

DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIVISION

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

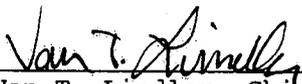
ADMINISTRATIVE SERVICES DIVISION

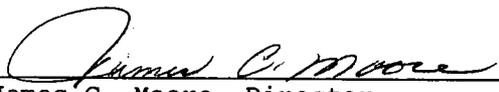
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention 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

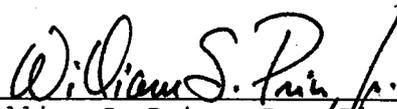
ADMINISTRATIVE SERVICES DIVISION

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 This schedule is to remain in effect until superseded.

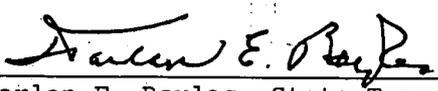
APPROVAL RECOMMENDED

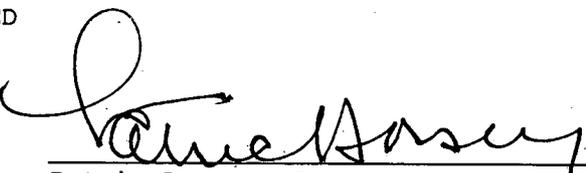
  
\_\_\_\_\_  
Van T. Lindley, Chief Records Officer  
Department of State Treasurer

  
\_\_\_\_\_  
James C. Moore, Director  
Administrative Services Division

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

APPROVED

  
\_\_\_\_\_  
Harlan E. Boyles, State Treasurer  
Department of State Treasurer

  
\_\_\_\_\_  
Patric Dorsey, Secretary  
Department of Cultural Resources

October 17, 1990

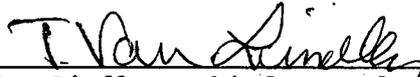
JH

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

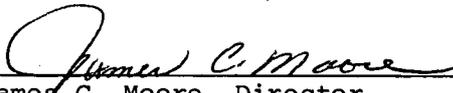
DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIVISION  
INFORMATION SYSTEM SECTION

Amend the records retention and disposition schedule approved October 17, 1990  
by adding item 29250 as shown on substitute page dated March 24, 1991.

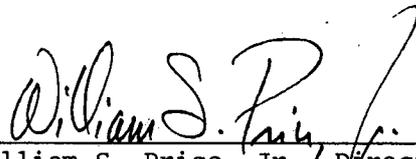
APPROVAL RECOMMENDED



T. Van Lindley, Chief Records Officer  
Department of State Treasurer

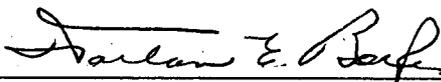


James C. Moore, Director  
Administrative Services

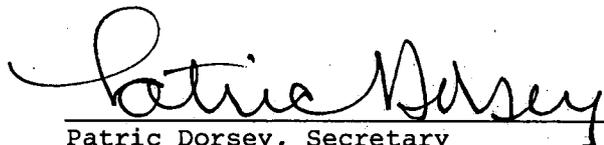


William S. Price, Jr., Director  
Division of Archives and History

APPROVED



Harlan E. Boyles, State Treasurer  
Department of State Treasurer



Patricia Dorsey, Secretary  
Department of Cultural Resources

March 24, 1991

JH

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

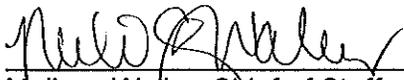
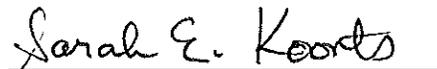
**DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIRECTOR  
DIRECTOR'S OFFICE**

Amend the program records retention and disposition schedule approved October 17, 1990, by changing the disposition instructions for the following item 16227 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

**APPROVAL RECOMMENDED**



Sandra Johnson, Chief Records Officer  
Department of State Treasurer

  
Melissa Waller, Chief of Staff  
Department of State Treasurer  
Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**

  
Janet Cowell, State Treasurer  
Department of State Treasurer  
Linda A. Carlisle, Secretary  
Department of Cultural Resources

September 24, 2012

MAH

DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIVISION

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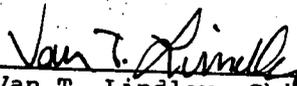
ADMINISTRATIVE SERVICES DIVISION

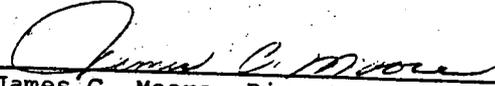
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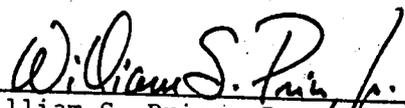
ADMINISTRATIVE SERVICES DIVISION

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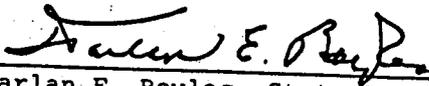
APPROVAL RECOMMENDED

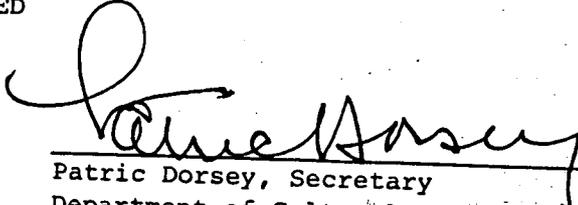
  
Van T. Lindley, Chief Records Officer  
Department of State Treasurer

  
James C. Moore, Director  
Administrative Services Division

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

APPROVED

  
Harlan E. Boyles, State Treasurer  
Department of State Treasurer

  
Patric Dorsey, Secretary  
Department of Cultural Resources

October 17, 1990

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.

