

NORTH CAROLINA APPRAISAL BOARD

Program 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

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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 North Carolina Appraisal Board 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 North Carolina Appraisal Board 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 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory) and as set forth in G1 of the General Schedule for State Agency Records. 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

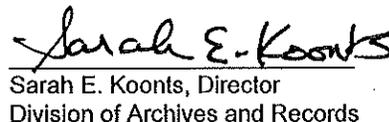
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agrees to destroy, transfer, or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



Donald T. Rodgers, Executive Director
North Carolina Appraisal Board



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Thomas A. Barton, Chairman
North Carolina Appraisal Board



Susan W. Klutz, Secretary
Department of Cultural Resources

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ITEM 37812. COMPLAINTS AND INVESTIGATIONS FILE

Records concerning complaints and investigations of appraisers suspected of violating licensing law or regulations. File includes correspondence, including email; court case records; review appraisals; investigative reports; pleadings; and other related records. (Comply with applicable provisions of 93E-1-12.1 (b) regarding records received, collected, or compiled as a result of a complaint or investigation.)

DISPOSITION INSTRUCTIONS: Destroy in office complaints and investigations files for individuals known to be deceased after 2 years. Retain in office remaining files permanently.

ITEM 37814. CORRESPONDENCE FILE

Office correspondence, including email, written to or received from individuals concerning routine information or forms requests.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 37815. SCHOOL APPLICATION AND COURSE SPONSOR FILE

Records concerning qualifying education that has been approved by the Board. File includes applications for original approval and renewal of qualifying education courses; course materials; verification forms to sponsors regarding course approval, disapproval, or annual renewal; and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 37816. CANCELLED APPLICATIONS FILE

Records concerning applicants for appraisal licenses who failed to complete the application process or failed the license examination. File includes applications, examination results, qualifying educational certificates, and background checks (records for examination administered by testing service are retained by testing service).

DISPOSITION INSTRUCTIONS: Destroy 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.

ITEM 37820. LICENSED AND CERTIFIED APPRAISERS ROSTER (ELECTRONIC) FILE

Roster of individuals licensed by the Board. Roster includes names and addresses of appraisers, license and certification numbers, and other related information. (One copy of roster is sent to the Department of Secretary of State, Publications Division, Annual Report of Licensing Boards File (Item 2923) annually.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

ITEM 37821. LICENSED AND CERTIFIED APPRAISERS FILE

Records concerning individuals approved by the North Carolina Appraisal Board to become licensed appraisers, certified residential appraisers, and certified general appraisers. File includes applications, examination results sent in by applicants, correspondence, and other related records. Names and addresses of individuals, license numbers, status of appraiser, certification numbers, telephone numbers, and other related information are entered into Licensed and Certified Appraisers Database (Electronic) File (Item 37822) immediately upon receipt or notification.

DISPOSITION INSTRUCTIONS: Destroy in office certification files for individuals known to be deceased after 2 years. Retain in office remaining files permanently.

ITEM 37822. LICENSED AND CERTIFIED APPRAISERS DATABASE (ELECTRONIC) FILE

Electronic records concerning individuals licensed by the North Carolina Appraisal Board. File includes names and addresses of individuals, license numbers, certification numbers, telephone numbers, and other related information.

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

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ITEM 37823. NORTH CAROLINA APPRAISAL BOARD MINUTES FILE

Official minutes of the North Carolina Appraisal Board.

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

ITEM 37826. PERSONNEL FILE

Records concerning office personnel. File includes applications for employment, resumes, leave request 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: Destroy in office 30 years after employee terminates service.

ITEM 37829. RENEWAL FORMS FILE

Renewal forms submitted annually by each licensed and certified appraiser. Forms include name of appraiser, business and home address of appraiser, license number, amount paid, number of continuing education hours accrued, and other related information.

DISPOSITION INSTRUCTIONS: Destroy 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.

ITEM 37830. TEMPORARY PERMITS FILE

Permits concerning out-of-state appraisers to do appraisals in North Carolina without being licensed or certified in North Carolina.

