

DEPARTMENT OF PUBLIC INSTRUCTION  
ASSISTANT STATE SUPERINTENDENT FOR FINANCIAL AND PERSONNEL SERVICES  
DIVISION OF FISCAL CONTROL SERVICES  
FINANCIAL AND GRANT MANAGEMENT SECTION

Records Retention and Disposition Schedule

Organizational Name Changes

An organizational name change to this Records Retention and Disposition Schedule is hereby approved. The Records Retention and Disposition Schedule reflects an area name change from Assistant State Superintendent for Financial Services to Assistant State Superintendent for Financial and Personnel Services; a division name change from Division of State Accounting Services to Division of Fiscal Control Services; and a section name change from Grant Accounting Section to Financial and Grant Management Section. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedule dated September 11, 1992. 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

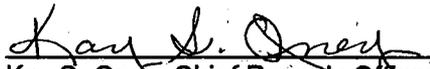
FINANCIAL AND GRANT MANAGEMENT SECTION

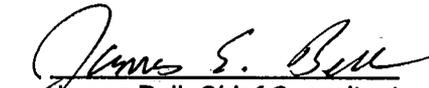
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. Public records including machine readable records not listed in the schedule are not authorized to be destroyed. The

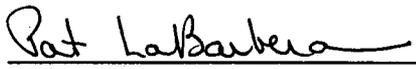
FINANCIAL AND GRANT MANAGEMENT SECTION

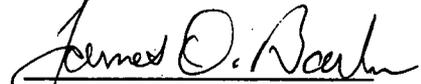
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

  
Kay S. Oney, Chief Records Officer  
Department of Public Instruction

  
James Bell, Chief Consultant  
Financial and Grant Management  
Section

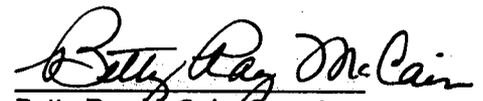
  
Pat LaBarbera, Director  
Division of Fiscal Control Services

  
James O. Barber, Assistant State  
Superintendent for Financial and  
Personnel Services

  
William S. Price, Jr., Director  
Division of Archives and History

APPROVAL RECOMMENDED

  
Bob R. Etheridge, Superintendent  
Department of Public Instruction

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

September 21, 1993

HFH

## ... ABOUT THIS RECORDS DISPOSITION SCHEDULE ...

This records disposition schedule lists the records maintained in your office as reported to the Division of Archives and History on the date indicated. It lists all records, whether they are to be destroyed in your office or transferred to the State Records Center, and provides a brief description of each group (following the identification number) and instructions for their legal disposition (following the words "DISPOSITION INSTRUCTIONS"). Records should never be arbitrarily destroyed on the basis of personal opinion but only on the basis of a firm schedule. The disposition instructions contained herein provide that schedule and the legal procedures for records management activities in your agency.

Authority for this schedule, and the disposition instructions therein, is contained in Chapters 121 and 132 of General Statutes of North Carolina. Compliance with the disposition instructions listed herein will help ensure conformity with these laws and that records of continuing value are retained and those no longer of value are destroyed. Procedures to be followed in applying this schedule are explained in the N.C. Administrative Code, Title 7, Chapter 4, Section 500. Errors and omissions do not invalidate this schedule or render it obsolete. All provisions of this schedule remain in effect until it is officially superseded.

Supervisors or other responsible office personnel, acting through their Records Officers, are requested to notify the Records Services Branch whenever corrections, additions, or deletions in the records schedule should be made. Records Services Branch personnel will then amend this schedule in order to ensure that it remains complete and accurate and is in compliance with federal and state laws and regulations.

The Records Services Branch will provide, upon request, the following assistance to agencies in the maintenance and operation of records schedules: amendment or update of existing schedules; supply and delivery of boxes, tape, and labels for records scheduled to be transferred to the State Records Center; pickup of records to be transferred; reference service on records stored in the State Records Center; and advice and technical assistance in solving records management problems. There is no charge for these services.

