DEPARTMENT OF ADMINISTRATION
OFFICE OF THE SECRETARY
OFFICE OF FISCAL MANAGEMENT

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

OFFICE OF FISCAL MANAGEMENT

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 machine readable records not listed in this schedule are not authorized to be destroyed.** The

OFFICE OF FISCAL MANAGEMENT

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 This schedule is to remain in effect until superseded.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

Rebecca K. Clegg, Chief Records Officer
Department of Administration

Jimmy A. Morris, Chief Fiscal Officer
Office of Fiscal Management

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

APPROVED

James S. Lofton, Secretary
Department of Administration

Patric Dorsey, Secretary
Department of Cultural Resources

February 9, 1990

JH

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF ADMINISTRATION
OFFICE OF THE SECRETARY
OFFICE OF FISCAL MANAGEMENT

Amend the records retention and disposition schedule approved February 9, 1990 by changing the disposition instruction of Item 10686 and adding Item 35314 as shown on substitute pages dated March 12, 1993.

APPROVAL RECOMMENDED

Jimmy A. Morris, Chief Fiscal Officer
Office of Fiscal Management

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

APPROVED

Katie G. Dorsett, Secretary
Department of Administration

Betty Ray McCain, Secretary
Department of Cultural Resources

March 12, 1993

JH

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF ADMINISTRATION
OFFICE OF THE SECRETARY
OFFICE OF FISCAL MANAGEMENT

Amend the records retention and disposition schedule approved February 9, 1990 by adding Items 33419, 33420, and 33421 as shown on substitute page dated March 13, 1992.

APPROVAL RECOMMENDED

Mary Alice Sechler, Chief Records Officer
Department of Administration

Jimmy A. Morris, Chief Fiscal Officer
Office of Fiscal Management

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

APPROVED

James S. Lofton, Secretary
Department of Administration

Patric Dorsey, Secretary
Department of Cultural Resources

March 20, 1992

JH

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF ADMINISTRATION
OFFICE OF THE SECRETARY
OFFICE OF FISCAL MANAGEMENT

Amend the records retention and disposition schedule approved February 9, 1990 by changing the retention period of Item 28808 as shown on substitute page dated February 21, 1992.

APPROVAL RECOMMENDED

Mary Alice Sechler, Chief Records Officer
Department of Administration

Jimmy A. Morris, Chief Fiscal Officer
Office of Fiscal Management

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

APPROVED

James S. Bolton, Secretary
Department of Administration

Patric Dorsey, Secretary
Department of Cultural Resources

February 21, 1992

JH

DEPARTMENT OF ADMINISTRATION
OFFICE OF THE SECRETARY
OFFICE OF FISCAL MANAGEMENT

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

OFFICE OF FISCAL MANAGEMENT

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 machine readable records not listed in this schedule are not authorized to be destroyed.** The

OFFICE OF FISCAL MANAGEMENT

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

Rebecca K. Clegg, Chief Records Officer
Department of Administration

Jimmy A. Morris, Chief Fiscal Officer
Office of Fiscal Management

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

APPROVED

James S. Lofton, Secretary
Department of Administration

Patric Dorsey, Secretary
Department of Cultural Resources

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.

February 9, 1990

JH

DEPARTMENT OF ADMINISTRATION
OFFICE OF THE SECRETARY
OFFICE OF FISCAL MANAGEMENT

ITEM 12. DEFERRED COMPENSATION FILE.
Correspondence, memorandums, forms, publications, legal documents, and various other records concerning deferred compensation.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 14. DEFERRED COMPENSATION COMPUTER TAPES FILE.
Computer tapes concerning the deferred compensation program for state employees. File includes printout of program system used to define tape file and control file characteristics.

DISPOSITION INSTRUCTIONS: Transfer printout copies to requesting division, section, branch, or unit when produced. Return source documents to originating section, branch, or unit after entered into display terminal (CRT). Transfer one security copy of machine readable record (magnetic tape/disk, etc.) to the State Records Center for backup storage. Agency representative will update periodically. Erase in office tapes when updated. Destroy in office documentation when administrative value ends.

ITEM 39. DEPOSITS (OPERATING CODES) FILE.
Deposit certifications with supporting information attached.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 40. FEDERAL GRANT PROGRAMS FILE.
Records concerning federally-funded grants administered by department. File includes or concerns grant proposals, fiscal reports, requests for funds, sub-contracts, and grants sub-contracted to other governmental units.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 10675. DEFERRED COMPENSATION MINUTE FILE.
Official minutes concerning the deferred compensation program.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s) to be microfilmed for permanent security storage in the Archives vault. Microfilmed paper records will be returned to agency. Transfer returned paper records 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 transferred to the custody of the Archives. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage.

ITEM 10678. DEPARTMENTAL ACCOUNTING SYSTEM (DAS) UPDATE REPORTS FILE.
Reports listing errors to be corrected. File includes Unused Transaction List, Detail Error Journal, and the Fund Summary.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year(s) and when released from all audits, whichever occurs later.

ITEM 10679. DEPARTMENTAL ACCOUNTING SYSTEM (DAS) ACCOUNTING CONTROL RECORDS FILE.

Departmental Accounting System weekly control sheets which list each batch of accounting information for each journal within each budget code. (Records are totaled and attached to balancing and reconciliation sheets which are used for balancing the system with manual controls for each update of the accounting records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year(s) and when released from all audits, whichever occurs later.

