

DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION

Records Retention and Disposition Schedule

The 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 SYSTEMS DIVISION

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 machine readable records not listed in this schedule are not authorized to be destroyed.** The

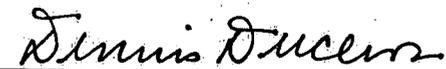
RETIREMENT SYSTEMS DIVISION

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 This schedule is to remain in effect until superseded.

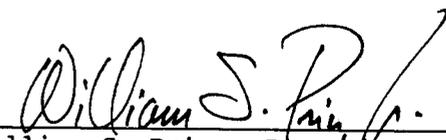
APPROVAL RECOMMENDED



T. Van Lindley, Chief Records Officer
Department of State Treasurer

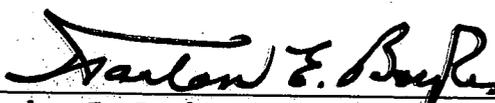


Dennis Ducker, Director
Retirement Systems Division

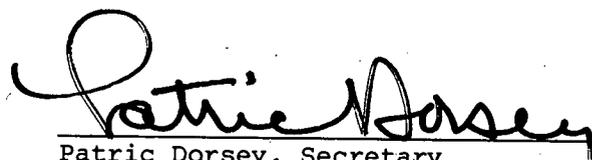


William S. Price, Jr., Director
Division of Archives and History

APPROVED



Harlan E. Boyles, State Treasurer
Department of State Treasurer



Patric Dorsey, Secretary
Department of Cultural Resources

June 14, 1991

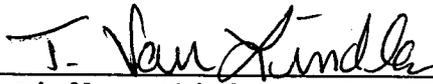
JH

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
ACCOUNTING SECTION

Amend the records retention and disposition schedule approved June 14, 1991 by changing the disposition instructions of Item 3213 as shown on substitute page dated September 13, 1993.

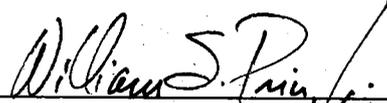
APPROVAL RECOMMENDED



T. Van Lindley, Chief Records Officer
Department of State Treasurer

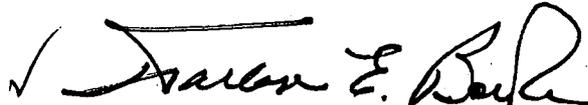


Dennis Ducker, Director
Retirement Systems Division



William S. Price, Jr., Director
Division of Archives and History

APPROVED



Harlan E. Boyles, State Treasurer
Department of State Treasurer



Betty Ray McCain, Secretary
Department of Cultural Resources

September 13, 1993

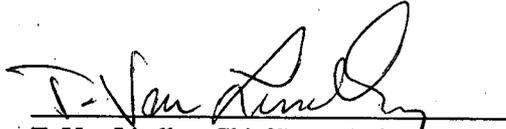
JH

RECORDS RETENTION AND DISPOSITION SCHEDULE

**DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION**

Amend the Records Retention and Disposition Schedule approved June 14, 1991 by changing the disposition instructions of Items 16318, 16319, 16288, 16291, and 16300 and by adding item 38378 as shown on substitute pages dated July 25, 1996.

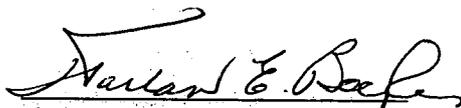
APPROVAL RECOMMENDED

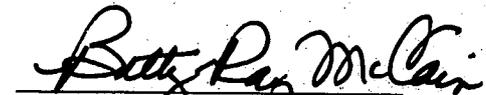

T. Van Lindley, Chief Records Officer
Department of State Treasurer


Dennis Ducker, Director
Retirement Systems Division


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED


Harlan E. Boyles, State Treasurer
Department of State Treasurer


Betty Ray McCain, Secretary
Department of Cultural Resources

July 25, 1996

JH

DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION

Records Retention and Disposition Schedule

The 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

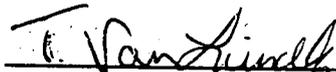
RETIREMENT SYSTEMS DIVISION

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 machine readable records not listed in this schedule are not authorized to be destroyed. The

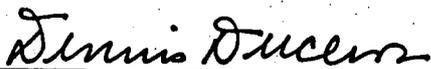
RETIREMENT SYSTEMS DIVISION

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.

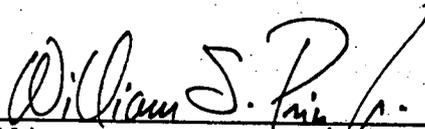
APPROVAL RECOMMENDED



T. Van Lindley, Chief Records Officer
Department of State Treasurer

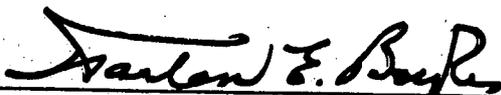


Dennis Ducker, Director
Retirement Systems Division

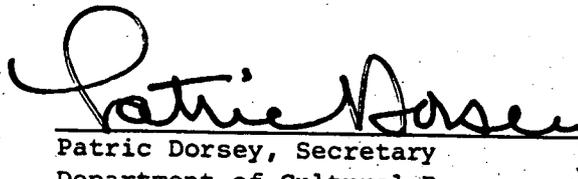


William S. Price, Jr., Director
Division of Archives and History

APPROVED



Harlan E. Boyles, State Treasurer
Department of State Treasurer



Patric Dorsey, Secretary
Department of Cultural Resources

June 14, 1991

**This schedule was modified to
comply with the provisions of the
General Schedule for State Agency Records,
effective October 1, 2000
Remaining items retain the
original date shown below.**

JH

**DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
ACCOUNTING SECTION**

ITEM 3209. PAID RETIREMENT CHECKS AND VOUCHERS FILE.

