

NORTH CAROLINA STATE BAR

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

North Carolina State Bar

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 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. The agency agrees to comply with 07 NCAC 04M. 0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. 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.

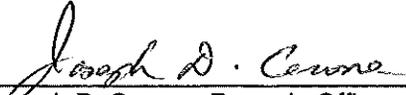
The North Carolina State Bar and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*administrative/reference value ends.*" The North Carolina State Bar hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Cultural Resources to destroy these records. For those record series scheduled to be microfilmed, the North Carolina State Bar will be responsible for cost of microfilm production.

The North Carolina State Bar and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The North Carolina State Bar agrees to comply with all policies, standards, and best practices published by the Department of Cultural Resources regarding the creation and management of electronic records.

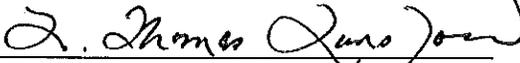
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated 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 North Carolina State Bar agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

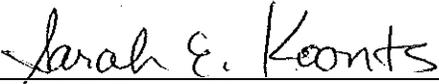
APPROVAL RECOMMENDED



Joseph D. Cerone, Records Officer
North Carolina State Bar

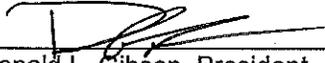


L. Thomas Lunsford, II, Executive Director
North Carolina State Bar

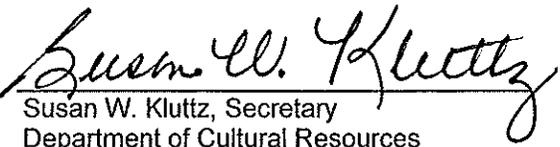


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Ronald L. Gibson, President
North Carolina State Bar



Susan W. Kluttz, Secretary
Department of Cultural Resources

**NORTH CAROLINA STATE BAR
INTEREST ON LAWYERS TRUST ACCOUNTS (IOLTA) PROGRAM**

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

INTEREST ON LAWYERS TRUST ACCOUNTS (IOLTA) PROGRAM

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 Department of Natural and Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. 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 State Bar and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*administrative/reference value ends.*" The North Carolina State Bar hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Natural and Cultural Resources to destroy these records. For those record series scheduled to be microfilmed, the North Carolina State Bar will be responsible for cost of microfilm production.

The North Carolina State Bar and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires additional commitment and active management by the agency. The North Carolina State Bar agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records and to make electronic records accessible for the period of time prescribed in this schedule. Where the method of recording information changes (for example, to an electronic system), the retention periods governing the records listed herein still apply, provided the records document the same agency function.

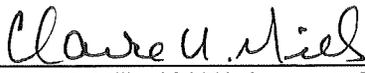
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The North Carolina State Bar agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

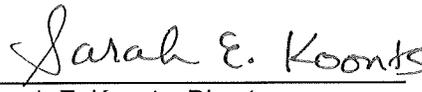
APPROVAL RECOMMENDED



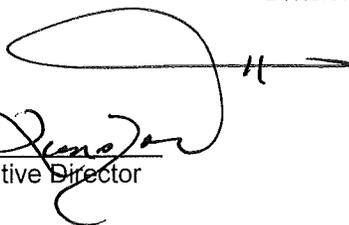
Joseph D. Cerone, CLM, SPHR
Records Officer
North Carolina State Bar



Claire U. Mills, IOLTA Accounts Manager
North Carolina State Bar



Sarah E. Koonts, Director
Division of Archives and Records

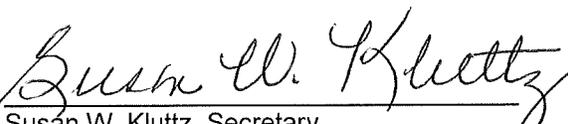


L. Thomas Lunsford, II, Executive Director
North Carolina State Bar

APPROVED



Margaret McDermott Hunt, President
North Carolina State Bar



Susan W. Kluttz, Secretary
Department of Natural and Cultural Resources

NORTH CAROLINA STATE BAR ADMINISTRATION

ITEM 3229. BAR COUNCIL MINUTES FILE

Minutes of meetings of the Council of the State Bar. File also includes decisions in reinstatement hearings, committee reports, recommendations, resolutions, and other related records.

DISPOSITION INSTRUCTIONS: Transfer a duplicate copy of the official signed minutes to the State Records Center after 1 year to be imaged. After completion of imaging and production of the microfilm, the silver-halide original microfilm will be transferred to the custody of the Archives. Destroy duplicate copies of minutes after microfilmed. Retain signed (original) minutes in office permanently.

ITEM 3230. OFFICERS' CORRESPONDENCE FILE

Correspondence, including email, of the officers of the State Bar.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 3231. EXECUTIVE DIRECTOR'S CORRESPONDENCE FILE

Correspondence in paper and electronic formats of the executive director of the State Bar. File includes transcripts, bar association communications, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 3240. CONFERENCE OF BAR PRESIDENTS FILE

Records concerning the North Carolina Conference of Bar Presidents. File includes correspondence, reports, reference copies of minutes, committee and officer lists, newsletters, meeting agendas and notices, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 3241. DISTRICT BAR FILE

Records concerning district bars. File includes bylaws, meeting minutes, committee and officer lists, correspondence, invitations, meeting notices, requests for opinions, reports, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office meeting minutes permanently. Destroy in office remaining records when reference value ends.