ITEM 10680. DEPARTMENTAL ACCOUNTING SYSTEM (DAS) - VALIDATION AND TITLE FILE DATA ENTRY SHEETS FILE.

Validation and title file sheets concerning the initial installation of the DAS. File includes all sheets updating the validation and title file. (Records are generally referred to as "cards" and provide the computer file with information which allows accounting transactions to be coded and processed to produce required financial reports.)

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM 10691. MOTORPOOL MILEAGE (CAR COST ANALYSIS - DEPRECIATION SCHEDULE) FILE.

Computer printouts listing automobile mileage, costs of operation, and depreciation for motorpool cars.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM 10698. DEPARTMENTAL ACCOUNTING SYSTEM (DAS) TRIAL BALANCES REPORTS FILE.

Computer printouts concerning trial balances in detail by fund in each budget code. File includes summary for each budget code.

DISPOSITION INSTRUCTIONS: Destroy in office June 30th report when administrative value ends and when released from all audits, whichever occurs later. Destroy in office remaining records at end of fiscal year.

ITEM 10699. DEPARTMENT OF ADMINISTRATION (DAS) - FISCAL DETAIL REGISTERS RECORDS FILE.

Computer printouts and microfiche records concerning the Detail Registers which are produced with every weekly update on paper.

DISPOSITION INSTRUCTIONS: Destroy in office paper copies of weekly update when microfiche is received at the end of the month. Destroy in office microfiche when administrative value ends. Destroy in office paper copy of June 30th Detail Registers when administrative value ends and when released from all audits, whichever occurs later.

ITEM 10702. DEPARTMENT OF STATE TREASURER'S LIST OF "MONTHLY CLEARED WARRANTS" FILE.

Computer printouts of monthly statement from the Department of State Treasurer listing all cleared warrants and transfers of appropriations to the disbursing account.

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years and when notified by the State Records Center the Department of State Treasurer's warrants have been destroyed.

ITEM 10705. DEPARTMENTAL ACCOUNTING SYSTEM (DAS) REGISTER AND SUMMARY OF FIXED ASSET TRANSACTIONS FILE.

Computer printouts used to detail and summarize all transactions affecting the purchase or disposal of assets during the month. (Records are used in the balancing process each month for the Fixed Asset System transactions and the preparation of journal entries for the DAS controls.)

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM 10712. DEPARTMENTAL ACCOUNTING SYSTEM (DAS) WORKING TRIAL BALANCES (ATWT804) FILE.

Computer printouts used as a working trial balance for funds in each budget code.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) and when released from all audits, whichever occurs later.

ITEM 10713. DEPARTMENTAL ACCOUNTING SYSTEM (DAS) - ACCRUAL ENTRIES FILE.

Accrual entries for accounts payable, accounts receivable, reversal of prior-year accounts payable and receivable, inventories, construction in progress, and cash-carry forwards. File includes entries on accounting code sheets with attached documentation.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) and when released from all audits, whichever occurs later.

ITEM 28801. ACCOUNTS RECEIVABLE (FEDERAL SURPLUS PROPERTY) FILE.

Source documents, invoices, and monthly statements for handling charges concerning the distribution of surplused federal property to state and local governments, medical facilities, educational institutions, emergency units, and fire departments throughout the state. (Invoices are also used to prepare federal reports and special reports as needed.)

DISPOSITION INSTRUCTIONS: Transfer to the Division of Federal Surplus after 3 years.

ITEM 28802. EXCEPTION REPORT ON DUPLICATE SECONDARY REFERENCE NUMBER (DAS DAPG85) FILE.

Specialized report received each month which extracts certain transactions from data in the secondary reference field to be used to check for duplicate payment of invoices, travel, and other charges.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM 28803. INDIRECT COST FILE.

Records concerning indirect cost proposals, detail and summary data of costs, and costs distribution. File includes printouts, correspondence, letters of federal-approved indirect cost rates, federal regulations on indirect costs, and letters of federal-approved statewide indirect costs for the department from the Office of State Budget.

DISPOSITION INSTRUCTIONS: Follow federal retention and disposition instructions.

ITEM 33419. INTERNAL REVENUE SERVICE DATABASE (ELECTRONIC) 1099 FILE.

Machine readable records concerning each state employee who received non-employment compensation for rent and medical and other contractual services provided by vendors. Employees' names, amounts of compensation received, names of vendors, and other related data from Internal Revenue Service 1099 forms are entered into this electronic file. (Electronic database systems are maintained by State Information Processing Services (SIPS).) Amended 3-20-92

DISPOSITION INSTRUCTIONS: Retain in office access to on-line database permanently. Transfer to the Internal Revenue Service and to the N.C. Department of Revenue, upon receipt from SIPS, 1 copy each of magnetic tape. The Department of Revenue copy will be returned to the agency. Retain in office returned copy 4 years or until released from all audits, whichever occurs later, and then transfer to SIPS to be erased and reused.

DEPARTMENT OF ADMINISTRATION
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ITEM 33421. INTERNAL REVENUE SERVICE 1099 PRINTOUTS FILE.

Computer printouts listing non-employment compensation received by state employees for rent and medical and other contractual services provided by vendors. Printouts also list all vendors receiving 1099 forms and corrections made to 1099 forms. Amended 3-20-92

DISPOSITION INSTRUCTIONS: Destroy in office after 4 year(s) and when released from all audits, whichever occurs later.