

DEPARTMENT OF THE SECRETARY OF STATE  
REGISTRATION AND INVESTIGATION SERVICES  
CHARITABLE SOLICITATION LICENSING SECTION

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

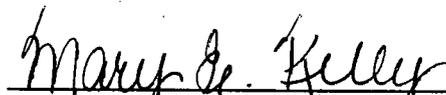
CHARITABLE SOLICITATION LICENSING SECTION

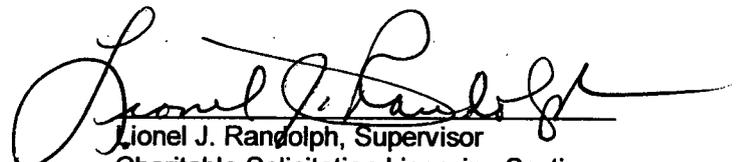
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention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

CHARITABLE SOLICITATION LICENSING SECTION

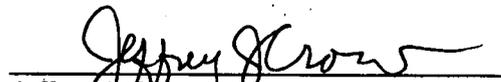
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

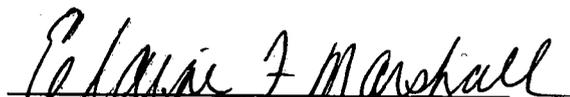
  
Mary E. Kelly, Chief Records Officer  
Department of the Secretary of State

  
Lionel J. Randolph, Supervisor  
Charitable Solicitation Licensing Section

  
Scott Templeton, Deputy  
Registration and Investigation Services

  
Jeffrey J. Crow, Director  
Division of Archives and History

APPROVED

  
Elaine F. Marshall, Secretary  
Department of the Secretary of State

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

September 15, 1999

KLS

DEPARTMENT OF THE SECRETARY OF STATE  
REGISTRATION AND INVESTIGATION SERVICES  
CHARITABLE SOLICITATION LICENSING SECTION

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

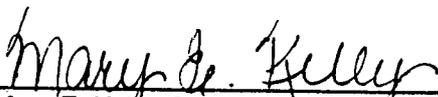
CHARITABLE SOLICITATION LICENSING SECTION

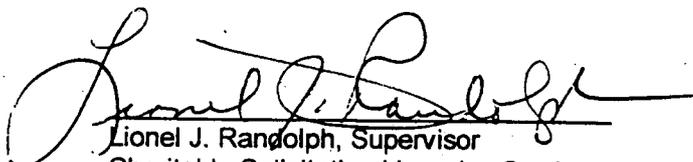
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention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

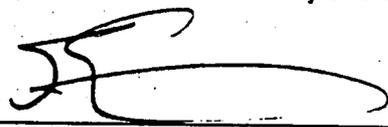
CHARITABLE SOLICITATION LICENSING SECTION

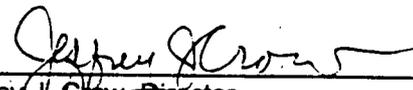
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

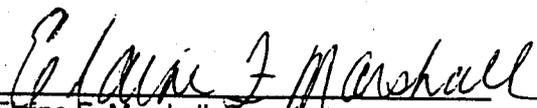
  
Mary E. Kelly, Chief Records Officer  
Department of the Secretary of State

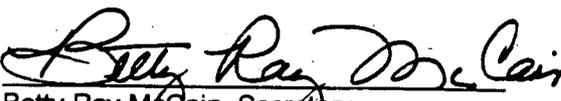
  
Lionel J. Randolph, Supervisor  
Charitable Solicitation Licensing Section

  
Scott Templeton, Deputy  
Registration and Investigation Services

  
Jeffrey J. Crow, Director  
Division of Archives and History

APPROVED

  
Elaine F. Marshall, Secretary  
Department of the Secretary of State

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

September 15, 1999

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.

KLS

**DEPARTMENT OF THE SECRETARY OF STATE  
REGISTRATION AND INVESTIGATION SERVICES  
CHARITABLE SOLICITATION LICENSING SECTION**

**ITEM 1745. LICENSED ORGANIZATION FILE.**

Records concerning each licensed organization, including federated fund raising organizations currently licensed to solicit funds within the state. File includes correspondence between the branch and organizations, list of organizations licensed each month, copies of license for renewal applications, listing of board of trustees, officers, executive committees, and fund raising chairmen of licensed organizations, financial reports of each organization, preliminary review sheets for application for license to solicit, financial summary (Form DFS-6055) for compliance with the statutes, notices to organization of expiration of license to solicit, and news releases announcing licenses issued for the month. File also includes reference copies of articles of incorporation or constitution, bylaws, tax exempt status records from federal and state government, advertising or promotional materials, annual reports and other related records. Information entered into Charitable Organizations Database (Electronic) File (Item 40194).

