

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

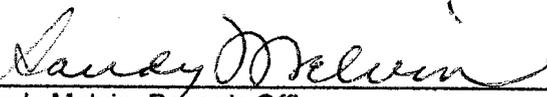
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention 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 electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

The

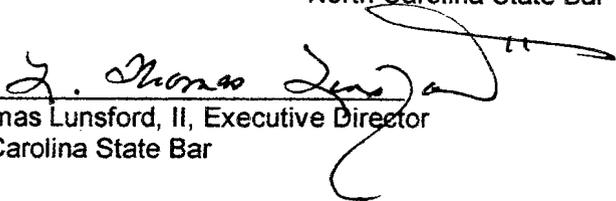
NORTH CAROLINA STATE BAR

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 This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



Sandy Melvin, Records Officer  
North Carolina State Bar

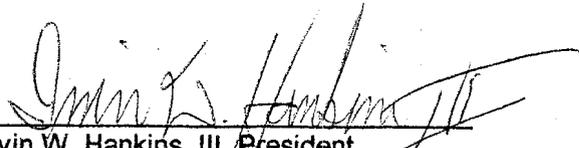


L. Thomas Lunsford, II, Executive Director  
North Carolina State Bar



David Brook, Director  
Division of Historical Resources

APPROVED



Irvin W. Hankins, III, President  
North Carolina State Bar



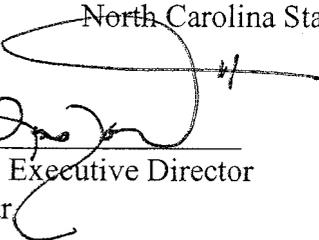
Lisbeth C. Evans, Secretary  
Department of Cultural Resources

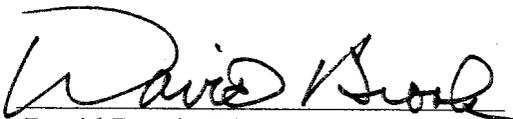
# NORTH CAROLINA STATE BAR

Amend the program records retention and disposition schedule approved May 27, 2008 by changing the disposition instructions and/or descriptions for Items 3229, 3231, 48130, 48668, 45689, 45690, 45699, 45702, 45736, 48663, 48664, 48669, 20948, 45698, 48090, 48005, 48006, 48008, 3232, 3235, 3249, 48661, 48662, 48660, 45700, 48091, 48135, 48137, 45721, 48092, 20946, 20953, 20965, 45735, 48656, 48657, 48658, 48659, 48667, 47995, 48085, 48666, 47991, 48002, 48093, 48653, 48654, 48655, and 3236 as shown on substitute page dated December 30, 2009.

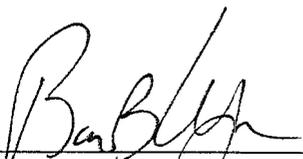
## APPROVAL RECOMMENDED

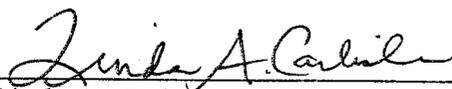
  
Sandy Melvin, Records Officer  
North Carolina State Bar

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

  
David Brook, Director  
Division of Historical Resources

## APPROVED

  
Barbara B. Weyher, President  
North Carolina State Bar

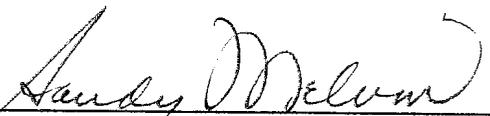
  
Linda A. Carlisle, Secretary  
Department of Cultural Resources

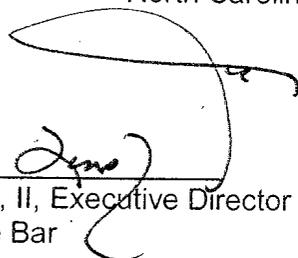
PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

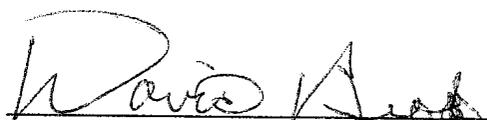
**NORTH CAROLINA STATE BAR  
DISCIPLINARY HEARING COMMISSION**

Amend the program records retention and disposition schedule approved May 27, 2008 by changing the descriptions and disposition instructions for items 20948 and 48087 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

