

DEPARTMENT OF STATE TREASURER
INVESTMENT MANAGEMENT DIVISION
ANCILLARY

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 of the

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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 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. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed. The**

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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 This schedule is to remain in effect until superseded.

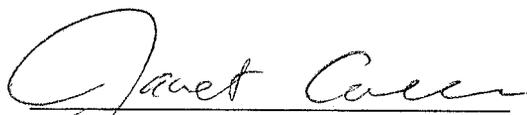
APPROVAL RECOMMENDED

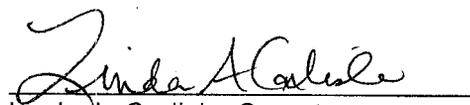

Sandra Johnson,
Chief Record Officer


Jay Chaudhuri, General Counsel
Department of State Treasurer


David Brook, Director
Division of Historical Resources

APPROVED


Janet Cowell, State Treasurer
Department of State Treasurer


Linda A. Carlisle, Secretary
Department of Cultural Resources

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ITEM 48226. PERFORMANCE REVIEW FILE. Records in electronic format concerning the performance of investments. File includes transactions activity reports, covered call options reports, approved list of how funds can be invested contributions/distributions, investment earnings reports, and other performance reports.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends and after released from all audits, whichever occurs later.

ITEM 48227. SECTION CORRESPONDENCE FILE. Correspondence in paper and electronic formats from financial institutions sent to the Deputy Director concerning section and topics of interest such as public hospital investments and responses prepared by the Deputy Director. File also includes staff travel information, electronic activity reports, and other related records.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office upon completion of action and resolution of issues involved.

ITEM 48228. FUND CONTRACTS DOCUMENTS FILE. Contractual documents written by an authorized officials concerning ancillary programs. File includes contracts, amendments, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after partnership ends if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office upon completion of action and resolution of issues involved.

ITEM 48229. ANNUAL REVIEW FILE. Records in paper and electronic formats concerning ancillary relationships. File includes assessments of performance.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years.

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ITEM 48230. ANCILLARY INVESTMENTS STRATEGY FILE. Records in paper and electronic formats concerning ancillary investment strategy. File includes annual plans, correspondence, policies, memoranda, reports, and other related records relating to Ancillary investments.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile electronic records with related paper records. Destroy in office electronic versions of records when administrative value ends. Transfer original paper records to the State Records Center after Administration ends. Records will be held for agency in the State Records Center for 5 additional years and then transferred to the custody of Archives.