ITEM 3244. EXECUTIVE COMMITTEE MEETINGS FILE

Records in paper and electronic formats concerning meetings of the Executive Committee. File includes minutes, correspondence, agendas, memoranda, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Transfer paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 45688. AMERICAN BAR ASSOCIATION DELEGATE FILE

Records concerning delegates from the American Bar Association (ABA). File includes correspondence, reports, decisions, action summaries, legislative recommendations, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 45973. INTERNS FILE

Records concerning the certification of law student interns. File includes correspondence, and law school and student certification forms.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

NORTH CAROLINA STATE BAR ADMINISTRATION

ITEM 48086. OUTSIDE LITIGATION FILE

Records concerning cases, other than Disciplinary Hearings Commission cases, filed by or against the North Carolina State Bar. File includes investigative reports, pleadings, correspondence, exhibits, orders, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 48088. CONSERVATORSHIP/TRUSTEE FILE

Records concerning appointment of trustees for the law practices of attorneys who have been disbarred, disabled, deceased, or have abandoned their practice. File includes correspondence, pleadings, memoranda, exhibits, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 48130. ASSISTANT EXECUTIVE DIRECTOR'S FILE

Records concerning various activities of the Assistant Executive Director with boards, departments, committees, and the North Carolina State Bar. File includes memoranda, committee agendas, correspondence, and other related records. (Official copies of records are maintained in individual departments.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 48131. AD HOC COMMITTEE MEETINGS FILE

Records of meeting minutes, correspondence, and other related records of various ad hoc committees of the North Carolina State Bar.

DISPOSITION INSTRUCTIONS: Transfer meeting minutes, recommendations, and appropriate documentation to the Executive Committee Meeting File (Item 3244) once findings are reported to the Executive Committee. Destroy remaining records when administrative value ends.

ITEM 48132. ISSUES COMMITTEE MEETINGS FILE

Records of quarterly meetings of the Issues Committee of the North Carolina State Bar. File includes meeting minutes, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Retain minutes in office permanently. Destroy remaining records when administrative value ends.

ITEM 48668. RULE AMENDMENT NOTEBOOKS (REFERENCE) FILE

Reference copies of rule amendments in notebooks, which are approved and signed by the Chief Justice of the North Carolina Supreme Court, for a particular calendar year. (Original copies maintained in the North Carolina Supreme Court.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 50469. HEADQUARTERS BUILDING FILE

Records concerning the building and maintenance of the North Carolina State Bar Headquarters. File includes detailed construction plans, building specifications, correspondence, and other related records. (Comply with applicable provisions of G.S. 132-1.7 regarding the release of drawings of public buildings and infrastructure facilities.)

DISPOSITION INSTRUCTIONS: Retain plans, specifications, and significant correspondence in office while the State Bar remains headquartered in the building. Destroy in office remaining records when reference value ends.

**NORTH CAROLINA STATE BAR
CONTINUING LEGAL EDUCATION**

ITEM 45694. CONTINUING LEGAL EDUCATION (CLE) ACCREDITED SPONSORS ACTIVITY REPORTS FILE

Records concerning accredited sponsors of continuing legal education courses. File includes attendance reports, applications, course materials, correspondence, and other related records. File also includes applications for continuing legal education credit for specific courses. Records are scanned into the Continuing Legal Education (CLE) History Database (Electronic) File (Item 48669).

DISPOSITION INSTRUCTIONS: Destroy in office attendance reports after 3 years. Scan in office remaining paper records and destroy in office paper records after all quality control procedures have been completed. Transfer scanned images to the Continuing Legal Education (CLE) History Database (Electronic) File (Item 48669).

ITEM 45695. CONTINUING LEGAL EDUCATION (CLE) APPLICATIONS FOR SPONSOR ACCREDITATION FILE

Records of applications for accreditation of sponsors of continuing legal education courses. Records are scanned into the Continuing Legal Education (CLE) History Database (Electronic) File (Item 48669).

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 45696. CONTINUING LEGAL EDUCATION (CLE) BOARD MEETING FILE

Records concerning meetings of the board. File includes agendas, handouts, notes, meeting minutes, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Retain agendas and meeting minutes in office permanently. Destroy in office remaining records after 3 years.

ITEM 45697. CONTINUING LEGAL EDUCATION (CLE) NON-ACCREDITED SPONSOR COURSE FILE

Records concerning one-time approval of continuing legal education courses. File includes attendance reports, applications, course materials, correspondence, and other related records. Records are scanned into the Continuing Legal Education (CLE) History Database (Electronic) File (Item 48669).

DISPOSITION INSTRUCTIONS: Destroy in office attendance reports after 3 years. Scan in office remaining paper records and destroy in office paper records after all quality control procedures have been completed. Transfer scanned images to the Continuing Legal Education (CLE) History Database (Electronic) File (Item 48669).

ITEM 45702. MEMBERS' ANNUAL CONTINUING LEGAL EDUCATION (CLE) REPORT FORM FILE

Reports of each member's continuing legal education activity. File includes legal education history, courses, credits, future education requirements, and other related records. Data are entered into the Continuing Legal Education (CLE) Administrative Database (Electronic) File (Item 45736) and scanned into the Continuing Legal Education (CLE) History Database (Electronic) File (Item 48669).

DISPOSITION INSTRUCTIONS: Destroy in office 6 months after data are entered into the databases and all quality control procedures have been completed.

ITEM 45736. CONTINUING LEGAL EDUCATION (CLE) ADMINISTRATIVE DATABASE (ELECTRONIC) FILE

Records concerning each member's continuing legal education history. File includes courses attended, credits received, future education requirements, compliance enforcement records, and other related data. Data are entered into this database from the Members' Annual Continuing Legal Education (CLE) Database (Electronic) File (Item 45702).

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 6 years.

**NORTH CAROLINA STATE BAR
CONTINUING LEGAL EDUCATION**

ITEM 48128. CONTINUING LEGAL EDUCATION (CLE) WAIVER REQUEST FILE

Records concerning requests from members to waive the late filing fee or non-compliance fee. File includes members' requests and the committee's responses to requests.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 48129. CONTINUING LEGAL (CLE) EDUCATION EXTENSION FILE

Records concerning requests from members for extensions of time to complete their continuing legal education requirements. File includes members' requests and the committee's responses to the requests.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 48663. CONTINUING LEGAL EDUCATION (CLE) COMPLIANCE FILE

Records concerning continuing legal education compliance by lawyers. File includes notices to show cause, suspension orders, and proof of service (green cards or electronic notifications) issued to lawyers for failing to comply with continuing education requirements. File also includes correspondence and proof of service via certified mail.

