

NORTH CAROLINA LICENSING BOARD FOR GENERAL CONTRACTORS

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

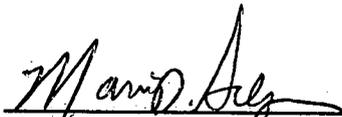
NORTH CAROLINA LICENSING BOARD FOR GENERAL CONTRACTORS

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

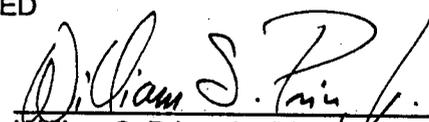
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

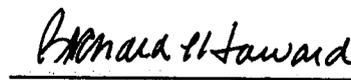


Mark D. Selph, Secretary-Treasurer
N.C. Licensing Board for General Contractors

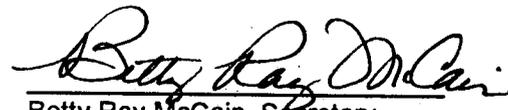


William S. Price, Jr., Director
Division of Archives and History

APPROVED



Richard T. Howard, Chairman
N.C. Licensing Board for General Contractors



Betty Ray McCain, Secretary
Department of Cultural Resources

July 23, 1993

HFH

... ABOUT THIS RECORDS DISPOSITION SCHEDULE ...

This records disposition schedule lists the records maintained in your office as reported to the Division of Archives and History on the date indicated. It lists all records, whether they are to be destroyed in your office or transferred to the State Records Center, and provides a brief description of each group (following the identification number) and instructions for their legal disposition (following the words "DISPOSITION INSTRUCTIONS"). Records should never be arbitrarily destroyed on the basis of personal opinion but only on the basis of a firm schedule. The disposition instructions contained herein provide that schedule and the legal procedures for records management activities in your agency.

Authority for this schedule, and the disposition instructions therein, is contained in Chapters 121 and 132 of General Statutes of North Carolina. Compliance with the disposition instructions listed herein will ensure conformity with the law and will ensure that records of continuing value are retained and those no longer of value are destroyed. Procedures to be followed in applying this schedule are explained in the N.C. Administrative Code, Title 7, Chapter 4, Section 500. Errors and omissions do not invalidate this schedule or render it obsolete. All provisions of this schedule remain in effect until it is officially superseded.

Supervisors or other responsible office personnel, acting through their Records Officers, are requested to notify the Records Services Branch whenever corrections, additions, or deletions in the records schedule should be made. Records Services Branch personnel will then amend this schedule in order to ensure that it remains complete and accurate and is in compliance with federal and state laws and regulations.

The Records Services Branch will provide, upon request, the following assistance to agencies in the maintenance and operation of records schedules: amendment or update of existing schedules; supply and delivery of boxes, tape, and labels for records scheduled to be transferred to the State Records Center; pickup of records to be transferred; reference service on records stored in the State Records Center; and advice and technical assistance in solving records management problems. There is no charge for these services.

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Item 21842. CORRESPONDENCE (OFFICE ADMINISTRATION) FILE. Routine correspondence and memorandums created and received in the office concerning requests for information.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

Item 21843. FINANCIAL RECORDS FILE. Records concerning board's budget and expenditures. File includes expense vouchers, bank statements, cancelled checks, deposit tickets, purchase orders, invoices, expense reimbursement records, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

Item 28753. APPLICATIONS FOR EMPLOYMENT FILE. Completed application forms 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: Transfer applications and other records for individuals hired to appropriate personnel file when individual accepts position. Destroy in office applications and other records that are unsolicited and for individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

Item 28755. ASSOCIATIONS FILE. Reference copies of records concerning local, state, and national associations with which the board is involved. File includes newsletters, bulletins, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

Item 28759. BOARD PUBLICATIONS FILE. Publications prepared by the board. File includes newsletters, booklets, brochures, and other related materials.

DISPOSITION INSTRUCTIONS: Transfer 5 or more copies (as required) of each publication to the State Documents Clearinghouse, North Carolina State Library, when received from printer, in accordance with G.S. 125-11.7/11.8. Transfer 1 copy of each publication to the State Records Center annually. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy in office remaining copies and related records when reference value ends.

Item 21845. RECEIPTS AND DISBURSEMENTS LEDGERS FILE. Ledgers concerning board receipts and disbursements.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after ledger is filled and when released from all audits, whichever occurs later.