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years. Records will be held for agency in the State Records Center 3 additional years and then destroyed. Destroy records currently stored in the State Records Center 3 years from date received.

**ITEM 7705. OTHER STATE'S SOLICITATION LAWS FILE.**

Correspondence with other states concerning those states' solicitation laws. File also includes copies of other states' laws and applications for solicitor's license.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**ITEM 7707. INACTIVE SOLICITATION LICENSE FILE.**

Records concerning each organization that held a license to solicit funds in the state but allowed it to expire. File includes applications, articles of incorporation, articles of organization, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 2 years after expiration of license. Records will be held for agency in the State Records Center 3 additional years and then destroyed. Destroy records currently stored in the State Records Center 3 years from date received.

**ITEM 7708. PROFESSIONAL FUND RAISING COUNSELS AND PROFESSIONAL SOLICITORS FILE.**

Records concerning each licensed professional fund raising counsel and each licensed professional solicitor. File includes correspondence, reference copy of checks submitted for license fees, copy of contracts between the professional and the employing organization, names of employees, and copies of the government instrument of the professional's business. Information entered into Professional Solicitors Database (Electronic) File (Item 40197).

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after the expiration of license 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 7711. PENDING FILE.**

Applications from organizations or professional solicitors (newly applying) being considered for initial licensure. File also includes all correspondence between the branch and the organization or solicitor which is essential to determining licensure status.

DISPOSITION INSTRUCTIONS: Transfer to the Licensed Organization File (Item 1745) when license is issued. Transfer to Exempt Organizations Application File (Item 14529), if organization or solicitor is deemed exempt.

**DEPARTMENT OF THE SECRETARY OF STATE  
REGISTRATION AND INVESTIGATION SERVICES  
CHARITABLE SOLICITATION LICENSING SECTION**

**ITEM 7715. SOLICITATION LICENSING CORRESPONDENCE FILE.**

Correspondence written and received by the Solicitation Licensing Branch concerning activities of questionable organizations and/or solicitors.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 7717. LICENSE FEE LOGS (DHR LOG1) FILE.**

Logs listings names of the organizations, license fees received, and dates fees were received.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 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 14529. EXEMPT ORGANIZATIONS APPLICATION FILE.**

Records concerning organizations which were considered for initial licensure but deemed exempt. File includes applications and correspondence.

DISPOSITION INSTRUCTIONS: Transfer to Licensed Organization File (Item 1745) if the organization becomes eligible for licensure within the one-year period. Destroy in office remaining records when administrative value ends.

**ITEM 40193. ANNUAL REPORTS FILE.**

Reports listing detailed summary of professional solicitors activities in North Carolina. Reports include names of professional solicitors and/or sponsors, gross sales or amount of funds raised, cost of products or services, number of sponsor events, amount of proceeds to each charity or sponsor, and percentage of net or gross proceeds to each charity or sponsor.

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

**ITEM 40194. CHARITABLE ORGANIZATIONS DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning each licensed organization, including federated fund raising organizations currently licensed to solicit funds within the state. Electronic file includes names of organizations, license numbers, names of contact person, addresses, telephone numbers, license expiration dates, other related data. (File maintenance and backup procedures are conducted by Division of Information Resource Management Local Area Network (LAN) Administrator.)

DISPOSITION INSTRUCTIONS: Erase/destroy in office when reference value ends.

**ITEM 40195. CHARITABLE ORGANIZATIONS (PRINTOUTS) FILE.**

Computer generated printouts produced from Charitable Organizations Database (Electronic) File (Item 40194). Printouts list name of organizations, license numbers, license expiration dates, names of contact person, addresses, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**ITEM 40197. PROFESSIONAL SOLICITORS DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning each licensed professional fund raising counsel and each licensed professional solicitor. Electronic file includes names of fund raising counsels and/or professional solicitors, license numbers, names of contact person, addresses, telephone numbers, license expiration dates, and other related data. (File maintenance and backup procedures are conducted by Division of Information Resource Management Local Area Network (LAN) Administrator.)

DISPOSITION INSTRUCTIONS: Erase/destroy in office when reference value ends.

**DEPARTMENT OF THE SECRETARY OF STATE  
REGISTRATION AND INVESTIGATION SERVICES  
CHARITABLE SOLICITATION LICENSING SECTION**

**ITEM 40198. PROFESSIONAL SOLICITORS (PRINTOUTS) FILE.**

Computer generated printouts produced from Professional Solicitors Database (Electronic) File (Item 40197). Printouts list names of fund raising counsels and/or professional solicitors, license numbers, names of contact person, addresses, telephone numbers, license expiration dates, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.