

DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
RECORDS 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.

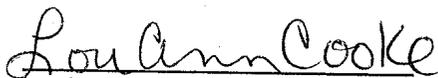
The Department of State Treasurer and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further 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



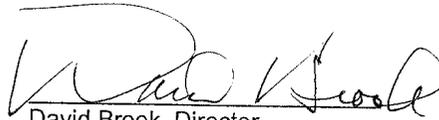
LouAnn Cooke, Section Chief
Records Section, Retirement Division



Sandra Johnson, Chief Records Officer
Department of State Treasurer

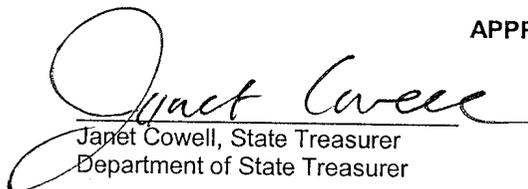


Ron Ottavio, Chief of Staff
Department of State Treasurer

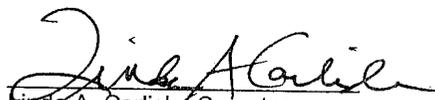


David Brook, Director
Division of Historical Resources

APPROVED



Janet Cowell, State Treasurer
Department of State Treasurer



Linda A. Carlisle, Secretary
Department of Cultural Resources

**DEPARTMENT OF STATE TREASURER
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ITEM 261. MONTHLY REMITTANCES FILE.

Turn-around records in paper and electronic formats concerning monthly remittances by fire departments and rescue squads. File includes listings of fire departments and rescue squads, listings of members, social security numbers, and other related records. (Comply with applicable provisions of 5 USC 552A regarding records maintained on individuals and applicable provisions of G.S. 132-1.2(2) and 132-1.10 regarding confidentiality of account numbers, social security numbers and other personal data.)

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.

Scan records in office upon receipt. Destroy in office paper copies of scanned records after 90 days and when all quality control procedures have been completed. Update electronic records in office routinely. Retain in office electronic records permanently.

ITEM 262. INDIVIDUAL WITHDRAWALS FILE.

Records concerning individuals who have withdrawn from the Pension Fund. File includes requests for refunds, membership applications, and other related records.

DISPOSITION INSTRUCTIONS: Functions and records transferred to Firemen's And Rescue Squad Workers' Pension Fund Members File (Item 9515).

ITEM 263. DECEASED RETIREMENT FILE.

Records concerning deceased members. File includes membership applications, correspondence, retirement forms, reference copies of death certificates, and other related records.

DISPOSITION INSTRUCTIONS: Functions and records transferred to Firemen's And Rescue Squad Workers' Pension Fund Members File (Item 9515).

ITEM 3205. TERMINATED EMPLOYEES FILE.

Records concerning each retired teacher and state employee, law enforcement officer, national guardsman or special pensioner, and local governmental employee who either has retired and then returned to service or has died. Information includes or concerns retirement data, beneficiaries for death benefits, personal data changes, calculation sheets, social security number, and other related data. Separated by category of employee. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding social security numbers and other personal data.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Members File (Item 38378).

ITEM 3206. WITHDRAWN EMPLOYEES FILE.

Records concerning each teacher and state employee, law enforcement officer, and local governmental employee who either has withdrawn from the retirement system while in service or has died. Information includes or concerns retirement data, beneficiaries for death benefits, personal data changes, calculation sheets, death certificates, or requests for accumulated contribution. Separated by category of employee. (Comply with applicable provisions of 5 USC 552A regarding and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Members File (Item 38378).

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ITEM 3207. ANNUITY (MICROFICHE) CARDS FILE.

Records in paper and electronic formats concerning yearly retirement contributions by each teacher and state employee, local governmental employee, and since 1979, each law enforcement officer. Information is separated by category of employee and again by unit (e.g., City of Raleigh) and lists each employer's monthly contributions. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.)

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy all microfiche after 100 years. Destroy paper records in office when reference value ends. Update electronic records in office routinely. Retain in office electronic records permanently.

ITEM 3210. ANNUITY CARDS FILE.

Microfilmed records concerning summaries of contributions made by each member of a special retirement fund. Separated as to category of retirement fund (legislative, judicial, solicitor, or clerks of superior courts). (Comply with applicable provisions of G.S. 132-1-10 regarding confidentiality of social security numbers.)

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy all microfilm after 100 years. Last records to be destroyed in 2065.

ITEM 9460. LINE OF DUTY DEATH BENEFITS FILE.

Records in paper and electronic formats, including e-mail, concerning death benefits paid to dependents of law enforcement officers and firemen killed in the line of duty. File includes reference copies of death certificates, correspondence, proofs of employment with law enforcement and fire fighting agencies, and other related records. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.)

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. Scan paper records in office when received. Destroy in office paper copies of scanned records after 90 days and when all quality control procedures have been completed. Update electronic records in office routinely. Retain in office electronic records permanently.

ITEM 9503. MINUTES OF MEETINGS FILE.