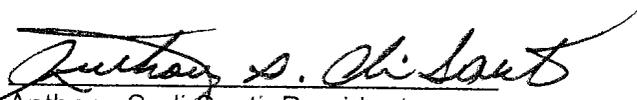
**APPROVAL RECOMMENDED**

  
Sandy Melvin, Records Officer  
North Carolina State Bar

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

  
David Brook, Director  
Division of Historical Resources

**APPROVED**

  
Anthony S. di Santi, President  
North Carolina State Bar

  
Linda A. Carlisle, Secretary  
Department of 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. Amended 12/30/09

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 stored permanently in the Archives microfilm vault. Destroy duplicate copies in the off-site storage location after the original records have been microfilmed. Retain in office 1 electronic copy permanently.

**ITEM 3230. PRESIDENT'S CORRESPONDENCE FILE.**

Correspondence in paper and electronic formats of the president of the State Bar

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. 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 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. Amended 12/30/09

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. 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 3238. AMERICAN BAR ASSOCIATION FILE.**

Records concerning the State Bar's dealings with the American Bar Association. File includes correspondence, reports, decisions, summaries of actions taken, legislative recommendations, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 3239. NORTH CAROLINA BAR ASSOCIATION FILE.**

Record and information copies of data concerning the State Bar's dealings with the North Carolina Bar Association. File includes correspondence, reports, committee minutes, listings of applicants for membership, committee listings, financial statements, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**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.

**NORTH CAROLINA STATE BAR  
ADMINISTRATION**

**ITEM 3241. DISTRICT BARS FILE.**

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

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 3242. OTHER COMMITTEES FILE.**

Records concerning ad hoc and semi-active committees of the State Bar. File includes correspondence, notifications of meetings, questionnaires, surveys, reports, recommendations, resolutions, memoranda, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Records dispersed to constituent committees as appropriate.

**ITEM 3244. EXECUTIVE COMMITTEE MEETINGS FILE.**

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

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. 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 3245. LEGISLATIVE FILE.**

Records concerning legislative efforts. File includes correspondence, reports, recommendations, recommended legislation, memorandums, and other related records.

DISPOSITION INSTRUCTIONS: Records transferred to the Executive Committee Meetings File (Item 3244).

**ITEM 3248. JUSTICE SYSTEM COMMITTEE FILE.**

Records concerning district plans for appointing lawyers to represent indigents. File includes correspondence, memorandums, reports, and other related records.

DISPOSITION INSTRUCTIONS: Function and records transferred to Indigent Defense Services Agency in Durham, NC.

**ITEM 20952. LAW REVIEW FILE.**

Records concerning the publication of the "Law Review." File includes working papers, listings of subscribers, drafts of articles, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 20960. LOCAL BAR ASSOCIATION FILE.**

Records concerning local bar associations. File includes correspondence, reports, speeches, committee listings, news clippings, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 20961. OTHER STATE BARS FILE.**

Record and information copies of data concerning the state bars of other states. File includes correspondence, legal opinions, codes, rules and regulations, and reference materials.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**NORTH CAROLINA STATE BAR  
ADMINISTRATION**

**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 45705. RANDOM AUDIT REPORTS FILE.**

Records 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 or disciplinary action involving the records has been initiated. If litigation or disciplinary action has been initiated, destroy in office 6 years after the last activity in litigation or disciplinary action.

**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.

**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 in paper and electronic formats concerning various activities of the assistant executive directors with boards, departments, and the North Carolina State Bar. File includes memoranda providing legal opinions, committee agendas, correspondence, and other related records.  
Amended 12/30/09

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when administrative value ends. Transfer paper records to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives.

**ITEM 48131. AD HOC COMMITTEE MEETINGS FILE.**

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

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper copies of meeting minutes, recommendations, and appropriate documentation to the Executive Committee Meetings File (Item 3244) once findings are reported to the Executive Committee. Destroy in office remaining records when administrative value ends.