DISPOSITION INSTRUCTIONS: Destroy in office 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 37978. REGISTERED TRAINEE APPLICATIONS FILE

Records concerning individuals approved by the North Carolina Appraisal Board to become registered trainee. File includes applications, course completion certificates, correspondence, and other related records. Names and addresses of individuals, registration numbers, status of appraiser, telephone numbers, and other related information are entered into Database (Electronic) File (Item 37822) once the trainee upgrades.

DISPOSITION INSTRUCTIONS: Transfer to Licensed and Certified Appraisers File (Item 37821) immediately after applicant's registration fee is paid and when applicant qualifies to become a certified appraiser. Destroy in office remaining records after 5 years of inactivity.

ITEM 37979. SAMPLE APPRAISALS FILE

Appraisals received from individuals during the application process of becoming a licensed appraiser, certified residential appraiser, or a certified general appraiser. Appraisals include names and addresses of landowners/buyers, descriptions of property being appraised, histories of landowners, market value evaluations, and other related information. (Comply with 21 NCAC 57A.0501 by following the provisions of the "Uniform Standards of Professional Appraisal Practice" as disseminated by the Appraisal Standards Board regarding confidentiality of sample appraisals.)

DISPOSITION INSTRUCTIONS: Destroy in office after review process for applicant is completed and the application has been accepted or denied 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 50361. AUDIT PROGRAM FILE

Records concerning results of licensee audits. File includes correspondence, including email, checklists completed by the investigator, 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.

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ITEM 50362. COURSE ROSTER FILE

Rosters received from qualified continuing education schools and course sponsors. File includes names and license numbers of individuals who completed each class.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 50363. SUPERVISOR DECLARATION FILE

Forms submitted by certified or licensed appraisers when a trainee will be working under the appraiser's supervision.

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after trainee upgrades to licensed or certified residential appraiser.

DISCONTINUED ITEMS

ITEM 37808. APPLICATIONS FOR EMPLOYMENT FILE

Completed applications for employment with resumes and other supporting documents received by the Board. (Comply with applicable provisions of G.S. 126-22 regarding confidentiality of personnel records.)

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

ITEM 37809. ASSOCIATIONS FILE

Reference copies of records received from local, state, or national associations with which the Board is involved. File includes newsletters, correspondence, and other related records.

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

ITEM 37810. ATTORNEY GENERAL'S OPINIONS FILE

Reference copies of legal opinions and rulings prepared by the Office of the Attorney General regarding interpretations of Board regulations.

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

ITEM 37811. AUDIT FILE

Records concerning the Board's official audit. File includes audit reports, budget reports, vouchers, invoices, paid checks, travel reimbursement forms, bank statements, deposit slips, and other related records.

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

ITEM 37813. CONTRACTS, AGREEMENTS, AND LEASES FILE

Contracts, agreements, and leases concerning services, equipment, and other obligations entered into by the Board. File also includes insurance policies.

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

ITEM 37817. EXAMINATIONS FILE

Records concerning applicants who have completed the licensing and certification examination. File includes examination performance summaries from test provider.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately.

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ITEM 37818. FIRM REGISTRATION (FORMS) FILE

Forms concerning the registration of each firm with the Board. Forms include name of firm, name of managing appraisers, and name of other appraisers.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 37819. LEGISLATIVE FILE

Reference copies of records concerning legislative matters affecting the Board. File includes legislative bills, General Statutes, and other related records.

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

ITEM 37824. OFFICE EQUIPMENT FILE

Records concerning office equipment purchased by or for the Board. File includes purchasing records, inventories of Board equipment, and other related records.

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

ITEM 37825. PAYROLL FILE

Financial records concerning the Board's payroll. File includes payroll deduction authorization forms and other salary related records.

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

ITEM 37827. POLICIES AND PROCEDURES FILE

Reference copies of policies received from the Office of State Personnel regarding personnel related topics.

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

ITEM 37828. PUBLICATIONS FILE

Publications produced by the Board. File includes "Appraisereport."

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