

NORTH CAROLINA REAL ESTATE COMMISSION

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

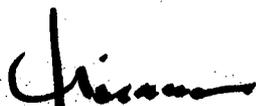
NORTH CAROLINA REAL ESTATE COMMISSION

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 This schedule is to remain in effect until superseded.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



Phillip T. Fisher, Executive Director
N.C. Real Estate Commission



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

APPROVED



Elmer Jenkins, Chairman
N.C. Real Estate Commission



Patric Dorsey, Secretary
Department of Cultural Resources

July 16, 1990

MCC

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

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Amend the program records retention and disposition schedule approved July 16, 1990 by changing the disposition instructions for Item 3345 as shown on substitute page dated March 26, 2004.

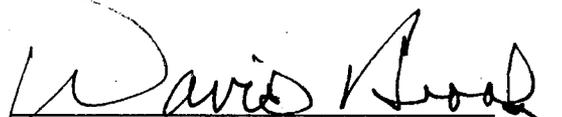
APPROVAL RECOMMENDED



Fran Whitley, Records Officer
North Carolina Real Estate Commission



Phillip T. Fisher, Executive Director
North Carolina Real Estate Commission



David Brook, Director
Division of Historical Resources

APPROVED



Allan R. Dameron, Chairman
North Carolina Real Estate Commission



Lisbeth C. Evans, Secretary
Department of Cultural Resources

March 26, 2004

AWH

NORTH CAROLINA REAL ESTATE COMMISSION

Item 3342. BROKER, SALESMAN, AND CORPORATION LICENSEE REGISTER FILE. Cumulative listings of names of individuals and corporations that have been issued real estate licenses. File includes each licensee's name and address, license number, license type, date of issuance of license, and other pertinent information.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center annually to be microfilmed for permanent storage in the security vault. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. A copy of the microfilm will be sent to the agency for permanent retention.

Item 28226. APPRAISER LICENSEE/CERTIFICATION-HOLDER FILE. Records concerning licensing or certification of individuals. File includes applications with photographs and other identification information, changes of managing appraisers, requests for duplicate or revised licenses or certifications, returned licenses, correspondence, and other related information.

DISPOSITION INSTRUCTIONS: Microfilm in agency to state standards. Retain one copy of microfilm in agency permanently. Destroy in agency paper records after microfilm has been verified and quality control procedures completed.

Item 28224. APPRAISER COMMITTEE MINUTES FILE. Minutes of the North Carolina Real Estate Commission Appraiser Committee with supporting documents.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s) to be microfilmed for permanent security storage in the Archives 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 28228. CANCELLED APPRAISER LICENSE/CERTIFICATION APPLICATIONS FILE. License/Certification application forms and supporting documents for individuals whose applications have been cancelled.

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

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Item 28229. REAL ESTATE APPRAISER AND CERTIFICATION-HOLDER

LICENSEE REGISTER FILE. Cumulative listings of names of individuals who have been issued real estate appraiser licenses or real estate appraiser certifications. File includes each licensee's or certification-holder's name and address, license/certification number, date of issuance of license or certification, and other pertinent information.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center annually to be microfilmed for permanent storage in the security vault. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. A copy of the microfilm will be sent to the agency for permanent retention.

Item 28225. APPRAISER LICENSEE AND CERTIFICATION-HOLDER RENEWAL

FILE. License and/or certification-holder renewal applications. Information includes each licensee's and/or certification-holder's name and address, license and/or certification number, date of renewal, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office renewal applications received prior to June 30th deadline when administrative value ends. Transfer to the State Records Center renewal applications received after June 30th deadline after 1 year to be microfilmed for permanent storage in the security vault. Paper records will be destroyed in the State Records Center after microfilming. A copy of the microfilm will be sent to the agency for permanent retention.

Item 28223. APPRAISER APPLICANTS REGISTER FILE. Listing of applicants for licensure or certification. Information includes each applicant's name and type of license or certification applied for, disposition of application, and date of disposition.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 28227. APPRAISER LICENSE OR CERTIFICATION-HOLDER ROSTER FILE.

Printout listing appraisers licensed or certified by the N.C. Real Estate Commission. Information includes name of each licensee/certification-holder, license/certification number, business name and address, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

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Item 20139. PENDING DISCIPLINARY ACTIONS FILE. Records concerning complaints against licensed real estate brokers, salesmen, registered time share projects, licensed or certified appraisers, and complaints related to unlicensed activity. File includes each respondent's name and license/registration/certification number, type of license, business name and address, date complaint filed, date of assignment of complaint to investigator, date of referral of complaint to Commission, hearing date, disposition of complaint, name of complainant, summary of complaint, and other related information.

DISPOSITION INSTRUCTIONS: Transfer to Closed Disciplinary Actions File when case is closed.

Item 20135. BROKER, SALESMAN, AND CORPORATION LICENSEE ROSTER FILE. Printout listing each broker, salesman, or corporation licensed by the North Carolina Real Estate Commission. File includes name of each licensee, license number, business name and address, type of license, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

Item 20154. REAL ESTATE BULLETINS FILE. Copies of "Real Estate Bulletin" published quarterly by the Commission.

DISPOSITION INSTRUCTIONS: Retain in office 1 copy permanently. 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. Destroy in office remaining copies when reference value ends.

