OFFICE OF THE STATE CONTROLLER
OFFICE OF THE CHIEF DEPUTY STATE CONTROLLER
ADMINISTRATION
BUSINESS SERVICES DIVISION

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 Office of the State Controller 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 Office of the State Controller 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**

OFFICE OF THE STATE CONTROLLER

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

Claire Ennis, Chief Records Officer

Thomas Cheek, Manager
Business Services Division

David Brook, Director
Division of Historical Resources

APPROVED

David F. McCoy, State Controller
Office of the State Controller

Linda A. Carlisle, Secretary
Department of Cultural Resources

May 3, 2010

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OFFICE OF THE STATE CONTROLLER
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ITEM 39729. INACTIVE PERSONNEL FILE.
Records concerning former employees of the Office of the State Controller (OSC). File includes applications, resumes, personnel action forms, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency 25 additional years and then destroyed.

ITEM 43060. COMPREHENSIVE ANNUAL FINANCIAL REPORT (CAFR) WORKPAPERS FILE.
Working papers in paper and electronic formats created and used in the preparation of the Comprehensive Annual Financial Report (CAFR) financial statements.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 43063. INSURANCE FILE.
Records in paper and electronic formats concerning insurance file for departmental coverage of All-Risk, liability, and honesty bonds.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 43066. CATALOGS FILE.
Catalogs and descriptive literature concerning items purchased for department.

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 Superseded by the General Schedule for State Agency Records.

ITEM 43067. CORRESPONDENCE/MEMORANDUMS FILE.
Administrative and management correspondence/memorandumsin paper and electronic formats, including e-mail, sent and/or received by the office.

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 records after 3 years.

ITEM 43074. AUTOMATIC DEPOSIT BANK PRENOTIFICATION FILE.
Listings in paper and electronic formats of all direct deposits entered for each month.

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 43075. CURRENT PAY WARNINGS AND CONTROL REPORTS FILE.
Exception reports in paper and electronic formats of items needing to be verified and corrected before closing.

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.

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ITEM 44603. ELECTRONIC TRANSFER BATCH WORKSHEETS FILE.
Records concerning electronic transfer activity. File includes journal entry record of amounts electronically transferred to the Office of the State Controller (OSC), Business Services.

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 44633. STATE CONTROLLER CORRESPONDENCE FILE.
Correspondence in paper and electronic formats, including e-mail, sent and/or received by the State Controller. File also includes correspondence received from the executive branch, federal and state agencies, and North Carolina legislators. (Comply with applicable provisions of G.S. 132-1.2 and G.S. 132-1.2 (2) regarding confidentiality of confidential communications by legal counsel or disclosure of trade secrets, social security numbers, and/or account numbers.)

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center after 7 years, but no later than the end of the State Controller's term. Paper records will be held for agency in the State Records Center for 3 additional years and then transferred to the custody of the Archives. Electronic records, including e-mail, will be transferred immediately to the custody of the Archives. Contact the Government Records Branch, Electronic Records Unit, prior to the transfer of electronic records.

ITEM 44634. DEPUTY CONTROLLER CORRESPONDENCE FILE.
Correspondence in paper and electronic formats, including e-mail, sent and/or received by the Deputy State Controller. (Comply with applicable provisions of G.S. 132-1.2 and G.S. 132-1.2 (2) regarding confidentiality of confidential communications by legal counsel or disclosure of trade secrets, social security numbers, and/or account numbers.)

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center after 7 years, but no later than the end of the State Controller's term. Paper records will be held for agency in the State Records Center for 3 additional years and then transferred to the custody of the Archives. Electronic records, including e-mail, will be transferred immediately to the custody of the Archives. Contact the Government Records Branch, Electronic Records Unit, prior to the transfer of electronic records.