

## NORTH CAROLINA EDUCATION LOTTERY COMMISSION

### 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

#### **North Carolina Education Lottery Commission**

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 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.

The North Carolina Education Lottery Commission and the Department of 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 North Carolina Education Lottery Commission 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 Cultural Resources to destroy these records. For those record series scheduled to be microfilmed, the North Carolina Education Lottery Commission will be responsible for cost of microfilm production.

The North Carolina Education Lottery Commission and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The North Carolina Education Lottery Commission agrees to comply with all policies, standards, and best practices published by the Department of Cultural Resources regarding the creation and management of electronic records.

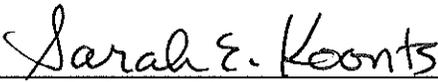
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated with specific retention periods in this 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 North Carolina Education Lottery Commission 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.

**APPROVAL RECOMMENDED**

  
\_\_\_\_\_  
Latasha Beckwith  
Chief Records Officer

  
\_\_\_\_\_  
Alice Garland, Executive Director  
North Carolina Education Lottery Commission

  
\_\_\_\_\_  
Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**

  
\_\_\_\_\_  
W. Keith Ballentine, Chair  
North Carolina Education Lottery Commission

  
\_\_\_\_\_  
Susan W. Klutz, Secretary  
Department of Cultural Resources

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
INTERNAL AUDIT**

**ITEM 48557. INTERNAL AUDIT FILE**

Records in paper and electronic formats concerning independent appraisals of agency operations for senior management and commissioners. File includes audit reports, workpapers, spreadsheets, memoranda, data extracts, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 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.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE**

**ITEM 47590. EXECUTIVE DIRECTOR'S CORRESPONDENCE FILE**

Correspondence in paper and electronic formats written and received by the executive director. File includes correspondence (including e-mail) with the general public, federal and state legislators, out-of-state lottery sources, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records held in the State Records Center immediately to the custody of the Archives. Transfer electronic records to the State Records Center every 5 years for immediate transfer to the custody of the Archives.

**ITEM 47591. LOTTERY FILE**

Records in paper and electronic formats concerning the administration of the lottery, divisions, and authorities associated with the operation of the lottery. File includes correspondence, memorandums, directives, reports, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 2 additional years and then transferred to the custody of the Archives. Transfer electronic records after 3 years to the State Records Center for immediate transfer to the custody of the Archives.

**ITEM 47592. LOTTERY COMMISSION FILE**

Records in paper and electronic formats concerning the North Carolina Education Lottery Commission. File includes correspondence, information regarding members of the commission and its subcommittees, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 2 additional years and then transferred to the custody of the Archives. Transfer electronic records after 3 years to the State Records Center for immediate transfer to the custody of the Archives.

**ITEM 47593. MINUTES OF MEETINGS OF THE NORTH CAROLINA EDUCATION LOTTERY COMMISSION FILE**

Minutes of meetings of the North Carolina Education Lottery Commission. File also includes agendas of meetings and related correspondence. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer a duplicate copy of the official signed governing board minutes to the State Records Center after 2 years for security storage. Retain signed original governing board minutes in office permanently.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
BRANDING MANAGEMENT AND COMMUNICATIONS**

**NONE**

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
FINANCE, ADMINISTRATION, AND SECURITY  
PRIZE VALIDATION**

**ITEM 47800. CLAIMS FILE**

Records concerning the payment of prizes to players. File includes claim forms, copies of players' identification, pay receipts, original tickets, claim tickets, Internal Revenue Service (IRS) Form 5754, social security numbers, and related correspondence. File also includes low-tier paid claims. Data is entered into Claims Database (Electronic) File (Item 47806) and routinely updated. (Comply with applicable provisions of 5 USC Section 552a and G.S. 93B-14 regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Security Section, Finance, Administration, and Security.

**ITEM 47801. CORRESPONDENCE FILE**

Correspondence, including e-mail, submitted by players regarding payment of prize money.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after financial audit has been completed 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 47802. NON-WINNING TICKETS FILE**

Tickets sent to the North Carolina Education Lottery by players for validation in which the subsequent validation by lottery staff shows no prize payment is due. File also includes correspondence to players. Data is entered into Prize Validation Database (Electronic) File (Item 47805) and routinely updated.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year and when financial audit has been completed 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 47803. PRIZE VALIDATION REPORTS FILE**

Reports generated by and printed from the Prize Validation Database (Electronic) File (Item 47805) concerning prize claims and payments to and from players. Data is entered into Claims Database (Electronic) File (Item 47806).

