

DEPARTMENT OF STATE TREASURER  
FINANCIAL OPERATIONS DIVISION  
BANKING OPERATIONS SECTION

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

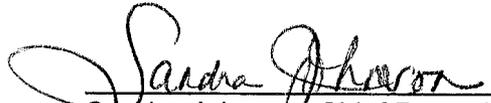
**BANKING OPERATIONS SECTION**

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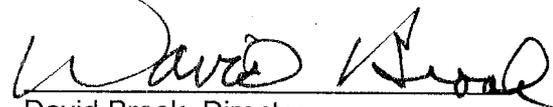
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

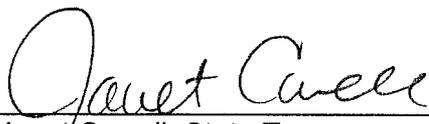
**APPROVAL RECOMMENDED**

  
Sandra Johnson, Chief Records Officer  
Department of State Treasurer

  
Chandler Francis, Head  
Banking Operations Section

  
Pamela J. Wortham, Deputy Treasurer  
Financial Operations Division

  
David Brook, Director  
Division of Historical Resources

  
Janet Cowell, State Treasurer  
Department of State Treasurer

**APPROVED**

  
Linda A. Carlisle, Secretary  
Department of Cultural Resources

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**ITEM 16202. SECURITIES HELD IN SAFEKEEPING FILE.** Correspondence and copies of ledger cards representing securities held in safekeeping for various state agencies. Agencies include the Departments of Agriculture, Insurance, Public Instruction, and Revenue; the Division of Motor Vehicles; and the Industrial Commission. Each card describes security deposited, amount of security, date security received, and date security returned. File includes correspondence which indicates agency from which security received and agency to which security released.

DISPOSITION INSTRUCTIONS: Item function and records transferred to Department of State Treasurer, Financial Operations Division, Banking Operations Section, Specialized Banking Unit.

**ITEM 31259. SPECIAL FUNDS RECORDS FILE.** Records concerning accounting for receipts and disbursements for certain special funds maintained by the Department of State Treasurer. Special funds include Absentee Insurance Fund, Land Titles Assurance Fund, and Pine Lakes Fund. (Political Parties Fund and Presidential Election Year Candidate Fund transferred to State Board of Elections July 1, 1991.)

DISPOSITION INSTRUCTIONS: Item function and records transferred to Department of State Treasurer, Financial Operations Division, Banking Operations Section, Specialized Banking Unit.

**ITEM 36185. CASH CONCENTRATION ANALYSIS FILE.** Reference copies of monthly bank analyses received from the State Treasurer's cash concentration banks, reflecting all deposits made by various state agencies. (Comply with applicable provisions of G.S. 132-1.2(2) regarding confidentiality of account numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) 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 the completion of action and resolution of issues involved.

**ITEM 36186. CASH CONCENTRATION OUTSTANDING ITEMS FILE.** Daily computer printouts (Report BB170) listing all deposits in-transit from the cash concentration banks and their corresponding depositing state agencies.

DISPOSITION INSTRUCTIONS: Item function and records transferred to Department of State Treasurer, Financial Operations Division, Bank Reconciliation Section.

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**ITEM 36187. DEPOSITORY BANK ACCOUNTING UNIT SUBJECT FILE.**

Correspondence concerning the designation of depository banks and related maintenance of the accounts. File also includes correspondence relating to establishment of budget codes and other state agency related correspondence.

DISPOSITION INSTRUCTIONS: Item function and records transferred to Department of State Treasurer, Financial Operations Division, Banking Operations Section, Specialized Banking Unit.

**ITEM 36188. MONTHLY BUDGET CODE RECONCILIATION REPORTS FILE.**

Monthly printouts (Reports BB225 and BB250) listing summaries of budget code transactions and month-end balances and corresponding reports received from the State Controller's office.

DISPOSITION INSTRUCTIONS: Item function and records transferred to Department of State Treasurer, Financial Operations Division, Bank Reconciliation Section.

**ITEM 36651. BANK ACCOUNTING EDIT REPORTS FILE.** Daily reports generated by the Bank and Budgetary System and the Disbursing Account System to ensure that various ledgers were posted correctly. File(s) include daily ending balance reports. (Comply with applicable provisions of G.S. 132-1.2(2) regarding confidentiality of account numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office after 4 month(s).

**ITEM 36652. BANK AND BUDGETARY TRANSACTION SUMMARY FILE.** Daily computer printouts (Report BB021) listing all transactions, including those reported through the State Controller's Cash Management Control System, which are posted to the State Treasurer's Bank and Budgetary System.

DISPOSITION INSTRUCTIONS: Item function and records transferred to Department of State Treasurer, Financial Operations Division, Statewide Accounting Section.

**ITEM 36653. MONTH-END BANK BALANCES FILE.** Monthly printout (Report BB250P) listing the month-end balances of all bank accounts, including clearing banks, depository banks, and cash concentration agency accounts.

DISPOSITION INSTRUCTIONS: Item function and records transferred to Department of State Treasurer, Financial Operations Division, Bank Reconciliation Section.

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**ITEM 36192. BANKING OPERATIONS SECTION SUBJECT FILE.** Correspondence, reports, and other materials concerning the operations of the two units within the Banking Operations Section. (Comply with applicable provisions of G.S. 132-1.2(2) regarding confidentiality of account numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 48496. FEDERAL RESERVE ANALYSIS FILE.** Summary report of monthly activity and charges due.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) 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 the completion of action and resolution of issues involved.

**ITEM 48497. SECURITIES LENDING SUMMARY FILE.** Summary report of securities lending activity in portfolios. (Comply with applicable provisions of G.S. 132-1.2(2) regarding confidentiality of account numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) 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 the completion of action and resolution of issues involved.

**ITEM 48498. SURETY BOND FILE.** Correspondence concerning the purchase of surety bonds. (Comply with applicable provisions of G.S. 132-1.2(2) regarding confidentiality of account numbers.)

DISPOSITION INSTRUCTIONS: Destroy copy in office 1 year after bond expires if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office upon completion of action and resolution of issues involved.