DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
RETIREMENT PAYROLL 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

RETIREMENT PAYROLL 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 Department of Natural and Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. 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. For those record series scheduled to be microfilmed, the Department of State Treasurer will be responsible for cost of microfilm production.

The Department of State Treasurer and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when *"administrative/reference value ends."* The Department of State Treasurer hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Natural and Cultural Resources to destroy these records

The Department of State Treasurer and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires additional commitment and active management by the agency. The Department of State Treasurer agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records and to make electronic records accessible for the period of time prescribed in this schedule. Where the method of recording information changes (for example, to an electronic system), the retention periods governing the records listed herein still apply, provided the records document the same agency function.

E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated with specific retention periods in 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 Department of State Treasurer agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

September 5, 2016 Rashida Felder

APPROVAL RECOMMENDED

Thomas G. Causey, Deputy Director of Operations
Retirement Systems Division

Laura C. Rowe, Chief Records Officer
Department of State Treasurer

Steve Toole, Deputy Treasurer
Retirement Systems Division

Sarah E. Koonts, Director
Division of Archives and Records

APPROVED

Janet Cowell, State Treasurer
Department of State Treasurer

Susan W. Kluttz, Secretary
Department of Natural and Cultural Resources

September 5, 2016

Rashida Felder

DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
RETIREMENT PAYROLL SECTION

ITEM 3211. TEACHERS' AND STATE EMPLOYEES' RETIREMENT SYSTEM PAYROLL FILE

Monthly contribution records in electronic and microfilm formats from each unit participating in the Teachers' and State Employees' Retirement System. File includes names and social security numbers of members, unit codes, dates and amounts of gross pay, and other data in paper and electronic formats. (Comply with applicable provisions of G.S.132-1.10 regarding confidentiality of social security numbers).

DISPOSITION INSTRUCTIONS: Retain electronic records in office permanently. Destroy microfilm held in agency after 50 years. Destroy microfilm currently held in State Records Center 50 years after date of record.

ITEM 3212. LOCAL GOVERNMENTAL RETIREMENT SYSTEM PAYROLL FILE

Monthly contribution records in electronic and microfilm formats from each unit participating in the Local Governmental Retirement System. File includes names and social security numbers of members, unit codes, dates and amounts of gross pay, and other data in electronic and paper format. (Comply with applicable provisions of G.S.132-1.10 regarding confidentiality of social security numbers).

DISPOSITION INSTRUCTIONS: Retain electronic records in office permanently. Destroy microfilm held in agency after 50 years. Destroy microfilm currently held in State Records Center 50 years after date of record.

ITEM 16316. CHECK AND PAYMENT REGISTERS FILE

Records concerning checks written in the Retirement Division in the ORBIT System. File includes each check recipient's name, retirement code and number, check number, amount of check, and other data. File also includes Payroll records from legislative and judicial retirement systems. Payroll information includes each member's name, code, pay, retirement deductions, and date and amount of voucher. Separated by category of system. (Comply with applicable provisions of G.S. 132-1.2 (2) regarding confidentiality of social security numbers.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 16317. RECONCILIATIONS FILE

Electronic records concerning outstanding checks issued by the State Treasurer and unpaid after a month in the ORBIT System. File includes retirement register numbers, names of recipients, check identification numbers, and other accounting data. (Comply with applicable provisions of G.S. 132-1.2 (2) regarding confidentiality of social security numbers.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 31743. REFUND CHECK REGISTERS FILE

Records in electronic and microfilm formats concerning all refund checks issued by the Retirement Systems Division.

DISPOSITION INSTRUCTIONS: Retain electronic records in office permanently. Destroy microfilm after 10 years.

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The following items are either Discontinued or Transferred.

ITEM 16309. GENERAL LEDGERS TRUST FUND FILE

Ledgers concerning benefits paid from trust funds.

DISPOSITION INSTRUCTIONS: Function and records transferred to Financial Operations Division, Retirement Accounting Section.

ITEM 16312. CERTIFICATES OF DEPOSIT AND VOUCHERS FILE

Certificates of deposit and accompanying vouchers issued for each program operated by the division.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Financial Operations Division, Banking Operations Section, Specialized Banking Services Unit Item Certificates of Deposit File (Item 49101).

ITEM 33566. TRANSFER REPORTS FILE

Records in paper, electronic and microfilm 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 also includes records concerning funds transferred from fire department to rescue squad Pension Fund accounts, or vice versa. File includes member names, membership applications, benefit plan, correspondence, and other related records for active, withdrawn, retired, and terminated employees, 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 Imaging Section, Members File (Item 38378).