

DEPARTMENT OF REVENUE
BUSINESS SYSTEMS
DOCUMENTS AND PAYMENTS PROCESSING DIVISION
E-SERIES SCAN ROOM

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.

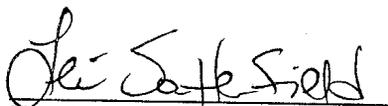
The Department of Revenue and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or 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. As part of its program operations the Department of Revenue agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.

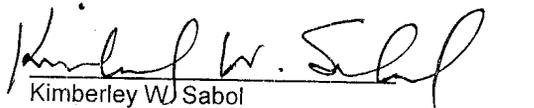
E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any E-mail messages requiring retention longer than 10 years, including those with permanent historical value, shall be designated with specific retention periods in this program records 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


M. Lei Satterfield, Group Manager
E-Series Scan Room

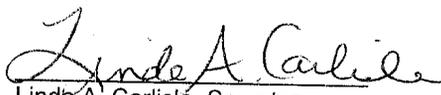

Kimberley W. Sabol
Chief Records Officer and Director
Documents and Payments Processing Division


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 13996. MASTER LISTERS AND UNIT OF WORK REPORTS FILE. Tapes listing all transactions for each transport in capture sequence. File includes log sheets to compute and track units of work.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office tapes and all remaining records.

ITEM 13999. EMPLOYEE STATISTICS/WORKSHEETS FILE. Daily worksheet used to track employee productivity. Worksheets include numbers of items scanned, rescanned, edited, balanced, returns keyed in, and other related information. (Data from these worksheets is entered into the Employee Statistics Tracking Database (Electronic) File (Item 48614) daily.) (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 1 week after all quality control procedures and data entry into the Employee Statistics Tracking Database (Electronic) File (Item 48614) have been verified for accuracy, if no litigation, claims, audits, or other official action involving an employee has been initiated. If official action has been initiated, destroy in office upon completion of action and resolution of issues involved.

ITEM 14007. SUBSTITUTE DOCUMENTS FILE. Documents scanned to process remittances in lieu of tax returns (tax returns are batched and sent along with remittances). (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, NCAC T17-C1-S1C.0503, G.S. 105-129, G.S. 105-228.5, G.S. 132-1.1, Internal Revenue Code 1075, Exhibit 3, and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer information.) (File maintenance and backup procedures conducted by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTIONS: Destroy in office at end of month that all corresponding tax return batches have been processed and all quality control procedures completed.

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ITEM 16739. DEPOSIT REPORTS FILE. Reports concerning daily cash receipts accompanying deposits to bank and used in summarizing and balancing of daily tax returns. Reports list collections by tax type and financial institution, run totals, Document Locator Numbers, substitute documents, and other related records. (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, NCAC T17-C1-S1C.0503, G.S. 105-129, G.S. 105-228.5, G.S. 132-1.1, Internal Revenue Code 1075, Exhibit 3, and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer information.) (File maintenance and backup procedures conducted by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after end of fiscal year (June 30) and when released from audits, if no official actions involving the records have been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48558. IMAGING DATABASE (ELECTRONIC) FILE. Database created from the imaging/scanning of paper checks/remittances and other associated downsized tax returns/coupons received from Extract and Sort Unit and other manual opening/processing operations throughout the department. Data fields include bank routing and account numbers, taxpayer identification numbers, amounts of checks and coupons, function codes indicating tax types, tax period dates, and other related records. (All records are scanned into the department's Doc Query imaging system and automatically posted into the Integrated Tax Administration System (ITAS). (Scanned images are retained permanently in Doc Query and data is automatically purged from Integrated Tax Administration System (ITAS) following retention parameters according to tax type.) (Comply with applicable provisions of G.S. 105-129; G.S. 105-228.5; G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 132-1.1; Internal Revenue Code 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer information.) (File maintenance and backup procedures are performed by DOR Information Technology.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

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ITEM 48613. CERTIFICATION REPORTS FILE. Daily reports and summaries reflecting collections certified to the Department of State Treasurer. Collections are created from electronic or check remittances and are specified by budget code for a specified date. (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, NCAC T17-C1-S1C.0503, G.S. 105-129, G.S. 105-228.5, G.S. 132-1.1, Internal Revenue Code 1075, Exhibit 3, and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer information.) (File maintenance and backup procedures conducted by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after end of fiscal year (June 30) and when released from audits if no official actions involving the records have been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48614. EMPLOYEE STATISTICS TRACKING DATABASE (ELECTRONIC) FILE. Electronic records used to track amount of work completed by each unit employee. Electronic file includes numbers of items scanned, rescanned, edited, balanced, and other related data. (Data is entered into this database from the Employee Statistics/Worksheets File (Item 13999)). **NOTE:** Official Final Performance Appraisal and supporting documentation are retained 3 years in the Employee Appraisal Packet File.) (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Update in office routinely and erase fields of data 6 months after date employee signs Final Performance Appraisal if no litigation, claims, audits, 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.

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ITEM 48615. ENCODING ERROR CORRESPONDENCE FILE.

Correspondence and images of cancelled checks in paper formats received from and/or sent to financial institutions concerning deposited checks that have been encoded/processed for an amount other than the amount written on the check. Correspondence and cancelled checks include taxpayer bank account information, amounts of checks, dates scanned, billing dates, reference numbers, and other related information. (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, NCAC T17-C1-S1C.0503, G.S. 105-129, G.S. 105-228.5, G.S. 132-1.1, Internal Revenue Code 1075, Exhibit 3, and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer information.) (File maintenance and backup procedures conducted by Department of Revenue Information Technology.)

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 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Enter pertinent information into the Encoding Error Database (Electronic) File (Item 48616) upon receipt. Destroy in office, paper and electronic records, 5 years after resolution of error, if no official action involving the records has been initiated. If official action has been initiated, destroy in office after resolution.

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ITEM 48616. ENCODING ERROR DATABASE (ELECTRONIC) FILE. Electronic records used to track deposited checks that have been encoded/processed for an amount other than the amount written on the check. Electronic file includes, amounts of checks, dates scanned, billing dates, reference numbers, and other related information. (Data is entered into this database from the Encoding Error Correspondence File (Item 48615). (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, NCAC T17-C1-S1C.0503, G.S. 105-129, G.S. 105-228.5, G.S. 132-1.1, Internal Revenue Code 1075, Exhibit 3, and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer information.) (File maintenance and backup procedures conducted by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

ITEM 48617. PAYMENT COUPONS AND VOUCHERS FILE. Coupons and/or vouchers received from taxpayers that accompany their remittance for taxes due. Coupons and vouchers include tax amounts due/paid, taxpayer identification numbers, function codes, and other related information. (Comply with applicable provisions of G.S. 105-241, G.S. 105-259, G.S. 105-262, NCAC T17-C1-S1C.0503, G.S. 105-129, G.S. 105-228.5, G.S. 132-1.1, Internal Revenue Code 1075, Exhibit 3, and Internal Revenue Code, Section 6103 concerning confidentiality of taxpayer information.) (File maintenance and backup procedures conducted by Department of Revenue Information Technology.)

DISPOSITION INSTRUCTION: Scan coupons and vouchers in office immediately upon receipt. Destroy in office scanned coupons and vouchers 14 days after quality control procedures are completed and verified. If quality control procedures not completed within 14 days, contact data capture management.