. § 121-5 and N.C.G.S. § 132-3, you may only destroy public records with the consent of the Department of Natural and Cultural Resources (DNCR). This Schedule, along with individual office schedules (discussed later), is the primary mechanism that DNCR gives its consent. Records, regardless of medium, not listed on this schedule may not be destroyed without the consent of DNCR and NC State’s University Records Officer or University Archivist.

What are public records?

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."

Are the documents and other records on my computer also “public records”?

Yes. Unless an exception applies, N.C.G.S. Chapter 132 states that any record generated while transacting University business is a public record, “regardless of physical form or characteristics.” Public records may exist on your computer, mobile device, network, or in a vendor-managed digital storage environment (e.g. the Cloud, etc.).

How can I know for sure if I have any “public records”?

Nearly every position at NC State or in state government generates, receives, or uses public 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 if they were created, sent or received while conducting business for NC State. Not all public records have significant historical, legal, or fiscal value, but they all must be destroyed in accordance with the provisions of the appropriate records schedule.

Do I have to have all records listed on this Schedule?

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

How do I use this Schedule?

The Schedule is organized by business function. Begin by finding the appropriate business function related to your record. Next, locate the records series title, under the appropriate business function, that best matches the record you are considering. After finding the appropriate series title and identifying the correlating series number, locate that series in the Schedule. Review the record series description and items to ensure your record is addressed in that record series. Upon review of the record series description and items, follow the appropriate disposition instructions for that record series. If you are using an electronic version of the Schedule you may also choose to use CTRL + F (or Command + F for Mac users) to search specific words or texts. For example, Payroll Records would be referenced under the business function titled: "Section 9 - Personnel Records." The appropriate record series that addresses Payroll Records would be 9.33-Payroll.

At the beginning of each business function section there is a table that identifies a list of key terms and gives general instructions. It is important that you read this section carefully before locating records. Lastly, some records may relate to multiple series titles. Identify the series title that most closely and clearly relates to the record you are considering before following a disposition instruction (e.g. children program participant records may fit in the series title Program Participant Records; however, it most closely and clearly relates to the series title Youth Program Participant Records).

What if I can't find some of my records on this Schedule?

Contact NC State's University Records Officer or University Archivist for assistance. Contact information for the current University Records Officer and University Archivist may be found below:

<https://generalcounsel.ncsu.edu/about-ogc/attorney-and-staff-contacts/>

<http://www.lib.ncsu.edu/scrc/university-archives>

How do I get an individual office schedule to cover public records that don't seem to be covered by this Schedule?

Contact the University Records Officer or University Archivist to discuss whether or not this Schedule is sufficient for your need. Remember that the creation and use of an individual office schedule should only occur after consulting NC State's administration and specifically the University Records Officer or University Archivist.

B. Destruction and Preservation of Public Records

What is a “legal hold” or “litigation hold” on records and when does it apply?

A legal hold or litigation hold means that records that are the subject of a litigation or potential litigation must be preserved and thus must not be destroyed until litigation or threat of litigation has been completed. A legal hold or litigation hold is placed when either an official discovery order is served on NC State requesting the production of the records in question (for a litigation, regulatory investigation, audit, open records request, etc.) or litigation is pending and NC State is thus on notice to preserve all potentially relevant records. You must also ensure that for a claim or litigation that appears to be reasonably foreseeable or anticipated but not yet initiated, any records (in paper or electronic formats) relevant to such a claim or litigation are preserved and not destroyed until released by the Office of General Counsel. The records in question must not be destroyed until the completion of the action and the resolution of all issues that arise from it regardless of the retention period set forth in this Schedule. Custodians of records will be notified by the Office of General Counsel when records in their possession are released from a litigation hold. If you have any questions, contact the Office of General Counsel.

How do I destroy public records?

Public records which have met their required retention requirements and are not subject to legal or other audit holds should be destroyed in one of the following ways¹:

1. burned, unless prohibited by local ordinance;
2. shredded or torn up so as to destroy the record content of the documents or materials concerned;
3. placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
4. sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed; or
5. for records subject to the Fair Credit Reporting Act , a method of destruction that complies with federal requirements².

Confidential records should be destroyed in a secure manner so that the information contained in them cannot be viewed, used or recreated. For electronic records, permanent erasure or deletion of records or data requires specialized software, equipment, and/or skills. If this level of destruction is required, it is best to consult with IT professionals via the [OIT Help Desk](#). Physical destruction of hard drives, magnetic tapes, CDs, or other electronic storage media is another means of disposal of media containing confidential or sensitive electronic records or data.

¹ N.C. Administrative Code, Title 07, Chapter 04, Subchapter M, Section .0510

² 15 U.S.C. § 1681 et seq

Non-confidential records may be recycled or disposed of in accordance with NC State's waste disposal procedures. Documenting public records destruction is advised, but not required. Contact the University Records Officer or University Archivist for more information.

How should I maintain and preserve public records?

Non-permanent records that have not been destroyed should be kept in a secure location. The records should be maintained in temperature controlled storage that avoids excessive moisture and direct sunlight. If there are any questions on how to properly maintain non-permanent records please contact the University Archivist. See section D below for maintenance and preservation of permanent records.

How should I handle public records with short-term or limited value (transitory) records?

While public records may not be destroyed without appropriate approvals, the DNCR recognizes that records exist that may have short-term or limited value. Thus, expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value is authorized. 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 administrative or reference value ends. Administrative value pertains to records that are utilized in an office. Generally, these records may be destroyed when an office no longer has need or use for the record. Reference value pertains to copies of records that are preserved for the convenience of reference or ease of access. Generally, these are copies of records and may be destroyed when an office is no longer in need or use of the record. Refer to Schedule for specific instructions as to these records.

This guidance on transitory records is not intended to serve as general authorization to destroy unscheduled records. It is intended to complement the use of an approved records retention and disposition schedule, not to replace or supersede it. Should you maintain custody of records that are not described in the Schedule, you may not destroy or otherwise dispose of any records in your custody, whether in electronic, paper, or other format (including electronic mail) until you receive appropriate approval to do so. Please contact the University Records Officer or University Archivist for assistance.

While records of short-term value may be destroyed as described above, all NC State employees should be familiar with applicable records retention schedules and the public records law (N.C.G.S. Chapter 132). When in doubt about whether a record has short-term value, or whether it has significant historical value or importance, retain the record in question.

When can I delete my email?

Electronic mail is a record similar to 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 maintained and preserved as a paper memo, it should still be maintained (either in your email program or in your regular directory structure) and preserved for the same length of time as its paper counterparts. It is wrong to destroy email simply because storage limits have been reached.

The Schedule only applies to hard copy paper records, right?

Wrong. The Schedule applies to all records, "regardless of physical form or characteristics." Records, including electronic records, should be retained, managed, and destroyed in accordance with the appropriate disposition instruction prescribed in the Schedule.

C. Accessing Public Records

Can anyone see the public records in my custody?

Yes, except as restricted by specific provisions in state or federal law. N.C.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.”

If you receive a request to copy or inspect public records in your custody, please refer the requester to the University Records Officer for assistance.

D. Historical Records

What do I do with permanent records?

Permanent records (records with significant historical or business value) should be transferred and/or maintained in accordance with the disposition requirements of this Schedule, or the provisions of your individual office records schedule. Please contact the University Archivist for instructions on how to prepare documents and schedule a transfer to University Archives. Records that must be maintained permanently in the office that created the records, should be stored in a space that is controlled for temperature and humidity, free of pests and insects, and secure from unauthorized entry. Your office must ensure that any 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. Public records are public property.

E. Disaster Recovery

What should I do in case of fire or flood?

Secure the area, call university police or fire protection services, and keep everyone out until fire or other safety professionals allow entry. **DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS**. Damaged records are extremely fragile and require careful handling. NC State will request assistance from the DNCR, whose professionals are trained in preliminary recovery techniques.

Section 1 – Administrative Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 1 – Administrative Records

1.1	Accreditation
1.2	Activities & Events
1.3	Administrative
1.4	Annual Reports
1.5	Audit Investigation Reports
1.6	Awards and Honors
1.7	Behavioral Assessment Team
1.8	Board of Trustees
1.9	Calendar of Events
1.10	Campus Access Records
1.11	Committees, Council, and Task Forces
1.12	Complaints
1.13	Conferences, Training Programs, and Workshops
1.14	Continuing and Professional Education Records
1.15	Contracts, Agreements, and Leases
1.16	Faculty and Staff Governance Records
1.17	Federal Communications Commission (FCC) License Records

1.18	Films / Videotapes
1.19	Historic Memorabilia
1.20	Hold Harmless, Liability Waiver, and Release Records
1.21	Insurance Records
1.22	Internships, Fellowships, Volunteers, and Visiting Scholar Records
1.23	Lectures and Lecture Series Records
1.24	Legal Guidance
1.25	Legal Records
1.26	Legal Research Records
1.27	Mailing Lists
1.28	News Releases & Public Relations
1.29	Notary Public Records
1.30	Official Reports
1.31	Organization and Association Records
1.32	Organizational Charts
1.33	Planning
1.34	Policies and Procedures Records
1.35	Professional Membership Records
1.36	Program Participant Records (Non-Veterinary)
1.37	Public Records Requests
1.38	Publications
1.39	Records Management Records
1.40	Scholastic Program Records
1.41	Self-Study Records
1.42	Special Activity Records
1.43	Speeches, Statements and Addresses
1.44	Staff and Faculty Meeting Records
1.45	Subpoenas & Affidavits
1.46	Travel Requests and Reimbursements
1.47	Volunteer Program Records
1.48	Youth Program Participant Records
1.49	4-H and Cooperative Extension Records

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.1	ACCREDITATION See also Self-Study Records	Departmental, college, program and/or Southern Association of Colleges and Schools (SACS) or other accreditation bodies.	reports, questionnaires, guides	Permanent. Transfer final report to the custody of University Archives. Destroy in office remaining records when administrative value ends.
1.2	ACTIVITIES & EVENTS See also Program Participant Records (Non-Veterinary)	Activities, events, excursions and celebratory events initiated or sponsored by the University.	final reports, promotional and publicity materials, press releases, news clippings, photographs, audio and video recordings, schedules of events and speakers, presentation materials, evaluations, invitations, parental consent forms, activity records, planning documents	Transfer after 3 years to the custody of University Archives for appraisal and final disposition final reports, promotional and publicity materials, press releases, news clippings, photographs, audio and video recordings, and schedules of events and speakers. Destroy in office remaining records after 3 years. Reference: Destroy in office when event is completed.
1.3	ADMINISTRATIVE	Administrative and official operations of an administrative unit.	memorandums, directives, policies, regulations, rules, announcements	Transfer to the custody of University Archives after 5 years for appraisal and final disposition.
1.4	ANNUAL REPORTS See also Official Reports	Report of work completed by office, unit, department, division, college/school each year.		Permanent. Transfer 1 copy to the custody of University Archives. Maintain 1 copy in office permanently. Destroy in office drafts and remaining records one year after final report submitted.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.5	AUDIT INVESTIGATION REPORTS	Records documenting investigations conducted by NC State's internal auditors. Comply with applicable provisions of G.S. 97-92(b), 116-40.7(c), 120-166.6 (i), 143-748, and 132-1.1 and 132-1.4 regarding confidentiality of legal-counsel reports and police reports.	investigative reports, working papers, final reports, close out letters, misuse reports, incident reports	<p>Destroy in office final audit reports; reports of examinations, investigations, surveys, and reviews; and close-out letters after 10 years.</p> <p>Destroy in office remaining records after 7 years and when any litigation associated with the investigation is completed.</p> <p>Reference: Destroy in office after 3 years.</p>
1.6	AWARDS AND HONORS	Records related to faculty, staff, student and alumni awards not associated with grants. Comply with applicable provisions of G.S. 126 and Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. 1232g regarding confidentiality of records.	applications, nominations, criteria, transcripts, vitae, press releases, funding data	<p>Transfer to the custody of University Archives after 5 years for appraisal and final disposition eligibility terms and selection criteria, award history and information on funding sources, notification of award, summary list of winners, biographies of winners, and press releases.</p> <p>Transfer a copy of notification of award to appropriate personnel or student file.</p> <p>Destroy in office remaining records when administrative value ends.</p>
1.7	BEHAVIORAL ASSESSMENT TEAM REPORTS	Reports concerning behavior of possible threat of danger to self or others involving students or staff.		Transfer to Personnel File or Student Disciplinary Records .
1.8	BOARD OF TRUSTEES	Records of the governing body of the university and its committees.	minutes, announcements, open meeting records/policies, meeting notices, policies, oaths of office, briefing book, biographical data	Permanent. Transfer to the custody of University Archives after 5 years.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.9	CALENDAR OF EVENTS	Calendars of official University activities and events.		Permanent. Transfer to the custody of University Archives when published or posted online for appraisal and final disposition.
1.10	CAMPUS ACCESS RECORDS	Records concerning the digital security access of University offices, facilities, vehicles, equipment, and personnel.	visitors' register and logs tracking access to facilities or resources and use of vehicles.	Destroy in office after 30 days.
1.11	COMMITTEES, COUNCILS, AND TASK FORCES See also Board of Trustees	Official university committees, councils, task forces and boards, including the Board of Visitors, appointed, elected or ad hoc.	minutes, notifications of meetings, open meeting records/policies, agendas, reports, photographs, briefing materials, working papers	Transfer minutes, agendas, reports, photographs, and correspondence to the custody of University Archives after 5 years. Elections records, including ballots and tabulations destroy in office after 1 year. Destroy all other records after 5 years. Consult with University Records Officer for appraisal and final disposition for records pertaining to closed sessions under G.S. 143-318.11 and NCSU Regulation 04.00.03.
1.12	COMPLAINTS See also Legal Records & Audit Investigation Reports	Records concerning complaints against the University.	complaint documentation	Destroy in office 3 years after dispute has been resolved.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.13	<p>CONFERENCES, TRAINING PROGRAMS, AND WORKSHOPS</p> <p>See also Employee Training and Educational Records</p> <p>&</p> <p>Program Participant Records (Non-Veterinary)</p>	Records produced by the University documenting conferences, training programs, workshops, informative sessions, and short courses conducted by departments and units of the University.	agendas, handouts, training materials, evaluations, assessments, reports, contracts and agreements, registrations, marketing materials	<p>Transfer agendas, handouts, training materials, reports, and promotional materials to the custody of University Archives when administrative value ends for appraisal and final disposition.</p> <p>Destroy in office remaining records after 3 years.</p>
1.14	<p>CONTINUING AND PROFESSIONAL EDUCATION RECORDS</p> <p>See also Conferences, Training Programs, and Workshops</p> <p>&</p> <p>Employee Training and Educational Records</p>	Records documenting courses, seminars, conferences, or certificate programs taught by the McKimmon Center for Extension and Continuing Education.	agendas, assessments, certifications, continuing education unit records, course rosters, course agendas and catalogs, enrollment records, evaluations, handouts, reports, marketing materials, training materials, invoices, contracts and agreements, registrations	<p>Retain permanently in office certifications, continuing education unit records, course rosters, and enrollment records.</p> <p>Transfer marketing materials and course catalogs to the custody of University Archives when administrative value ends for appraisal and final disposition.</p> <p>Destroy in office remaining records when administrative value ends.</p>
1.15	CONTRACTS, AGREEMENTS, AND LEASES	Records documenting contracts, agreements, and leases with consultants, vendors and other firms concerning services, equipment and obligations.	memorandums, draft and final copies of agreements, contracts and leases	Destroy in office 5 years after expiration of all rights and obligations, including those surviving termination of the agreement. For sealed agreements, destroy in office 10 years after expiration of all rights and obligations, including those surviving termination of the agreement.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.16	FACULTY AND STAFF GOVERNANCE RECORDS See also Organization and Association Records	Records of the faculty and staff governance bodies, such as the faculty or staff senate or council and its committees.	minutes, agendas, reports, photographs, faculty and staff code, meeting notices, organization election records	Permanent faculty and staff codes, minutes, agendas, reports, photographs, and correspondence. Transfer to the custody of University Archives after 5 years. Destroy election records for faculty and staff organizations, including ballots, tabulations and related documents and correspondence in office after 1 year. Destroy in office remaining records after 5 years.
1.17	FEDERAL COMMUNICATIONS COMMISSION (FCC) LICENSE RECORDS	Records documenting licensing by the FCC of the university's broadcast and broadband services.	license applications, renewals and supporting documentation; copies of licenses; reports operations permits; employment statistics; broadcast logs	Permanent documents related to license applications and renewals, final reports, operations permits, employment statistics and correspondence. Transfer to the custody of University Archives 10 years after expiration of license. Destroy in office remaining records 10 years after expiration of license.
1.18	FILMS / VIDEOTAPES See also Security / Surveillance / Mobile Video Recordings	Recordings produced by and for the university including university events, interviews, people, places, and things.	analog and digital storage formats including but not limited to film, videotapes, audiotapes, hard drives, cloud storage, dvd, cd-rom	Transfer to the custody of University Archives after 10 years for appraisal and final disposition.
1.19	HISTORIC MEMORABILIA See also Films / Videotapes	Items that mark significant events or times for the unit.	plaques, awards, scrapbooks, press releases, clippings, newsletters	Transfer to the custody of University Archives after 10 years for appraisal and final disposition.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.20	HOLD HARMLESS, LIABILITY WAIVER, AND RELEASE RECORDS	Records documenting the release of the university or its units from liability related to various activities involving students, faculty and staff.	hold harmless, waiver, and release forms	Destroy in office 3 years after event for which form was signed.
1.21	INSURANCE RECORDS	Records documenting insurance obtained for University property, liability, and other related insurance policies.	policies on buildings, property, personnel	Destroy in office 3 years after expiration of policy.
1.22	INTERNSHIPS, FELLOWSHIPS, VOLUNTEERS, AND VISITING SCHOLAR RECORDS See also Scholastic Program Records & Volunteer Program Records	Records of unpaid interns, assistants, fellows, visiting scholars, non-faculty, and volunteers. Comply with applicable provisions of 20 U.S.C. 1232g (FERPA) regarding confidentiality of student records.	applications, references, approvals, credit earned, background checks, accounting records, award notifications, eligibility criteria, volunteer request forms, liability release or waiver forms, affiliate forms, guidelines	Transfer academic records to Student Records - (Departmental File) . Destroy in office applications and selection materials after 2 years. Destroy in office remaining records after 5 years.
1.23	LECTURES AND LECTURE SERIES RECORDS	Records documenting the development and history of special lectures and continuing lectureship devoted to a variety of topics and disciplines sponsored by the university or its units.	lecture committee notes, memoranda, planning materials, information on funding, financial support and honoraria records, patron information, programs, announcements, information on arrangements, news releases, transcripts, audio and video recordings, photographs	Permanent lecture program announcements, news releases, transcripts, audio and video recordings, photographs and correspondence. Transfer to the custody of University Archives after 10 years. Destroy in office remaining records after 10 years.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.24	LEGAL GUIDANCE	<p>Records concerning legal guidance issued by the Office of General Counsel.</p> <p><i>Note: This category does not include legal opinions attached to a specific litigation case file.</i></p>	OGC guidance on University Website, newsletters, presentations	Permanent. Transfer to the custody of University Archives when administrative value ends.
1.25	LEGAL RECORDS	<p>Records documenting counsel provided, as well as litigation threatened or asserted involving the university.</p> <p>Comply with applicable provisions of G.S. 132-1.1 regarding confidentiality of legal opinions. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with G.S. 126 regarding confidentiality of personnel records.</p>	legal briefs, case files, reports, subpoenas and affidavits, tort claims, bankruptcy and other legal files, attorney demand letters, materials prepared in anticipation of litigation or representation, trial preparation records, pleadings, notifications, class action notices, memoranda, appeal records	<p>Destroy 3 years after resolution of matter and expiration of all appeal rights. If case involves major changes to university policy, or considered to have significant historical value, transfer to the custody of University Archives after 5 years for appraisal and final disposition.</p> <p>Class Action Notices: Destroy 1 year after the prescribed deadline to file a claim in the class action if no claim is filed. Transfer to the custody of University Archives for appraisal and final disposition 1 year after payment of or denial of a filed claim.</p> <p>Bankruptcy Files: Destroy 1 year following discharge; or 3 years after debt paid or determined to be uncollectible.</p>
1.26	LEGAL RESEARCH RECORDS	<p>Records concerning case law, statutes, and newsletters.</p> <p><i>Note: This category does not include attorney work product related to a specific case file.</i></p>		Destroy in office when superseded or obsolete.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.27	MAILING LISTS	Mailing lists of individuals, organizations, and agencies receiving press releases and other public information.		Destroy in office after 3 years.
1.28	NEWS RELEASES & PUBLIC RELATIONS	Information used to promote the university and university activities.	photographs, press kits, press releases, press statements, digital recordings	Permanent. Transfer to the custody of University Archives after 5 years.
1.29	NOTARY PUBLIC RECORDS	Records documenting notary transactions completed by a notary public employed by the university.	logs	Destroy 7 years after date of commission expiration.
1.30	OFFICIAL REPORTS See also Annual Reports	Reports documenting the activities of the university.	draft and final copies of reports, and supporting documentation	Permanent final report. Transfer to the custody of University Archives after 5 years. Destroy in office drafts and remaining records one year after final report submitted.
1.31	ORGANIZATION AND ASSOCIATION RECORDS See also Faculty and Staff Governance Records	Records documenting the actions of faculty, staff, and professional organizations and associations within or with significant interaction with the University and its units.	minutes, publications, reports	Transfer to the custody of University Archives after 5 years for appraisal and final disposition.
1.32	ORGANIZATIONAL CHARTS	Organizational charts showing the hierarchy and reporting structure of NCSU and its units.		Permanent. Transfer to the custody of University Archives when superseded or obsolete.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.33	PLANNING	Planning and assessment activities of the university, divisions, departments, and units.	unit goals and performance documents, reports, statistics	Transfer to the custody of University Archives after 5 years for appraisal and final disposition.
1.34	POLICIES, REGULATIONS AND RULES RECORDS	Records documenting administrative policies, regulations, and rules (PRRs) of the University and its units written by the unit and concerning the unit.	policies, regulations, rules, supporting documentation	Permanent. Transfer to the custody of University Archives when superseded or obsolete.
1.35	PROFESSIONAL MEMBERSHIP RECORDS	Records documenting institution-paid individual and unit memberships and activities in professional organizations.	applications for membership, certification of membership, documentation of activities	Destroy in office after 3 years.
1.36	PROGRAM PARTICIPANT RECORDS (Non-Veterinary)	Records documenting the participation of individuals or groups in programs sponsored by NCSU.	attendance lists, enrollment records, registration lists	Destroy in office after 3 years.
1.37	PUBLIC RECORDS REQUESTS	Records concerning requests to access records of the University pursuant to G.S. § 132.	record requests and responses, request logs, guidelines	Destroy in office 3 years after last action of approval or denial response.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.38	PUBLICATIONS	Publications prepared by the University or private organization, consultant, or research firm under contract or the supervision of the University. Comply with G.S. § 125-11.7-8.	reports, directories, statistical compendia, bibliographies, maps, regulations, newsletters, pamphlets, brochures, periodicals, bulletins, magazines, compilations, and registers	Transfer 2 copies to the University Archives for appraisal and final disposition. Transfer an appropriate number of copies to the State Documents Publications Clearinghouse in accordance with G.S. § 125-11.7-8.
1.39	RECORD MANAGEMENT RECORDS	Records concerning records management within the university.	records retention and disposition schedule(s), destruction logs, transfer forms, inventories of records held onsite and offsite	Retain transfer forms in office permanently. Transfer when obsolete retention and disposition schedules to the custody of the University Archives for appraisal and final disposition. Destroy destruction logs after 5 years. Destroy in office remaining records when administrative value ends.
1.40	SCHOLASTIC PROGRAM RECORDS	Records documenting university fellowship, internship, and visiting scholar academic programs.	advertisements, applicant data, arrangements and schedules, publicity and news clippings, presentation transcripts or published works, documentation of program activities	Permanent applicant data, publicity, presentation transcripts, and documentation of program activities. Transfer to the custody of University Archives after 3 years. Destroy in office remaining records after 3 years.
1.41	SELF-STUDY RECORDS See also Accreditation	Study of departmental goals and performance over time, academic program reviews.	reports	Transfer to the custody of University Archives after study ends for appraisal and final disposition.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.42	SPECIAL ACTIVITY RECORDS	Records documenting the activities of a unit which are performed in addition to its regular or main functions.	completion of surveys and questionnaires, compilations of special studies for professional or academic associations, special meetings, arrangements documentation, working papers, survey forms, study designs, reports	<p>Destroy arrangement documentation, working papers, and survey forms after 5 years.</p> <p>Transfer remaining records to the custody of University Archives after 5 years for appraisal and final disposition.</p>
1.43	SPEECHES, STATEMENTS AND ADDRESSES	Speeches by the Chancellor and Vice Chancellors for significant events such as Commencement, Convocation, and Installation of Chancellor, as well as statements, addresses, and presentations written and delivered by its faculty and staff in connection with University business.	transcripts, tapes, videos, final copies	Transfer to the custody of University Archives after 5 years for appraisal and final disposition.
1.44	STAFF AND FACULTY MEETING RECORDS	Records documenting unit staff and faculty meetings.	agendas, minutes, reports	Transfer to the custody of University Archives after 5 years for appraisal and final disposition.
1.45	SUBPOENAS & AFFIDAVITS See also Legal Records	Records concerning information provided by the university in response to subpoena requests or other legal actions.		<p>Destroy in office 3 years after submission of records.</p> <p>See Legal Records for disposition instructions for records for subpoenas attached to a specific litigation case file in which the university or employee is a party.</p>