DISPOSITION INSTRUCTIONS: Destroy in office notices to show cause and/or suspension orders for members who comply 1 year after compliance. Destroy in office all notices to show cause and suspension orders for members who are suspended when the member is deceased. Destroy in office notices and orders that were unable to be served (returned unclaimed or refused) 6 years after notices are mailed.

ITEM 48664. CONTINUING LEGAL EDUCATION (CLE) TRANSACTION REPORTS FILE

Records concerning fees that have been posted to or waived from an attorney's continuing legal education record. File includes fees and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after posting date.

ITEM 48669. CONTINUING LEGAL EDUCATION (CLE) HISTORY DATABASE (ELECTRONIC) FILE

Records concerning forms submitted by attorneys confirming continuing legal education courses attended. File includes annual report forms, legal education history, courses, credits, future education requirements, sponsor applications, sample course material, correspondence, accredited sponsor status applications, and other related data. Records are scanned into this database from Continuing Legal Education (CLE) Accredited Sponsors Activity Reports File (Item 45694) and Continuing Legal Education (CLE) Applications for Sponsor Accreditation File (Item 45695).

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office report forms 6 years after report form deadline. Destroy in office remaining records after 3 years.

ITEM 49685. CONTINUING LEGAL EDUCATION (CLE) DEPOSIT REPORTS FILE

Records concerning deposit reports for funds received from attorneys and sponsors.

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 49686. CONTINUING LEGAL EDUCATION (CLE) INVOICE REPORTS FILE

Records concerning financial reports of invoices sent to attorneys and sponsors for fees owed to the Board of Continuing Legal Education.

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.

**NORTH CAROLINA STATE BAR
DISCIPLINARY HEARING COMMISSION**

ITEM 20948. DISCIPLINARY HEARING COMMISSION FILE

Records concerning discipline, disability, show cause and reinstatement cases brought against attorneys by the State Bar. File includes filed pleadings, exhibits, orders, and other related records. Data are entered into the Disciplinary Orders Database (Electronic) File (Item 48090).

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center 15 years after last action is filed. Records will be held for agency in the State Records Center for an additional 65 years and then destroyed.

ITEM 48087. STAFF ATTORNEY WORKING DISCIPLINARY FILE

Records concerning working papers used in disciplinary cases prosecuted by the Office of Counsel. File includes correspondence, discovery, legal research, pleadings, notes, briefs, and other related records. (Official records are maintained in the Disciplinary Hearing Commission File (Item 20948).

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related papers. Destroy in office electronic versions of printed records when reference value ends. Transfer paper records of disciplined attorneys to the State Records Center 5 years after last official action has been completed. Records will be held for agency in the State Records Center 45 additional years and then destroyed. Destroy in office immediately records of disciplined attorneys who are deceased.

ITEM 48090. DISCIPLINARY ORDERS DATABASE (ELECTRONIC) FILE

Records concerning disciplinary actions by the Grievance Committee, the courts, and the Disciplinary Hearing Commission. File includes data relating to dates when disciplinary actions are commenced, concluded, and notation of content of order entered by the Disciplinary Hearing Commission.

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 80 years.

NORTH CAROLINA STATE BAR ETHICS

ITEM 48004. ETHICS COMMITTEE MEETINGS FILE

Records concerning meetings of the Ethics Committee. File includes meeting minutes and agendas.

DISPOSITION INSTRUCTIONS: Retain meeting minutes in office permanently. Destroy in office original agendas after 5 years. Transfer bound agendas to the State Records Center after 10 years. Records will be held for agency in the State Records Center for an additional 25 years and then destroyed.

ITEM 48005. ETHICS CORRESPONDENCE FILE

Correspondence of lawyers, including e-mail, Ethics Committee members, and staff. File includes routine communications, notes of committee meetings, opinions, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years.

ITEM 48006. ETHICS ADVISORIES AND PHONE LOG FILE

Records concerning phone calls and e-mails regarding ethics questions and advisories. File includes notes documenting calls and e-mails from attorneys regarding ethics questions. (Comply with applicable provisions of 27 NCAC 01D.0103 (b) regarding the confidentiality of informal ethics advisories and Rule of Professional Conduct 1.6 (c).)

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years.

ITEM 48007. ETHICS ADVISORY OPINIONS FILE

Records concerning formal opinions issued by the North Carolina State Bar staff attorneys. File includes working documents maintained until opinions or decisions are rendered.

DISPOSITION INSTRUCTIONS: Destroy in office working files when administrative value ends. Retain in office ethics advisory opinions permanently.

ITEM 48008. ETHICS OPINIONS FILE

Records concerning formal opinions issued by the Ethics Committee. File includes working documents maintained until opinions are rendered.

DISPOSITION INSTRUCTIONS: Destroy in office working papers after 5 years. Retain remaining records in office permanently.

ITEM 48009. ETHICS PHONE LOG DATABASE (ELECTRONIC) FILE

Records concerning phone inquiries from attorneys regarding ethics questions. File includes names, contact information, advice given, and other related data. Data are entered into this database from Phone Log File (Item 48006). (Comply with applicable provisions of 27 NCAC 01D.0103 (b) regarding the confidentiality of informal ethics advisories.) (File maintenance and backup procedures conducted by the Computer Systems Administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 7 years.

ITEM 48133. RULES OF PROFESSIONAL CONDUCT REWRITE COMMITTEE (1997) FILE

Records concerning the 1997 Committee to Revise the Rules of Professional Conduct. File includes agendas, reports, and other related records.

DISPOSITION INSTRUCTIONS: Transfer after 15 years to the State Records Center. Records will be held for agency in the State Records Center for an additional 10 years and then transferred to the custody of the Archives.