Checks returned to the retirement system from the State Treasurer's office. Arranged in paid sequence number order within paid-date order. (All retirement benefits are paid through one disbursing account.)

DISPOSITION INSTRUCTIONS: Transfer returned checks to the Investment and Banking Division, Clearing Section, to be microfilmed and returned to the Retirement System Division. Retain use copy of microfilm in Accounting Section and transfer security copy of microfilm to the State Records Center to be stored in the security vault. Transfer original records to the State Records Center 3 months after microfilming. Records will be held for agency in the State Records Center 3 additional years and then destroyed. Destroy all microfilm after 15 years.

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

Payrolls (Forms 111) from each unit participating in the Teachers' and State Employees' Retirement System. Information includes names and social security numbers of members, unit codes, dates and amounts of gross pay, and other data.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 1 year to be microfilmed for storage in the security vault. Paper records will be destroyed in the State Records Center after microfilming. A copy of the microfilm will be sent to the agency. Destroy all microfilm after 50 years.

ITEM 3212. LOCAL GOVERNMENTAL RETIREMENT SYSTEM PAYROLL FILE.

Payrolls (Forms 111) from each unit participating in the Local Governmental Retirement System. Information includes names and social security numbers of members, unit codes, dates and amounts of gross pay, and other data.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 1 year to be microfilmed for storage in the security vault. Paper records will be destroyed in the State Records Center after microfilming. A copy of the microfilm will be sent to the agency. Destroy all microfilm after 50 years.

ITEM 16309. GENERAL LEDGERS FILE.

Ledgers concerning budgetary and proprietary data for each account code operated by division for each year. (Records for 1948-1961 have been microfilmed. A use copy of microfilm has been sent to agency and a security copy of microfilm is stored in the security vault.)

DISPOSITION INSTRUCTIONS: Destroy in office microfilm of 1948-1961 records when administrative value ends. Destroy security copy of 1948-1961 records in security vault immediately. Destroy in office ledgers after 5 years and when released from all audits, whichever occurs later.

ITEM 16310. SUBSIDIARY LEDGERS FILE.

Ledgers listing departmental receipts, disbursements, and other accounting data. (Separated by account code; summaries are posted daily to General Ledgers File.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

ITEM 16312. CERTIFICATES OF DEPOSIT AND VOUCHERS FILE.

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

DISPOSITION INSTRUCTIONS: Destroy in office 4 year(s) after released from all audits.

**DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
ACCOUNTING SECTION**

ITEM 16316. CHECK REGISTERS FILE.

Records concerning all checks written in the Teachers' and State Employees' and Local Governmental Retirement Systems. Information includes each check recipient's name, retirement code and number, check number, amount of check, and other data.

DISPOSITION INSTRUCTIONS: Microfilm in agency to state standards. Retain one copy of microfilm in agency and transfer one copy of microfilm to the State Records Center for storage in the security vault. Destroy in agency paper records after microfilm has been verified and quality control procedures completed. Destroy all microfilm after 10 years.

ITEM 16322. COURT DEPOSITS FILE.

Deposit tickets received concerning monthly remittances to the Local Government Retirement System.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM 16323. LEGISLATIVE AND CONSOLIDATED JUDICIAL SYSTEM PAYROLL FILE.

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.

DISPOSITION INSTRUCTIONS: Microfilm in agency to state standards. Retain one copy of microfilm in agency and transfer one copy of microfilm to the State Records Center for storage in the security vault. Destroy in agency paper records after microfilm has been verified and quality control procedures completed. Destroy all microfilm after 50 years.

ITEM 16328. ZERO PROOF ERROR LISTING FILE.

Computer printouts providing data concerning accounts out of balance at end of year due to retirements or withdrawal of retirement contributions.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 16329. SECTION CORRESPONDENCE FILE.

Correspondence with institutions, departments, school units, local units, and law enforcement organizations concerning members' accounts and related problems. File includes errors on unit payrolls and reconciliations of errors.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 31742. PAID REFUND CHECKS AND VOUCHERS FILE.

Paid refund checks issued by and returned to the Retirement Systems Division.

DISPOSITION INSTRUCTIONS: Transfer to the Clearing Section to be microfilmed to state standards. Return to the Retirement Systems Division after microfilming. Retain one copy of microfilm in agency and transfer one copy of microfilm to the State Records Center for storage in the security vault. Transfer original records to the State Records Center 3 months after microfilming. Records will be held for agency in the State Records Center 3 additional years and then destroyed. Destroy all microfilm after 15 years.