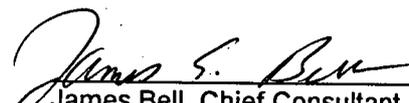
RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

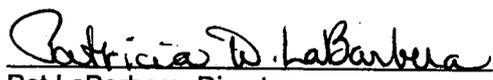
Department of Public Instruction  
Assistant State Superintendent for Financial and Personnel Services  
Division of Fiscal Control Services  
Financial and Grant Management Section

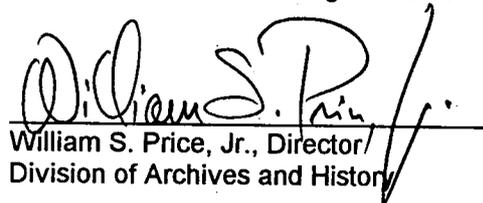
Amend the records retention and disposition schedule approved September 21, 1993 by adding Items 32251, 32252, 32253, 32254, 32255, 32256, and 33301 as shown on substitute pages dated November 14, 1994.

APPROVAL RECOMMENDED

  
Kay S. Oney, Chief Records Officer  
Department of Public Instruction

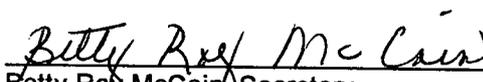
  
James Bell, Chief Consultant  
Financial and Grant Management Section

  
Pat LaBarbera, Director  
Division of Fiscal Control Services

  
William S. Price, Jr., Director  
Division of Archives and History

APPROVED

  
Bob R. Etheridge, Secretary  
Department of Public Instruction

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

November 14, 1994

HFH

DEPARTMENT OF PUBLIC INSTRUCTION  
ASSISTANT STATE SUPERINTENDENT FOR FINANCIAL AND PERSONNEL SERVICES  
DIVISION OF FISCAL CONTROL SERVICES  
FINANCIAL AND GRANT MANAGEMENT SECTION

Records Retention and Disposition Schedule

Organizational Name Changes

An organizational name change to this Records Retention and Disposition Schedule is hereby approved. The Records Retention and Disposition Schedule reflects an area name change from Assistant State Superintendent for Financial Services to Assistant State Superintendent for Financial and Personnel Services; a division name change from Division of State Accounting Services to Division of Fiscal Control Services; and a section name change from Grant Accounting Section to Financial and Grant Management Section. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedule dated September 11, 1992. 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

FINANCIAL AND GRANT MANAGEMENT SECTION

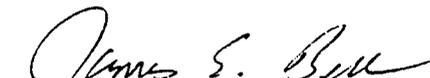
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. Public records including machine readable records not listed in the schedule are not authorized to be destroyed. The

FINANCIAL AND GRANT MANAGEMENT SECTION

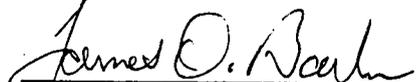
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

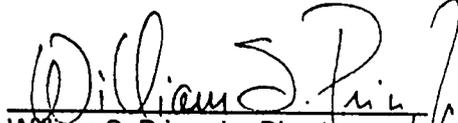
APPROVAL RECOMMENDED

  
Kay S. Oney, Chief Records Officer  
Department of Public Instruction

  
James Bell, Chief Consultant  
Financial and Grant Management  
Section

  
Pat LaBarbera, Director  
Division of Fiscal Control Services

  
James O. Barber, Assistant State  
Superintendent for Financial and  
Personnel Services

  
William S. Price, Jr., Director  
Division of Archives and History

APPROVAL RECOMMENDED

  
Bob R. Etheridge, Superintendent  
Department of Public Instruction

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

September 21, 1993

This schedule was modified to  
comply with the provisions of the  
General Schedule for State Agency Records,  
effective October 1, 2000  
Remaining items retain the  
original date shown below.

HFH

**DEPARTMENT OF PUBLIC INSTRUCTION  
ASSISTANT STATE SUPERINTENDENT FOR FINANCIAL AND PERSONNEL SERVICES  
DIVISION OF FISCAL CONTROL SERVICES  
FINANCIAL AND GRANT MANAGEMENT SECTION**

**ITEM 1006. VOCATIONAL EDUCATION POSTING FOR CONSUMER HOME ECONOMIC EXPENDITURES FILE.**

Microfilm copies of records concerning home economic instructional expenditures by local education agencies (LEAs) in economically-depressed areas. Microfilmed images include listings of expenditures by budget codes and amounts reimbursed by the state (federal government assists in funding).

DISPOSITION INSTRUCTIONS: Destroy in office microfilm when reference value ends. Transfer microfilm in security vault to the custody of the Archives immediately.