**NORTH CAROLINA STATE BAR
ETHICS**

**ITEM 48134. COMMITTEE TO REVIEW RECOMMENDATIONS OF AMERICAN BAR ASSOCIATION
"ETHICS 2000" COMMITTEE FILE**

Records concerning activities of the committee. File includes agendas, reports, and other related records. (Committee was active from 2001 through 2003.)

DISPOSITION INSTRUCTIONS: Transfer after 15 years to the State Records Center. Records will be held for agency in the State Records Center for 10 additional years and then transferred to the custody of the Archives.

NORTH CAROLINA STATE BAR EVENTS

ITEM 3232. COUNCIL MEMBERS FILE

Records concerning the Council of the State Bar. File includes election information, oaths of office, and other related records.

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

ITEM 3235. COUNCIL MEETINGS FILE

Records concerning the planning of each council meeting of the State Bar. File includes reports, programs of annual meetings, meeting notifications, and other related records. File also includes agendas, hotel contracts, invitations, listings, responses to invitations, programs, and recordings of meetings.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years. Destroy records currently being held in the State Records Center 5 years from date of record.

ITEM 48662. NORTH CAROLINA STATE BAR AND DISTRICT BAR MEETING FILE

Records concerning the three district bar meetings planned by the State Bar each year. File includes meeting agendas, correspondence, meeting notifications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

NORTH CAROLINA STATE BAR FINANCIAL

ITEM 20932. AUDIT REPORTS FILE

Reference copies of audit reports of the North Carolina State Bar.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 years.

ITEM 20933. FINANCIAL STATEMENTS FILE

Records concerning the monthly financial status of the Bar. File includes bank reconciliations, bank statements, canceled checks, correspondence, journal entries, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 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 20943. QUARTERLY BUDGET AND FINANCE REPORT FILE

Quarterly financial reports of the State Bar. File includes proposed budgets, supplements to financial reports, budget committee records, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 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 20970. OFFICE EQUIPMENT FILE

Reference copies of brochures and pamphlets describing office equipment.

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

ITEM 48660. NEW YEAR MEMBERSHIP DUES POSTING REPORT FILE

Records concerning transaction report showing all dues (membership, interstate, etc.) posted to members' accounts by State Bar identification number. File includes reports that forecast all expected revenue for the upcoming year and used extensively in the audit process.

DISPOSITION INSTRUCTIONS: Transfer to the Quarterly Budget and Finance Report File (Item 20943) after 1 year.

**NORTH CAROLINA STATE BAR
HUMAN RESOURCES**

ITEM 45703. PERSONNEL FILE

Records concerning employees of the State Bar. File includes applications, resumes, personnel action forms, and other related records. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 30 years after employee terminates service.

**NORTH CAROLINA STATE BAR
INTEREST ON LAWYERS TRUST ACCOUNTS (IOLTA) PROGRAM**

ITEM 45713. AUDIT REPORTS FILE

Audits of the Interest on Lawyers Trust Accounts (IOLTA) program.

DISPOSITION INSTRUCTIONS: Retain in office 1 copy permanently. Destroy in office remaining records after 1 year.

ITEM 45714. BANK REMITTANCE REPORTS FILE

Reports concerning monthly amounts remitted to the program. Data is entered into Interest on Lawyers Trust Accounts (IOLTA) Database (Electronic) File (Item 48092).

DISPOSITION INSTRUCTIONS: Destroy in office after 6 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 45715. BOARD OF TRUSTEES FILE

Records in paper and electronic formats concerning the trustees. File includes correspondence, oaths of office, and other related records.

DISPOSITION INSTRUCTIONS: Function and records transferred to Board of Trustees Meeting File (Item 45716). Return records held in the State Records Center as of August 1, 2016 immediately to the agency.

ITEM 45716. BOARD OF TRUSTEES MEETINGS FILE

Records concerning meetings of the trustees. File includes meeting minutes, handouts, agendas, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Retain minutes and handouts in office permanently. Destroy in office remaining records when reference value ends.

ITEM 45717. STATUS FORMS FILE

Completed status forms, other forms, and correspondence authorizing the conversion of attorney trust accounts to Interest on Lawyers' Trust Accounts (IOLTA) program accounts. Records are scanned into Interest on Lawyers Trust Accounts (IOLTA) Database (Electronic) File (Item 48092).

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 45718. IOLTA EXECUTIVE DIRECTOR'S CORRESPONDENCE FILE

Correspondence, including email, of the executive director.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 45719. FINANCIAL STATEMENTS FILE

Records concerning the financial status of the board. File includes bank reconciliations, statements, canceled checks, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 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 45720. GRANTS FILE

Records concerning grant applications funded by the IOLTA program. File includes grant agreements, reports, payment verifications, correspondence, and other related records. File also includes rejected applications. Records are scanned into Interest on Lawyers Trust Accounts (IOLTA) Database (Electronic) File (Item 48092). (*Agency note: records held electronically in Web Grants system.*)

DISPOSITION INSTRUCTIONS: Destroy in office 10 years after grant ends. Destroy records held in the State Records Center as of August 1, 2016 8 years from date received.

**NORTH CAROLINA STATE BAR
INTEREST ON LAWYERS TRUST ACCOUNTS (IOLTA) PROGRAM**

ITEM 45721. PROGRAM FILE

Records concerning the National Association of Interest on Lawyers' Trust Accounts (IOLTA) Programs (NAIP), the American Bar Association (ABA) Commission on IOLTA, the North Carolina State Bar, the North Carolina Bar Association, and other organizations. File includes correspondence, meeting materials, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 45723. PERSONNEL FILE

Records concerning Interest on Lawyers Trust Accounts (IOLTA) employees. File includes applications, resumes, personnel action forms, and other related records. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Human Resources, Personnel File (Item 45703).