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.46	TRAVEL REQUESTS AND REIMBURSEMENTS	Comply with applicable provisions of 5 U.S.C. 552a regarding confidentiality of social security numbers and G.S. 132-1.10 regarding confidentiality of personal identifiable information.	authorizations, receipts	Destroy in office after 5 closed fiscal years and when released from all audits. Reference: Destroy in office after 2 closed fiscal years.
1.47	VOLUNTEER PROGRAM RECORDS See also Internships, Fellowships, Volunteers, and Visiting Scholar Records	Records documenting training, selection and management of volunteers.	reports, training materials, rosters and contact lists, schedules	Destroy in office after 3 years.
1.48	YOUTH PROGRAM PARTICIPANT RECORDS See also 4-H and Cooperative Extension Records	Records documenting the participation of children and youth in programs sponsored by the institution. Comply with applicable provisions of 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of medical records, and G.S. 132-1.11A and 1.112 regarding confidentiality of minor records.	applications, enrollment records, progress reports and assessments, immunization records, parental consent forms, activity records, lists of attendees	Destroy in office 3 years from the date the child is no longer enrolled in the program.

1. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition Instructions
1.49	4-H AND COOPERATIVE EXTENSION RECORDS See also Youth Program Participant Records	Records documenting NC State 4-H and Cooperative Extension programs. Comply with applicable provisions of 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of medical records, and G.S. 132-1.11A and 1.112 regarding confidentiality of minor records.	code of conduct, medical form, enrollment form, health history & custody release, job descriptions, applications, waivers	Destroy in office after 3 years.

Section 2 – Athletic Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 2 – Athletic Records

2.1	Academic Counseling
2.2	Athletics Compliance Records
2.3	Athletics Department Records
2.4	Athletics Injury and Treatment
2.5	Athletics Scholarship Records
2.6	Athletics Team Travel Itinerary
2.7	Coaches' Records
2.8	Game Contracts
2.9	Player Recruitment Records
2.10	Receipts from Income
2.11	Season Ticket Records
2.12	Sports Information Records
2.13	Ticket Sales

2. Athletic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
2.1	ACADEMIC COUNSELING	Personal and academic counseling of student athletes. Comply with 20 U.S.C. 1232g regarding confidentiality of student records.	advisors' notes and reports	Destroy in office 7 years from student's initial enrollment.
2.2	ATHLETICS COMPLIANCE RECORDS	Records maintained by the Athletics Compliance Office that pertain to student athletes and staff, including but not limited to documentation related to financial aid, eligibility, recruiting, athletics personnel and playing and practice seasons. Comply with applicable provisions of GS 126-24 regarding confidentiality of personnel records and 20 U.S.C. 1232g regarding confidentiality of student records and NCAA rules and regulations.	athletics financial aid agreements, academic documents including transcripts, departmental disciplinary action reports related to NCAA matters, camp/clinic materials, student assistant fund awards and documentation, student health insurance information, NCAA investigation and violation material, playing and practice season information, eligibility information, official and unofficial visitation records, telephone records, NCAA and ACC waivers	Destroy in office 7 years from student's initial enrollment. If record does not involve student, destroy in office after 7 years.
2.3	ATHLETICS DEPARTMENT RECORDS	Records generally concerning the Department of Athletics. <i>Does not include: personnel records, legal actions and/or litigation audits involving Athletics Dept. (See Personnel File and Legal Records)</i>	reports, memoranda	Destroy in office after 5 years and when released from all audits.

2. Athletic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
2.4	ATHLETICS INJURY AND TREATMENT	Records maintained by Sports Medicine that pertain to student athletes, including documentation related to athletic injuries and treatments. Comply with 20 U.S.C. 1232g regarding confidentiality of student records and 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of student medical records.	injury reports, lab reports treatment log, medications logs, medical histories, NCAA Injury Surveillance System Individual Injury forms, NCAA Weekly Exposure Forms	Destroy in office 15 years from student's initial enrollment, and when released from all litigation claims, audits or other official actions involving the athletic injury and treatment records.
2.5	ATHLETICS SCHOLARSHIP RECORDS	Records documenting scholarships awarded to student athletes. Comply with 20 U.S.C. 1232g regarding confidentiality of student records and NCAA rules and regulations.	applications, recommendations, authorization of scholarships, financial statements	Destroy in office 7 years from student's initial enrollment.
2.6	ATHLETICS TEAM TRAVEL ITINERARY	Records documenting the travel of athletic teams. Comply with NCAA rules and regulations.	itineraries, rosters	Destroy in office when superseded or obsolete.
2.7	COACHES' RECORDS	Records created and used during the course of coaching athletic teams at the University. Comply with NCAA rules and regulations.	playbooks, scouting reports, recruitment information, videos and audio recordings	Destroy playbook and scouting reports when superseded or obsolete. Destroy in office remaining records when administrative value ends.

2. Athletic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
2.8	GAME CONTRACTS	Records documenting contracts for games played by the University athletic teams. Comply with NCAA rules and regulations.	agreements, contracts	Destroy in office 5 years after expiration of all rights and obligations, including those surviving termination of the agreement.
2.9	PLAYER RECRUITMENT RECORDS	Records documenting player recruitment practices at the University. Comply with NCAA rules and regulations.	scouting reports, list of prospects, recruitment proposals, newsletters, literature, pamphlets, brochures, audiovisual recordings, video and audio recordings	Destroy in office after 7 years.
2.10	RECEIPTS FROM INCOME	Income generated from athletic events.	accounts receivable, gate receipts, advertisement, sponsorships	Destroy in office after 5 closed fiscal years and when released from all audits.
2.11	SEASON TICKET RECORDS	Records documenting the assignment of season tickets.	name of season ticket holder, seat location	Destroy in office after 5 closed fiscal years and when released from all audits.
2.12	SPORTS INFORMATION RECORDS	Records documenting the marketing of University athletic programs. Comply applicable provisions and restrictions of copyright and NCAA rules and regulations on distribution, use, disposition, and/or copying.	schedules, promotional literature, programs, media guides, press releases, calendars of events, photographs, sports statistics, video and audio recordings, sports memorabilia	Records have archival value and must be retained until such time as the department consents to transfer to the University Archives.

2. Athletic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
2.13	TICKET SALES	Records documenting the sale of tickets to University athletic events. Comply with G.S. 132-1.10 regarding confidentiality of personal identifiable information.	itemizations, check requests, order invoices, reports	Destroy in office after 5 closed fiscal years and when released from all audits.

Section 3 – Development Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 3 – Development Records

3.1	Annual Giving
3.2	Capital Campaign
3.3	Development Legal and Administrative Records
3.4	Donors and Prospects
3.5	Endowment Records
3.6	Gift-in-kind Records
3.7	Individual Fund Balances
3.8	Investment Management records
3.9	Life Income Agreements
3.10	Major and Planned Gifts
3.11	Scholarship / Awards
3.12	Tax Return
3.13	Trust, Endowments and Annuities Funds

3. Development Records

Series #	Series Title	Series Description	Items	Disposition Instructions
3.1	ANNUAL GIVING	Comply with applicable provisions of G.S. 105-259, G.S. 153A-148.1 and G.S. 160A-208.1 regarding confidentiality of records.	reports, financial records, brochures	Destroy in office financial records after 3 closed fiscal years and when released from all audits. Transfer remaining records to the custody of University Archives after 5 years for appraisal and final disposition.
3.2	CAPITAL CAMPAIGN	Comply with applicable provisions of G.S. 105-259, G.S. 153A-148.1 and G.S. 160A-208.1 regarding confidentiality of records.	reports, financial records, brochures	Destroy in office financial records 3 closed fiscal years after campaign ends. Transfer remaining records to the custody of University Archives after campaign ends for appraisal and final disposition.
3.3	DEVELOPMENT LEGAL AND ADMINISTRATIVE RECORDS	Establishment, administration and legal matters regarding Development funds.	budgets, deeds, certificates of deposit, contracts, by-laws, articles of incorporation	Transfer to the custody of University Archives when administrative value ends for appraisal and final disposition.
3.4	DONORS AND PROSPECTS	Comply with applicable provision of G.S. 132-1.10 regarding confidentiality of personal identifiable information.	names, addresses, fund names, fund numbers, biographical data, financial data, scholarship / endowment, contact reports	Destroy in office when superseded or obsolete.
3.5	ENDOWMENT RECORDS	Records documenting private sources of funding at the University. Comply with applicable provisions of legal agreements regarding confidentiality concerning each gift.	financial reports, legal contracts, agreements, lists, funding source descriptions	Transfer records regarding inactive endowments after 5 years to the custody of University Archives.

3. Development Records

Series #	Series Title	Series Description	Items	Disposition Instructions
3.6	GIFT IN KIND REPORTS	Comply with applicable provisions of legal agreement regarding confidentiality concerning each gift.	gifts, fund, date, amount	Destroy in office when administrative value ends.
3.7	INDIVIDUAL FUND BALANCES	Records documenting the administration and management of individual funds.	reports, statement of changes	Destroy in office when administrative value ends.
3.8	INVESTMENT MANAGEMENT RECORDS	Monthly, quarterly, and annual reporting of Development money managers on funds invested and held on behalf of Development.		Destroy in office when reference value ends.
3.9	LIFE INCOME AGREEMENTS	Life income of endowment donors. Comply with applicable provisions of G.S. 105-259, G.S. 160A-208.1 regarding confidentiality of records.	legal records, reconciliation reports, annuities, trusts	Permanent. Transfer records regarding inactive agreements to the custody of University Archives.
3.10	MAJOR AND PLANNED GIFTS	Coordination of gifts and giving policies. Comply with applicable provisions of G.S. 105-259 and G.S. 160A-208.1 regarding confidentiality of records.	reports, financial records, acceptance policies, legal opinions	Permanent. Transfer to the custody of University Archives when administrative value ends.

3. Development Records

Series #	Series Title	Series Description	Items	Disposition Instructions
3.11	SCHOLARSHIP / AWARDS	Creation and distribution of scholarship and awards. Comply with applicable provisions of 20 U.S.C. 1232g, G.S. 105-259, G.S. 153A-148.1, and G.S. 160A-208.1 regarding confidentiality of tax and other records.	acknowledgement of gifts, conditions of scholarship, applications, recommendations, names of recipients, accounting records, photographs	Destroy in office financial records after 3 closed fiscal years. Transfer remaining records to the custody of University Archives when administrative value ends for appraisal and final disposition.
3.12	TAX RETURN	Signed tax returns filed by the University.	signed tax returns	Retain signed tax returns in office permanently.
3.13	TRUST, ENDOWMENTS AND ANNUITIES FUNDS	Records concerning the administration of university trust, endowments and annuities. Abide by any restrictions established in donor agreement.	reports, accounting statements	Transfer records regarding inactive trusts, endowments, and annuities funds to the custody of University Archives after 5 years.