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year and when financial audit has been completed 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 47804. WINNING TICKETS (\$599.99 OR LESS) FILE**

Tickets received from players that have been validated and proceeds paid. File also includes correspondence sent to players, players' names and addresses, social security numbers, types of tickets, dates paid, federal and state taxes withheld, and other related records. Data is entered into Prize Validation Database (Electronic) File (Item 47805) and routinely updated. (Comply with applicable provisions of USC Section 552a and G.S. 93B-14 regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after final payment for tickets with prize values up to \$599.99 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.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
FINANCE, ADMINISTRATION, AND SECURITY  
PRIZE VALIDATION**

**ITEM 47805. PRIZE VALIDATION (ELECTRONIC) FILE**

Electronic records concerning winning and non-winning tickets sent to the North Carolina Education Lottery for validation. File includes data fields consisting of players' names, addresses, social security numbers, dates paid, federal and state taxes withheld, types of tickets, and other related data. Data are entered from the Non-Winning Tickets File (Item 47802), Winning Tickets (\$599.99 or Less) File (Item 47804), and Winning Tickets (\$100 or Less) File (Item 48956). (Comply with applicable provisions of 5 USC Section 552a, G.S. 93B-14 regarding the confidentiality of records maintained on individuals, and G.S. 18C-132(k) regarding confidentiality of certain prize winners' identifying information.) (File maintenance and backup procedures conducted by Gaming Vendor.)

DISPOSITION INSTRUCTIONS: Purge data fields in office 5 years after final payment for tickets with prize values equal to or greater than \$600.00 when financial audit has been completed 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. Destroy in office tickets with values less than \$599.99 1 year after payment and when financial audit has been completed 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 47806. CLAIMS (ELECTRONIC) FILE**

Electronic records concerning winning and non-winning tickets sent to the North Carolina Education Lottery for validation. File includes data fields consisting of claimants' names, addresses, dates of birth, social security numbers, identification numbers, details on prize winners' payments, and other related data. Data are entered from Claims File (Item 47800) and Prize Validation Reports File (Item 47803). (Comply with applicable provisions of 5 USC Section 552a, G.S. 93B-14 regarding the confidentiality of records maintained on individuals and G.S. 18C-132(k) regarding confidentiality of certain prize winners' identifying information.) (File maintenance and backup procedures conducted by Gaming Vendor.)

DISPOSITION INSTRUCTIONS: Purge data fields in office 5 years after final disposition of claim 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.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
FINANCE, ADMINISTRATION, AND SECURITY  
RETAIL CONTRACTS**

**ITEM 47875. RETAILER CONTRACT FILE**

Retailers' contract agreements between the North Carolina Education Lottery and the retailers to sell lottery tickets. File also includes banks' confirmations of accounts established for lottery sales, background investigations, social security numbers, correspondence, including e-mail, approved applications, and other related records. Data is entered into the Retailer Contracts Database (Electronic) File (Item 47879). (Comply with applicable provisions of 5 USC Section 552a and G.S. 93B-14 regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after expiration of 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 47876. MISPRINTED TICKETS FILE**

Tickets returned to the lottery office by retailers due to retailers' occasional problems with online printing (such as tickets not printing in their entirety), as well as pre-printed instant tickets pulled from use because of manufacturers' defects in printing.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 47877. RETAILER REQUEST FOR ADJUSTMENT FILE**

Requests from retailers for adjustments to their accounts when the printing process for online tickets malfunctions or when retailers return unusable tickets due to manufacturers' defects in pre-printed instant tickets. File includes "Request for Adjustment" forms, defaced tickets, and related correspondence.

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 47878. RETAILER APPLICATION FILE**

Records concerning retailers' applications with the North Carolina Education Lottery. File includes application forms, background investigations, financial information, correspondence, including e-mail, and other related records. Data is entered into the Retailer Contracts Database (Electronic) File (Item 47879) (Comply with applicable provisions of 5 USC Section 552a and G.S. 93B-14 regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after expiration of application/cancellation 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 47879. RETAILER CONTRACTS (ELECTRONIC) FILE**

Electronic records concerning contracts entered into between retailers and the North Carolina Education Lottery. File includes correspondence, financial information, retailers' background, requests to sell lottery tickets, and other related data. Data are entered from Retailer Contract File (Item 47875) and Retailer Application File (Item 47878). (Comply with applicable provisions of 5 USC Section 552a and G.S. 93B-14 regarding the confidentiality of records maintained on individuals.) (File maintenance and backup procedures conducted by Gaming Vendor.)