ITEM 48013. STATE FUNDS PAID TO OTHER ORGANIZATIONS FILE

Records in paper and electronic formats concerning state grant funds paid to other organizations. File includes bank statements, checks, reports, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 5 years after close of the grant 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 48014. REPORTS OF STATE FUNDS PAID TO OTHER ORGANIZATIONS DATABASE (ELECTRONIC) FILE

Reports concerning state grant funds paid to other organizations. File includes correspondence, required documentation, and reports from legal aid organizations.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to State Funds Paid to Other Organizations File (Item 48013).

ITEM 48092. INTEREST ON LAWYERS TRUST ACCOUNTS (IOLTA) ADMINISTRATIVE AND HISTORY DATABASE (ELECTRONIC) FILE

Records concerning the history of participating account transactions and grant records. File includes firm account, trust account, completed decision forms, and grantee data. Data are entered into this database from Bank Remittance Reports File (Item 45714), Status Forms File (Item 45717), and Grants File (Item 45720). (Agency note: records held electronically in Fortis system.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office monthly remittance reports to the program after 6 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. Retain grant, grantee data, and completed status forms with pertinent account information in office permanently.

**NORTH CAROLINA STATE BAR
LAWYER ASSISTANCE PROGRAM**

ITEM 20963. LAWYER ASSISTANCE PROGRAM FILE

Records concerning rehabilitation and mental health assistance for lawyers. File includes correspondence, reports, surveys, resolutions, recommendations, reference publications, and other related records. (Comply with applicable provisions of G.S. 122C and 130A regarding the confidentiality of mental health records.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 45701. LAWYER ASSISTANCE PROGRAM CASE FILE

Records concerning rehabilitation assistance received by attorneys. File includes orders, exhibits, correspondence, reports, resolutions, recommendations, and other related records. (Comply with applicable provisions of G.S. 122C and 130A regarding the confidentiality of mental health records.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 48089. LAWYER ASSISTANCE PROGRAM DATABASE (ELECTRONIC) FILE

Electronic records concerning attorneys who seek assistance from the Lawyer Assistance Program. Electronic file includes contact information, progress in program, and other related data. (Comply with applicable provisions of G.S. 122C and 130A regarding the confidentiality of mental health records.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 5 years after attorney's treatment and counseling ends.

ITEM 49687. LAWYER ASSISTANCE PROGRAM BOARD MEETING FILE

Records in paper and electronic formats, including e-mail, concerning meetings of the board. File includes agendas, handouts, notes, meeting minutes, correspondence, reports, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office agendas and meeting minutes permanently. Destroy in office remaining paper and electronic records after 5 years.

ITEM 49688. LAWYER ASSISTANCE PROGRAM MEETINGS AND WORKSHOPS FILE

Records concerning program meetings and workshops. File includes attendance records, handouts, copies of notes, invitations, brochures, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office attendance records and handouts after 10 years. Destroy in office remaining records after 5 years.

NORTH CAROLINA STATE BAR MEMBERSHIP

ITEM 3247. PROFESSIONAL ORGANIZATIONS REGISTRATION FILE

Records concerning registration of professional corporations, professional limited liability companies, and interstate law firms by North Carolina lawyers. File includes correspondence, certificates of registration, renewal applications, and other related records. Data is entered into the Membership History Database (Electronic) File (Item 48083).

DISPOSITION INSTRUCTIONS: Destroy in office after data has been entered into the database and all quality control procedures have been performed.

ITEM 20946. BAR MEMBER LICENSES FILE

Records concerning the application for and maintenance of membership in the State Bar. File includes application files received from the Board of Law Examiners, correspondence, social security numbers, reports, petitions for classification, special status requests and decisions, character references, applications, and other related records. (Comply with applicable provisions of G.S. 84-24 and 27 NCAC 01B.0129 and 5 USC Section 552a regarding the confidentiality of records.)

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center 6 months after receipt from the North Carolina Board of Law Examiners. Records will be held for agency in the State Records Center 75 additional years and then destroyed. Scan records received after license file has been sent to the State Records Center, such as petitions for classification, special requests, and decisions, into Membership History Database (Electronic) File (Item 48083). Destroy in office paper copies of scanned records when all quality control procedures have been completed.

ITEM 20953. REGISTRATION CARDS FILE

Cards concerning attorneys' vital statistics at the time of licensure. File includes each attorney's name, address, date individual was sworn in as an attorney, specialties, bar associations, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy all records immediately.

ITEM 20965. CERTIFICATIONS FROM THE N.C. BOARD OF LAW EXAMINERS

List of certifications from the N.C. Board of Law Examiners naming attorneys who have been licensed and/or admitted to the State Bar.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 45687. ADMINISTRATIVE COMMITTEE FILE

Records concerning the operations of the committee. File includes meeting minutes, reports, agendas, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office meeting minutes permanently. Destroy in office agendas after 5 years. Destroy in office remaining records when administrative value ends.

ITEM 45710. TRADE NAME FILE

Records concerning registrations of trade names. File includes applications, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 45735. MEMBERSHIP ADMINISTRATIVE DATABASE (ELECTRONIC) FILE

Records concerning the activity of each member. File includes members' names, contact information, license status, license dates, dues payments, and other related data.

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

NORTH CAROLINA STATE BAR MEMBERSHIP

ITEM 48083. MEMBERSHIP HISTORY DATABASE (ELECTRONIC) FILE

Records concerning the history of each member. File includes application files received from the Board of Law Examiners, State Bar members' applications, letters of reference, social security numbers, attorney's criminal background checks, reports, petitions for classification, special status requests and decisions, and other related records. Data are scanned into this database from Bar Member Licenses File (Item 20946), Professional Organizations File (Item 3247), and Membership Compliance File (Item 48656). (Comply with applicable provisions of 5 USC 552a regarding the confidentiality of records maintained on individuals and G.S. 84-24 regarding the confidentiality of records compiled by the Board of Law Examiners.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office attorney history records 25 years after death of attorney. Destroy in office professional organization records 7 years after professional organization dissolves.