Section 4 – Facilities Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 4 – Facilities Records

4.1	Building Energy Profiles Records
4.2	Building maintenance Records
4.3	Building Use
4.4	Capital Improvement Proposals
4.5	Capital Improvement Records
4.6	Clean Air Act Records
4.7	Elevator Work Records
4.8	Energy Conservation Records
4.9	Equipment Maintenance & Repair
4.10	Housekeeping Records
4.11	Non-Capital Improvement Records
4.12	Pest Control Records
4.13	Rate Records
4.14	Real Estate Lease Records
4.15	Real Estate Maps and Surveys
4.16	Recycling Work Orders
4.17	Stream Restoration Reports

4.18	Supplies and Equipment Records
4.19	Surplus Property Records
4.20	Telephone Billing Records
4.21	Work Orders

4. Facilities Records

Series #	Series Title	Series Description	Items	Disposition Instructions
4.1	BUILDING ENERGY PROFILES RECORDS	Records documenting the energy profiles of campus buildings.	data, reports	Destroy in office when superseded or obsolete.
4.2	BUILDING MAINTENANCE RECORDS See also Elevator Work Records & Equipment Maintenance and Repair	Records documenting maintenance and repair of University buildings.	work schedules, maintenance reports and logs	Destroy in office 3 years after completion of work.
4.3	BUILDING USE	Records documenting the use of campus facilities. Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.	summaries of building usage, reports	Permanent in office.
4.4	CAPITAL IMPROVEMENT PROPOSALS	Proposals submitted by architects for new capital improvements. Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.	proposals	Transfer files concerning the successful bidder to the Capital Improvement Records Series after the contract is awarded. Destroy in office files pertaining to unsuccessful project proposals 1 year after contract has been awarded.

4. Facilities Records

Series #	Series Title	Series Description	Items	Disposition Instructions
4.5	CAPITAL IMPROVEMENT RECORDS See also Contracts, Agreements, and Leases & Non-Capital Improvement Records	Records documenting capital improvements on campus. Capital projects are defined as projects larger than \$300,000. Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.	accepted proposals, plans and reports, preconstruction notes, planning and construction layouts, sketches, drawings, autocad, floor plans, surveys, property maps, renovation plans, building plans	Transfer record drawings to the custody of University Archives for appraisal and final disposition 1 year after the building has been demolished. Destroy project-close out documents and specifications 1 year after the building has been demolished. Destroy in office remaining records after 10 years.
4.6	CLEAN AIR ACT RECORDS	Records documenting University efforts to comply with Clean Air Act regulations and standards, and obtain Title V operating permits	reports, applications, permits	Retain in office applications and permits permanently. Destroy in office remaining records 5 years after date permit issued.
4.7	ELEVATOR WORK RECORDS	Records documenting the maintenance of University elevators.	work orders, completed service call sheets	Destroy in office 5 years after completion of work.
4.8	ENERGY CONSERVATION RECORDS	Records documenting the University's study of alternative energy sources and measures undertaken by the University to conserve energy.	study reports, inspection reports, plans	Destroy in office when superseded or obsolete.
4.9	EQUIPMENT MAINTENANCE & REPAIR	Records documenting routine maintenance or repair work done to equipment.	work orders, service logs	Destroy in office 3 years after completion of service.

4. Facilities Records

Series #	Series Title	Series Description	Items	Disposition Instructions
4.10	HOUSEKEEPING RECORDS	Records documenting daily housekeeping activities. Comply with applicable provisions of GS 126-24 regarding confidentiality of personnel records.	work schedules, logs	Destroy in office 2 year after completion of work.
4.11	NON-CAPITAL IMPROVEMENT RECORDS See also Contracts, Agreements, and Leases & Capital Improvement Records	Records concerning the repair and renovations of existing facilities. Non-Capital Improvement projects are defined as projects less than \$300,000. Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.	plans and reports, preconstruction notes, planning and construction layouts, sketches, drawings, autocad, floor plans, surveys, property maps, renovation plans, building plans	Transfer record drawings to the custody of University Archives for appraisal and final disposition 1 year after the building has been demolished. Destroy final reports and specifications 1 year after the building has been demolished. Destroy in office remaining records after 10 years.
4.12	PEST CONTROL RECORDS	Records documenting pest control methods used in University owned buildings.	work orders, completed service call sheets	Destroy in office 5 years after completion of work.
4.13	RATE RECORDS	Records documenting the management and administration of Facilities Services recharge rates.	summaries of labor rates, comparative studies, reports	Destroy in office after 5 years.

4. Facilities Records

Series #	Series Title	Series Description	Items	Disposition Instructions
4.14	REAL ESTATE LEASE RECORDS	Records pertaining to space leases by acquisition or disposition or ground leases.	leases	<p>Destroy space leases by acquisition or disposition in office 5 years after expiration of all rights and obligations, including those surviving termination of the agreement.</p> <p>Destroy ground leases in office 10 years after expiration of all rights and obligations, including those surviving termination of the agreement.</p>
4.15	REAL ESTATE MAPS AND SURVEYS	Records pertaining to real estate maps and surveys.	maps, surveys	Destroy in office when superseded or obsolete.
4.16	RECYCLING WORK ORDERS	Records documenting recycling services.	work orders	Destroy in office after 1 year.
4.17	STREAM RESTORATION REPORTS	Reports documenting stream restoration projects. Comply with applicable requirements of the NC Department of Environmental Quality and the U.S. Environmental Protection Agency.		<p>Transfer record drawings to the custody of University Archives for appraisal and final disposition 10 years after restoration is completed.</p> <p>Destroy in office remaining records 10 years after restoration is completed.</p>

4. Facilities Records

Series #	Series Title	Series Description	Items	Disposition Instructions
4.18	SUPPLIES AND EQUIPMENT RECORDS	Records documenting supplies and equipment used by units.	warranties, manuals, accounting records, property lists (other than real property)	Transfer operating manuals to Surplus Property Receiving when equipment is sent to surplus. Destroy in office warranties when superseded or obsolete. Destroy in office remaining records after equipment is sent to surplus and after released from all audits.
4.19	SURPLUS PROPERTY RECORDS	Records concerning surplus property and its disposition.	disposal logs, forms	Destroy in office 3 years after property disposal.
4.20	TELEPHONE BILLING RECORDS	Records documenting telephone billing within University Units.	record copies of monthly telephone bills and logs	Destroy in office after 1 closed fiscal year and when released from all audits.
4.21	WORK ORDERS	Records documenting requests for services or repairs.	work orders, service tickets, estimates	Destroy in office 1 year after completion of work.

Section 5 – Financial Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 5 – Financial Records

5.1	1099 File
5.2	Accounts Payable
5.3	Accounts Receivable
5.4	Accounts Uncollectible
5.5	Annual Financing Statement Report
5.6	Bank Statements
5.7	Bidder's Applications
5.8	Bids
5.9	Bonds and Other Borrowing
5.10	Budget
5.11	Cancelled Checks
5.12	Capital Improvements Accounting Records
5.13	Cash Receipts
5.14	Cost Accounting Reports
5.15	Credit Card Use
5.16	Custodian Investment Reports Records
5.17	Deposits

5.18	Direct Deposit Forms
5.19	Disbursing Accounts Statements
5.20	Escheats Statements
5.21	Financial Records System (Database)
5.22	Financial Systems Access Request Records
5.23	Fixed Assets
5.24	Funding Increments
5.25	General Fund Records
5.26	Invoices
5.27	Loans
5.28	Mail Transmittal Slips
5.29	Monthly Budget Reports
5.30	Purchase Orders
5.31	Receipt Records
5.32	Reconciliation Reports
5.33	Requisitions
5.34	Requisitions for Transfer of Funds
5.35	Returned Checks
5.36	Reversion and Continuation of Agency Funds
5.37	Sales and Use Tax
5.38	Student Accounts
5.39	Tax Forms
5.40	Travel Reimbursements
5.41	Vendor Identification
5.42	Vouchers
5.43	WH-1, WH-3 Forms

5. Financial Records

Series #	Series Title	Series Description	Items	Disposition Instructions
5.1	1099 FILE	Tax forms generated to document services performed for the university by non-employees. Comply with applicable provisions of G.S. 126 and 5 U.S.C. 552a regarding confidentiality of records.	honorariums, contractual service, withholding tax	Destroy in office 7 years after payment date and when released from all audits.
5.2	ACCOUNTS PAYABLE	Status of accounts in which the state owes money to firms or individuals.		Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office after 1 year.
5.3	ACCOUNTS RECEIVABLE	Status of accounts receivable, excluding student accounts.	intra-governmental invoices, facility use fee records charged to university employees, lab use fees	Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office after 1 year.
5.4	ACCOUNTS UNCOLLECTIBLE	Status of accounts in which money cannot be collected.	judgment proof individuals	Destroy in office 3 closed fiscal years after account is determined to be uncollectible, and when released from all audits.
5.5	ANNUAL FINANCIAL STATEMENT REPORT	Reports of documenting final financial actions during the completed fiscal year.		Retain 1 copy in Comptroller's Office permanently. Transfer 1 copy to the custody of University Archives upon publication for permanent retention.
5.6	BANK STATEMENTS	Bank statements for University accounts.	bank statements	Destroy in office after 3 closed fiscal years and when released from all audits.

5. Financial Records

Series #	Series Title	Series Description	Items	Disposition Instructions
5.7	BIDDER'S APPLICATIONS	Applications submitted by vendors to be included on bidding lists.		Destroy in office after 5 closed fiscal years and when released from all audits.
5.8	BIDS	<p>Purchase of equipment, supplies or services. Comply with applicable provisions of</p> <p>G.S. 143-52, G.S. 143-53 and 01 NCAC 05B .0103 regarding confidentiality of bids.</p>	price quotes, applications	<p>Destroy in office unsuccessful bids after 5 closed fiscal years and when released from all audits.</p> <p>Destroy in office successful bids 5 years after expiration and when released from all audits.</p>
5.9	BONDS AND OTHER BORROWING RECORDS	Bond indentures, legal documents, and other related records concerning bonds and other forms of borrowing by the university. Comply with applicable provisions of 26 CFR 1.148-5 and 26 CFR 1.6001-1.	bond books, bond agreements, bond indentures, legal documents, swap agreements, payment schedules, annual audits, arbitrage audits, deposits, withdrawals, statements of reconciliation.	Destroy in office 5 closed fiscal years after last payment or when bond has been cancelled or has expired.
5.10	BUDGET	University budgetary records.	budget analysis report, transfer request, increase, decrease budget request forms, briefs concerning capital improvements, expansions and maintenance projects, worksheets, resolutions, revisions, official budget report, outside funding reports	<p>Permanent. Transfer copy of official budget report annually to the custody of University Archives.</p> <p>Destroy in office remaining records after 3 closed fiscal years and when released from all audits.</p>

5. Financial Records

Series #	Series Title	Series Description	Items	Disposition Instructions
5.11	CANCELLED CHECKS	Paid by the university.		Destroy in office after 7 closed fiscal years and when released from all audits.
5.12	CAPITAL IMPROVEMENTS ACCOUNTING RECORDS	Budget and financial records related to capital improvements.	accounting records, vouchers, checks, purchase orders, other supporting documentation, monthly reports	Destroy in office 3 closed fiscal years after project is completed and when released from all audits.
5.13	CASH RECEIPTS	Listing or analysis of cash received and deposited.	receipt books	Destroy in office after 3 closed fiscal years and when released from all audits.
5.14	COST ACCOUNTING REPORTS	Completed cost accounting reports for university expenditures.		Destroy in office after 3 closed fiscal years and when released from all audits.
5.15	CREDIT CARD USE	Records concerning the use and ownership of credit cards used by university employees. Comply with applicable provisions of G.S.132-1.2 (2) and 5 U.S.C. 552a regarding confidentiality of records.	P card reconciliations	Destroy in office after 3 closed fiscal years and when released from all audits.
5.16	CUSTODIAN INVESTMENT REPORTS RECORDS	Records documenting and reporting on investment performance.	monthly reports, investment activity summaries, working papers	Destroy in office when reference value ends.

5. Financial Records

Series #	Series Title	Series Description	Items	Disposition Instructions
5.17	DEPOSITS	Records documenting deposits made by the University.	deposit slips, cash register slips, receipts, bank statements	Destroy in office after 3 closed fiscal years and when released from all audits.
5.18	DIRECT DEPOSIT FORMS	Bank deposit slips submitted by employees for direct deposit of paychecks by university. Comply with applicable provisions of G.S. 132-1.2 (2) and 5 U.S.C. 552a regarding confidentiality of records.		Retain in office until superseded and when released from all audits.
5.19	DISBURSING ACCOUNTS STATEMENTS	Statements received from the Department of the State Treasurer indicating monthly activity, beginning and ending balance, and other related information for each disbursing account.	monthly statements	Destroy in office after 7 closed fiscal years and when released from all audits.
5.20	ESCHEATS STATEMENTS	Escheated funds reverting to the State of North Carolina and credited to the State Treasurer.	statements, correspondence	Destroy in office after 7 closed fiscal years.
5.21	FINANCIAL RECORDS SYSTEM (DATABASE)	Budget information shared by all university departments used to track revenue and expenditures, and create financial reports.	revenue, expenses, budget data, account amounts, check numbers, check amounts, purchase orders, IDT and Departmental credit/debit data	Purge data fields after 5 closed fiscal years and when released from all audits.

5. Financial Records

Series #	Series Title	Series Description	Items	Disposition Instructions
5.22	FINANCIAL SYSTEMS ACCESS REQUEST RECORDS	Records documenting requests to update or new requests for financial systems access by units on campus	access request forms, update forms	Destroy in office upon verification of employee separation from university employment and when released from all audits
5.23	FIXED ASSETS	Inventories of fixed assets.		Destroy in office after 5 years and when released from all audits.
5.24	FUNDING INCREMENTS	Records concerning increment increases in an employee's salary. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.		Destroy in office after 7 years.
5.25	GENERAL FUND RECORDS	Records documenting the administration and management of the General Fund.	accounting statements, budgetary statements, budgetary reports, reports	Permanent. Transfer to the custody of University Archives 5 years after release from all audits
5.26	INVOICES	Invoices concerning purchased materials.		Destroy in office after 3 closed fiscal years and when released from all audits.

5. Financial Records

Series #	Series Title	Series Description	Items	Disposition Instructions
5.27	LOANS	Records concerning loans and business assistance provided by the University.	promissory notes, repayment records	<p>Destroy in office audit copies 5 closed fiscal years after repayment or elimination of loan and when released from all audits.</p> <p>Destroy in office remaining records 1 closed fiscal year after termination or elimination of loan.</p>
5.28	MAIL TRANSMITTAL SLIPS	Mail transmittal slips used to account for postage.		Destroy in office after 1 year.
5.29	MONTHLY BUDGET REPORTS	Monthly budget reports and other related records.		Destroy in office after 3 closed fiscal years.
5.30	PURCHASE ORDERS			<p>Original: Destroy in office after 5 closed fiscal years and when released from all audits.</p> <p>Reference: Destroy in office after 2 closed fiscal years and when reference value ends.</p>
5.31	RECEIPT RECORDS	Records documenting amounts received by units from various sources.	ledgers, receipt books	Destroy in office after 5 years and when released from all audits.

5. Financial Records

Series #	Series Title	Series Description	Items	Disposition Instructions
5.32	RECONCILIATION REPORTS	Reports listing all outstanding checks or warrants.		Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office after 1 closed fiscal year.
5.33	REQUISITIONS	Requests for orders for equipment or supplies.		Original: Destroy in office after 5 closed fiscal years and when released from all audits. Reference: Destroy in office after 1 year.
5.34	REQUISITIONS FOR TRANSFER OF FUNDS	Documents related to the transfer of funds.	funds transfer requisition forms, transfer confirmation forms and associated documentation	Destroy in office after 3 closed fiscal years and when released from all audits.
5.35	RETURNED CHECKS	Records documenting checks written to the university that have been returned for insufficient funds.	returned checks and related documentation	Destroy in office audit copy 1 year after check is paid, collected or is determined uncollectible. Destroy in office remaining records when check is paid, collected or is determined uncollectible.
5.36	REVERSION AND CONTINUATION OF AGENCY FUNDS	Records concerning the reversion and continuation of agency funds.		Original: Destroy in office after 3 closed fiscal years. Reference: Destroy in office after 1 year.
5.37	SALES AND USE TAX	Records concerning the collection of sales and use taxes by the university.		Original: Destroy in office after 5 closed fiscal years and when released from all audits. Reference: Destroy in office after 1 year.

5. Financial Records

Series #	Series Title	Series Description	Items	Disposition Instructions
5.38	STUDENT ACCOUNTS	Records concerning individual student accounts.	adjustments of tuition fees, refunds, outstanding fees for damaged or overdue books, records of payments or other credits, statement of charges, GA 1 Submission bills and related student bills with personal fee payment information, miscellaneous student account activities and related documentation	Destroy in office records concerning settled accounts when released from all audits. Transfer copy of statement of each unsettled account to Registrar's Office after 1 semester. Destroy in office remaining records when account is settled or designated uncollectible and when released from all audits, whichever occurs later.
5.39	TAX FORMS	Completed tax withholding forms for faculty, staff and student employees. Comply with G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.	W-4. NC-4	Destroy in office after 4 years and when released from all audits.
5.40	TRAVEL REIMBURSEMENTS	Comply with applicable provisions of 5 U.S.C. 552a regarding confidentiality of records.	request for reimbursement, authorizations, documentation of payment	Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office after 2 closed fiscal years.
5.41	VENDOR IDENTIFICATION	Records identifying vendors approved to conduct business with the University.	supplier contact list	Destroy in office when superseded or obsolete.