JH

**DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIVISION  
DATA PROCESSING SECTION**

**ITEM 3194. PROGRAMS MAGNETIC TAPES FILE.**

Magnetic tapes containing backups of system files, libraries, and databases relating to retirement, investment and banking, escheats, and local government.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center weekly for security storage. Agency representative will retrieve tapes periodically and return to agency. Erase tapes in office when administrative value ends.

**DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIVISION  
DIRECTOR'S OFFICE**

**ITEM 16227. DIRECTOR'S CORRESPONDENCE FILE.**

Records concerning the organization and daily operation of Administrative Services Division. File includes correspondence, memorandums, reports, and other information.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIVISION  
ESCHEAT OPERATIONS SECTION**

**ITEM 16228. ESCHEATED PROPERTY FILE.**

Records concerning escheated funds credited to the Department of State Treasurer after 1971 (prior funds are maintained by the University of North Carolina). Information includes names of institutions escheating funds, names of individuals/organizations to whom or which funds were due or left, and other data. (Separated by type of escheating agency/organization (banks, credit unions, insurance agencies, state agencies, businesses, hospitals, etc.).)

DISPOSITION INSTRUCTIONS: Microfilm in agency to state standards. Retain one copy of microfilm in agency permanently and transfer one security copy of microfilm to the State Records Center for storage in the security vault. Destroy in office paper records after microfilm has been verified and quality control procedures completed.

**ITEM 16229. ESCHEATED ESTATE FILE.**

Records concerning escheated estate funds credited to the Department of State Treasurer after 1971 (prior funds are maintained by the University of North Carolina).

DISPOSITION INSTRUCTIONS: Microfilm in agency to state standards. Retain one copy of microfilm in agency permanently and transfer one security copy of microfilm to the State Records Center for storage in the security vault. Destroy in office paper records after microfilm has been verified and quality control procedures completed.

**ITEM 16231. SECTION ACCOUNTING FILE.**

Records concerning the transferring of escheated funds to and from the Department of State Treasurer. File includes deposit slips, receipts, accounting code sheets, and other related data.

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

**ITEM 16232. SECTION CORRESPONDENCE FILE.**

Records concerning the organization and daily operation of the Escheat Operations Section. File includes correspondence, memorandums, reports, reference materials, and other related

DISPOSITION INSTRUCTIONS: Destroy in office reference materials when reference value ends. Transfer remaining records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 16233. SUSPENSE FILE.**

Correspondence from citizens inquiring about escheated funds.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIVISION  
PERSONNEL ADMINISTRATION SECTION**

**ITEM 16234. DEPARTMENT PERSONNEL FILE.**

Personnel records concerning departmental employees. File includes applications, resumes, and personnel action records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency 25 additional years and then destroyed.

**ITEM 16241. DEPARTMENTAL HISTORY FILE.**

Historical data concerning the department. File includes monthly activity reports, transcripts of speeches, annual reports, newspaper clippings, news releases, and Treasurer's weekly schedules.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 8 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.

**DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIVISION  
SUPPORT SERVICES SECTION  
BUDGET UNIT**

**ITEM 3195. BOND SALE FILE.**

Records concerning state bond sales. File includes bonds, bond anticipation notes, reports, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 8 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 16252. VALIDATION AND TITLE FILE.**

Computer printouts providing data concerning validations for accounts, objects, funds, and titles. (Information is utilized in preparation of Monthly Budget Report File.)

DISPOSITION INSTRUCTIONS: Destroy in office monthly file as updated. Destroy in office updated file for entire fiscal year after 2 years.

**ITEM 16263. MONTHLY LOCAL GOVERNMENTAL UNITS BOND SALE ACCOUNTS JOURNAL FILE.**

Records concerning the accountability of expenses and receipts incurred during the sale and delivery of local governmental unit bonds. File includes invoices and other data utilized in departmental billing for expenses. File also includes clearing account ledger entries for transferring funds for local governmental units after bond settlements (account 8-000-483).

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

**ITEM 16267. BOARD MEMBERS FILE.**

Information listing current memberships of all boards of the Department of State Treasurer. (Information is utilized for reimbursement of expenses by the state.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIVISION  
SUPPORT SERVICES SECTION  
FORMS MANAGEMENT AND PRINTING UNIT**

**ITEM 16270. FORMS CONTROL FILE.**

Reference copies of all forms utilized by the department. File includes purchase information, descriptive data, index in notebook, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF STATE TREASURER  
ADMINISTRATIVE SERVICES DIVISION  
WORD PROCESSING SECTION**

**ITEM 16230. PRODUCTION LINE COUNT REPORTS FILE.**

Records concerning section production by day, week, month, and year. Information includes line counts and document counts.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.