ITEM 48656. MEMBERSHIP COMPLIANCE FILE

Records in paper and electronic formats concerning membership compliance. File includes notices to show cause, suspension orders, and proof of service (green cards or electronic notifications) issued to lawyers for failing to comply with membership, continuing legal education, Interest on Lawyers Trust Accounts (IOLTA), and/or local judicial district State Bar requirements.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic copies of notices to show cause and/or suspension orders for members who comply, 1 year after compliance. Destroy in office paper and electronic copies of all notices to show cause and suspension orders for members who are suspended one year after suspension date and notice is scanned into Membership History Database (Electronic) File (Item 48083) and all quality controls have been performed. Destroy in office notices and orders unable to be served (returned unclaimed or refused) 6 years after notices are mailed.

ITEM 48657. RETURNED MEMBERSHIP INVOICE FILE

Records concerning the payment of annual membership fees and certification of information. File includes notices of amount owed for annual membership fees, mandatory insurance and Interest on Lawyers Trust Accounts (IOLTA) certifications, military status, judicial district, and address information. Records are scanned into the Returned Membership Invoice Database (Electronic) File (Item 48658).

DISPOSITION INSTRUCTIONS: Destroy in office 90 days after quality controls have been performed.

ITEM 48658. RETURNED MEMBERSHIP INVOICE DATABASE (ELECTRONIC) FILE

Electronic records concerning the payment of annual membership fees and certification of information. Electronic file includes amounts owed for annual membership fees, and Interest on Lawyers Trust Accounts (IOLTA) certifications, military status, judicial district, and address/email information. Records are scanned into this database from the Returned Membership Invoice File (Item 48657). (File maintenance and backup procedures are conducted by the Computer Systems Administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 10 years.

ITEM 48659. MEMBERSHIP (TEMPORARY) FILE

Records concerning members of the North Carolina State Bar. File includes address changes, judicial district changes, correspondence regarding withdrawal of petitions, and other related correspondence. Data is entered into the Membership Administrative Database (Electronic) File (Item 45735).

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after quality controls have been performed.

**NORTH CAROLINA STATE BAR
MEMBERSHIP**

ITEM 48667. MEMBERSHIP DEPOSIT SUMMARY REPORTS FILE

Records concerning payments of annual membership dues. File includes dues notices, processing deposit batch reports with date and total dollars processed, notes from processor (filed by date order), and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 6 years after data has been entered into the Membership Administrative Database (Electronic) File (Item 45735) and all quality controls have been performed.

NORTH CAROLINA STATE BAR PARALEGAL CERTIFICATION

ITEM 47995. PARALEGAL ADMINISTRATIVE DATABASE (ELECTRONIC) FILE

Records concerning the admission of individuals as certified paralegals. File includes names, contact information, and other related data. Data are entered into this database from the Paralegal Certification Application File (Item 48085).

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy individual paralegal's records in office 3 years after the paralegal is no longer certified.

ITEM 47996. PARALEGAL CERTIFICATION EXAMINATIONS FILE

Records concerning examinations for paralegal certification. File includes applicant lists, a final copy of examination, answer key for each examination given, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

ITEM 47998. PARALEGAL CORRESPONDENCE FILE

Records concerning the activities of the Paralegal Board. File includes board correspondence, committee lists, advertising, professional development plans, revoked certifications, rule changes, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 47999. CONTINUING PARALEGAL EDUCATION (CPE) FILE

Records concerning accreditation of CPE activities. File includes applications and correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 48000. QUALIFIED PARALEGAL STUDIES FILE

Records concerning accreditation of Qualified Paralegal Studies Programs. File includes applications and correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office upon termination of program or 2 years after the program is no longer qualified.

ITEM 48001. PARALEGAL BOARD MEETINGS FILE

Records concerning the meetings of the Paralegal Board. File includes minutes of meetings, agendas, handouts, notes, and other related records.

DISPOSITION INSTRUCTIONS: Retain minutes in office permanently. Destroy in office remaining records after 5 years.

ITEM 48085. PARALEGAL CERTIFICATION APPLICATION FILE

Records concerning paralegal certifications. File includes applications, correspondence, including e-mail, renewal applications, and other related records. Data is entered into the Paralegal Administrative Database (Electronic) File (Item 47995) and the Paralegal History Database (Electronic) File (Item 48666).

DISPOSITION INSTRUCTIONS: Destroy in office 30 days after data is entered into databases and all quality control procedures have been performed.

ITEM 48666. PARALEGAL HISTORY DATABASE (ELECTRONIC) FILE

Electronic records concerning paralegal certifications. Electronic file includes applications, correspondence, including e-mail, renewal applications, and other related data.

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office individual paralegal's records 3 years after paralegal is no longer certified.

**NORTH CAROLINA STATE BAR
PRO HAC VICE**

ITEM 47991. PRO HAC VICE ATTORNEY FILE

Records concerning the admission of out-of-state attorneys to practice in a North Carolina court for a particular case. File includes registration statement, motion, order, statement of tax reporting, and other related records. Portion of data is entered into Pro Hac Vice Administrative Database (Electronic) File (Item 47992). Data is scanned into Pro Hac Vice History Database (Electronic) File (Item 48084).

DISPOSITION INSTRUCTIONS: Destroy in office 30 days after data is scanned into the Pro Hac Vice History Database (Electronic) File (Item 48084) and all quality controls have been performed.

ITEM 47992. PRO HAC VICE ADMINISTRATIVE DATABASE (ELECTRONIC) FILE

Electronic records concerning the admission of out-of-state attorneys to practice in a North Carolina court for a particular case. Electronic file includes each attorney's name, contact information, and other related data. Data is entered into this database from Pro Hac Vice Attorney File (Item 47991).

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 3 years after case is resolved.

ITEM 48084. PRO HAC VICE HISTORY DATABASE (ELECTRONIC) FILE

Electronic records concerning the admission of out-of-state attorneys to practice in a North Carolina court for a particular case. Electronic file includes registration statement, motion, order, statement of tax reporting, and other related records. Data is scanned into this database from the Pro Hac Vice Attorney File (Item 47991.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 3 years after case is resolved.