5. Financial Records

Series #	Series Title	Series Description	Items	Disposition Instructions
5.42	VOUCHERS	Vouchers and documentation of disbursements.	vouchers, documentation of disbursements	Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office after 2 closed fiscal years.
5.43	WH-1, WH-3 FORMS	Records concerning income tax withholding that are used to report monthly and annual income taxes withheld.		Destroy in office after 3 closed fiscal years and when released from all audits.

Section 6 – Grants and Research Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 6 – Grants and Research Records

6.1	Animal Care Records
6.2	Animal Research Records
6.3	Conflict of Interest Records
6.4	Grants – Awarded
6.5	Grants – Proposals
6.6	Institutional Review Boards (IRBs) Operations Records
6.7	Institutional Review Boards (IRBs) Study Records
6.8	Intellectual Property
6.9	Internally Funded Research Project Records
6.10	Live Tissue Research Records
6.11	Notice of Intent Records
6.12	Research Misconduct: Complaints, Deviations and Violation Records
6.13	Surveys
6.14	Veterinary Records

6. Grants and Research Records

Series #	Series Title	Series Description	Items	Disposition Instructions
6.1	ANIMAL CARE RECORDS	Records documenting programs that oversee use of animals in scientific research including Records of institutional Animal Care and Use Committee, College of Veterinary Medicine, and any other animal care records.	general program records, minutes, reports, reference copies of allegations of animal misuse by University personnel	<p>Destroy in office records of employee reports of misuse of animal subjects 3 years after protocol expiration date.</p> <p>Destroy in office remaining records after 6 years.</p>
6.2	ANIMAL RESEARCH RECORDS	<p>Records documenting the use of animals for research, including animal live tissue.</p> <p>Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records and S.E.T.A. UNC-CH v. Huffines, 101 N.C. App. 292, 399 S.E.2d 340 (1991) regarding confidentiality of records related to the care and use of animals in scientific experiments.</p>	manifests, disposition logs, reports	Destroy in office 7 years after final disposition of animal is complete.
6.3	CONFLICT OF INTEREST RECORDS	Records documenting possible conflicts of interest related to university officials or employees and outside entities, holding political office, dual appointments, engaging in outside activities for pay and other related matters.	forms, management plans	<p>Destroy in office records documenting no conflict of interest after 3 years.</p> <p>Destroy in office records documenting an actual or possible conflict of interest 6 years after resolution of conflict.</p>

6. Grants and Research Records

Series #	Series Title	Series Description	Items	Disposition Instructions
6.4	GRANTS – AWARDED See also Grants – Proposals	Records documenting the administration of grants awarded to the University and its units.	final copies of awarded proposals, applications, notices of award, accounting records, progress reports, patents, audit findings, contracts, research data	Permanent in office technical reports and proposals. For grants funded by the state of North Carolina, dispose of remaining records 5 years after submission of final report. For grants funded by other granting agencies, dispose of remaining records in accordance with the retention requirements of the master agreement with the granting agency.
6.5	GRANTS – PROPOSALS See also Grants – Awarded	Records documenting grant proposals written and submitted by the University and its units.	draft and final copies of proposals	Transfer successful grant proposals to Grants-Awarded . Destroy in office rejected proposals when administrative value ends.

6. Grants and Research Records

Series #	Series Title	Series Description	Items	Disposition Instructions
6.6	INSTITUTIONAL REVIEW BOARD (IRB) OPERATIONS RECORDS See also Institutional Review Boards (IRBs) Study Records	<p>Records documenting the daily operations of the IRB, including meetings of Institutional Review Boards to review research study applications for approval.</p> <p>Comply with applicable provisions of G.S. 66-152 and 132-1.2(1) a-d regarding the protection and confidentiality of trade secrets. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.</p> <p>Note: These records are maintained pursuant to federal regulations 45 C.F.R. 46.115(a) (1, 3, 4, and 7) and 21 C.F.R. 56.115(a) (1, 3, 4, and 7).</p>	<p>agendas, meetings minutes, meeting documentation, IRB membership rosters, and written IRB procedures.</p>	<p>Permanent. Transfer to the custody of University Archives 3 years after their last effective date.</p>

6. Grants and Research Records

Series #	Series Title	Series Description	Items	Disposition Instructions
6.7	INSTITUTIONAL REVIEW BOARD (IRB) STUDY RECORDS See also Institutional Review Boards (IRBs) Operations Records	<p>Records documenting the review of protocols for the use of human subjects.</p> <p>Comply with applicable provisions of G.S. 66-152 and G.S. 132-1.2(1) a-d regarding the protection and confidentiality of trade secrets. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.</p>	<p>applications for review (initial, modification, renewals), funding proposals, master protocols, consent documents, data collection and recruitment materials, scientific evaluations of the application, progress reports submitted by investigators, investigator brochures, safety monitoring reports, reportable event reports, reliance agreements</p>	<p>Destroy in office records concerning studies that were approved via full committee or expedited review 3 years after completion date of the research study.</p> <p>Destroy in office records concerning studies that were determined to be exempt or not human subject research 3 years after the determination was made, provided the research is complete.</p> <p>Destroy in office external agreements 3 years after the completion date of the research study.</p> <p>Destroy in office records concerning research that is disapproved 3 years after submission of the application.</p>
6.8	INTELLECTUAL PROPERTY	<p>Records of infringement claims against or by the university, university's requests for copyrights, patents or trademarks, preparation, filing, maintenance, and rights.</p>	<p>requests for permission to use a copyrighted, patented or trademarked item, reports, applications, registration, notices, maintenance, records related to copyright, patent and trademarks of the university</p>	<p>Destroy in office 5 years after expiration of all rights and obligations, including those surviving termination of the agreement.</p>

6. Grants and Research Records

Series #	Series Title	Series Description	Items	Disposition Instructions
6.9	INTERNALLY FUNDED RESEARCH PROJECT RECORDS	<p>Records documenting internally funded research projects by faculty and/or units.</p> <p>Comply with applicable provisions of North Carolina General Statutes 66-152 and 132-1.2(1)a-d regarding the protection and the confidentiality of trade secrets and with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records. Comply with provisions of 5 U.S.C. § 552a (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers and other personal data and of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with provisions of 42 U.S.C. 1320d-2(d)(2) (HIPAA) regarding confidentiality of patient-related medical records and personal information.</p>	project descriptions, final technical reports/deliverables, patents or inventions, data	<p>Permanent in office technical reports and proposals.</p> <p>Destroy in office remaining records 5 years after project end date and final payments, when released from all litigation, claims, or audits.</p>
6.10	LIVE TISSUE RESEARCH RECORDS	Records documenting the use of live tissue in research.	Manifests, disposition logs, report	Destroy in office 7 years after final disposition of tissue is complete.

6. Grants and Research Records

Series #	Series Title	Series Description	Items	Disposition Instructions
6.11	NOTICE OF INTENT RECORDS	Forms documenting external professional activity for pay.		<p>Destroy in office records documenting notice of intent denials after 3 years.</p> <p>Destroy in office records documenting notice of intent approvals 6 years after resolution of conflict.</p>
6.12	RESEARCH MISCONDUCT: COMPLAINTS, DEVIATIONS AND VIOLATION RECORDS	Records concerning complaints or allegations of observed, suspected or apparent research misconduct, complaints, violations, or deviations related to a specific study or principal investigator. Comply with applicable provisions of 42 C.F.R. 93.317 regarding maintenance of research misconduct proceeding records.		<p>Destroy 7 years after conclusion of study, review, investigation or associated action and expiration of all appeal rights, if not made part of Personnel File or Student Disciplinary Records.</p>
6.13	SURVEYS	Surveys created at the instruction or direction of the Office for Institutional Research and Planning, including recurring student, alumni, faculty, and staff surveys. Comply with applicable provisions of GS 126-24 regarding confidentiality of personnel records and 20 U.S.C. 1232g regarding confidentiality of student records.	questionnaires, surveys, forms, study designs, studies, compilations, summary reports, conclusions	<p>Transfer summary reports and conclusions to the custody of University Archives after 5 years for appraisal and final disposition.</p> <p>Destroy in office remaining records when administrative value ends.</p>
6.14	VETERINARY RECORDS	Records pertaining to the treatment of animals in the College of Veterinary Medicine.	patient information, logs, animal records	<p>Destroy in office 3 years after the last patient exam or treatment.</p>

Section 7 – Information Technology Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 7 – Information Technology Records

7.1	Audits: Systems
7.2	Computer and Network Security Incident Records
7.3	Computer and Network Usage Records
7.4	Digitization and Scanning Records
7.5	Disaster Preparedness and Recovery Plans
7.6	Electronic Records Policies and Procedures
7.7	Information Technology Assistance Records
7.8	Network and System Security Records
7.9	Network Diagrams
7.10	Project Documentation
7.11	Software License and Copyright Provisions Records
7.12	System Access Records
7.13	System Documentation Records
7.14	System Maintenance Records: Hardware Repair or Service
7.15	System Maintenance Records: Records Backups
7.16	Web Management and Operations Records: Structure

7. Information Technology Records

Series #	Series Title	Series Description	Items	Disposition Instructions
7.1	AUDITS: SYSTEMS	Records documenting user actions affecting the contents of monitored systems. Comply with applicable provisions of GS 132-6.1(c).		Destroy in office after 3 years.
7.2	COMPUTER AND NETWORK SECURITY INCIDENT RECORDS	Records documenting incidents involving unauthorized attempted entry, probes, and/or attacks on data processing systems, information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware.	reports, logs, extracts, compilations of data	Destroy in office finalized cyber incident reports 5 years after incident is resolved. Destroy in office all remaining records 1 year after incident is resolved.
7.3	COMPUTER AND NETWORK USAGE RECORDS	Records documenting usage of electronic devices and networks.	login files, system usage files individual program usage files, charge backs, data entry logs, security logs and records of use of the internet by employees	Destroy in office after 1 year.
7.4	DIGITIZATION AND SCANNING RECORDS	Records documenting imaging operations.	scanning and data entry quality control records and audit reports	Destroy in office after 3 years.

7. Information Technology Records

Series #	Series Title	Series Description	Items	Disposition Instructions
7.5	DISASTER PREPAREDNESS AND RECOVERY PLANS See also Disaster and Emergency Response Records	Records documenting the protection and reestablishment of data processing services and equipment in case of a disaster. Comply with applicable provisions of GS 132-1.7 and GS 132-6.1(c).		Retain in office permanently records documenting past recovery actions. Destroy in office all remaining records when superseded or obsolete. Retention note: Disaster preparedness and recovery plans should be stored in a secure, off-site location.
7.6	ELECTRONIC RECORDS POLICIES, REGULATIONS AND PROCEDURES	Comply with applicable provisions of GS 132-1.7(b) and GS 132-6.1(c).	procedural manuals as well as an Electronic Records and Imaging Policy and a Security Backup Policy	Destroy in office when superseded or obsolete.
7.7	INFORMATION TECHNOLOGY ASSISTANCE RECORDS	Records documenting troubleshooting and problem-solving assistance provided by university information systems personnel to users of the systems.	help desk assistance requests, work orders, site visit reports, service history, resolution records	Destroy in office 1 year after work is completed.
7.8	NETWORK AND SYSTEM SECURITY RECORDS	Records documenting the security of network and system. Comply with applicable provisions of GS 132-6.1(c).	records concerning firewalls, anti-virus programs, and intruder scanning logs	Destroy in office after 3 years.

7. Information Technology Records

Series #	Series Title	Series Description	Items	Disposition Instructions
7.9	NETWORK DIAGRAMS	Records documenting the logical and physical relationships of network components for purposes of organization, deployment, troubleshooting, monitoring of access, and management of day-to-day operations. Comply with applicable provisions of GS 132-6.1(c).		Destroy in office when superseded or obsolete.
7.10	PROJECT DOCUMENTATION	Records created to design, develop, control, or monitor a specific project or group of projects.	schematics, statements of work, assessments, maintenance agreements, and testing records	Retain in office permanently records documenting data migration. Destroy in office remaining records 3 years after completion of project.
7.11	SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS	Records documenting compliance with agency software license and copyright provisions.	software licenses	Destroy in office 1 year after software is superseded or obsolete, unless retention requirements in license agreement states otherwise.
7.12	SYSTEM ACCESS RECORDS	Records documenting audit trails such as user permissions and access to information, programs, or applications within a system.		Destroy in office after 1 year.
7.13	SYSTEM DOCUMENTATION RECORDS	Records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. Comply with applicable provisions of GS 132-1.1(g) and GS 132-6.1(c).	system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, and current source code	Destroy in office 3 years after superseded or obsolete.

7. Information Technology Records

Series #	Series Title	Series Description	Items	Disposition Instructions
7.14	SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE	Records documenting inspection, maintenance, and repairs of university computer systems that are owned or leased.	computer equipment inventories and service records	<p>Destroy in office records documenting routine inspections and maintenance of equipment after 1 year.</p> <p>Destroy in office remaining records upon final disposition of the equipment.</p>
7.15	SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS 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 the State Archives of North Carolina website.	Records documenting regular or essential system backups.	backup tape inventories	<p>Destroy in office in accordance with the University's established, regular backup plan and procedures.</p>
7.16	WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE	Site maps that show the directory structure into which content pages are organized, and commercial, off-the-shelf software configuration or content management system files used to operate the site and establish its look and feel.	server environment configuration specifications	<p>Destroy in office when superseded or obsolete.</p>

Section 8 – Library Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 8 – Library Records

8.1	Accession Records
8.2	Acquisition Records
8.3	Approval Plan Records
8.4	Binding Patterns
8.5	Borrower Applications
8.6	Carrel Assignments
8.7	Conservation Treatment Records
8.8	Donor Records
8.9	Exhibit Records
8.10	Federal Depository Account
8.11	Integrated Library System (ILS) Records
8.12	License Agreements
8.13	Loan Records
8.14	Lyasis
8.15	Patron Access Records
8.16	Patron Reference Records
8.17	Reference Transactions

8. Library Records

Series #	Series Title	Series Description	Items	Disposition Instructions
8.1	ACCESSION RECORDS	Records documenting accessions of Special Collections materials.	documentation of accretions, accruals, and deaccessions.	Retain in office permanently.
8.2	ACQUISITION RECORDS	Records documenting acquisitions of books, periodicals, government documents, ongoing serials, and other materials.	purchase orders/requests, shipping information, cancellation/discontinued notices, check-in information	<p>Retain in office permanently records concerning Special Collections materials.</p> <p>Destroy in office records concerning ongoing serials, periodicals, and microfilm copies 5 years after termination/cancellation of order or subscription.</p> <p>Destroy in office records concerning other library materials after 10 years.</p> <p>Destroy in office all remaining records after 3 closed fiscal year.</p>
8.3	APPROVAL PLAN RECORDS	Records documenting materials received on approval.	printouts of amount spent, number of books, LC classification, returns lists, ISBN number, approval plan profile, statistical data, reason returned	Destroy in office after 2 years.
8.4	BINDING PATTERNS	Records documenting bindery work.	patterns, templates, instructions	Destroy in office when superseded or obsolete.

8. Library Records

Series #	Series Title	Series Description	Items	Disposition Instructions
8.5	BORROWER APPLICATIONS	Records documenting applications from community or non-university affiliated library users.	application forms	Destroy in office 1 year after expiration or after 1 year of inactivity.
8.6	CARREL ASSIGNMENTS	Records documenting the assignment of library carrels.	forms, lists	Destroy in office 6 months after termination of assignment.
8.7	CONSERVATION TREATMENT RECORDS	Records documenting research and implementation of conservation treatments.	reports, research notes, photographs	Retain in office permanently records for Special Collections materials. Destroy remaining records after 3 years.
8.8	DONOR RECORDS See also Section 3 - Development Records	Records documenting materials donated to the University libraries. Comply with applicable provision of G.S. 132-1.10 regarding confidentiality of personal identifiable information.	forms, agreements, deeds of gift	Retain in office permanently records for major gifts and for all Special Collections materials. Destroy in office remaining records after 5 years.
8.9	EXHIBIT RECORDS	Records documenting exhibits produced by campus units.	promotional materials, exhibit captions and research	Transfer to University Archives when reference value ends for appraisal and final disposition.
8.10	FEDERAL DEPOSITORY ACCOUNT		deposit account orders and statements	Destroy in office after 3 years.

8. Library Records

Series #	Series Title	Series Description	Items	Disposition Instructions
8.11	INTEGRATED LIBRARY SYSTEM (ILS) RECORDS	Records documenting the administration and management of the ILS.	on-line catalog, circulation data, budget data, orders, purchases, fines, patron information, bibliographic data, shelf lists, interlibrary loan data	<p>Purge inactive patron data annually.</p> <p>Purge data for obsolete technology lending items after 1 year.</p> <p>Purge budget and financial data after 3 fiscal years.</p> <p>Destroy remaining records when administrative value ends.</p>
8.12	LICENSE AGREEMENTS	Records documenting licenses for databases and electronic journals purchased by the University libraries.		Destroy in office 5 years after expiration of agreement.
8.13	LOAN RECORDS	Records documenting materials temporarily loaned to other units of the University, to the Triangle Interlibrary Loan or to outside institutions for special exhibits. Comply with applicable provisions of GS 125-19 regarding confidentiality of library user records.	loan negotiations and agreements, insurance, shipping and freight records	Transfer to University Archives when reference value ends for appraisal and final disposition.
8.14	LYRASIS	Records documenting the library's participation in LYRASIS and its predecessor SOLINET.		Destroy in office when superseded or obsolete.

8. Library Records

Series #	Series Title	Series Description	Items	Disposition Instructions
8.15	PATRON ACCESS RECORDS	Records documenting access requests received by the Special Collections Research Center. Comply with applicable provisions of GS 125-19 regarding confidentiality of library user records.	call slips and registration information	Transfer to University Archives after 5 years for appraisal and final disposition.
8.16	PATRON REFERENCE RECORDS	Records documenting reference requests received by the library and Special Collections Research Center. Comply with applicable provisions of GS 125-19 regarding confidentiality of library user records.	log books, duplication requests, reference requests	Transfer records for Special Collections to University Archives after 5 years for appraisal and final disposition. For other library units, destroy log book and duplication requests in office after 3 years. Destroy remaining records in office after 5 years.
8.17	REFERENCE TRANSACTIONS	Records documenting transactions between librarians and library users, including email and chat sessions. Comply with applicable provisions of GS 125-19 regarding confidentiality of library user records.		Destroy in office records with library user information upon completion of transaction. Destroy in office remaining records when administrative value ends.
8.18	STATISTICAL REPORTS			Transfer to University Archives after 5 years for appraisal and final disposition.