DISPOSITION INSTRUCTIONS: Purge data fields and electronic records in office 5 years after expiration of 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.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
FINANCE, ADMINISTRATION, AND SECURITY  
RETAIL CONTRACTS**

**ITEM 48515. COMMUNICATION FROM PLAYERS FILE**

Records in paper and electronic formats, including e-mail related to this topic, concerning correspondence received from lottery players and responses to players. File includes complaints against retailers; supplying information on the odds of winning; how to play the lottery; suggestions for game ideas; and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**ITEM 48516. PLAYER HOTLINE CALLS (ELECTRONIC) FILE**

Electronic logs of telephone calls received from players on the lottery's hotline. File includes data fields consisting of reasons for calls and information provided to callers.

DISPOSITION INSTRUCTIONS: Purge data fields in office 5 years after date of entry.

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NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
FINANCE, ADMINISTRATION, AND SECURITY  
SECURITY**

**ITEM 47933. EQUIPMENT MAINTENANCE FILE**

Records concerning techniques to detect and correct malfunctions in lottery equipment. File includes maintenance logs.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 47934. GAME SECURITY FILE**

Records in paper and electronic formats concerning security of lottery game drawings. File includes instant ticket documentation, online game documentation, checklists, drawing schedules, drawing procedures, and other related records.

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 47800. CLAIMS FILE**

Records concerning the payment of prizes to players. File includes claim forms, copies of players' identification, pay receipts, original tickets, claim tickets, Internal Revenue Service (IRS) Form 5754, social security numbers, and related correspondence. File also includes low-tier paid claims. Data is entered into Claims Database (Electronic) File (Item 47806) and routinely updated. (Comply with applicable provisions of G.S. 132-1.10 regarding confidentiality of social security numbers and driver's license numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office 10 years after final disposition of claim if no litigation, claim, audit, or other official action involving the records have been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 50552. INVESTIGATOR FILE**

Records concerning identification of players. File includes submitted tickets, winner claim forms, prize validation referral forms, correspondence, Trans-Master Information Reports, investigator notes, police reports, court documents, video evidence, and other related records. (Comply with applicable provisions of G.S. 132-1.10 regarding confidentiality of social security numbers and driver's license numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years if no litigation, claim, audit, or other official action involving the records have been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
GOVERNMENT AFFAIRS**

**ITEM 47594. SPEECHES FILE**

Records in paper and electronic formats of speeches given by the executive director and staff.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 47596. LOTTERY PROGRAM FILE**

Records in paper and electronic formats concerning the administration of the North Carolina Education Lottery. File includes correspondence, notebooks, reports, studies, and other related records. (Comply with applicable provisions of G.S. 132-1.2 regarding the confidentiality of business or technical information that gains value from not being readily known and G.S. 105-259 regarding the confidentiality of tax information.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to North Carolina Education Lottery/Executive, Lotter File (Item 47591).

**ITEM 47597. OFFICE NOTES FILE**

Notes in paper and electronic formats created or received by the Deputy Executive Director and office staff. (Comply with applicable provisions of G.S. 132-1.2 regarding the confidentiality of business or technical information that gains value from not being readily known, G.S. 105-259 regarding confidentiality of tax information, and G.S. 132-6 regarding confidentiality of records containing information on industry projects.)

DISPOSITION INSTRUCTIONS: Item discontinued.

**ITEM 47599. LEGISLATIVE CORRESPONDENCE FILE**

Correspondence in paper and electronic formats between the General Assembly and the Commission concerning proposed legislation. File includes reference copies of drafts of bills and ratified acts, notes, summaries, legislative reports, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 47602. HISTORY FILE**

Records in paper and electronic formats concerning items with historical value that document the history of the North Carolina Education Lottery. File includes newspaper clippings, published articles, sample lottery tickets, representative sample of lottery advertisements, photographs, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 2 additional years and then transferred to the custody of the Archives. Transfer electronic records after 3 years to the State Records Center for immediate transfer to the custody of the Archives.

**ITEM 47699. GENERAL CORRESPONDENCE FILE**

Records in paper and electronic formats of non-routine correspondence to and from the public.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 2 additional years and then transferred to the custody of the Archives. Transfer electronic records after 3 years to the State Records Center for immediate transfer to the custody of the Archives.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
HUMAN RESOURCES**

**ITEM 50551. PERSONNEL FILE**

Records concerning employees. File includes applications, resumes, job descriptions, personnel action forms, information concerning termination of service, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 30 years after employee terminates service.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
LEGAL**

**ITEM 47926. APPROVED POLICIES AND PROCEDURES FILE**

Records in paper and electronic formats concerning guidelines to accomplish the North Carolina Education Lottery's goals. File includes commission's policies and procedures.