NORTH CAROLINA STATE BAR PUBLICATIONS

ITEM 20969. ADVERTISERS' FILE

Reference copies of data concerning advertisements placed in the State Bar "Journal." File includes correspondence and names and addresses of prospective advertisers.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 48015. NORTH CAROLINA STATE BAR JOURNAL AND LAWYER'S HANDBOOK

Records concerning publications of the North Carolina State Bar. File includes reference copies of the North Carolina State Bar Journal, Lawyer's Handbook, and other publications.

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

ITEM 48127. PUBLICATIONS WORKING FILE

Records in paper and electronic formats concerning the preparation of publications generated by the North Carolina State Bar. File includes submitted articles, correspondence, biographies, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

NORTH CAROLINA STATE BAR SPECIALIZATION

ITEM 45707. SPECIALIZATION CERTIFICATION EXAMINATIONS (EXECUTED) FILE

Records concerning examinations for specialization qualifications. File includes applicant lists, completed examinations, examination results, correspondence, and other related records. (Comply with applicable provisions of 27 NCAC 01D .1720 regarding the confidentiality of specialization qualification records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 45708. SPECIALIZATION CORRESPONDENCE FILE

Records concerning the activities of the Board of Legal Specialization. File includes correspondence relating to the daily activities of the Board.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 45709. SPECIALIZATION BOARD MEETINGS FILE

Records concerning meetings of the board. File includes meeting minutes, agendas, handouts, notes, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Retain meeting minutes in office permanently. Destroy agendas in office after 5 years. Destroy in office remaining records when administrative value ends.

ITEM 48002. SPECIALIZATION CERTIFICATION APPLICANT FILE

Records concerning certification of attorneys as specialists. File includes applications, correspondence, letters of exam results, most recent recertification applications, letters confirming recertifications, letters of specialization revocations, and other related records. (Comply with applicable provisions of 27 NCAC 01D.1720 regarding the confidentiality of specialization qualification records.)

DISPOSITION INSTRUCTIONS: Destroy in office 6 years after certification or recertification.

ITEM 48003. SPECIALIZATION CERTIFICATION EXAMINATIONS FILE

Records concerning administered specialization certification examinations. File includes final examinations (unexecuted) and answer keys for each examination administered.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

ITEM 48093. SPECIALIZATION ADMINISTRATIVE DATABASE (ELECTRONIC) FILE

Records concerning the certification of attorneys as specialists. File includes certification history, payment history, continuing legal education history, and other related data.

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 6 years after certification or recertification.

ITEM 48653. SPECIALIZATION PROGRAM FILE

Records in paper and electronic formats concerning the operation of the Specialization Program. File includes award nominations and award recipients, program newsletters, marketing plans, advertisements and mailings, specialist journal interviews, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years.

ITEM 48654. SPECIALIZATION DEMOGRAPHIC RECORDS FILE

Records in paper and electronic formats concerning general demographic information regarding specialists and applicants. File includes years of experience, firm size, geographic location, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office 4 years after creation of report.

NORTH CAROLINA STATE BAR SPECIALIZATION

ITEM 48655. SPECIALIZATION EXAMINATION FILE

Records in paper and electronic formats concerning examination statistics. File includes passing rates, lowest passing scores, examination feedback forms, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 4 years after date of examination.

ITEM 49689. SPECIALIZATION HISTORY DATABASE (ELECTRONIC) FILE

Records concerning specialization certification and recertification applications and examinations. File includes applications, correspondence, letters of examination results, most recent recertification applications, letters confirming recertifications, letters of specialization revocations, examinations, and other related data. Records are scanned into this database from the Specialization Certification Applicant File (Item 48002). (Comply with applicable provisions of 27 NCAC 01D.1720 regarding the confidentiality of specialization qualification records.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 4 years after date of examination.

**NORTH CAROLINA STATE BAR
OFFICE OF COUNSEL**

ITEM 3237. GRIEVANCE COMMITTEE FILE

Records in paper and electronic formats concerning the official actions of the Grievance Committee. File includes correspondence, agendas, minutes, quarterly reports, and other related records. (Comply with applicable provisions of 27 NCAC 1B.0129 and NCGS 84-32.1 regarding the confidentiality of allegations before and records of the Grievance Committee.)

DISPOSITION INSTRUCTIONS: Retain in office paper copy of minutes permanently. Destroy in office remaining paper and electronic records when administrative value ends.

ITEM 45705. RANDOM AUDIT REPORTS FILE

Records in paper and electronic formats concerning random audits of trust accounts conducted by the State Bar. File includes notices, correspondence, financial records, reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 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 48091. GRIEVANCE COMMITTEE DATABASE (ELECTRONIC) FILE

Records concerning the functions of the Grievance Committee. File includes the dates complaints are received; dates letters of notice are served; dates responses are received; and the dates and outcome of action by the Grievance Committee. Data are entered into this database from the Grievance Committee Report of Counsel File (Item 48138). (Comply with applicable provisions of 27 NCAC 1B.0129 and NCGS 84-32.1 regarding the confidentiality of allegations before and records of the Grievance Committee.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 10 years after committee decision is rendered.

ITEM 48135. COMPLAINTS IN WHICH NO GRIEVANCE FILE WAS OPENED FILE

Records concerning complaints about alleged lawyer misconduct in which no grievance file was opened. File includes complaints, correspondence with complainants, including e-mail, 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 3 years after completion of action and resolution of issues involved.

ITEM 48136. INVESTIGATIONS DEPARTMENT RECORDS FILE

Records concerning investigations of alleged attorney misconduct and alleged unauthorized practice of law. File includes bank records and client files of lawyers under investigation, investigative memoranda, collected financial records, interviews, analysis of bank records, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office records for disbarred lawyers after 7 years. Destroy in office records for lawyers who were not disbarred after 5 years. State Bar will attempt to notify lawyers in writing of pending destruction of their records and give them the opportunity to retrieve the records.

