

DEPARTMENT OF STATE TREASURER
STATE AND LOCAL GOVERNMENT FINANCE DIVISION
DEBT MANAGEMENT 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.

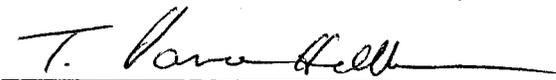
APPROVAL RECOMMENDED



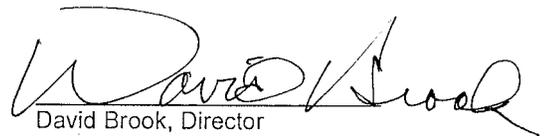
Tim Romocki, Manager
Debt Management Section



Sandra Johnson, Chief Records Officer
Department of State Treasurer



Vance Holloman, Deputy Treasurer
State and Local Government Finance Division

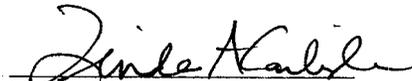


David Brook, Director
Division of Historical Resources

APPROVED



Janet Cowell, State Treasurer
Department of State Treasurer



Linda A. Carlisle, Secretary
Department of Cultural Resources

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ITEM 3215. COUNTY GOVERNMENT INDUSTRIAL REVENUE BOND (IRB) AND SPECIAL PURPOSE BOND PROJECTS FILE.

Records in paper and electronic formats, including e-mail, concerning special purpose and revenue project activities in each North Carolina County. File includes or concerns industrial revenue bonds, and working papers for financial analysis, project information, budgetary data and general information concerning counties.

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. Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed when reference value ends. Transfer Industrial Revenue or Special Purpose Project files to the State Records Center 2 years after transaction is closed. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer records currently held in the records center to the custody of the Archives 5 years from date received. Destroy in office remaining records when reference value ends.

ITEM 3471. COUNTY AND MUNICIPAL GENERAL OBLIGATION BONDS (GO) AUTHORIZATION AND ISSUANCE FILE.

Records in paper and electronic formats concerning local government functions and bond activities in various counties and municipalities throughout the state. File includes or concerns transcripts, general obligation bonds, engineering reports, bond applications, budgetary data, and general information concerning each county and municipality.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed when reference value ends. Transfer paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 16214. DISTRICTS, AUTHORITIES, MUNICIPALITY AND COUNTY REVENUE BONDS FILE.

Records in paper and electronic format, including e-mail, concerning local government functions and bond activities in various districts, authorities, municipalities and counties throughout the state. File includes or concerns revenue bonds, engineering reports, bond applications, bond transcripts, budgetary data, and general information concerning each district, authority, municipality or county.

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. Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed when reference value ends. Transfer paper records to the State Records Center after 5 years. 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 16345. MUNICIPAL POWER AGENCY FILE.

Records in paper and electronic format, including e-mail, concerning the State and Local Government Finance Division's oversight of municipal power agencies. File includes correspondence, copies of minutes and reports of various committee meetings, agreements, and other related records.

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. Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed when reference value ends. Transfer paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 16346. NORTH CAROLINA STATE GOVERNMENT BONDS FILE.

Records in paper and electronic format concerning state government bond activities. Working file includes historical data, revenue bonds, general obligation bonds, working papers, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed when reference value ends. Transfer working file and bond records to the State Records Center when bonds have matured. Records will be held for agency in the State Records Center 7 additional years and then transferred to the custody of the Archives. Destroy in office remaining records when reference value ends. Transfer records currently held in the State Records to the custody of the Archives 7 years from date of record.

ITEM 16347. STATE AGENCY BONDS (INCLUDING NC MEDICAL CARE COMMISSION (NCMCC) (REFERENCE) FILE.

Reference copies of records in paper and electronic format, including e-mail, concerning bond activities and various programs, including the NC Housing Finance Agency, NCMCC, and other agencies, conducted by state agencies that relate to community affairs throughout the state. File includes correspondence, memoranda, budgetary data, and reports.

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 in office remaining paper and electronic records 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 16352. BOND INFORMATION (REFERENCE) FILE.

Statistical and historical data concerning all bond authorizations and sales. Information concerns approval of and financing of bond sales, reports, circulars, credit ratings, buyer indices, bond holder listings, and other related material.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends and 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 16355. RATING AGENCIES' SERVICE (REFERENCE) FILE.

Records concerning rating agencies' bond ratings for local governments throughout the state. File includes published monthly ratings by rating agencies.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

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ITEM 16360. STATE AND LOCAL DEBT RECORDS FILE.

