**DEPARTMENT OF STATE TREASURER**
**FINANCIAL OPERATIONS DIVISION**
**STATEWIDE ACCOUNTING 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

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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

February 14, 2011

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# DEPARTMENT OF STATE TREASURER
# FINANCIAL OPERATIONS DIVISION
# STATEWIDE ACCOUNTING SECTION

**ITEM 3199. CUSTODY BANK STATEMENTS ELECTRONIC (DATABASE) FILE.** Electronic records concerning custody bank statements. File includes monthly statements received from the custody banks for each portfolio listing investment projections and transactions (includes purchases and sales, interest and dividend credits, securities lending activities, wire transfers, closing balances, and asset detail). (Comply with applicable provisions of G.S. 132-1.2(2) regarding confidentiality of account numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 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 completion of action and resolution of issues involved.

**ITEM 3200. INVESTMENT TRANSACTION TICKETS/CONFIRMATIONS FILE.** Daily forms indicating securities purchased, sold, and called for the various investment portfolios. (Confirmations from a broker are attached to each form.)

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

**ITEM 16192. CONTROL FORM FILE.** Control forms, which are the posting documents for the departmental general ledger. Attached documents (deposit slips, checks, wire transfer advices, clearing bank debits and credits, etc.) represent investment, clearing, and transfer of money entries.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**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: 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: Function and records transferred to Department of State Treasurer, Financial Operations Division, Banking Operations Section, Specialized Banking Unit.

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**ITEM 36652. BANK AND BUDGETARY TRANSACTION SUMMARY FILE.** Records in paper and electronic formats concerning daily computer printouts 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: Destroy in office after 1 year 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 49331. BOND FILE.** Records in paper and electronic formats concerning proceed disbursement and deposit notifications, account activity, and statements including certification of fees. (Comply with applicable provisions of G.S. 132-1.2 (2) regarding confidentiality of account numbers.)

DISPOSITION INSTRUCTIONS: Update in office electronic records routinely. Retain in office electronic records permanently. Destroy in office paper records after 10 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.

**ITEM 49332. BUDGETARY CONTROL FILE.** Records in paper and electronic formats concerning office budgetary control. (Comply with applicable provisions of G.S. 132-1.2 (2) regarding confidentiality of social security numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 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.

**ITEM 49333. CASH TRANSFER FILE.** Records in paper and electronic formats concerning request and transfer of assets. (Comply with applicable provisions of G.S. 132-1.2 (2) regarding confidentiality of account numbers.)

DISPOSITION INSTRUCTIONS: Update in office electronic records routinely. Retain in office electronic records permanently. Destroy in office paper records after 10 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.

**ITEM 49334. COMPREHENSIVE ANNUAL FINANCIAL REPORT (CAFR) FILE.** Records in paper and electronic formats concerning the annual CAFR report.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 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.

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**ITEM 49335. INVESTMENT EXPENSE FILE.** Records in paper and electronic formats concerning asset class invoices submitted by Investment Management Division and external managers.

DISPOSITION INSTRUCTIONS: Destroy 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.

**ITEM 49336. EXTERNAL MANAGER FILE.** Records in paper and electronic formats, including e-mail, concerning contracts, amendments, and general correspondence.

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. Destroy copy in office 5 years after partnership terminates if no litigation, claim, audit, or 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.