Section 9 – Personnel Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 9 – Personnel Records

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9.37	Personnel File: One Time Payments
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9.39	Reappointment, Promotion and Tenure Records
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9.48	Time Sheets
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9.50	Voluntary Shared Leave
9.51	Work Schedules
9.52	Workers' Compensation Program Administration
9.53	Workers' Compensation Third Party Administrative Fee

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.1	ADMINISTRATIVE INVESTIGATIONS	Records related to investigations of conduct problems among agency personnel.	complaints, investigation reports, disciplinary actions	<p>Destroy in office complaints lodged against personnel that are resolved without an internal investigation 3 years after resolution.</p> <p>Destroy in office complaints lodged against personnel that are unsubstantiated 5 years after final disposition.</p> <p>Destroy in office complaints lodged against personnel that are settled out-of-court 5 years after final disposition or expiration of relevant statute of limitations.</p> <p>Transfer internal case records and investigations that led to substantiated cases to Personnel File.</p>
9.2	ADMINISTRATIVE RECORDS	Records concerning the assignment and oversight of agency personnel.	policies, procedures, memoranda, agreements and authorizations required of employees, orientation materials, and informational data	<p>Retain personnel policies and procedures in office permanently.</p> <p>Destroy in office memoranda after 5 years.</p> <p>Destroy in office remaining records when superseded or obsolete.</p>
9.3	ALCOHOL AND DRUG ABUSE PROGRAM	Records concerning alcohol and drug abuse rehabilitation program for university employees. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality.	guidelines and directives, final reports	Destroy in office after 3 years.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.4	APPLICATIONS FOR EMPLOYMENT See also Search Committees & Hiring Packages	Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.	applications, resumes, vitae, recommendations, psychological and personality evaluations and assessments completed for fitness for duty and/or hiring, polygraph results	Follow disposition instructions for Hiring Packages .
9.5	APTITUDE AND SKILLS TESTING	Records concerning aptitude and skills tests required of job applicants or of current employees seeking promotion or transfer.		Destroy in office after 2 years.
9.6	BENEFITS CONTINUATION	Records documenting notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability of family leave (e.g., Consolidated Omnibus Budget Reconciliation Act [COBRA])		Destroy in office 3 years after employee returns or eligibility expires.
9.7	BENEFITS RECORDS	Records concerning the compensation of employees by means other than wages. Includes records describing health, life, retirement, and other insurance and fringe benefit plans available to University employees.		Destroy in office documentation about benefits plans 1 year after superseded or obsolete. Note: Enrollment and claims forms should be filed with the benefits provider and do not need to be maintained on campus.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.8	BIOGRAPHICAL RECORDS	Records documenting biographical information for faculty and staff.	vitae, clippings, photographs, speeches	Transfer to the custody of University Archives 1 year after separation for appraisal and final disposition.
9.9	CERTIFICATIONS AND QUALIFICATIONS	Records concerning certification or qualification required for employment, continued employment, or promotion.		Follow disposition instructions for Employee Training and Educational Records . See Training Records: Personnel for disposition instructions for University Police.
9.10	CIVIL RIGHTS RECORDS	Records pertaining to complaints, policies and procedures related to the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), the Equal Pay Act, the Genetic Information Nondiscrimination Act (GINA), and the 1964 Civil Rights Act. Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24, and G.S. 132-1.1 regarding confidentiality of records.	regulations, guidelines, reports, directives, procedures recruitment plans, equal opportunity statements, full-time and EHRA non-faculty actions, faculty employment reviews, procedures	Transfer policies, guidelines, reports, compliance reviews, and affirmative action plans to the custody of University Archives after 5 years for appraisal and final disposition. Destroy in office employee discrimination complaints 3 years after final disposition of the charge or action. Destroy in office remaining records 3 years after superseded or obsolete. Retention Note: 29 CFR 1602.14 defines final disposition of the charge or the action as “the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated.”

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.11	CRIMINAL BACKGROUND CHECK	Records concerning pre-employment or periodic criminal records checks conducted on prospective or current staff, interns, and volunteers.		Destroy in office after 5 years.
9.12	DEDUCTION REGISTERS	Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes tax withholding, retirement contributions, bank payments, savings plans, dues, and other related records.		Destroy in office tax withholding records after 4 years. Destroy in office remaining records 3 years after termination of deductions.
9.13	DISABILITY SHORT-TERM CLAIMS FORMS	Claims completed by disabled employees to apply for short-term disability benefits. Comply with G.S. 126-24 regarding confidentiality of records.	applications for salary continuation, claim forms	Destroy in office 3 years after employee returns or separates.
9.14	DISCIPLINARY ACTIONS	Disciplinary actions brought against university employees for violations of university rules and regulations. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.		Transfer records concerning substantiated cases to Personnel File . Destroy in office records concerning unsubstantiated cases after 3 years.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.15	DUAL AND SECONDARY EMPLOYMENT	Employees requesting and engaging in dual employment within state government or universities.	forms	<p>Destroy in office approved requests and related records 1 year after employee terminates outside employment.</p> <p>Destroy in office rejected requests 6 months after decision.</p> <p>Destroy in office remaining records when administrative value ends.</p>
9.16	EDUCATIONAL LEAVE AND REIMBURSEMENT	Records documenting requests for educational leave and tuition reimbursement. Comply with 20 U.S.C. 1232g.		Destroy in office 3 years after employee returns or separates.
9.17	EMPLOYEE ASSISTANCE PROGRAMS	Records documenting assistance and counseling opportunities. Comply with applicable provisions of G.S. 126-24, GS 126-29, and G.S. 132-1.1 regarding confidentiality of records.	requests for information, referrals, forms, releases	Destroy in office after 3 years.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.18	EMPLOYEE MEDICAL RECORDS See also Workers' Compensation	Records documenting the medical and health status of University employees (other than medical records referred to in the series Employee Exposure to Medical Hazardous Materials Records). Comply with 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of medical records.	medical leave permit forms, workers compensation injury reports, treatment reports	Destroy in office first aid records of minor job-related injuries after 5 years. Destroy records concerning asbestos, toxic substances, and bloodborne pathogen exposure after 30 years. Destroy remaining records 30 years after separation. Note: Records must be kept separately from employee's personnel file. Provide medical records to employees who have worked for less than 1 year at time of separation.
9.19	EMPLOYEE TRAINING AND EDUCATIONAL RECORDS See also Safety Training Records & Conferences, Training, Programs, and Workshops	Employee records relating to the training, testing, or continuing education of NC State employees.	certificates, transcripts, test scores, registration forms	Transfer employee-specific records as applicable to Personnel File if such training and testing is required for the position held or could affect career advancement. Destroy in office remaining records when administrative value ends. See Training Records: Personnel for disposition instructions for University Police.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.20	EMPLOYMENT ELIGIBILITY VERIFICATION		I-9 forms, immigration documents, Selective Service Registration compliance forms	<p>After separation, destroy in office I-9 forms 3 years from date of hire or 1 year after employee separation, whichever occurs later.</p> <p>Destroy in office immigrant or nonimmigrant petitions filed by the University 3 years after employee separation.</p> <p>Destroy in office employment authorization documents filed with the U.S. Department of Labor after 5 years.</p> <p>Destroy in office Selective Service Registration compliance forms 1 year after employee separation.</p>
9.21	EXIT INTERVIEWS	Interviews or questionnaires conducted with employees planning to separate from the University.		Destroy in office after 1 year.
9.22	FACULTY COMPENSATION RECORDS	Records documenting the allocation of unit funds for faculty compensation through the annual raise process (ARP).	reports, spreadsheets	Destroy in office 1 year after final budget approval.
9.23	FAMILY MEDICAL LEAVE ACT (FMLA)	Records documenting leave provided under FMLA.		Destroy in office 3 years after employee returns or separates.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.24	GARNISHMENTS	Records concerning garnishments of employees' wages. Comply with applicable provisions of G.S. 126-24 regarding confidentiality.	statements, forms	Destroy in office 3 years after termination of deduction.
9.25	GRIEVANCES	Records documenting employee grievances and dispute resolution. Comply with applicable provisions of G.S. 126-24 and G.S.132-1.1 regarding confidentiality.	forms, statements, responses, hearing and conference notes, decisions	Destroy in office 3 years after final resolution of grievance.
9.26	HIPAA COMPLIANCE RECORDS	Records documenting the Universities compliance with the Health Insurance Portability and Accountability Act.	HIPAA compliance records, site assessments for health care components, blank consent to disclose and authorizations forms	Dispose after 7 years and when released from all litigation holds or audits.
9.27	HIRING PACKAGES See also Applications for Employment & Search Committees	Records pertaining to the hiring and evaluation of candidates for a position.	interview documentation, rosters, eligibility lists, test taking sheets, justification statements	Transfer records of individuals hired to Personnel File after official offer of employment is accepted. Destroy in office records of all other candidates 3 years after date position is filled if no charge of discrimination has been filed. If charge has been filed, destroy 1 year after resolution of charge.
9.28	LAPSED SALARIES	Records concerning state-appropriated funds made available for reallocation through the circumstances of unused salaries. Comply with applicable provisions of G.S. 126-24 regarding confidentiality of records.		Destroy in office after 2 years.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.29	LEAVE FILE	Comply with applicable provisions of G.S. 126-24 regarding confidentiality of records.	leave requests, monthly leave reports, yearly leave recapitulations, civil leave, community service leave, leave without pay	Destroy in office approved leaves requests 3 years after employee returns or separates. Destroy in office denied leave requests after 6 months.
9.30	LONGEVITY PAY			Destroy in office after 7 years.
9.31	MILITARY LEAVE	Records concerning approved requests for military leave provided under the Uniformed Services Employment and Reemployment Act (USERRA).		Destroy in office 3 years after employee returns or separates.
9.32	OMBUDS PROGRAM RECORDS	Related to the NC State's Faculty and Staff Ombuds programs.	meeting notes, intake forms, applications for assistance, referral forms, records of issue resolution	Destroy 1 year from resolution of or final action on issue.
9.33	PAYROLL	Records concerning salaries paid to employees, including employed apprentices or students, contract employees, and temporary employees. Comply with G.S. 126-24 and 20 USC 1232g regarding confidentiality of records.		Destroy in office after 3 years.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.34	PERFORMANCE EVALUATION AND MANAGEMENT	Records concerning employees' goals and primary tasks.	work plan, development plan, performance evaluations	Transfer to Personnel File .
9.35	PERSONNEL ACTION REQUEST	Records concerning personnel action changes (e.g., hire, termination, retirement, resignation).		Destroy in office after 1 year.
9.36	PERSONNEL FILE	Records of employees exempt from and subject to the State Human Resource Act, including Unpaid Faculty, Adjuncts, and Visiting Faculty. Comply with applicable provisions of G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality of records.	applications, resumes, vitae, selections, promotions, demotions, transfers, contracts for employment, appointment letters, re-appointment letters, salary, suspension, performance evaluation, disciplinary actions, termination of employment, social security number verifications, driver's license, professional licenses and certificates, and other documentation related to job performance	Destroy in office 30 years after separation.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.37	PERSONNEL FILE: ONE TIME PAYMENTS	Records documenting employees hired to fulfill temporary, short-term duties. "One-Time Payments (OTPs)" apply to honoraria paid to visiting lecturers and consultants as well as to university staff and students who undertake duties outside and not in conflict with their regular work. Comply with applicable provisions of G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality of records.	personnel action forms	Destroy in office 3 years after payment date.
9.38	POSITION MANAGEMENT RECORDS	Records documenting the management of employee positions allocated to the University.	abolished positions, position control records, position descriptions, position evaluations (used to evaluate the primary purpose of a position), position histories	<p>Destroy in office records concerning positions that have been abolished after 1 year.</p> <p>Destroy in office position control records and position descriptions when superseded or obsolete.</p> <p>Destroy in office position evaluations after 1 year.</p> <p>Retain in office permanently classification records and complete histories of salaried positions within the University.</p>
9.39	REAPPOINTMENT, PROMOTION AND TENURE RECORDS	Comply with applicable provisions of G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality of records.	recommendations, reports, articles, curriculum, vitae, resume, list of publications, evaluations, research activities	<p>Transfer records concerning award of reappointment, promotion or tenure to individual's Personnel File when granted.</p> <p>Destroy in office remaining records after 3 years.</p>

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.40	RECRUITMENT RECORDS		ads, notices of overtime, promotion, and training and employment listings.	Destroy in office after 1 year.
9.41	RETIREMENT BENEFITS	Records documenting retirement systems, including employer-sponsored retirement plans (e.g., 401(k)), and deferred compensation plans.		<p>Destroy in office descriptive information about retirement system 1 year after superseded or obsolete.</p> <p>Destroy in office records concerning payment of deferred compensation 3 years after payment.</p> <p>Destroy in office employer-sponsored retirement plan documents and amendments, trust records, annuity contracts, participants' records, and other related records 7 years after payment of benefit.</p>
9.42	LEGISLATIVE SALARY CHANGES	Records documenting increments and salary increases mandated by legislative action.	memorandums, correspondences	<p>Destroy in office after 1 year.</p> <p>See Personnel File for disposition instructions for records pertaining to individual university employee salaries.</p>

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.43	SEARCH OR NOMINATION COMMITTEES See also Applications for Employment	Comply with applicable provisions of G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality of records.	application materials, resumes, applications, forms, interview notes, policies, reports, charge, roster	Transfer application materials of individuals hired to Personnel File after official offer of employment is accepted. Destroy in office records of all other candidates 3 years after date position is filled if no charge of discrimination has been filed. If charge has been filed, destroy 1 year after resolution of charge. Destroy in office remaining records 3 years after date position is filled if no charge of discrimination has been filed.
9.44	SHIFT PREMIUM PAY	Authorizations and other related records concerning employees receiving shift premium pay.		Destroy in office 3 years after payment.
9.45	STATEMENTS OF BACK PAY	Forms used to determine the gross pay an employee would have earned during a specified period for back pay in a grievance decision, settlement agreement, or a State Human Resources Commission order.		Destroy in office 3 years after payment.
9.46	STUDENT ASSISTANTS / WORK-STUDY STUDENTS	Comply with applicable provisions of G.S. 132-1.1 and 20 USC 1232g regarding confidentiality of records.	evaluations, job descriptions, payroll, confidentiality agreements forms, stipend contracts, personal student worker information form, acceptance letters	Destroy in office 3 years after student terminates employment.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.47	TEMPORARY EMPLOYEES See also Personnel File	Records of employees working for the university on a temporary basis.		Destroy in office after 5 years after separation.
9.48	TIME SHEETS	Records documenting hours worked or leave hours accrued or taken by employees.	time sheets, time cards	Destroy in office after 2 years.
9.49	VERIFICATIONS OF EMPLOYMENT	Records documenting inquiries and responses concerning verification of an employee's prior or current employment with the University.		Destroy in office after 1 year.
9.50	VOLUNTARY SHARED LEAVE	Records documenting participation in the voluntary shared leave program.	applications, forms, leave reports, requests	Destroy in office after 3 years.
9.51	WORK SCHEDULES	Records concerning shift and duty assignments.		Destroy in office after 1 year.

9. Personnel Records

Series #	Series Title	Series Description	Items	Disposition Instructions
9.52	WORKERS' COMPENSATION PROGRAM ADMINISTRATION	Records documenting the administration of the worker's compensation program at the University. Comply with applicable provisions of G.S. 8-53, G.S. 97-72 (b), 333 NC 258 and 425 SE 2d 698 (1993) regarding confidentiality of records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.	Employer's Report of Injury (Form 19), accident investigation reports, progress reports, medical reports, copies of medical invoices, return to work instructions, legal opinions and briefs, court documents, transcripts, affidavits, photographs, findings, recommendations	Transfer official copy of claim records to the Industrial Commission in compliance with GS 97-92(a) and in accordance with Office of State Personnel procedures. Retain in office permanently records concerning claims filed for injuries which occurred prior to July 6, 1994, Retain in office records concerning claims filed for injuries which occurred on or after July 6, 1994, where the Industrial Commission form "Employee's Claim for Additional Compensation Pursuant to G.S. 97-25.1" (Form 18M) has been filed, permanently. Destroy in office remaining records after 5 years, in accordance with G.S. 97-24(c).
9.53	WORKERS' COMPENSATION THIRD PARTY ADMINISTRATIVE FEE	Records documenting fees paid to administer third party Worker's Compensation claims.	invoices, financial statements	Destroy in office after 5 years.

Section 10 – Safety Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 10 – Safety Records

10.1	Accident Records (involving University employees)
10.2	Accident Records (involving University equipment)
10.3	Air Emissions and Wastewater Records
10.4	Asbestos and Lead Inspection Records
10.5	Biological Safety and Biohazard Materials Use Records
10.6	Employee Exposure to Medical-Hazardous Materials
10.7	Fire, Health and Environmental Safety
10.8	Hazardous Waste Site and Disposal Records
10.9	Industrial Hygiene Inspection Records
10.10	Laboratory Safety Plan Records
10.11	Monitoring Records
10.12	Occupational Safety and Health Administration (OSHA)
10.13	Restricted Use Pesticide
10.14	Safety Data Sheets
10.15	Safety Training Records
10.16	Select Agent Records
10.17	Stormwater Records

10.Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
10.1	ACCIDENT RECORDS (involving University Employees) See also Student Accident Reports	Records of accidents involving University employees. Comply with applicable provisions of G.S. 97-92(b) regarding confidentiality of records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.	incident reports and drawings	Employee Original: Transfer records resulting in workers' compensation claims to Workers' Compensation . Destroy in office remaining records after 6 years.
10.2	ACCIDENT RECORDS (involving University Equipment)	Records of accidents involving University Equipment.	incident reports and drawings	Destroy in office after 6 years.
10.3	AIR EMISSIONS AND WASTEWATER RECORDS	Records documenting air emissions permits and inventory, and wastewater National Pollutant Discharge Elimination System (NPDES) permits.	external to campus buildings monitoring data, air quality assessments, inventories, permits	Air Emissions - Destroy paper files in office 10 years after submission and acknowledgement of receipt by the NC Department of Environmental Quality: Division of Air Quality. Electronic Files will be kept permanently. NPDES Permits – Destroy in office when superseded or obsolete.
10.4	ASBESTOS AND LEAD INSPECTION RECORDS		inspection reports, inventories, bulk and XRF documents, asbestos air sampling documents	Destroy 25 years after building has been demolished.