ITEM 31743. REFUND CHECK REGISTERS FILE.

Records concerning all refund checks issued by the Retirement Systems Division.

DISPOSITION INSTRUCTIONS: Microfilm in agency to state standards. Retain one copy of microfilm in agency and transfer one copy of microfilm to the State Records Center for storage in the security vault. Destroy in agency paper records after microfilm has been verified and quality control procedures completed. Destroy all microfilm after 50 years.

**DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
ADMINISTRATION SECTION**

ITEM 3210. ANNUITY CARDS FILE.

Records concerning summaries of contributions made by each member of a special retirement fund. Separated as to category of retirement fund (legislative, judicial, solicitorial, or clerks of superior courts).

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy all microfilm after 100 years.

**DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
BENEFITS SECTION**

ITEM 3208. DISABILITY PAID CHECK FILE.

Paid disability checks issued by the Benefits Section.

DISPOSITION INSTRUCTIONS: Item discontinued. Microfilm records currently stored in the State Records Center immediately for storage in the security vault. Paper records will be destroyed in the State Records Center after microfilming. A copy of the microfilm will be sent to the agency. Destroy all microfilm after 15 years.

ITEM 16305. CLOSED DISABILITY CASES FILE.

Records concerning each person who received but is no longer receiving payments under the Disability Salary Continuation Plan and whose case is closed. File includes correspondence, enrollment and termination data, and worksheets.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 1 year to be microfilmed. Paper records will be destroyed in the State Records Center after microfilming. A copy of the microfilm will be sent to the agency and a copy of the microfilm will be transferred to the security vault. Destroy all microfilm after 50 years.

**DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
DIRECTOR'S OFFICE**

ITEM 16274. RETIREMENT SYSTEMS BOARD OF TRUSTEES MINUTES FILE.

Official minutes of each meeting of the Teachers' and State Employees' Retirement System and Local Governmental Employees' Retirement System. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center immediately to be microfilmed for permanent storage in the security vault. Microfilmed paper records will be returned to agency. Transfer returned paper records to the State Records Center when reference value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage.

ITEM 16275. ACTUARIAL VALUATION FILE.

Records concerning actuarial valuations affecting divisional operations. Information includes or concerns mortality tables, anticipated liquidation periods, other data for each retirement system, and programs administered by the division.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 16277. ACTUARY CORRESPONDENCE FILE.

Correspondence between the Director, Assistant Director, and Actuary, who provide data pertinent to the proper funding of the accounts administered by the division.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16279. DIVISIONAL SUBJECT FILE.

Correspondence, reports, memorandums, and other records concerning various subjects, agencies, organizations, and individuals pertinent to divisional operations.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16280. LITIGATION FILE.

Records concerning divisional litigations and legal actions. Information includes contested cases or declaratory rulings involving a state retirement program.

DISPOSITION INSTRUCTIONS: Destroy in office after all litigation, claim, audit, or other official action involving the records have been resolved.

**DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
MEMBER SERVICES SECTION**

ITEM 16284. LOCAL GOVERNMENTAL CORRESPONDENCE FILE.

Correspondence to and from local governmental units within the state concerning contractual matters, insurance coverage, financial data, and other information pertinent to the state retirement system.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16285. LOCAL GOVERNMENTAL CONTRACTS FILE.

Contracts between local governmental units throughout the state and the department concerning participation in the state retirement system.

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of agreement/contract 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 16286. SECTION'S CORRESPONDENCE FILE.

Correspondence to agency from non-participants concerning possible or past retirement participation benefits.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 16317. RECONCILIATIONS FILE.

Records concerning outstanding checks issued by the State Treasurer and unpaid after a month. Information includes retirement register numbers, names of recipients, check identification numbers, and other accounting data. File also includes both printouts and book listings; separated by category (code numbers).

DISPOSITION INSTRUCTIONS: Microfilm in agency to state standards. Retain one copy of microfilm in agency and transfer one copy of microfilm to the State Records Center for storage in the security vault. Destroy in agency paper records after microfilm has been verified and quality control procedures completed. Destroy all microfilm after 10 years.

**DEPARTMENT OF STATE TREASURER
RETIREMENT SYSTEMS DIVISION
SOCIAL SECURITY SECTION**

ITEM 16330. ADMINISTRATIVE CORRESPONDENCE FILE.

Correspondence with Federal and Regional Social Security Administrations concerning social security policies and procedures.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16331. SOCIAL SECURITY AGREEMENTS AND MODIFICATIONS FILE.

Agreements and modifications to agreements between the Federal Social Security Administration and the North Carolina Public Employees' Social Security Agency.

DISPOSITION INSTRUCTIONS: Follow federal retention and disposition instructions.

ITEM 16335. SOCIAL SECURITY UNIT FILE.

Records concerning contract of each state government unit participating in the North Carolina Public Employees' Social Security Agency. File includes agreements and modifications, resolutions and referendums by employees within unit, unit identification number, and pertinent correspondence and reports.

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of agreement/contract 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.