Records (green and yellow sheets) concerning debt payments by state and local units. File includes or concerns correspondence, remittances, and computer printouts of individual bond ledgers.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 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 16361. LOCAL GOVERNMENT COMMISSION MINUTES FILE.

Official minutes of meetings of the Local Government Commission. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed after 5 years. Arrange for delivery of original minutes to the State Records Center after 1 year to be microfilmed. Agency will maintain duplicate copy of official signed minutes. (Agency personnel should contact the Imaging Unit, Collection Management Branch, to arrange for transfer of original minutes for microfilming.) Paper records will be returned to agency after microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault. Destroy duplicate copies in agency after the original records have been microfilmed and returned to agency. Destroy in office original minutes when reference value ends.

ITEM 16362. DOCKET BOOK OF APPLICATIONS FOR VARIOUS AUTHORIZATIONS (REFERENCE) FILE.

Records concerning bond applications by local governmental units. File includes data relating to units, amounts, dates filed, elections held, results, and other information.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 16363. INDUSTRIAL BONDS RECORD BOOK (REFERENCE) FILE.

Records concerning closed industrial bonds. Information includes name of county, project, amount, date of sale, purchaser, and other data.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 16364. RESULTS OF BONDS ISSUED BOOK FILE.

Records concerning bond sales. Information includes name of unit, amount of bond, and other data.

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

ITEM 16372. BOND AND NOTE SALES WORKING PAPERS (REFERENCE) FILE.

Preliminary drafts generated by various government organizations concerning State and Local Government Finance Division's bond and note sales. File includes feasibility studies, copies of trust agreements, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

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ITEM 31312. NORTH CAROLINA CAPITAL FACILITIES FINANCE AGENCY (NCCFFA) BOND FILE.

Records concerning issuance of bonds under Chapter 159D of NC General Statutes for the North Carolina Capital Facilities Finance Agency. Bonds were formally issued under Chapter 115E for the North Carolina Educational Facilities Finance Agency. File includes project information, working papers, bond transcripts, and other related records.

DISPOSITION INSTRUCTIONS: Transfer bond transcript to the State Records Center after bonds are paid and after expiration of statute of limitations for audit. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy remaining records in office when reference value ends. Transfer records currently held in the State Records to the custody of the Archives 5 years from date received.

ITEM 31313. WATER AND SEWER REVOLVING LOANS FILE.

Project information, applications, promissory notes, and maturity schedules concerning revolving loans issued by the state to local governments.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed when reference value ends. Transfer paper records to the State Records Center after file is closed. Records will be held in the State Records Center 20 additional years and then destroyed.

ITEM 31949. N.C. CAPITAL FACILITY FINANCE AGENCY MINUTES FILE.

Official minutes of the N.C. Higher Educational Facilities Finance Agency. (Comply with applicable provisions of G.S. 132-1.2, 132-1.2 (2), and 132-1.10 regarding confidentiality of confidential communications by legal counsel or discloses trade secrets, social security numbers, and/or account numbers.

(This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed after 5 years. Arrange for delivery of original minutes to the State Records Center after 1 year to be microfilmed. Agency will maintain duplicate copy of official signed minutes. (Agency personnel should contact the Imaging Unit, Collection Management Branch, to arrange for transfer of original minutes for microfilming.) Paper records will be returned to agency after microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault. Destroy duplicate copies in agency after the original records have been microfilmed and returned to agency. Destroy in office original minutes when reference value ends.

ITEM 31950. N.C. SOLID WASTE MANAGEMENT CAPITAL PROJECTS FINANCING AGENCY MINUTES FILE.

Official minutes of the N.C. Solid Waste Management Capital Projects Financing Agency. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed after 5 years. Arrange for delivery of original minutes to the State Records Center after 1 year to be microfilmed. Agency will maintain duplicate copy of official signed minutes. (Agency personnel should contact the Imaging Unit, Collection Management Branch, to arrange for transfer of original minutes for microfilming.) Paper records will be returned to agency after microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault. Destroy duplicate copies in agency after the original records have been microfilmed and returned to agency. Destroy in office original minutes when reference value ends.

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ITEM 31951. UNIT OFFICIAL STATEMENTS FILE.

Official statements for each bond issue approved and sold by the Local Government Commission.

DISPOSITION INSTRUCTIONS: Transfer 1 copy 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.

ITEM 46167. INSTALLMENT PURCHASE CONTRACTS FILE.

Records concerning contracts for installment purchase of assets. File includes applications, bond documents, working papers and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed when reference value ends. Transfer paper records to the State Records Center after file is closed. Records will be held in State Records Center 25 additional years and then destroyed.