10.Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
10.5	BIOLOGICAL SAFETY AND BIOHAZARD MATERIALS USE RECORDS	Records documenting Hazard Management Plan inspections and records pertaining to biohazardous materials.	reports, medical surveillance, monitoring, recombinant DNA research documents involving bio hazardous materials registered with IBC, inspections, plans, committee meeting minutes, biological safety manuals, biological cabinet certifications and locations, annual reports	Retain inspection forms in office permanently. Biological safety cabinet certifications may be destroyed in office when cabinet is removed for surplus or use is discontinued.
10.6	EMPLOYEE EXPOSURE TO MEDICAL- HAZARDOUS MATERIALS	<p>Records related to exposure of hazardous materials.</p> <p>Comply with 29 C.F.R. 1910.1020 and other applicable regulations of the NC Department of Labor and the US Occupational Safety and Health Administration.</p> <p>Comply with the applicable provisions of 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of medical records, G.S. 126-22, G.S. 126-23, G.S. 126-24, and G.S. 132-1.10 regarding confidentiality of records.</p>	examination results, test results, medical leave permit forms, workers compensation injury reports, treatment reports, hazardous exposure reports, medical records, physician's statements	<p>Transfer to the Workers' Compensation section under Personnel Records if there is a claim.</p> <p>Destroy in office medical records related to exposure to hazardous materials 30 years after separation or termination of services.</p>

10.Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
10.7	FIRE, HEALTH AND ENVIRONMENTAL SAFETY	Records concerning fire, health, and environmental safety measures.	safety audits, inspection reports, lab safety equipment inspection records, work orders, safety audits, fire reports	<p>Destroy in office correspondence and safety audits after 3 years.</p> <p>Destroy in office inspection reports after 3 years.</p> <p>Destroy in office remaining records when superseded or obsolete.</p>
10.8	HAZARDOUS WASTE SITE AND DISPOSAL RECORDS	<p>Records documenting hazardous waste disposal sites on University property.</p> <p>Comply with applicable requirements of the NC Department of Environmental Quality and the U.S. Environment Protection Agency.</p>	monitoring data, certified reports, certificate documentation, waste manifests for waste exported from campus, waste site inspection reports	<p>Destroy in office operational records, inspection reports and associated documents after 5 years.</p> <p>Permanent in office waste manifests reflecting exported waste and other remaining records.</p>
10.9	INDUSTRIAL HYGIENE INSPECTION RECORDS		lab and non-lab industrial hygiene inspections	Destroy in office after 30 years.
10.10	LABORATORY SAFETY PLAN RECORDS	Records prepared for each laboratory indicating safety processes procedures, protective equipment, and chemical inventories.	lab safety plans	<p>Destroy chemical inventories in accordance with Monitoring Records.</p> <p>Destroy remaining records in office when superseded or obsolete.</p>

10.Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
10.11	MONITORING RECORDS	Records documenting the monitoring of workplace and operations for potential personnel exposure to physical and chemical hazards.	exposure assessments, site observations, recommendations	Destroy in office after 30 years.
10.12	OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA)	Records concerning Occupational Safety and Health Administration (OSHA) policies and programs.	policies, procedures, inspection results, exposure mitigation plans, exposure control plans, policies, inspection logs, OSHA forms, summaries, procedure documents, ergonomic assessments	<p>Destroy OSHA forms in office after 5 years. Retain inspection and audit reports and bloodborne pathogen exposure plans in office permanently.</p> <p>Transfer university policies and procedures when superseded or obsolete to the custody of University Archives for appraisal and final disposition.</p>
10.13	RESTRICTED USE PESTICIDE	Records documenting the use of restricted use pesticides. Comply with applicable regulations of G.S. 143-434.	reports	Destroy in office 3 years after the date of the application of the pesticide to which the records refer.
10.14	SAFETY DATA SHEETS	Safety information for hazardous materials. Comply with applicable regulations of 29 C.F.R. 1910.1020.		<p>Destroy in office one year after termination of use of product provided a chemical inventory record as described in 29 C.F.R. 1910.1020(d)(1)(ii)(B) is retained for at least 30 years, otherwise retain safety data sheet for 30 years.</p>

10.Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
10.15	SAFETY TRAINING RECORDS See also Employee Training and Educational Records		course outlines, training schedules, individual employee tests, attendance records	Asbestos training records destroy in office 1 year after employee separation. Blood borne pathogen training records destroy in office 3 years after employee separation. Hazardous materials training destroy in office 5 years after employee separation. Destroy in office remaining records after 2 years.
10.16	SELECT AGENT RECORDS	Records documenting the use of pathogens and biological toxins at the University.	applications, updates (4BS), security risk assessment approvals, CDC and NCSU inspections, training records, discard records, annual and daily inventories, access records, drill records, lab procedures, biological safety testing, HEPA filter maintenance, CDC communications, BSL-3 manuals, FBI forms, audits	Retain in office permanently.
10.17	STORMWATER RECORDS	Records related to the Stormwater Permits	Best Management Practice (BMP) specifications and drawings, Stormwater Management Plans, Annual Reports	Retain in office permanently.

Section 11 – Student Academic Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 11 – Student Academic Records

11.1	Academic Records Reports
11.2	Academic Student Advising
11.3	Applications for Graduation
11.4	Class Lists
11.5	Commencement
11.6	Comprehensive Examination Results
11.7	Course Catalog
11.8	Course Evaluations by Students
11.9	Course Syllabi
11.10	Credit by Examination
11.11	Degree Audit Authorization
11.12	Degree Listing
11.13	Drop / Add Forms
11.14	Examinations, Tests, Term Papers and Homework Records
11.15	Extra Hour Registration
11.16	Family Educational Right and Privacy Act (FERPA)
11.17	Fee Assessment Forms

11.18	Grade Change Appeal and Authorization Forms
11.19	Grade Listings / Grade Sheets
11.20	International Student Documents
11.21	Name Changes
11.22	Pass / Fail Forms
11.23	Professional Credentialing Records
11.24	Program Progression Appeals
11.25	Repeat Course
11.26	Schedule Revision Requests
11.27	Student Information System (Database)
11.28	Student Records – (Departmental File)
11.29	Student Study Abroad Academic Records
11.30	Student Study Abroad Activity Records
11.31	Theses and Dissertations
11.32	Transcript Requests (Student)
11.33	Transcripts
11.34	Transfer Equivalents
11.35	Withdrawals from University

11.Student Academic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
11.1	ACADEMIC RECORDS REPORTS	Comply with 20 U.S.C. 1232g.	athletic eligibility, enrollment, grade distribution, international students, incompletes, failures, degree statistics, race, ethnicity, schedule of classes, student ranking, retention	Data is retained permanently in the Registrar's Office. Destroy in office reports when administrative value ends.
11.2	ACADEMIC STUDENT ADVISING	Comply with 20 U.S.C. 1232g.	advisors' notes and reports, copies of transcripts, official graduation audits, recommendation letters	Destroy in office 5 years after graduation or separation.
11.3	APPLICATIONS FOR GRADUATION	Completed student applications to graduate. Comply with 20 U.S.C.1232g.		Destroy in office 1 year after graduation or separation.
11.4	CLASS LISTS	Lists of students enrolled in courses taught. Comply with 20 U.S.C. 1232g.	name, social security number or student ID number, term, enrollment status	Permanent in Registrar's Office.
11.5	COMMENCEMENT	Records documenting University commencement exercises.	programs, attendance forms, planning records	Transfer to the custody of University Archives after 1 year for appraisal and final disposition.

11.Student Academic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
11.6	<p>COMPREHENSIVE EXAMINATION RESULTS</p> <p>See also Credit by Examination</p> <p>&</p> <p>Examinations, Tests, Term Papers and Homework Records</p>	Comply with 20 U.S.C. 1232g.		<p>Original: Permanent in Registrar's Office.</p> <p>Reference: Destroy in office 1 year after verification from Registrar's Office.</p>
11.7	COURSE CATALOG	Catalog describing courses offered by the university listing program and degree requirements.		Permanent. Transfer electronic copy to the custody of University Archives when published.
11.8	COURSE EVALUATIONS BY STUDENTS	Course evaluations completed by students.		Destroy in office when administrative value ends.
11.9	COURSE SYLLABI	Records documenting course requirement, class descriptions, and required readings.	course syllabi and outlines	Destroy in office when superseded or obsolete.

11.Student Academic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
11.10	CREDIT BY EXAMINATION See also Comprehensive Examination Results & Examinations, Tests, Term Papers and Homework Records	Academic credits awarded to students by special examination. Comply with 20 U.S.C. 1232g.	examination results, transcripts	Retain in Registrar's Office permanently.
11.11	DEGREE AUDIT AUTHORIZATION	Comply with 20 U.S.C. 1232g.	list of courses taken, number of credits needed to graduate, clearance notes, advisor error documentation	Destroy in office 5 years after graduation or separation.
11.12	DEGREE LISTING	Listings of departmental students scheduled to receive degrees at end of semester. Comply with 20 U.S.C. 1232g.		Destroy in office when administrative value ends.
11.13	DROP / ADD FORMS	Comply with 20 U.S.C. 1232g.		Destroy in office 1 year after date submitted.

11.Student Academic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
11.14	EXAMINATIONS, TESTS, TERM PAPERS AND HOMEWORK RECORDS See also Comprehensive Examination Results & Credit by Examination	Completed student examinations, etc. not returned to student. Comply with 20 U.S.C. 1232g and University Code of Conduct.	examinations, tests, term paper, homework	Destroy in office 1 year after completion of course for uncontested grade results. If challenged, destroy after resolution of challenge.
11.15	EXTRA HOUR REGISTRATION	Requests by students to register for extra hours. Comply with 20 U.S.C. 1232g.	requests, authorizations	Destroy in office 1 year after date submitted.
11.16	FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT COMPLIANCE (FERPA)	Comply with 20 U.S.C. 1232g.	requests for formal hearings, requests for release of information, written decisions of hearing panel, waivers for rights of access, releases	Permanent in office.
11.17	FEE ASSESSMENT FORMS	Fee assessment forms used to determine fees charged to students.		Destroy in office 5 years after graduation or separation.
11.18	GRADE CHANGE APPEAL AND AUTHORIZATION FORMS	Used by students and faculty to appeal and change course grades. Comply with 20 U.S.C. 1232g.	forms	Retain original grade change appeal forms and authorization forms in Registrar's Office permanently. Destroy in office remaining records after 5 years. Reference: Destroy in office upon verification from Registrar's Office.

11.Student Academic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
11.19	GRADE LISTINGS / GRADE SHEETS	Comply with 20 U.S.C.1232g.	name, course, grade	Retain in Registrar's Office permanently.
11.20	INTERNATIONAL STUDENT DOCUMENTS	Comply with 20 U.S.C. 1232g, 8 C.F.R. 214.2(f)(6)(iii)(B), 8 C.F.R. 214.3(g), 8 C.F.R. 214.3(k), 22 C.F.R. 62.10(h).	I-20 (copy of certificate of eligibility for F-1 visa status) copy of alien registration receipt card, copy of "arrival-departure" record (form I-94), copy of certificate of eligibility for J-1 visa status (DS-2019), statement of financial eligibility	Enrolled, destroy in office or return 10 years after graduation or separation. Non-enrolled, destroy 1 year after application term. Note: records are to be maintained separately from admissions process.
11.21	NAME CHANGES	Records documenting name changes applied to a student's academic record.	forms	Destroy in office 5 years after graduation or separation.
11.22	PASS / FAIL FORMS	Comply with 20 U.S.C. 1232g.		Destroy in office 1 year after request submitted.
11.23	PROFESSIONAL CREDENTIALING RECORDS	Documents supporting application for professional certificates or licenses. Comply with 20 U.S.C. 1232g.	applications, registration, evidence of completion of practicum, transcripts, narrative evaluation of practicum, completion of hours for certification, recommendations, evaluations, Praxis and other licensing exam results	Retain certifications and licenses in Registrar's Office permanently. Destroy remaining records in office 5 years after graduation or separation.

11.Student Academic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
11.24	PROGRAM PROGRESSION APPEALS	Comply with 20 U.S.C. 1232g.	forms, appeals	Retain outcome of appeal in Registrar's Office permanently. Destroy in office remaining records 5 years after resolution of appeal.
11.25	REPEAT COURSE	Records concerning students' attempts to repeat courses in order to raise grades. Comply with 20 U.S.C. 1232g.	requests, disapprovals	Destroy in office after 2 years.
11.26	SCHEDULE REVISION REQUESTS	Request for student course changes.	drop course, credit only, add course after deadline	Destroy 1 year after submission
11.27	STUDENT INFORMATION SYSTEM (DATABASE)	Comply with 20 U.S.C. 1232g.	admission applications, transcripts, grades, enrollment, extra hour registration, repeat course, add/drop	Retain in Registrar's Office permanently.
11.28	STUDENT RECORDS - (DEPARTMENTAL FILE)	Records of undergraduates and graduates maintained by university departments. Comply with 20 U.S.C. 1232g.	enrollment forms, grade listings, practicum, internships, inter-institutional approval forms, criminal background checks for field placement, requests for exception to academic programmatic rule or guidance, evaluations, applications for minor degrees and student information	Destroy in office 5 years after graduation or separation.

11.Student Academic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
11.29	STUDENT STUDY ABROAD ACADEMIC RECORDS	Records (including some reference copies) documenting the academic performance of students enrolled in Study Abroad programs. Comply with applicable provisions of 20 U.S.C. 1232g (FERPA) regarding confidentiality of student records.	transcripts, transfer equivalency records, contracts for placement	Transfer to Registrar's Office to be incorporated into official academic file.
11.30	STUDENT STUDY ABROAD ACTIVITY RECORDS	Records documenting Study Abroad Office activities used for tracking and statistical purposes. Comply with 20 U.S.C. 1232g regarding confidentiality of student records.	student contact information, placement information	Destroy in office 5 years after graduation or separation.
11.31	THESES AND DISSERTATIONS			Retain 1 copy at university permanently.
11.32	TRANSCRIPT REQUESTS (STUDENT)	Comply with 20 U.S.C. 1232g.	request, invoice	Destroy in office 1 year after date submitted.
11.33	TRANSCRIPTS	Comply with 20 U.S.C. 1232g.		Retain in Registrar's Office permanently.

11.Student Academic Records

Series #	Series Title	Series Description	Items	Disposition Instructions
11.34	TRANSFER EQUIVALENTS	Records concerning grade transfer equivalents from other institutions. Comply with 20 U.S.C. 1232g.	transcripts, list of credit hours earned, advanced standing certification documents	Retain in Registrar's Office permanently.
11.35	WITHDRAWALS FROM UNIVERSITY	Comply with 20 U.S.C. 1232g.	withdrawal forms	Destroy in office 5 years after separation.

Section 12 – Student Admission Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 12 – Student Admission Records

12.1	Advanced Placement
12.2	Admissions Records
12.3	Entrance Examination Reports / Test Scores
12.4	Residency Classification Forms

12.Student Admission Records

Series #	Series Title	Series Description	Items	Disposition Instructions
12.1	ADVANCED PLACEMENT	Records documenting the participation and performance of students in Advance Placement Courses. Comply with 20 U.S.C. 1232g.	placement tests, test results	Transfer to Registrar's Office when student has enrolled at University. Destroy 5 years after graduation or separation. Destroy record of non-enrolled student 1 year after final application deadline.
12.2	ADMISSIONS RECORDS	Records documenting student applications for admission to University undergraduate and graduate programs. Comply with 20 U.S.C. 1232g.	applications, recommendations, and student waivers for right of access to letters of recommendations, committee and review records	Transfer application and transcripts to Registrar's Office when student has enrolled at University. Destroy remaining records for enrolled students 3 years after admission. Destroy records of non-enrolled student 3 years after final application deadline.
12.3	ENTRANCE EXAMINATION REPORTS / TEST SCORES	Records concerning results of tests administered for admission to undergraduate or graduate programs. Comply with 20 U.S.C. 1232g.	ACT, CEEB, GRE, SAT, LSAT, MCAT	Transfer to Registrar's Office when student has enrolled at University. Destroy 5 years after graduation or separation. Destroy record of non-enrolled student 1 year after final application deadline.
12.4	RESIDENCY CLASSIFICATION AND APPEAL RECORDS	Records concerning the establishment of in-state residency and a student's appeal for in-state residency status. Comply with 20 U.S.C. 1232g.	classification forms, change of residency status forms, applications, residency appeal records	Destroy in office records for enrolled students 5 years after graduation or separation. Destroy in office applications for students who do not enroll 1 year after date of application.