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Item 35668. SERVICE CONTRACTS FILE. Service contracts for office equipment.

DISPOSITION INSTRUCTIONS: Destroy in office 2 year(s) after termination of agreement/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 21846. INDIVIDUAL ACCOUNT LEDGERS FILE. Ledgers concerning board accounts.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after ledger is filled and when released from all audits, whichever occurs later.

Item 21841. INFORMATIONAL MATERIAL FILE. Informational material pertinent to board operations. File includes legislative records, bulletins, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office when reference value ends.

Item 28769. LEASES FILE. Leases concerning building space leased by the board. File includes correspondence and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 2 year(s) after termination of agreement/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 28765. LEGISLATIVE FILE. Legislative bills and correspondence concerning the board.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

Item 28772. PERSONNEL FILE. Records concerning office personnel. File includes applications, resumes, job descriptions, 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 21844. CHECK STUBS FILE. Stubs of checks written by the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

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Item 28752. ANNUAL REPORTS FILE. Official annual reports produced by the board. File includes meeting notices.

DISPOSITION INSTRUCTIONS: Transfer 5 or more copies (as required) of each publication to the State Documents Clearinghouse, North Carolina State Library when received from printer, in accordance with G.S. 125-11.7/11.8. Transfer 1 copy of each annual and board meeting notice to the Department of Secretary of State when received from printer. Transfer 1 copy of each report to the State Records Center annually. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy in office remaining copies after 10 years.

Item 28770. OFFICE EQUIPMENT INVENTORIES FILE. Completed inventory forms concerning office equipment and supplies purchased for or by the board.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

Item 21837. GENERAL CONTRACTORS MINUTES FILE. Official minutes of the North Carolina Licensing Board for General Contractors. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center immediately to be microfilmed for permanent storage in the security vault. Microfilmed paper records will be returned to agency. Transfer returned paper records to the State Records Center when reference value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage.

Item 28771. PAYROLL FILE. Financial records concerning the board's payroll.

DISPOSITION INSTRUCTIONS: Destroy in office after 7 year(s) and when released from all audits, whichever occurs later.

Item 28756. 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: Retain in office permanently.

Item 28758. BOARD OFFICIALS' CORRESPONDENCE FILE. Correspondence concerning the implementation of board's policies. File includes correspondence of the board, executive secretary, or director.

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.

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Item 28764. LEAVE FILE. Recapitulation of leave taken and balance remaining for each employee. File includes employees' requests for vacation and/or sick leave.

DISPOSITION INSTRUCTIONS: Destroy in office leave records after 4 years and when released from all audits, whichever occurs later. Destroy in office requests for leave after 2 years.

Item 28751. AFFIDAVITS FILE. Sworn statements in writing by individuals and attorneys concerning possible violations by licensed contractors.

DISPOSITION INSTRUCTIONS: Destroy in office 10 years after conclusion of litigation.

Item 28761. COMPLAINTS LOG/REGISTER FILE. Logs of complaints received by the board against both licensed and unlicensed practitioners. Logs include dates when complaints were received, names of complainants, descriptions of contractor's license status, and other related data.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 28760. COMPLAINTS FILE. Records concerning formal complaints regarding licensed individuals or companies. File includes contracts, building permits, investigative correspondence, invoices, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 7 years after conclusion of litigation.

Item 35670. NON-DISCIPLINARY LEGAL FILE. Records concerning all legal actions concerning the board that do not involve disciplinary actions of licensed or non-licensed general contractors.

DISPOSITION INSTRUCTIONS: Destroy in office 7 years after conclusion of litigation.

Item 35669. COMPLAINTS CARDS/REGISTER FILE. Cards used to register complaints received by the board against both licensed and unlicensed practitioners. Cards include file numbers summaries of complaints, and other related data that are cross-referenced with Complaints Log/Register File (**Item 28761**). **DISPOSITION INSTRUCTIONS: Retain in office permanently.**

Item 28757. BOARD CORRESPONDENCE (LEGAL) FILE. Office correspondence and memorandums concerning legal matters not related to specific legal cases or official opinions.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

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Item 28763. HEARING TRANSCRIPTS FILE. Transcripts from court reporters concerning board administrative and/or disciplinary hearings regarding contractors. File includes pleadings and exhibits.

