

NORTH CAROLINA EDUCATION LOTTERY COMMISSION
NORTH CAROLINA EDUCATION LOTTERY
FINANCE AND ADMINISTRATION

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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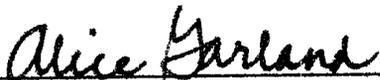
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention 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. **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

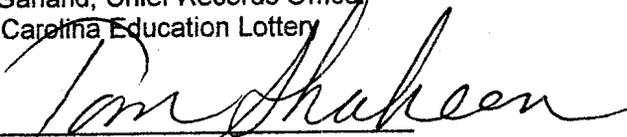
FINANCE AND ADMINISTRATION

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 This schedule is to remain in effect until superseded.

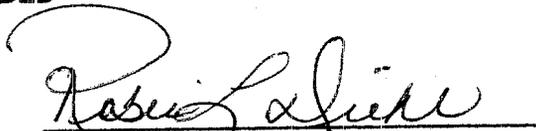
APPROVAL RECOMMENDED



Alice Garland, Chief Records Officer
North Carolina Education Lottery



Tom Shaheen, Executive Director
North Carolina Education Lottery

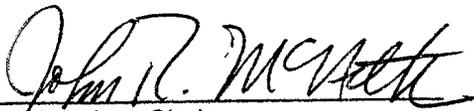


Robin Diehl, Deputy Executive Director
Finance and Administration

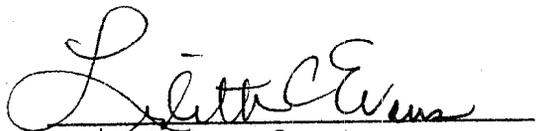


David Brook, Director
Division of Historical Resources

APPROVED



John McArthur, Chairman
North Carolina Education Lottery



Lisbeth C. Evans, Secretary
Department of Cultural Resources

NORTH CAROLINA EDUCATION LOTTERY COMMISSION
NORTH CAROLINA EDUCATION LOTTERY
FINANCE AND ADMINISTRATION
RETAIL CONTRACTS AND SERVICES

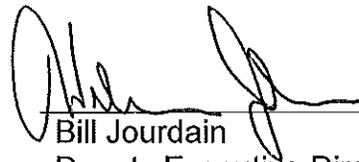
Program Records Retention and Disposition Schedule

Amend the program records retention and disposition schedule approved May 8, 2009, by changing the disposition instructions for item(s) 48515 and 48516 as shown on substitute pages dated February 21, 2014. No other items on this schedule have been amended, added, or removed.

APPROVAL RECOMMENDED



Alice Garland, Executive Director
North Carolina Education Lottery



Bill Jourdain
Deputy Executive Director
Finance/Administration/Security



Quan Kirk
Chief Records Officer

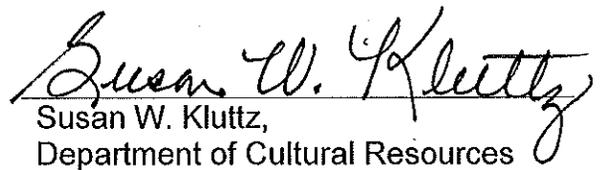


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



W. Keith Ballentine, Chair
North Carolina Education Lottery
Commission



Susan W. Kluttz,
Department of Cultural Resources

**NORTH CAROLINA EDUCATION LOTTERY COMMISSION
NORTH CAROLINA EDUCATION LOTTERY
FINANCE AND ADMINISTRATION
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: Destroy 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.

ITEM 47801. CORRESPONDENCE FILE

Correspondence in paper and electronic formats submitted by players regarding payment of prize money.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when administrative value ends.

ITEM 47802. NON-WINNING TICKETS FILE

Tickets sent to North Carolina Education Lottery by players to the lottery office 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 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 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(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 47804. WINNING TICKETS 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 3 years after final payment for tickets with prize values up to \$599.99 and destroy in office 5 years after final payment for tickets with prize values equal to or greater than \$600.00 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
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FINANCE AND ADMINISTRATION
PRIZE VALIDATION**

ITEM 47805. PRIZE VALIDATION DATABASE (ELECTRONIC) FILE

Electronic records concerning winning and non-winning tickets sent to the North Carolina Education Lottery for validation. Electronic file includes players' names, addresses, social security numbers, dates paid, federal and state taxes withheld, types of tickets, and other related data. Data is entered into this database from Non-Winning Tickets File (Item 47802) and Winning Tickets File (Item 47804). (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: Update in office routinely. Destroy in office after 3 years.

ITEM 47806. CLAIMS DATABASE (ELECTRONIC) FILE

Electronic records concerning payments of prizes to prize winners. Electronic file includes claimants' names, addresses, dates of birth, social security numbers, identification numbers, details on prize winners' payments, and other related data. Data is entered into this database 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: Update in office routinely. Destroy 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
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FINANCE AND ADMINISTRATION
RETAIL CONTRACTS AND SERVICES**

ITEM 47875. RETAILER APPLICATIONS AND CONTRACTS

Retailer applications and contracts between retailers and the North Carolina Education Lottery to sell lottery tickets. File also includes confirmations or rejections of applications, banks' confirmations of accounts established for lottery sales, background investigations, social security numbers, 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 contracts 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 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 47878. CANCELLED AND TERMINATED APPLICATIONS FILE

Records concerning retailers' applications that have been cancelled or terminated. File includes application forms, background investigations, financial information, and other related records. (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 after 5 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 47879. RETAILER CONTRACTS DATABASE (ELECTRONIC) FILE

Electronic records concerning contracts entered into between retailers and the North Carolina Education Lottery. Electronic file includes correspondence, financial information, retailers' background, requests to sell lottery tickets, and other related data. Data is entered into this database from Retailer Applications and Contracts File (Item 47875). (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: Update in office routinely. 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.

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RETAIL CONTRACTS AND SERVICES**

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. Amended 2-21-2014.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years.

ITEM 48516. PLAYER HOTLINE CALLS DATABASE (ELECTRONIC) FILE

Electronic logs of telephone calls received from players on the lottery's hotline. Electronic file includes reasons for calls and information provided to callers. Amended 2-21-2014.

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 5 years.