DISPOSITION INSTRUCTIONS: Retain in office approved policies and procedures permanently. Destroy in office drafts and supporting documentation after 7 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 47927. COPYRIGHTS FILE**

Records in paper and electronic formats concerning the North Carolina Education Lottery's registered items. File includes registered items, registration applications, correspondence, copy samples, search results, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 47928. CORRESPONDENCE FILE**

Records in paper and electronic formats concerning a variety of correspondence sent to and/or received from the North Carolina Education Lottery.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after completion of action and resolution of issues involved.

**ITEM 47929. LITIGATION FILE**

Records in paper and electronic formats concerning legal processes used to resolve disputes and recover damages. File includes pre-trial preparation records, correspondence, pleadings, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 7 years after completion of action and resolution of issues involved.

**ITEM 47930. PATENTS FILE**

Records concerning the North Carolina Education Lottery's registered items. File includes registration applications, search results, diagrams, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 47931. TRADEMARK REGISTRATIONS FILE**

Records in paper and electronic formats concerning the North Carolina Education Lottery's trademark rights in its logos, words, and symbols. File includes trademark applications, trademark search results, artwork, and correspondence.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 49716. NORTH CAROLINA EDUCATION LOTTERY BIDS FILE**

Records concerning the purchase of various services, equipment, and supplies. File includes unsuccessful and expired contract bids.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer after completion of action and resolution of issues involved. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
SALES**

**ITEM 48164. RETAILER FILE**

Records concerning North Carolina Education Lottery retailers. File includes Return Ticket receipts, sign off sheets, Ticket Delivery receipts, training certificates, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 8 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 48165. EMPLOYEE INCENTIVE PROGRAM FILE**

Records concerning North Carolina Education Lottery sales incentive program. File includes individual employee incentive scales, individual sales results, incentive payments per quarter, and other related records.

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.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
MIS/GAMING SYSTEMS  
INTERNAL CONTROL SYSTEM**

**ITEM 48045. ROOM ENTRY LOG FILE**

Log listing all individuals who have entered the Internal Control System (ICS) room.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

**ITEM 48047. INTERNAL CONTROL SYSTEM (ICS) REPORTS FILE**

Records in paper and electronic formats of sales and financial reports. File includes winners' information, sales data, retailers' information for Carolina Cash 5, Powerball, and Pick 3 online games.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 48048. DATA SERVICE VERIFICATION SLIP FILE**

Records concerning services performed on Internal Control System (ICS) equipment. File includes service verification slips.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

**ITEM 48049. CHECKLISTS FILE**

Records concerning the procedures for entering all online games and draw information for each business day for all Pick 3, Carolina Cash 5, and Powerball draws on the Internal Control System (CIS) system. File includes checklists of the entering procedures.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 48050. PRIMARY BACKUP FILE**

Electronic records of backup transaction data stored at SC Data.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

**ITEM 48051. CHECK-OFF SHEET FILE**

Check-off sheets from Finance Department that shows the amount of prize payouts and updates. File includes checklist that details modifications that are needed to the records.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**ITEM 48052. PRIZE PAYOUT AND UPDATES FILE**

Records in paper and electronic formats concerning the amount of prize payouts and updates.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 48053. TURNOVER LOG (ELECTRONIC) FILE**

Electronic logs that show all procedures and issues encountered during the Internal Control System (ICS) turnover process. (File maintenance and backup procedures conducted by Gaming Vendor.)

DISPOSITION INSTRUCTIONS: Purge data fields in office after 2 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.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
MIS/GAMING SYSTEMS  
MANAGEMENT INFORMATION SYSTEMS**

**ITEM 48054. ENTRY LOG FILE**

Records concerning log of all people who enter into the Data Center.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

**ITEM 48055. ADMINISTRATIVE BACKUP TAPES FILE**

Backup server data on tapes stored at SC Data.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

**ITEM 48056. VOICE RECORDINGS FILE**

Voice recordings of Auto-Call-Distribution (ACD) groups.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION  
NORTH CAROLINA EDUCATION LOTTERY/EXECUTIVE  
MIS/GAMING SYSTEMS  
QUALITY ASSURANCE**

**ITEM 48041. SOFTWARE ISSUES FILE**

Records in paper and electronic formats concerning software used by the North Carolina Education Lottery. File includes Request for Software Services (RFSS) database information, electronic software issues information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after expiration of contract if no litigation, audit, claim, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion and resolution of issues involved.

**ITEM 48044. RELEASE ACCEPTANCE TEST FILE**

Records in paper and electronic formats concerning tests performed to ensure quality of gaming systems. File includes software requirement specifications, issues log spreadsheet, test plan, test cases and scripts, status reports, test calendars, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 3 years. Paper records will be held for agency in the State Records Center an additional 5 years and then destroyed. Destroy in office electronic records after 7 years.