DISPOSITION INSTRUCTIONS: Destroy in office 7 years after conclusion of litigation.

Item 28800. EXAMINATIONS (PASSED) FILE. Examination booklets and completed answer sheets for applicants and companies who passed the licensing examination.

DISPOSITION INSTRUCTIONS: Transfer answer sheets to Active Licensed Contractors File (**Item 21838**) **immediately. Destroy in office examination booklets after 3 months.**

Item 35771. EXAMINATIONS QUESTIONS DATABASE (ELECTRONIC) FILE. Machine readable records concerning questions used in the compilation of examinations for general contractors.

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each floppy disk to an off-site location for backup storage. Agency representative will update periodically. Erase in office floppy disks when administrative value ends.

Item 35671. EXAMINATION QUESTIONS BOOKLETS (MASTER) FILE. Master copies of each examination administered by the board to qualified candidates who are seeking licensure.

DISPOSITION INSTRUCTIONS: Retain in office 1 copy of each examination booklet permanently. Destroy in office remaining copies when administrative value ends.

Item 3258. INACTIVE LICENSED CONTRACTORS FILE. Records concerning contractors formerly licensed by the board whose licenses have expired. File includes applications for license, applications for renewal of license, correspondence, and examination answer sheets for individuals and companies who passed the licensing examination. File also includes applications and answer sheets for new applicants that have been denied licensing by the board.

DISPOSITION INSTRUCTIONS: Destroy records currently stored in the State Records Center 3 years after date received. Transfer records concerning each inactive licensed contractor to Active Licensed Contractors File (**Item 21838**) **immediately after each contractor's license is renewed. Destroy in office remaining records after 2 years.**

Item 28766. NEW APPLICANTS FILE. Applications received from individuals and companies who have applied for licensure. File includes completed applications and completed answer sheets.

DISPOSITION INSTRUCTIONS: Transfer successful applications and answer sheets to Active Licensed Contractors File (Item 21838) immediately after license

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is issued. Transfer unsuccessful applications and answer sheets to Inactive Licensed Contractors File (Item 3258) immediately after license is denied.

Item 28762. EXAMINATIONS (FAILED) FILE. Examination booklets and completed answer sheets for applicants and companies who failed the licensing examination.

DISPOSITION INSTRUCTIONS: Transfer answer sheets to Inactive Licensed Contractors File (Item 3258) immediately. Destroy in office examination booklets after 3 months.

Item 28754. HISTORICAL CARDS FILE. Cards concerning inactive individuals and companies previously licensed by the board. Cards include dates when licenses were granted, dates when licenses were renewed, limitation information, and other related data.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 28773. SEARCH OF RECORDS FILE. Inquiries received from individuals and attorneys concerning licensure status of licensed individuals or associated firms.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

Item 21838. ACTIVE LICENSED CONTRACTORS FILE. Records concerning each active contractor licensed by the board. File includes applications for license, applications for renewal of license, information regarding contractors who have been relicensed, examination answer sheets for individuals and companies who passed the licensing examination, correspondence, and other related records. (Each application provides license number, classification, limitation, and financial statement of applicant.)

DISPOSITION INSTRUCTIONS: Transfer applications for license, applications for renewal, correspondence, and examination answer sheets to Inactive Licensed Contractors File (Item 3258) when license expires. Transfer remaining records to Long-Term Licensed Contractors File (Item 4007) when this file reaches sufficient volume to require a second file continuation.

Item 21847. INACTIVE EXAMINATIONS FILE. Completed examinations for examinees formerly licensed or qualifying a corporation for license and whose license has become inactive or whose corporation's license has become inactive.

DISPOSITION INSTRUCTIONS: Item discontinued. Records transferred to Inactive Licensed Contractors File (Item 3258).

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Item 4007. LONG-TERM LICENSED CONTRACTORS FILE. Records concerning each active contractor and contracting company licensed by the board for 15 years or more. File includes license numbers, original applications, renewal forms, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years to be microfilmed for agency use. Paper records will be destroyed in the State Records Center after microfilming. Retain in office microfilm permanently.

Item 21839. ACTIVE CONTRACTORS CARDS FILE. Cards concerning each contractor licensed by the board. Cards include names, addresses, license numbers, limitations and classifications, and other related data.

DISPOSITION INSTRUCTIONS: Retain in office permanently.