Section 13 – Student Financial Aid Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

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Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 13 – Student Financial Aid Records

13.1	Financial Aid Administrative
13.2	Financial and Fiscal
13.3	Financial Aid Recipients
13.4	Financial Aid Reports
13.5	Loan Administration
13.6	Scholarship / Loan Reference
13.7	Scholarship Administration
13.8	Scholarship Applications (Awarded)
13.9	Scholarship Applications (Rejected)
13.10	Veterans' Benefits

13.Student Financial Aid Records

Series #	Series Title	Series Description	Items	Disposition Instructions
13.1	FINANCIAL AID ADMINISTRATIVE	Administrative records concerning federal and state student financial aid. Comply with 20 U.S.C. 1232g.	applications, participation agreements, recommendations, tax returns, guidelines, award notifications, eligibility criteria	Destroy in office 3 years after graduation or separation.
13.2	FINANCIAL AID FISCAL	Financial management records concerning federal and state financial aid. Comply with 20 U.S.C. 1232g.	statements of accounts, work-study award, audit reports, check rosters, checks	Destroy in office 3 years after graduation or separation.
13.3	FINANCIAL AID RECIPIENTS	Records of concerning award of federal and state student financial aid. Comply with 20 U.S.C. 1232g.	GPA record, financial history, disbursement reports	Destroy in office 3 years after graduation or separation.
13.4	FINANCIAL AID REPORTS	Summary reports to Chancellor and administration on yearly awards.	year end and summary reports	Transfer to the custody of University Archives after 3 years for appraisal and final disposition.
13.5	LOAN ADMINISTRATION	Records concerning the administration of loans. Comply with 20 U.S.C. 1232g.	promissory notes, enrollment verification, accounting statements, cancellation requests, disbursement rosters, repayment records	Destroy in office 3 years from date loan assigned, cancelled or repaid.
13.6	SCHOLARSHIP / LOAN REFERENCE	Records describing scholarships and loans.	brochures, flyers, requirements, guidelines	Destroy in office 1 year after superseded or obsolete.

13.Student Financial Aid Records

Series #	Series Title	Series Description	Items	Disposition Instructions
13.7	SCHOLARSHIP ADMINISTRATION	Records concerning the administration of student scholarships. Comply with 20 U.S.C. 1232g.	guidelines, reports, funding sources, trust fund withdrawals, description of scholarships, names of students, accounting records, certificates of receipt	Destroy in office after 3 years.
13.8	SCHOLARSHIP APPLICATIONS (AWARDED)	Applications for scholarships awarded by university. Comply with 20 U.S.C. 1232g.	applications, recommendations, approvals, disbursements, accounting records	Destroy in office 3 closed fiscal years after graduation or separation and when released from all audits.
13.9	SCHOLARSHIP APPLICATIONS (REJECTED)	Applications for scholarships not awarded by the university, and applications for scholarship awarded by university but rejected by student. Comply with 20 U.S.C.1232g.	applications, approvals, recommendations	Destroy in office 1 year after application deadline.
13.10	VETERANS' BENEFITS	Records concerning veterans' benefits awarded. Comply with 20 U.S.C. 1232g.	accounting statements, applications, enrollment verifications, award notifications	Destroy in office 3 years after graduation or separation.

Section 14 – Student Health Services / Counseling Services Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

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No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 14 – Student Health Services / Counseling Services Records

14.1	Controlled Substance Administrative Records
14.2	Immunization Incomplete Log
14.3	Insurance claims, Benefits and Payment Log
14.4	Patient Appointment Records
14.5	Prescription Orders
14.6	Radiology Jackets
14.7	Student immunizations
14.8	Student Medical Records
14.9	Student Mental Health Records
14.10	Substance Abuse Program Administration

14. Student Health Services / Counseling Services Records

Series #	Series Title	Series Description	Items	Disposition Instructions
14.1	CONTROLLED SUBSTANCES ADMINISTRATIVE RECORDS	Records documenting the receipt and control of controlled substances by Student Health Services personnel. Comply with 21 NCAC 46.1414 (j)(6).	inventories, logs	Destroy in office after 3 years.
14.2	IMMUNIZATION INCOMPLETE LOG	Records documenting incomplete immunization from Student Health Services. Comply with 20 U.S.C. 1232g and 42 U.S.C. 1320d-6.	student name, date of incomplete, date cleared	Destroy in office when superseded or obsolete.
14.3	INSURANCE CLAIMS, BENEFITS AND PAYMENT LOG	Third party claims, explanation of benefits and checks received. Comply with 5 U.S.C. 552a, 20 U.S.C. 1232g and HIPAA.	name, social security number, insurance company, claim, date processed, date paid	Destroy in office after 7 years.
14.4	PATIENT APPOINTMENT RECORDS	Records documenting scheduled appointments. Comply with 20 U.S.C. 1232g and 42 U.S.C. 1320d-6.	appointment books and databases	Destroy in office after 1 year.
14.5	PRESCRIPTION ORDERS	Prescription orders for controlled and non-controlled substances or other medication or devices. Comply with 20 U.S.C. 1232g and 42 U.S.C. 1320d-6.	Name, location, medical records number, medication name, strength dosage form, date order was written, and signature of prescriber.	Transfer original order to Student Medical Records . Destroy in office remaining records after 3 years.
14.6	RADIOLOGY JACKETS	Records concerning x-rays conducted by Student Health Services. Comply with 20 U.S.C. 1232g and 42 U.S.C. 1320d-6.		Retain chest x-rays in office permanently. Recycle remaining records for silver reclamation after 11 years.

14. Student Health Services / Counseling Services Records

Series #	Series Title	Series Description	Items	Disposition Instructions
14.7	STUDENT IMMUNIZATIONS	Records concerning immunizations administered by Student Health Services. Comply with 20 U.S.C. 1232g and 42 U.S.C. 1320d-6.		Retain in office permanently.
14.8	STUDENT MEDICAL RECORDS See also Student Mental Health Records	Records concerning medical care provided at Student Health Services. Comply with 20 U.S.C. 1232g and 42 U.S.C. 1320d-6.	medical histories, charts, accident reports, lab reports, prescription orders	Destroy in office 11 years after last professional contact with patient.
14.9	STUDENT MENTAL HEALTH RECORDS See also Student Medical Records	Records concerning counseling services provided at Student Health Services, including substance abuse counseling as well as psychiatric and psychological counseling. Comply with 20 U.S.C. 1232g and 42 U.S.C. 1320d-6.	case notes, diagnoses, treatment plans, evaluations, referrals, release of information agreements, case summaries	Destroy in office 7 years after last professional contact with patient.
14.10	SUBSTANCE ABUSE PROGRAM ADMINISTRATION	Records concerning the administration of campus substance abuse programs. Comply with 20 U.S.C. 1232g and 42 U.S.C. 1320d-6.	reports, attendance, rosters, compliance audits	Transfer statistical reports to University Archives after 4 years for appraisal and final disposition. Destroy in office remaining records after 4 years.

Section 15 – Student Housing Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

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No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 15 – Student Housing Records

15.1	Housing Financial Appeals
15.2	Student Housing Contracts
15.3	Student Housing Damages
15.4	Student Housing Disciplinary Actions
15.5	Student Key Receipt
15.6	Summer School Housing

15.Student Housing Records

Series #	Series Title	Series Description	Items	Disposition Instructions
15.1	HOUSING FINANCIAL APPEALS	Records concerning decisions on refunds and/or dismissal of housing deposits and other charges. Comply with 20 U.S.C. 1232g regarding confidentiality of student records.	policies, decisions	Destroy in office 1 year after settlement of appeals.
15.2	STUDENT HOUSING CONTRACTS	Records documenting student housing contracts. Comply with 20 U.S.C. 1232g regarding confidentiality of student records.	applications, contracts, cancellations	Destroy in office 3 years after termination of agreement.
15.3	STUDENT HOUSING DAMAGES	Records documenting damages to student residence halls and assessment of costs. Comply with 20 U.S.C. 1232g regarding confidentiality of student records.	damage assessment forms, reports	Transfer records concerning individual damage assessments to Registrar's Office and Business Affairs. Destroy in office remaining records after 3 years.
15.4	STUDENT HOUSING DISCIPLINARY ACTIONS See also Student Disciplinary Records	Disciplinary actions brought against students for alleged violations of university rules and regulations found in student housing contracts that were not referred to the Office of Student Conduct. Comply with 20 U.S.C. 1232g.	disciplinary action report form, reports	Destroy in office 5 years after resolution. See Clery Act Records for disposition instructions for Clery Reportable Offenses.

15.Student Housing Records

Series #	Series Title	Series Description	Items	Disposition Instructions
15.5	STUDENT KEY RECEIPT	Signature cards and receipts documenting the issuance of keys to students and conference attendees. Comply with 20 U.S.C. 1232g regarding confidentiality of student records.	signature cards of students and conference attendees for room keys	Destroy in office 1 year after return of key.
15.6	SUMMER SCHOOL HOUSING	Records documenting housing available during summer session. Comply with 20 U.S.C. 1232g regarding confidentiality of student records.	applications, contracts, cancellations, damages list	Destroy in office after 1 year.

Section 16 – Student Life Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 16 – Student Life Records

16.1	Career Planning / Placement Records
16.2	Commuter Student Information
16.3	Excused Absences
16.4	Fraternities and Sororities
16.5	Conduct Board
16.6	Intramural Sports
16.7	Non-Traditional Students Information
16.8	Services to Students with Disabilities
16.9	Student Accident Reports
16.10	Student Associations and Organizations
16.11	Student Awards and Honors
16.12	Student Disciplinary Records (Academic & Non-Academic)
16.13	Student Government Association
16.14	Student Legal Services

16.Student Life Records

Series #	Series Title	Series Description	Items	Disposition Instructions
16.1	CAREER PLANNING / PLACEMENT RECORDS	Records documenting student advising for planning careers and finding internships and jobs.	resumes, job interview forms, student profile data sheets	Destroy in office when administrative value ends.
16.2	COMMUTER STUDENT INFORMATION	Information designed for commuting students.	articles, brochures, newsletter, surveys	Transfer to the custody of University Archives after 5 years for appraisal and final disposition.
16.3	EXCUSED ABSENCES	Records documenting student absences excused for health and other unavoidable reasons.	written excuses, doctor's notes, religious holiday schedule	Destroy in office at end of each semester.
16.4	FRATERNITIES AND SORORITIES	Comply with 20 U.S.C. 1232g.	constitutions, bylaws, charters, membership, newsletters, minutes, brochures, announcements, photographs, reports, scrapbooks, discipline	Transfer to the custody of University Archives after 3 years for appraisal and final disposition.
16.5	CONDUCT BOARD	Records concerning membership functions of the Conduct Board or similar name board for student misconduct matters. Comply with 20 U.S.C. 1232g.	applications, selection criteria, position descriptions, training information	Transfer selection criteria, position descriptions, training information, policies and procedures when superseded or obsolete to the custody of University Archives for appraisal and final disposition. Destroy in office applications and membership lists when administrative value ends.

16.Student Life Records

Series #	Series Title	Series Description	Items	Disposition Instructions
16.6	INTRAMURAL SPORTS	Records documenting the planning, implementation, and operation of intramural sports programs for students, faculty, and staff.	applications, rosters, enrollment records, activity records, medical waivers, handbooks, reports, promotional/publicity materials, photographs, scrapbooks	Transfer handbooks, reports, promotional publicity materials, photographs, and scrapbooks to University Archives after 3 years for appraisal and final disposition. Destroy in office remaining records after 3 years.
16.7	NON-TRADITIONAL STUDENTS INFORMATION	Records documenting information related to non-traditional students.	handbooks, surveys and studies	Transfer to the custody of University Archives after 5 years for appraisal and final disposition.
16.8	SERVICES TO STUDENTS WITH DISABILITIES	Comply with 20 U.S.C. 1232g and HIPAA.	health professional evaluation reports, autobiographical essays, copies of admission applications, high school transcripts, physicians' statement, counseling interview notes, accommodations	Destroy in office 5 years after graduation or separation.
16.9	STUDENT ACCIDENT REPORTS	Comply with 20 U.S.C. 1232g.	reports, affidavits, photographs	Destroy in office 5 years after graduation or separation.
16.10	STUDENT ASSOCIATIONS AND ORGANIZATIONS	Associations and organizations officially recognized by the university.	constitutions, bylaws, charters, membership, newsletters, minutes, brochures, announcements, photographs, reports, scrapbooks, discipline	Transfer to the custody of University Archives after 3 years for appraisal and final disposition.

16.Student Life Records

Series #	Series Title	Series Description	Items	Disposition Instructions
16.11	STUDENT AWARDS AND HONORS	Comply with 20 U.S.C. 1232g.	recommendations, approvals, reference information	Transfer information concerning recipients of awards and honors to the Registrar's Office at end of each grading period to be incorporated into official academic file. Destroy remaining records in office after 3 years.
16.12	STUDENT DISCIPLINARY RECORDS (Academic & Non-Academic)	Records pertaining to disciplinary proceedings brought against students for academic and non-academic infractions. Comply with 20 U.S.C. 1232g, Student Conduct Code and appeals process.	charges, evidence, summary, transcripts, audiotapes, appeals, decisions	<p>Expulsion and Suspension cases: Keep records for 5 years from date of hearing or settlement. After 5 years, retain permanently only those items which are necessary to understand the factual allegations involved.</p> <p>Non-Expulsion and Non-Suspension cases: Destroy after graduation, 5 years after separation, or 5 years after date of settlement of hearing, whichever comes first.</p> <p>See Clery Act Records for disposition instructions for Clery Reportable Offenses.</p>
16.13	STUDENT GOVERNMENT ASSOCIATION	Records documenting the administration of Student Government Association.	constitution, bylaws, committee files, fiscal records, meeting minutes, annual reports	Permanent. Transfer to the custody of University Archives after 1 year.
16.14	STUDENT LEGAL SERVICES	Records documenting the administration of student legal services.	reports, financial data, budgets	Transfer to the custody of University Archives after 5 years for appraisal and final disposition.

Section 17 – Transportation Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

Administrative value - pertain to records that are being utilized in an office (e.g. the statement, destroy when administrative value ends, means destroy when the office or unit no longer has a need for the record).

Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access. Destroy in office when reference value ends, unless record series states otherwise. (i.e. these are records that are copies of an original record or duplicated from an electronic record).

No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 17 – Transportation Records

17.1	Parking Assignment Records
17.2	Parking Tickets, Penalties and Appeals Records
17.3	Vehicle Operations & Maintenance
17.4	Vehicle Registration
17.5	Vehicle Titles

17. Transportation Records

Series #	Series Title	Series Description	Items	Disposition Instructions
17.1	PARKING ASSIGNMENT RECORDS	Records documenting staff, student, and visitor parking assignments.	permits and related documents	Destroy in office after 5 closed fiscal years from date of expiration.
17.2	PARKING TICKETS, PENALTIES AND APPEALS RECORDS		immobilized vehicle reports, towed vehicle reports, parking tickets, parking penalties, fines and assessments issued, appeal forms, appeal results	Destroy in office after 7 closed fiscal years after citation is paid and when released from all audits and litigation holds.
17.3	VEHICLE OPERATIONS & MAINTENANCE	Records involved with the use and maintenance of University owned vehicles, including self-propelled equipment.	request forms, vehicle inspection reports, vehicle accident reports, mileage logs, maintenance schedules equipment parking permit documentation (if vehicle specific), replacement records and similar supporting documentation, vehicle registration information, fuel and fleet card documentation (if assigned to particular vehicle)	Destroy in office request forms and mileage logs after 3 years. Destroy in office remaining records upon disposition of vehicle.
17.4	VEHICLE REGISTRATION	Records documenting vehicle and/or bicycle registrations of faculty, staff, students, or visitors.	bicycle and/or vehicle registration cards	Destroy when all Parking Assignment Records and all Parking Tickets, Penalties and Appeals Records have been destroyed.
17.5	VEHICLE TITLES	Titles of State-owned vehicles under the jurisdiction of the agency.		Dispose of in accordance with instructions by State Surplus Property Office / Motor Fleet Office upon disposition of vehicle.

Section 18 – University Police / Public Safety Records

North Carolina State University Records Retention and Disposition Schedule

This Schedule applies to records in all mediums, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series, including correspondences or other related records.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of University Archives for appraisal and final disposition.

Destruction – takes place in the office or by an approved vendor. Any record with confidential or sensitive information shall be properly destroyed by shredding or by other means to ensure that the records cannot be physically reconstructed.

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No destruction of records may take place if a claim, litigation or audit is pending or reasonably anticipated or foreseeable.
Refer to prefatory material for additional instructions or contact the university records officer or university archivist for clarification.

Section 18 – University Police / Public Safety Records

18.1	911 Audio Recordings
18.2	Abandoned Motor Vehicles File
18.3	Accreditation Records
18.4	Activity Reports
18.5	Alarm Call Reports
18.6	Alerts File
18.7	Arrest Reports
18.8	Breathalyzer Records
18.9	Building and Grounds Security Records
18.10	Case History File: Felonies
18.11	Case history File: Misdemeanors
18.12	Chemical Analysis Records
18.13	Citizen Complaints / Administrative Investigation Records
18.14	Clery Act Records
18.15	Communications Records
18.16	Communications Records (Requests and Receipts)
18.17	Composite Interviews

18.18	Computer Aided Dispatch (CAD) System
18.19	Crime Prevention Records
18.20	Criminal History Records
18.21	Criminal Intelligence Files
18.22	Daily Bulletins
18.23	DCI Training Attendance File
18.24	Emergency and Response Records
18.25	Dispatch Recordings
18.26	Division of Criminal Information and National Crime Information Center (DCI-NCIC) Entries
18.27	Division of Criminal Information and National Crime Information Center (DCI-NCIC) Validation Records
18.28	DNA Sampling Records
18.29	Electronic / Video Recordings of Interrogations
18.30	Emergency Action Records
18.31	Expunctions
18.32	Extradition Case Records
18.33	Facility Security
18.34	Field Observation Reports
18.35	Firearms
18.36	Fugitive Warrants Case Records
18.37	Informant Records
18.38	Internal Affairs Case Records
18.39	Juvenile Case History Files
18.40	Liability Waivers
18.41	Lost and Found Log
18.42	Misuse Reports / Complaints
18.43	Motor Vehicle Complaints
18.44	Mutual Aid Agreement Records
18.45	Permission to Search records
18.46	Personnel Inspection Reports
18.47	Physical Force Records
18.48	Polygraph and Drug Screening Records
18.49	Property Records: Evidence
18.50	Ride-Along Program Records
18.51	Security / Surveillance / Mobile Video Recordings
18.52	Shift Assignment Records
18.53	Special Event Records
18.54	Special Order Records
18.55	Statistical Reports
18.56	Stolen Motor Vehicles File
18.57	Student Conduct Referrals
18.58	Traffic Accident Reports
18.59	Traffic Citations
18.60	Trainee Intern Program File
18.61	Training Observation Reports

18.62	Training Records
18.63	Training Records: Personnel
18.64	Transfer Request File
18.65	Trespass Law Enforcement Records
18.66	Vehicle Inspection and Inventory Records (Law Enforcement)
18.67	Vehicle Towing Records (Law Enforcement)
18.68	Wanted Persons File
18.69	Warning Tickets
18.70	Warrants File

18.University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.1	911 AUDIO RECORDINGS	Electronic audio recordings of 911 dispatch. Comply with applicable provisions of GS 132-1.4(i) and GS 132-1.5.	recordings of incoming and/or outgoing communications	Destroy in office after 30 days, if not made part of a Case History File .
18.2	ABANDONED MOTOR VEHICLES FILE	Records concerning abandoned motor vehicles towed. Includes releases, sales, and notifications.		Destroy in office after 4 years.
18.3	ACCREDITATION RECORDS	Records concerning compliance with those standards outlined by professional law enforcement agencies' accreditation programs.	records related to the Commission on Accreditation for Law Enforcement Agencies (CALEA) and the International Association of Campus Law Enforcement Administrators (IACLEA)	Destroy in office 4 year after accreditation is obtained, renewed, or no longer valid.
18.4	ACTIVITY REPORTS	Reports of activities of officers on each shift or special detail worked.	lists of information on occurrence of all criminal activity, daily activity reports, 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	Destroy in office after 7 years.
18.5	ALARM CALL REPORTS	Reports completed by officers responding to fire and security alarm calls.	listings of alarm type, time received, time arrived, reason for activation	Destroy in office after 4 years, if not made part of Case History File .