Item 20150. PRE-LICENSE COURSE INSTRUCTORS FILE. Records concerning pre-license course instructors approved by Commission. File includes applications and related information.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 20152. PERSONNEL FILE. Records concerning Commission 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.

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Item 20153. FINANCIAL FILE. Records concerning receipts and disbursements of Commission funds and the Real Estate Recovery Fund. File includes invoices, cancelled checks, contracts, ledgers, annual reports and audits, prepaid renewal printouts, and other related information.

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

Item 20157. CORRESPONDENCE FILE. Correspondence to Commission members, licensees, and the public from the Commission.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

Item 20155. COMMISSION SCRAPBOOK FILE. Scrapbook containing newspaper clippings, photographs, and other information concerning the Commission's activities.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 20151. REAL ESTATE EXAMINATIONS FILE. Records concerning the development and administration of licensing examinations. File includes copies of examinations, analyses of examination questions, information regarding examinees' performance, examination reviews, numerical examination scores of applicants, examination answer sheets, and other related materials.

DISPOSITION INSTRUCTIONS: Destroy in office answer sheets 2 years after examination. Retain in office remaining records permanently.

Item 20142. BROKER-IN-CHARGE FILE. Signed "Broker-In-Charge" cards for active and inactive brokers-in-charge of real estate offices. Cards list each individual's name, license number, business name and address, and date of declaration.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 20146. BROKER, SALESMAN, AND CORPORATION APPLICANT REGISTER FILE. Listing of applicants for licensure. File includes each applicant's name and type of license applied for, disposition of application, and date of disposition.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 20144. PENDING BROKER, SALESMAN, AND CORPORATION LICENSE APPLICATIONS FILE. Pending applications for licensure by Commission with supporting documents.

DISPOSITION INSTRUCTIONS: Transfer to Broker, Salesman, and Corporation Licensee File if license is issued. Transfer to Cancelled Broker, Salesman, and Corporation License Applications File if application is cancelled.

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Item 20148. PRIVATE REAL ESTATE SCHOOLS FILE. Records concerning private real estate schools licensed by Commission. File includes applications and related information.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after expiration of license.

Item 20149. GENERAL SCHOOLS FILE. Records concerning non-private real estate schools approved by Commission. File includes names and addresses of schools offering course, schools' code number, names of contact persons for school, type of course (broker, salesman, or appraiser), course description, date course approved, license examination performance of students, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office 5 year(s) after termination of course.

Item 20141. TRUST ACCOUNT AUDITS FILE. Records concerning routine audits of real estate trust accounts. File includes reconciliation and liability worksheets, inspection summaries, correspondence, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

Item 20145. CANCELLED BROKER, SALESMAN, AND CORPORATION LICENSE APPLICATIONS FILE. License application forms and supporting documents for individuals whose applications have been cancelled.

DISPOSITION INSTRUCTIONS: Destroy in office when released from annual audit.

Item 20143. TIME SHARE PROJECTS FILE. Records concerning time share projects registered with Commission. File includes applications, exhibits, amendments, renewal applications, consents to service, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after expiration of registration.

Item 20147. "GRANDFATHER" ELIGIBILITY FILE. Card file listing names of all individuals eligible for licensure under the "grandfather provision" (G.S. 93A-4(b)) of the Real Estate License Law.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

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Item 3546. CLOSED DISCIPLINARY ACTIONS FILE. Records concerning closed complaints against brokers, salesmen, time share projects, and appraisers. File includes summaries of complaints; investigative reports; hearing records; disposition of complaints; license or certification applications of individuals or corporations whose licenses or certifications have been revoked, suspended, or denied; and other related information.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when reference value ends. Records will be held for agency in the State Records Center 10 additional years and then transferred to the custody of the Archives.

Item 3345. COMMISSION MINUTES FILE. Minutes of the North Carolina Real Estate Commission with supporting documents. Amended 3-26-04

DISPOSITION INSTRUCTIONS: Transfer a duplicate copy of the official signed minutes to an off-site storage location after each meeting for security storage. Arrange for delivery of original minutes to the State Records Center after 1 year to be microfilmed. (Agency personnel should contact the Imaging Unit, Collection Management Branch, to arrange for transfer of original minutes for microfilming.) Paper records will be destroyed in the State Records Center after microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault. Destroy duplicate copies in the off-site storage location after the original records have been microfilmed.

Item 3343. BROKER, SALESMAN, AND CORPORATION LICENSEE RENEWAL FILE. License renewal applications of brokers, salesmen, and corporations. File includes each licensee's name and address, license number, date of renewal, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office license renewal applications received prior to June 30th deadline when administrative value ends. Transfer to the State Records Center license renewal applications received after June 30th deadline after 1 year to be microfilmed for permanent storage in the security vault. Paper records will be destroyed in the State Records Center after microfilming. A copy of the microfilm will be sent to the agency for permanent retention.

Item 3344. BROKER, SALESMAN, AND CORPORATION LICENSEE FILE. Records concerning licensing of individuals and corporations. File includes applications with photographs and other identification information, changes of supervising brokers, requests for duplicate or revised licenses, consents to service, returned licenses, correspondence, and other related information.

DISPOSITION INSTRUCTIONS: Microfilm in agency to state standards. Retain one copy of microfilm in agency permanently. Destroy in agency paper records after microfilm has been verified and quality control procedures completed.