

DEPARTMENT OF REVENUE
BUSINESS SYSTEMS
DOCUMENTS AND PAYMENTS PROCESSING DIVISION
ADMINISTRATION

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

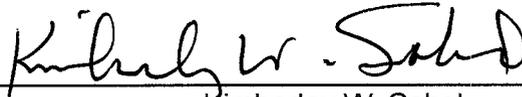
ADMINISTRATION

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

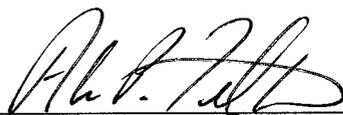
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



Kimberley W. Sabol,
Acting Chief Records Officer & Acting Director
Documents and Payments Processing Division

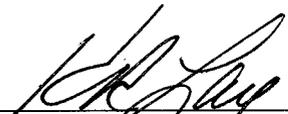


Alan P. Felton, Assistant Secretary
Business Systems

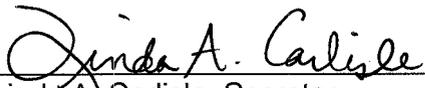


David Brook, Director
Division of Historical Resources

APPROVED



Kenneth R. Lay, Secretary
Department of Revenue



Linda A. Carlisle, Secretary
Department of Cultural Resources

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ITEM 48436. BATCH PROCESSING TAXPAYER RETURNS FILE.

Taxpayer returns concerning tracking and accuracy of document locator numbers (DLNs) being posted to the Integrated Tax Automation System (ITAS). Returns include sales tax amounts, withholding amounts, assessments amounts, and other related information. (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, G.S. 132-1.1, NCAC T17-C1-S1C.0503, and IRS 1075, Exhibit 3 concerning confidentiality of tax payer records.)

DISPOSITION INSTRUCTIONS: Transfer to the Data Edit Unit immediately after information is keyed into the Blue Ring Processing Database (Electronic) File (Item 48438).

ITEM 48437. BATCHES FROM REPORTS (#418) FILE.

Records concerning posting of tax returns of various tax schedules to Integrated Tax Automation System (ITAS). Reports include document location numbers (DLNs), tax types, amounts of payments, email correspondents, sales tax amounts, withholding amounts, assessments amounts, and other related information. (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, G.S. 132-1.1, NCAC T17-C1-S1C.0503, and IRS 1075, Exhibit 3 concerning confidentiality of taxpayer records.)

DISPOSITION INSTRUCTIONS: Transfer to the Data Edit Unit immediately after the information is keyed in Blue Ring Processing Database (Electronic) File (Item 48438).

ITEM 48438. BLUE RING PROCESSING DATABASE (ELECTRONIC) FILE.

Electronic records concerning tracking and accuracy of document locator numbers (DLNs) being posted to the Integrated Tax Administration System (ITAS). Database includes DLNs, tax types, amounts of payments, email correspondents, sales tax amounts, withholding amounts, assessments amounts, and other related data. Data is entered into this database from the Blue Ring Processing Database Sources (Electronic) File (Item 48439), Batch Processing Taxpayer Returns File (Item 48436), Batches From Reports (#418) (Item 48437), and is extracted from emails received by authorized employees. (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, G.S. 132-1.1, NCAC T17-C1-S1C.0503, and IRS 1075, Exhibit 3 concerning taxpayer records.) (File maintenance and backup procedures are performed by Department of Revenue, Information Technology.)

DISPOSITION INSTRUCTIONS: Update in office routinely and erase fields of information after 3 years.

ITEM 48439. BLUE RING PROCESSING DATABASE SOURCES (ELECTRONIC) FILE.

Electronic records concerning accuracy of document locator numbers (DLNs) and other data. Electronic file includes correspondence, reports, and other sources of information used by authorized unit employees to track DLNs. Source documents include information such as DLNs, amount of payments, email correspondents, and other related information. (Applicable information is extracted from email correspondence and attachments and entered into the Blue Ring Processing Database (Electronic) File (item 48438) immediately upon receipt.) (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, G.S. 132-1.1, NCAC T17-C1-S1C.0503, and IRS 1075, Exhibit 3 concerning the confidentiality of taxpayer records.) (File maintenance and backup procedures are performed by Department of Revenue, Information Technology.)

DISPOSITION INSTRUCTIONS: Erase in office after 2 years and after applicable information has been entered into the Blue Ring Processing Database (Electronic) File (Item 48438).

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ITEM 48440. BLUE RING PROCESSING REPORTS FILE.

Reports in electronic format concerning document locator numbers (DLNs) researched by certain administration unit employees to insure DLNs are accurately entered into the Integrated Tax Automation System (ITAS). Reports include DLNs, date received, tax type, amounts of payments, and other related data. (Reports are generated from the Blue Ring Processing Database (Electronic) File (Item 48438). (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, G.S. 132-1.1, NCAC T17-C1-S1C.0503, and IRS 1075, Exhibit 3 concerning confidentiality of tax payers records.) (File maintenance and backup procedures are performed by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTIONS: Erase in office 5 years after quality control procedures are completed and DLNs are verified against the department's ITAS.