Official minutes of meetings of the North Carolina Firemen's and Rescue Squad Workers' Pension Fund Board of Trustees. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Functions and records transferred to Department of State Treasurer, Retirement Systems Division, Director's Office Section.

ITEM 9515. FIREMEN'S AND RESCUE SQUAD WORKERS' PENSION FUND MEMBERS FILE.

Records in paper and electronic formats, including e-mail, concerning active, withdrawn, and deceased members of the Pension Fund. File includes correspondence, membership applications, retirement forms, requests for refunds from withdrawn members, reference copies of death certificates from deceased members, and other related records. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.)

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. Scan paper records in office when received. Destroy in office paper copies of scanned records after 90 days and when all quality control procedures have been completed. Update electronic records in office routinely. Retain electronic records permanently.

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ITEM 9517. FIRE DEPARTMENT ROSTERS FILE.

Records in paper and electronic formats, including e-mail, concerning firemen who are eligible for membership in the Pension Fund and for death benefits. File includes correspondence, rosters submitted by fire departments listing eligible firemen. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.)

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. Scan paper records in office when received. Destroy in office paper copies of scanned records after 90 days and when all quality control procedures have been completed. Update electronic records in office routinely. Retain electronic records permanently.

ITEM 9518. RESCUE SQUAD ROSTERS FILE.

Records in paper and electronic formats, including e-mail, concerning rescue squad workers who are eligible for membership in the Pension Fund and for death benefits. File includes correspondence, rosters submitted by rescue squads listing eligible rescue squad workers. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.)

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. Scan paper records in office when received. Destroy in office paper copies of scanned records after 90 days and when all quality control procedures have been completed. Update electronic records in office routinely. Retain electronic records permanently.

ITEM 16296. ACTIVE EMPLOYEES' REGISTER FILE.

Registers listing a registration number for each individual actively employed within the state as a teacher, state employee, including legislative and judicial, law enforcement officer, local governmental employee, or member of the Optional Retirement Program. Information for each individual includes name, social security number, identifying data, and date of entry into active retirement system. Separated by category of employee. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.) [Note: The need to retain COBALT registered files was discontinued on September 30, 2007 by the implementation of the ORBIT system.]

DISPOSITION INSTRUCTIONS: Item discontinued. Transfer remaining paper records to State Records Center. Destroy records held in the State Records Center 100 years from date received.

ITEM 16297. TERMINATED EMPLOYEES' REGISTER FILE.

Registers listing a registration number for each individual who either has retired and then returned to service within the state as a teacher, state employee, including legislative and judicial, law enforcement officer, or local governmental employee or has died. Information for each individual includes name, identifying data, and date of entry into terminated retirement system. Separated as to category of employee. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.) [Note: The need to retain COBALT registered files was discontinued on September 30, 2007 by the implementation of the ORBIT system.]

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office after 5 years.

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ITEM 16298. WITHDRAWN EMPLOYEES' REGISTER FILE.

Registers listing a registration number for each individual who either has withdrawn from the retirement system after employment within the state as a teacher, state employee, including legislative and judicial, law enforcement officer, or local governmental employee or has died. Information for each individual includes name, identifying data, and date of entry into retirement system. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.) [Note: The need to retain COBALT registered files was discontinued on September 30, 2007 by the implementation of the ORBIT system.]

DISPOSITION INSTRUCTIONS: Item discontinued. Transfer remaining paper records to State Records Center. Destroy records held in the State Records Center 100 years from date received.

ITEM 16299. RETIRED EMPLOYEES' REGISTER FILE.

Registers listing a registration number for each individual who has retired from service within the state as a teacher, state employee, including legislative and judicial, law enforcement officer, and local governmental employee. Information for each individual includes name, identifying data, and date of entry into retirement system. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.) [Note: The need to retain COBALT registered files was discontinued on September 30, 2007 by the implementation of the ORBIT system.]

DISPOSITION INSTRUCTIONS: Item discontinued. Transfer remaining paper records to State Records Center. Destroy records held in the State Records Center 100 years from date received.

ITEM 33566. TRANSFER REPORTS FILE.

Records concerning funds transferred from fire department to rescue squad Pension Fund accounts, or vice versa. File includes listings of fire departments, rescue squads, and transfer amounts, and other related records. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Department of State Treasurer, Retirement Systems Division, Accounting Section.

ITEM 38378. MEMBERS FILE.

Records in paper and electronic formats, including e-mail, concerning the membership and benefits of a specific member within the Teachers' and State Employees' Retirement System, the Local Governmental Employees' Retirement System, the Consolidated Judicial Retirement System, the Optional Retirement Program, the Legislative Retirement System and Fund, and the Disability Income Plan of North Carolina. File includes members name, membership applications, benefit plan, Correspondence, and other related records for active, withdrawn, retired, and terminated employees. (Comply with applicable provisions of 5 USC 552A and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.)

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. Scan paper records in office when received. Destroy in office paper copies of scanned records after 90 days and when all quality control procedures have been completed. Destroy in office paper and electronic versions of Annual Benefit Statements after one year. Update electronic records in office routinely. Retain electronic records permanently. Destroy microfilm currently stored in agency after 100 years.