ITEM 48137. NON-SUFFICIENT FUNDS (NSF) FILE

Records concerning investigations conducted upon notification that an attorney has written a trust account check against insufficient deposits. File includes non-sufficient funds (NSF) notices from banks, communications with lawyers, bank records, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 6 years after notice is received.

**NORTH CAROLINA STATE BAR
OFFICE OF COUNSEL**

ITEM 48138. GRIEVANCE COMMITTEE REPORT OF COUNSEL FILE

Records concerning grievances against lawyers. File includes complaints with supporting documentation, responses with supporting documentation, correspondence, investigative memoranda, reports of Counsel to the Grievance Committee, and other related records. Records are scanned into Grievance Committee Report of Counsel History Database (Electronic) File (Item 48139). (Comply with applicable provisions of 27 NCAC 1B.0129 and NCGS 84-32.1 regarding confidentiality of allegations before and records of the Grievance Committee.)

DISPOSITION INSTRUCTIONS: Destroy in office records of deceased attorneys after notice of death. Destroy in office dismissed grievance records after 1 year. Destroy in office records of grievances resulting in a letter of warning after 3 years. Transfer remaining records to the State Records Center after 10 years. Records will be held for agency in the State Records Center 25 additional years and then destroyed.

**ITEM 48139. GRIEVANCE COMMITTEE REPORT OF COUNSEL HISTORY DATABASE
(ELECTRONIC) FILE**

Records concerning grievances against lawyers. File includes complaints, responses with supporting documentation, Reports of Counsel to the Grievance Committee, and other related data. Records are scanned into this database from the Grievance Committee Report of Counsel File (Item 48138). (Comply with applicable provisions of 25 NCAC, Rule 1.6 regarding confidentiality of attorney-client communications and applicable provisions of 27 NCAC 1B.0129 and NCGS 84-32.1 regarding confidentiality of allegations before and records of the Grievance Committee.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office when administrative value ends.

**NORTH CAROLINA STATE BAR
OFFICE OF COUNSEL
ATTORNEY CLIENT ASSISTANCE PROGRAM**

ITEM 45690. ATTORNEY - CLIENT ASSISTANCE PROGRAM FILE

Records concerning complaints and dispute resolutions. File includes completed case files, correspondence, and other related records. Data are entered into the Attorney - Client Assistance Database (Electronic) File (Item 48082).

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after completion of disciplinary action. Destroy in office records not requiring disciplinary action after 2 years.

ITEM 45699. FEE DISPUTE FACILITATION CASE FILE

Records concerning petitions for fee dispute facilitation. File includes petitions, responses, closed case files, correspondence, notes, and other related records. Data are entered into the Attorney - Client Assistance Database (Electronic) File (Item 48082).

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after completion of disciplinary action. Destroy in office records not requiring disciplinary action 3 years after closing file.

ITEM 48082. ATTORNEY - CLIENT ASSISTANCE DATABASE (ELECTRONIC) FILE

Records concerning complaints and dispute resolutions. File includes phone logs, staff notes, correspondence, fee disputes, and other related data. Data is entered into this database from Attorney - Client Assistance Program File (Item 45690) and Fee Dispute Facilitation Case File (Item 45699).

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 5 years after completion of disciplinary action. Destroy in office records not requiring disciplinary action when reference value ends.

**NORTH CAROLINA STATE BAR
OFFICE OF COUNSEL
AUTHORIZED PRACTICE**

ITEM 3236. AUTHORIZED PRACTICE COMMITTEE FILE

Records concerning official actions of the Authorized Practice Committee. File includes agendas, memoranda, minutes, disposition letters, correspondence, reports of counsel, closing letters, replies, and other related records. File also includes records from the predecessor committee, Consumer Protection Committee.

DISPOSITION INSTRUCTIONS: Retain in office agendas, disposition and closing letters, memoranda, and minutes permanently. Destroy in office remaining records after 3 years.

ITEM 20949. AUTHORIZED PRACTICE COURT CASE FILE

Records concerning litigation conducted by the Office of Counsel in court regarding allegations of unauthorized practice of law. File includes pleadings, evidence, orders, correspondence, briefs, appellate records, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office final court orders permanently. Destroy in office remaining records 10 years after last action taken in case.

ITEM 45704. PREPAID LEGAL SERVICES FILE

Records concerning prepaid legal service plans. File includes registrations, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after plan operation ceases.

ITEM 48010. AUTHORIZED PRACTICE OPINION FILE

Records in paper and electronic formats concerning inquiries and responses regarding hypothetical questions about what constitutes the practice of law. File includes reports, correspondence, agendas, opinions, recommendations, findings, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 15 years after committee issues response.

ITEM 48011. AUTHORIZED PRACTICE REPORT OF COUNSEL FILE

Records concerning recommendations by the Office of Counsel to the Authorized Practice Committee. File includes complaints with supporting documentation, letters of notice, responses with supporting documentation, investigative memoranda, reports of the Office of Counsel to the Committee, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 15 years after file reviewed by the Committee.

ITEM 48094. AUTHORIZED PRACTICE DATABASE (ELECTRONIC) FILE

Records concerning investigations of possible unauthorized practice of law. File includes receipt of complaints, service of letters of notice, receipt of responses, and disposition of complaint.

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office when administrative value ends.

**NORTH CAROLINA STATE BAR
OFFICE OF COUNSEL
CLIENT SECURITY FUND**

ITEM 45691. CLIENT SECURITY FUND BOARD FILE

Records concerning the activities of the board. File includes agendas, subrogation reports, meeting minutes, notes, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Retain minutes in office permanently. Destroy in office remaining records when administrative value ends.

ITEM 45692. CLIENT SECURITY FUND FILE

Records concerning claims filed. File includes pleadings, reimbursement and subrogation records, denied claims, applications, investigations, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office denied claims after 3 years. Destroy in office remaining records when administrative value ends.