

DEPARTMENT OF STATE TREASURER
FINANCIAL OPERATIONS DIVISION

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 State Treasurer 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 State Treasurer agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.

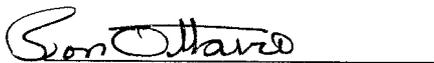
E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any E-mail messages requiring retention longer than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


Sandra Johnson, Chief Records Officer
Department of State Treasurer


Ron Ottavio, Chief of Staff
Department of State Treasurer


David Brook, Director
Division of Historical Resources

APPROVED


Janet Cowell, State Treasurer
Department of State Treasurer


Linda A. Carlisle, Secretary
Department of Cultural Resources

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ITEM 16218. PROOF OF DEPOSIT (POD) ENTRY BALANCING REPORT FILE.

Computerized reports listing types of items transacted and processed through the Proof of Deposit (POD) system.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 16219. PROOF OF DEPOSIT (POD) PRIME PASS MASTER LIST FILE.

Computerized reports listing each item processed on the reader-sorter during the POD runs. File indicates amount and corresponding sequence number and pocket selection of each item processed.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 3196. MONTHLY BUDGETARY LEDGER PRINTOUTS FILE. Monthly printout reports and BB215 by budget code listing all transactions (appropriations, receipts, disbursements, and journal entries) of state agencies, departments, and institutions that involve monies on deposit with the State Treasurer.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy records currently stored in the State Records Center immediately.

ITEM 3197. DISBURSING OFFICERS' WARRANT FILE. Records in paper and electronic formats of cancelled disbursing officers' warrants of state agencies that are not on disbursing account.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy records in paper and electronic formats dated July 1964 through June 1978 currently stored in the State Records Center immediately. Destroy microfilm currently stored in Archives security vault and Agency immediately.

ITEM 49343. DEPUTY TREASURER FILE. Records in paper and electronic formats, including e-mail, concerning divisional deputy treasurer. File includes contact list, correspondence, policies, memoranda, reports relating to management of financial operations, and other related records. (Comply with applicable provisions of G.S. 132-1.2 and 132-1.10 regarding confidentiality of confidential communications by legal counsel or disclosure of trade secrets, social security numbers, and/or account numbers.)

DISPOSITION INSTRUCTIONS: Transfer electronic records, including email, after 5 years to the State Records Center for immediate transfer to the custody of the Archives. Contact the Electronic Records Branch prior to the transfer of electronic records. Transfer paper records to the State Records Center after 5 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.

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ITEM 49344. 401(K) AND 457(B) PLAN (REFERENCE) FILE.

Reference copies concerning the supplemental retirement programs administered by the Department of State Treasurer.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 49142. CORE-BANKING DATABASE (ELECTRONIC) FILE. Electronic records concerning transfers, balances, requests for wire transfers, and journal entries relating to state agencies. File includes agency information, type of request, and account activity. Data reports produced from this database include Cash Concentration Outstanding Items File (Item 36186), Monthly Budget Code Reconciliation Reports File (Item 36188), Bank Accounting Edit Reports File (Item 36651), Bank and Budgetary Transaction Summary File (Item 36652), and Month-end Bank Balances File (Item 36653). (Comply with applicable provisions of G.S. 132-1.2(2) regarding confidentiality of account numbers.)

DISPOSITION INSTRUCTIONS: Update electronic records in office routinely. Retain in office permanently. Destroy copy in office after 5 years 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. Update electronic records in office routinely.