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.6	ALERTS FILE	Notices received from or sent to various law enforcement agencies concerning lost property, wanted persons, arrests, missing persons, and other related topics. Also known as Be on the Lookouts (BOLO).		Destroy in office after 4 years, if not made part of Case History File .
18.7	ARREST REPORTS	Reports concerning arrests made by officers. Comply with applicable provisions of GS 132-1.4.	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/ witness information, name of arresting officer(s)	Transfer to Case History File .
18.8	BREATHALYZER RECORDS	Records pertaining to preventative maintenance records, lists of qualified operators, and other records related to breathalyzers used by the agency		Destroy in office after 4 years, if not made part of Case History File .
18.9	BUILDING AND GROUNDS SECURITY RECORDS See also Facility Security	Records documenting routine security checks and fixed surveillance of campus facilities.	logs, reports	Destroy in office after 4 years, if not made part of Case History File .

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.10	CASE HISTORY FILE: FELONIES See also Electronic/Video Recordings of Interrogations	Records related to Felony investigations. Comply with applicable provisions of 20 U.S.C. 1232g, confidentiality of records, G.S. 20-166.1(i), and G.S. 132-1.4.	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, including email, officer's notes, laboratory tests, court dispositions	Unsolved Case: Retain in office records concerning unsolved cases until solved. Solved Cases: Destroy in office records concerning solved cases after 20 years.
18.11	CASE HISTORY FILE: MISDEMEANORS	Records related to misdemeanor investigations. Comply with applicable provisions of 20 U.S.C. 1232g, confidentiality of records, G.S. 20-166.1(i), and G.S. 132-1.4.	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, including email, officer's notes, laboratory tests, court dispositions	Unsolved Case: Destroy in office records concerning unsolved cases after 7 years. Solved Cases: Destroy in office records concerning solved cases after 7 years.
18.12	CHEMICAL ANALYSIS RECORDS	Records and reports generated when individuals suspected of being under the influence of illegal drugs or alcohol are chemically tested.		Transfer to Case History File .

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.13	CITIZEN COMPLAINTS / ADMINISTRATIVE INVESTIGATION RECORDS See also Internal Affairs Case Records	Citizen complaints against law enforcement officers. May include administrative investigation reports initiated within the law enforcement office.		Destroy in office after 4 years, if not made part of Internal Affairs Case Records .
18.14	CLERY ACT RECORDS	All statistical and informational records collected to comply with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act), including information related to Campus Security Authority and Clery Geographical Locations.	maps, lists of properties, reports, contracts and agreements, standard operating procedures, audit records, statistical data, brochures, presentations, daily activity logs	Destroy in office after 7 years.
18.15	COMMUNICATIONS RECORDS	Electronic records of telephone calls received and computerized records of Emergency Communications Center Activities. Comply with applicable provisions of GS 132-1.4 and GS 132-1.5.		Destroy in office after 30 days, if not made part of Case History File .
18.16	COMMUNICATIONS RECORDS (Internal Requests and Receipts)	Internal requests and receipts for communication records.		Destroy in office after 1 year, if not made part of Case History File
18.17	COMPOSITE INTERVIEWS	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	Destroy in office when administrative value ends, if not made part of Case History File .

18.University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.18	COMPUTER AIDED DISPATCH (CAD) SYSTEM	Computerized records of Calls for Service (CFS) maintained in CAD System.	records of calls, locations, telecommunications, responders, incident nature, incident times and CFS notes	CFS records live in perpetuity in CAD systems. When a CAD system is retired or replaced records cannot be transferred to a new system. The information in the retired system may be available in database form for statistical purposes. Destroy statistical information when administrative value ends.
18.19	CRIME PREVENTION RECORDS	Records concerning law enforcement office and community meetings and other functions which seek to prevent or monitor possible criminal activity.	schedules and agendas	Destroy in office after 7 years.
18.20	CRIMINAL HISTORY RECORDS	Records concerning the arrest history of individuals. Comply with applicable provisions of GS 132-1.4.	summary sheets or cards, arrest reports, mug shots, fingerprint cards	Destroy in office when administrative value ends, if not made part of Case History File .
18.21	CRIMINAL INTELLIGENCE FILES	Records collected concerning an identifiable person or group of persons in an effort to anticipate, prevent or monitor criminal activity. Comply with applicable provisions of 28 CFR 23.20.	witnesses' statements, laboratory tests, surveillance, reports, investigators' or confidential informants' statements, photographs, vital statistics	Destroy in office within 5 years, if not made part of Case History File .
18.22	DAILY BULLETINS	Daily bulletins used to provide officers with information concerning stolen vehicles, missing persons, new warrants, wanted persons, and any other specific complaint or incident.		Destroy in office when administrative value ends.

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.23	DCI TRAINING ATTENDANCE FILE	Records concerning DCI training presented at the departmental level in agreement with the State Division of Criminal Information.	attendance, grade reports	Destroy in office after 4 years.
18.24	DISASTER AND EMERGENCY RESPONSE RECORDS See also Emergency Action Records	Records documenting disaster preparedness and emergency response plans, policies and procedures. Comply with applicable provisions of G.S. § 132-1.6 regarding confidentiality of emergency response plans and G.S. § 132-1.7 regarding confidentiality of building plans and specifications and security plans and procedures.	plans, policies, procedures, reports, federal and state disaster claims	Retain in office permanently records documenting past recovery actions. Destroy in office remaining records when superseded or obsolete.
18.25	DISPATCH RECORDINGS	Recordings made of activities during an emergency services dispatch. Comply with applicable provisions of GS 132-1.4(i) and GS 132-1.5.		Destroy in office after 30 days, if not made part of Case History File .
18.26	DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) ENTRIES	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.		Comply with the Criminal Justice Information Services (CJIS) Security Policy retention guidelines.

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.27	DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) VALIDATION RECORDS	Requests and proofs of verification for DCI-NCIC or other law enforcement information networks.		Comply with the Criminal Justice Information Services (CJIS) Security Policy retention guidelines.
18.28	DNA SAMPLING RECORDS	Records documenting the collection of DNA samples from persons for qualifying offenses. Samples are forwarded to the State of North Carolina Bureau of Investigation. Comply with applicable provisions of GS 15A-266.12 and GS 15A-268.	copies of judgments	Refer to GS 15A-268 and City-County Bureau of Identification (CCBI) Guidance for the disposition of DNA Sampling Records.
18.29	ELECTRONIC/VIDEO RECORDINGS OF INTERROGATIONS	<p>Records related only to the following crimes: Class A, B1, or B2 felony, and any Class C felony of rape, sex offense, or assault with a deadly weapon with intent to kill inflicting serious injury.</p> <p>Records related to all custodial interrogations of juveniles. Comply with applicable provision G.S. 15A-211.</p>		Destroy in office electronic or video recordings of interrogations of convicted defendants 1 year after the completion of all State and Federal appeals of the conviction.

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.30	EMERGENCY ACTION RECORDS See also Disaster and Emergency Response Records	Records documenting emergency actions and contacts in the event of a fire, disaster, bomb threat, or other emergency. Comply with applicable provisions of G.S. § 132-1.6 regarding confidentiality of emergency response plans and G.S. § 132-1.7 regarding confidentiality of building plans and specifications and security plans and procedures.		Destroy in office when superseded or obsolete.
18.31	EXPUNCTIONS	Records concerning the expunction of a convicted individual's records. Comply with the applicable provisions of GS 132-1.4, GS 15A-145, GS 15A-146, GS 90-96, GS 90-113-14.	petitions, affidavits	If expunction petition is approved all records relating to that case are to be destroyed in accordance with the court order.
18.32	EXTRADITION CASE RECORDS	Records concerning the extradition of prisoners in and out of state.	court orders	Follow disposition instructions for Case History File .
18.33	FACILITY SECURITY See also Building and Grounds Security Records	Records documenting the university's administration and management of facility security. Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.	incident reports, procedures, keys, building plans	Destroy in office when superseded or obsolete.

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.34	FIELD OBSERVATION REPORTS	Reports concerning field observations of suspicious person. Comply with applicable provisions of GS 132-1.4.	may include subject's name, address, and physical description; date, time, and location of occurrence, reason for stop, name of officer conducting interview	Destroy in office after 4 years, if not made part of Case History File .
18.35	FIREARMS	Recordings concerning the use and/or possession of privately-owned firearms on university-owned and operated property.	policies, regulations, correspondences, agreements, covenants, leases, declaration of restrictions, private weapon inventory, access logs, firearm registration forms	Retain administrative material until superseded or obsolete. Destroy all other documents 1 year after weapon is removed from University property.
18.36	FUGITIVE WARRANTS CASE RECORDS	Records concerning fugitive warrant sent to a department from another jurisdiction requesting assistance in finding an individual.		Destroy in office after 4 years, if not made part of Case History File .
18.37	INFORMANT RECORDS	Records concerning informants. Comply with applicable provisions of GS 132-1.4.	payment records	Destroy in office after 4 years, if not made part of Case History File .
18.38	INTERNAL AFFAIRS CASE RECORDS	Records concerning internal investigations of alleged officer misconduct.	complaints, investigation reports	Transfer records concerning substantiated cases as applicable to Personnel File . Destroy in office records concerning unsubstantiated cases after 4 years.

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.39	JUVENILE CASE HISTORY FILES	Comply with applicable provisions of GS 7B Juvenile Code regarding confidentiality of records.	incident and arrest reports, detention orders, disposition instructions, name and address of person having legal and/or physical custody of child, fingerprint cards, photographs	<p>Destroy in office 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.</p> <p>Destroy in office records related to all other cases when juvenile reaches 18 years of age.</p>
18.40	LIABILITY WAIVER	Waiver used when unlocking vehicles.		Destroy in office after 4 years.
18.41	LOST AND FOUND LOG	Records documenting the inventory of lost and found items.		Destroy in office after 4 years.
18.42	MISUSE REPORTS / COMPLAINTS	Records concerning the misuse, damage, theft, embezzlement of state property by NCSU employees, faculty, staff, students or unknown individuals.	statements, incident reports, evidence sheets, officer reports, photograph reports of misuse and other related records	<p>Transfer to Case History File, Personnel File, or Student Disciplinary Records.</p> <p>Destroy all other records in office after 4 years of reported incident.</p>
18.43	MOTOR VEHICLE COMPLAINTS	Records concerning complaints regarding the use of university or state owned vehicles.	complaint forms, witness testimony	Destroy in office after 4 years, if not made part of Case History File or Personnel File .

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.44	MUTUAL AID AGREEMENT RECORDS	Records concerning officers who work with other agencies and vice versa as well as agreements between law enforcement agencies.	mutual aid agreements and supporting documentation	Retain in office permanently mutual aid agreements between law enforcement agencies. Destroy in office mutual aid agreements of officers from other agencies after 30 years. Transfer records pertaining to mutual aid agreements of NCSU officers to Personnel File .
18.45	PERMISSION TO SEARCH RECORDS	Authorization for officers to search property, and if necessary, confiscate property deemed pertinent to an investigation.		Destroy in office after 4 years, if not made part of Case History File .
18.46	PERSONNEL INSPECTION REPORTS	Inspection reports concerning individual officer's physical appearance and condition of uniform and weapons.		Destroy in office after 4 years.
18.47	PHYSICAL FORCE RECORDS	Reports made by any officer or employee of a detention facility who applies physical force to an inmate or arrestee.	use of defensive actions	Transfer to Internal Affairs Case Records .
18.48	POLYGRAPH AND DRUG SCREENING RECORDS	Records concerning polygraph and drug screening program.	studies, recommendations	Transfer to appropriate file: Case History File , Internal Affairs Case Records , or Personnel File .

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.49	PROPERTY RECORDS: EVIDENCE	Records used to control and track evidence.	descriptions of property, physical evidence examination requests, records documenting final disposition of property	Transfer to Case History File after destruction of property.
18.50	RIDE-ALONG PROGRAM RECORDS	Records concerning a law enforcement agency's ride-along program.	citizens' applications to participate, waivers of liability	Destroy in office after 4 years.
18.51	SECURITY / SURVEILLANCE / MOBILE VIDEO RECORDINGS	Visual, audio, and visual and audio recording captured by any video or audio recording device maintained by or on behalf of a law enforcement agency or law enforcement agency personnel when carrying out law enforcement responsibilities, or non-law enforcement personnel capturing activities on campus. Comply with applicable provisions of GS 132-1.4A.	analog and digital recordings generated by mobile and fixed audio and video recording devices	Destroy in office after 30 days, if not made part of Case History File .
18.52	SHIFT ASSIGNMENT RECORDS	Schedules assigning officers to the shifts they will be working. May include special assignments for extra work.		Destroy in office 4 years after superseded or obsolete.

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.53	SPECIAL EVENT RECORDS	University law enforcement records concerning law enforcement staffing and operational management of extra duty or special events held on campus.		<p>Destroy final event staffing orders and operation plans after 7 years.</p> <p>Destroy in office remaining records when administrative value ends.</p>
18.54	SPECIAL ORDER RECORDS	Special orders issued by a law enforcement office concerning the adoption or revision of policy and established procedures on department, division, section, or individual level.		Retain in office permanently.
18.55	STATISTICAL REPORTS	Statistical reports and summaries of all law enforcement activities undertaken by law enforcement office.	may include copies of uniform crime reports submitted to the N.C. Department of Justice	Destroy in office after 7 years.
18.56	STOLEN MOTOR VEHICLES FILE	Records concerning the investigations of cases of stolen motor vehicles.		Transfer to Case History File .
18.57	STUDENT CONDUCT REFERRALS	Hard copies of referrals made by University Police to Student Conduct.		Destroy in office after 7 years.

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.58	TRAFFIC ACCIDENT REPORTS	Records concerning traffic accidents.	property receipts, collision reports, waivers signed by involved parties agreeing to settle damages among themselves	<p>Transfer original collision report to the N.C. Division of Motor Vehicles within 10 days of accident.</p> <p>Destroy in office department copies after 4 years, if not made part of Case History File.</p> <p>Destroy in office records concerning accidents not meeting N.C. Division of Motor Vehicles reporting requirements, but for which a report was made, after 4 years.</p>
18.59	TRAFFIC CITATIONS	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	<p>Transfer original to county clerk of superior court's office.</p> <p>Reference: Destroy in office when reference value ends.</p>
18.60	TRAINEE INTERN PROGRAM FILE	Records concerning study, recommendation, and all related material relevant to the Police Intern Program for future sworn officers.		Transfer to Internships, Fellowships, Volunteers, and Visiting Scholar Records .
18.61	TRAINING OBSERVATION REPORTS	Reports filed by field training officers who observe trainees.		Follow disposition instructions for Employee Training and Educational Records .

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.62	TRAINING RECORDS	Records concerning each course taught by law enforcement agency.	schedules, course curriculum, attendance rosters, instructor's name, development material	Retain in office permanently.
18.63	TRAINING RECORDS: PERSONNEL	Records concerning the training of officers.	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.	Transfer records to Personnel File .
18.64	TRANSFER REQUEST FILE	Requests for transfer made by personnel.		Transfer records to Personnel File .
18.65	TRESPASS LAW ENFORCEMENT RECORDS	Authorizations by property owners, lessees, or managers for law enforcement officers to take whatever actions they deem appropriate to remove unauthorized persons and issue trespass warnings.	trespass warnings, appeals, decisions	Destroy in office 4 years after trespass ban removed, if not made part of Case History File .

18. University Police / Public Safety Records

Series #	Series Title	Series Description	Items	Disposition Instructions
18.66	VEHICLE INSPECTION AND INVENTORY RECORDS (Law Enforcement)	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 4 years.
18.67	VEHICLE TOWING RECORDS (Law Enforcement)	Recovery authorizations and consent forms completed by owners to have vehicle towed, removed, stored, or left at the scene.	recovery authorizations and consent forms completed by owners to have vehicle towed, removed, stored, or left at the scene	Destroy in office after 4 years, if not made part of Case History File .
18.68	WANTED PERSONS FILE	Records or lists concerning wanted persons not included in Daily Bulletin.		Destroy in office when administrative value ends.
18.69	WARNING TICKETS	Warning tickets issued by law enforcement office.	name and address of person and reason for warning	Destroy in office after 4 years.
18.70	WARRANTS FILE	Warrants issued by a court directing a person to be taken into custody to answer charges or registers listing warrants served by law enforcement office.		Transfer to Case History File .