**ITEM 1015. NOTIFICATIONS OF GRANT AWARDS FILE.**

Notifications of federal educational program grants to the department. File includes grant titles, amounts, and grant descriptions. File also includes Miscellaneous Grants File from previous schedule.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years and when released from all audits, whichever occurs later. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 1017. CORRESPONDENCE FILE.**

Correspondence concerning the organization and daily administration of the section.

DISPOSITION INSTRUCTIONS: Transfer records currently stored in the State Records Center to the custody of the Archives 5 years from date received. Transfer subsequent records to the State Records Center after 2 years. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 1026. PROJECT FINANCIAL COMPLETION REPORTS FILE.**

Reports listing summary of expenditures for each specific grant awarded to the department from the U.S. Department of Education. File includes monthly, quarterly, and annual financial status reports, correspondence regarding awarded grants, Federal Expenditure Reports (204), Federal Funds Reports (208), Obligation Reports (221), and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when reference value ends. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 3636. JOB TRAINING PARTNERSHIP ACT (JTPA) FILE.**

Official copies of enrollment, application, separation, and termination forms. File includes related correspondence.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

**ITEM 3796. GRANTS AND CONTRACTS FILE.**

Records concerning grants and contracts for departmental programs and operations. File includes internal reports, completed budget transfer request forms, federal grant awards, grants, contracts, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when released from all audits. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF PUBLIC INSTRUCTION  
ASSISTANT STATE SUPERINTENDENT FOR FINANCIAL AND PERSONNEL SERVICES  
DIVISION OF FISCAL CONTROL SERVICES  
FINANCIAL AND GRANT MANAGEMENT SECTION**

**ITEM 21532. STATE BOARD OF EDUCATION (SBE) FILE.**

Records concerning sectional participation and dealings with SBE. File includes copies of minutes of meetings, requests for approval of project allocations, and other related records. (File is alphabetically arranged by month.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**ITEM 21540. INDIRECT COST FILE.**

Proposals concerning the administration of grants submitted to division by all participating local education agencies (LEAs). (Proposals utilized in recovery of indirect costs by local education agencies.)

DISPOSITION INSTRUCTIONS: Destroy in office 2 year(s) after released from all audits.

**ITEM 21541. FINANCIAL COMPLETION REPORTS FILE.**

Reports sent to the U.S. Department of Education concerning state and local administration of federal programs. File includes monthly, quarterly, and annual financial status reports for each grant.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when reference value ends. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 21545. WORK CERTIFICATION FILE.**

Completed Certifications of Work Schedules (Forms 18AA-353) which list the time spent by all state-level employees in the administration of federal programs. (File is maintained in accordance with federal regulations.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 21678. PRIOR YEARS VOCATIONAL EDUCATIONAL EXPENSES BACKUP FILE.**

Records concerning vocational education expenditures for each local school administrative unit during prior years. File includes state and federal reports, cash journals, grants, correspondence, conference and committee reports, and working papers.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after released from all audits. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 23828. SPECIAL PURPOSE BUDGET - CHILD NUTRITION (EA261750) (DAPG26E) FILE.**

Reports detailing expenditures by program and Federal Reimbursement Code.

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

**ITEM 32251. AVERAGE SALARIES (CERTIFIED) PRINTOUTS FILE.**

Monthly and year-end computer printouts concerning average salaries of State certified teachers, superintendents, associate superintendents, principals, and assistant principals. Reports are used to track salary expenditures paid by each local education agency and amounts paid from the State Public School Fund. File also includes correspondence. (NOTE: State Public School Fund is created by appropriate funding from the General Assembly.) Amended 11-14-94

DISPOSITION INSTRUCTIONS: Destroy in office monthly printouts and correspondence after 2 years. Destroy in office year-end printouts after 5 years.