ITEM 48441. CERTIFIED TAX RETURNS FILE.

Reference copies of certified copies of tax returns in paper and electronic formats concerning individuals and/or corporate tax filings. File includes individual and/or corporate tax filings. (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, G.S. 132-1.1, and IRS 1075, Exhibit 3 concerning confidentiality of taxpayer records.) (File maintenance and backup procedures are performed by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTIONS: Destroy and erase records in office 2 years after completion of request for certified copies.

ITEM 48442. DIVISION PERSONNEL DATABASE (ELECTRONIC) FILE.

Electronic records concerning personnel related information for full time, temporary, and seasonal employees of the division. Electronic data includes names, addresses, social security numbers, hiring dates, salary histories, leave, job grades, and other related data.) (Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24, G.S. 132-1.1, and USC 552a concerning confidentiality of personnel records.) (File maintenance and backup procedures are performed by Department of Revenue Information Technology.)

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

ITEM 48443. INTEGRATED TAX AUTOMATION SYSTEM (ITAS) DOCUMENTS AND PAYMENTS MISSING REPORTS FILE.

Reports in paper and electronic formats concerning taxpayer documents and payments not reported into the Integrated Tax Automation System (ITAS). Reports list sales tax amounts, withholding amounts, and types of partnerships posted, and other related information not posted in ITAS. (Reports are received weekly from information Technology.) (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, G.S. 132-1.1, NCAC T7-C1-S1C.0503, and IRS 1075, Exhibit 3 concerning confidentiality of taxpayers records.) (File maintenance and backup procedures are performed by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when superseded or obsolete.

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ITEM 48444. INTERNAL INQUIRIES PROCESSING PROBLEMS (ELECTRONIC) FILE.

Records in paper and electronic formats used for processing problems. Electronic records include reports noting names of divisions, in-house locations of returns, contact methods, and other related records. (Data is obtained from the Research Issues Correspondence File (Item 48446). Paper records include reports noting names of divisions, in-house locations of returns, contact methods, and other related records. (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, G.S. 132-1.1, NCAC T17-C1-S1C.0503, and IRS 1075, Exhibit 3 concerning confidentiality of taxpayers records.) (File maintenance and backup procedures are performed by Department of Revenue, Information Technology.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 2 years.

ITEM 48445. PERSONNEL MANAGEMENT INFORMATION SYSTEM DATABASE (ELECTRONIC) FILE.

Electronic records concerning tracking status of all current and former full time and temporary (includes seasonal employees) of the department. File includes names and addresses, position titles, dates of employment, dates of termination, classification types of employees, department hired, and other related data. (Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24, G.S. 132-1.1 and USC 552a regarding the confidentiality of personnel records.) (File maintenance and backup procedures performed by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTIONS: Erase in office 30 years after termination of employment.

ITEM 48446. RESEARCH ISSUES CORRESPONDENCE FILE.

Correspondence in paper and electronic formats concerning payments and/or taxpayer returns that have not posted to the Integrated Tax Automation System (ITAS) due to processing errors. (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, G.S. 132-1.1, NCAC T17-C1-S1C.0503, and IRS 1075, Exhibit 3 concerning confidentiality of taxpayer records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 2 years.

ITEM 48447. TAX SCHEDULES TRACKING (ELECTRONIC) FILE.

Spreadsheets created and maintained for purposes of tracking the processing time of tax schedules. Electronic file includes sales tax amounts, withholding tax amounts, and other related data. (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; G.S. 132-1.1; NCAC T17-C1-S1C.0503; and IRS 1075, Exhibit 3 concerning confidentiality of taxpayer records.) (File maintenance and backup procedures are performed by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTIONS: Erase in office after 2 years.

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ITEM 48448. TYPING TEST TRACKER DATABASE (ELECTRONIC) FILE.

Records in paper and electronic format concerning typing test results from current and prospective employees. Electronic file includes names and addresses of test applicants, examination results, examination dates, names of supervisors, and other related records. Paper records include forms with the names, addresses, examination dates, name of interviewing supervisor, and other related information. (Data is entered into the database immediately upon completion of examination.) (Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24, and G.S. 132-1.1 concerning confidentiality of personnel records.) (File maintenance and backup procedures are performed by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTIONS: Transfer records for individuals hired to appropriate personnel file when individual accepts position. Destroy in office records for individuals not hired 3 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

ITEM 48467. TAX SCHEDULES TRACKING REPORTS FILE.

Reports in paper and electronic formats used to determine time frame for processing tax returns. Reports include sales tax amounts, withholding tax amounts, and other related information. (Reports are generated from Tracking of Tax Schedules (Electronic) File.) (Item 48447) (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; G.S. 132-1.1; NCAC T17-C1-S1C.0503; and IRS 1075, Exhibit 3 concerning confidentiality of taxpayer records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 2 years.