**DEPARTMENT OF PUBLIC INSTRUCTION  
ASSISTANT STATE SUPERINTENDENT FOR FINANCIAL AND PERSONNEL SERVICES  
DIVISION OF FISCAL CONTROL SERVICES  
FINANCIAL AND GRANT MANAGEMENT SECTION**

**ITEM 32252. AVERAGE SALARIES (NON-CERTIFIED) PRINTOUTS FILE.**

Monthly and year-end computer printouts concerning average salaries of non-certified personnel. Printouts include average salary figures for each type of non-certified position. Amended 11-14-94

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 32253. ANNUAL BUDGET SUMMARY REPORTS (CHARTS AND GRAPHS) FILE.**

Charts and graphs that summarize the department's budgets. Amended 11-14-94

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 32254. DEPARTMENT BUDGET SUMMARIES PRINTOUTS FILE.**

Monthly budget computer printouts summarizing expenditures for the department. Printouts include actual and projected budget figures and actual agency expenditures figures. Amended 11-14-94

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 32255. LEGISLATIVE REPORTS FILE.**

Reports requested by legislators concerning salary schedules and other topics regarding State Public School Fund (SPSF) personnel. Reports include SPSF salary schedule summaries, salary cost analyses, SPSF year-end reversion estimates, SPSF installment estimates, projected cost estimates of various proposals by the General Assembly, and other related topics. File also includes correspondence. Amended 11-14-94

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 32256. YEAR-TO-DATE CONTROLLABLE EXPENDITURES PRINTOUTS FILE.**

Monthly computer printouts concerning controllable expenses incurred by the department. Printouts include year-to-date totals. Amended 11-14-94

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 33027. FEDERAL 272 CASH TRANSACTION REPORTS FILE.**

Reports summarizing financial transactions involving all federal grants awarded to the department. File includes Grant Award Document forms, Federal Fund Reports (208), Federal Expenditure Reports (204), and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 33028. FEDERAL GRANT LEGISLATION AND LAWS FOR VARIOUS GRANTS FILE.**

Reference copies of federal legislation, laws, and regulations concerning awarded grants administered by the department. File also includes correspondence and reference copies of Education Department General Administrative Regulations (EDGAR).

DISPOSITION INSTRUCTIONS: Destroy in office correspondence after 5 years. Destroy in office remaining records when superseded or obsolete.

**ITEM 33029. FEDERAL RECONCILIATIONS FILE.**

Reference copies of internal and external reports concerning the reconciliation of federal- and state-aid grants. File includes copies of Federal Fund Reports (208), Federal Expenditure Reports (204), External Budget Balance Reconciliation Reports (305), External Cash Deposit Balance Reports (304), External Grant Balance Reports (307), and federal reconciliation worksheets for each grant.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**DEPARTMENT OF PUBLIC INSTRUCTION  
ASSISTANT STATE SUPERINTENDENT FOR FINANCIAL AND PERSONNEL SERVICES  
DIVISION OF FISCAL CONTROL SERVICES  
FINANCIAL AND GRANT MANAGEMENT SECTION**

**ITEM 33030. FEDERAL TIME REPORTING FILE.**

Records concerning federal time reporting. File includes federal time recording forms (FPD5), time/attendance recording forms, payroll forms, organizational charts, regulations, timesheet analysis forms, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**ITEM 33031. GENERAL EDUCATION PROVISIONS ACT (GEPa) REFERENCE FILE.**

Records concerning the distribution of federal education funds. File includes instruction manuals, federal allotment forms, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 33032. INDIRECT COST RATES (AGENCY/UNITS) FILE.**

Reference copies of records concerning approved indirect cost rates for the department and local education agencies. File includes Federal Expenditure Reports (204), Federal Fund Reports (208), local education agencies' expenditure forms, chart of accounts, reference manuals, correspondence, listings and tables of negotiated rates used to determine the amount of funds that the agency and local education agencies can charge to a particular grant for indirect cost purposes, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**ITEM 33033. FEDERAL FINANCIAL STATUS REPORTS FILE.**

Reference copies of records concerning the financial status of federal funding for the department. File includes monthly, quarterly, and annual expenditure reports, monthly closeout grant reports, correspondence, forms, and grant analyses.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**ITEM 33301. AVERAGE SALARIES OF STATE CERTIFIED PERSONNEL DATABASE (ELECTRONIC) (SAC801B AND SAC822B) FILE.**

Machine readable records concerning average salary data for certified personnel in each local education agency (LEA). Numbers of full-time equivalent employees, summary statistics of all salaries for all LEAs, average salary data of certified employees, average salary data for each LEA, and other related data are entered into this electronic file from each LEA through the Uniform Education Reporting System. (Electronic database is maintained by the Division of Management Information Services.) Amended 11-14-94

DISPOSITION INSTRUCTIONS: Retain in office permanently.