**NORTH CAROLINA STATE BAR  
ADMINISTRATION**

**ITEM 48132. ISSUES COMMITTEE MEETINGS FILE.**

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

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Retain in office paper records of minutes permanently. Destroy in office remaining paper 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.) Amended 12/30/09

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**NORTH CAROLINA STATE BAR  
ATTORNEY - CLIENT ASSISTANCE PROGRAM**

**ITEM 45689. ATTORNEY/CLIENT ASSISTANCE COMMITTEE FILE.**

Records concerning complaints and dispute resolutions. File includes committee reports, meeting minutes, agendas, correspondence, and other related records. Amended 12/30/09

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

**ITEM 45690. ATTORNEY - CLIENT ASSISTANCE PROGRAM FILE.**

Records concerning complaints and dispute resolutions. File includes completed case files, correspondence, and other related records. Data is entered into the Attorney - Client Assistance Database (Electronic) File (Item 48082). Amended 12/30/09

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 MEDIATION CASE FILE.**

Records concerning petitions for fee dispute mediation. File includes petitions, responses, closed case files, correspondence, notes, and other related records. Data is entered into the Attorney - Client Assistance Database (Electronic) File (Item 48082). Amended 12/30/09

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.**

Electronic records concerning complaints and dispute resolutions. Electronic 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 Mediation Case File (Item 45699). (File maintenance and backup procedures are conducted by the Computer Systems Administrator.)

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 administrative value ends.

**NORTH CAROLINA STATE BAR  
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.

**ITEM 45693. CLIENT SECURITY FUND SUBROGATION FILE.**

Records concerning the collection of money to fund the recovery of paid claims to the Client Security Fund. File includes pleadings, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Records transferred to Client Security Fund File (Item 45692).

**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, sample course materials, correspondence, and other related records. File also includes applications for continuing legal education credit for specific courses.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

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

Records in paper and electronic formats of applications for accreditation of sponsors of continuing legal education courses.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 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. File also includes meeting minutes.

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 in paper and electronic formats concerning one-time approval of continuing legal education courses. File includes applications, sample course materials, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years.

**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 is 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). Amended 12/30/09

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

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

Electronic records concerning each member's continuing legal education history. Electronic file includes courses attended, credits received, future education requirements, compliance enforcement records, and other related data. Data is entered into this database from the Members' Annual Continuing Legal Education (CLE) Database (Electronic) File (Item 45702). (File maintenance and backup procedures are conducted by the Computer Systems Administrator.) Amended 12/30/09

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

**ITEM 48128. CONTINUING LEGAL EDUCATION 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.

**NORTH CAROLINA STATE BAR  
CONTINUING LEGAL EDUCATION**

**ITEM 48129. CONTINUING LEGAL 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 in paper and electronic formats 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. Amended 12/30/09

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. Amended 12/30/09

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

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

Electronic records concerning forms submitted by attorneys confirming continuing legal education courses attended. Electronic file includes legal education history, courses, credits, future education requirements, and other related data. (File maintenance and backup procedures are conducted by the Computer Systems Administrator.) Amended 12/30/09

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

**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 is entered into the Disciplinary Orders Database (Electronic) File (Item 48090). Amended 12-01-2010

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 45698. DISCIPLINARY ORDERS FILE.**

Records concerning disciplinary actions against attorneys. File includes orders of disbarment, tenders of surrender of license, and other related records. Data is entered into Disciplinary Orders Database (Electronic) File (Item 48090). Amended 12/30/09

DISPOSITION INSTRUCTIONS: Records transferred to the Disciplinary Hearing Commission File (Item 20948).

**ITEM 48087. STAFF ATTORNEY WORKING DISCIPLINARY FILE.**

Records in paper and electronic formats concerning working papers used in disciplinary cases prosecuted by the Office of Counsel. File includes correspondence, discovery, legal research, briefs, and other related records. (Official records are maintained in the Disciplinary Hearing Commission File (Item 20948).) Amended 12-01-2010

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.**

Electronic records concerning disciplinary actions by the Grievance Committee, the courts, and the Disciplinary Hearing Commission. Electronic file includes data relating to dates when disciplinary actions are commenced, concluded, and notation of content of order entered by the Disciplinary Hearing Commission. (File maintenance and backup procedures are conducted by the Computer Systems Administrator.) Amended 12/30/09

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

# NORTH CAROLINA STATE BAR ETHICS

## **ITEM 3243. ETHICS COMMITTEE FILE.**

Correspondence between attorneys, the State Bar Ethics Counsel, and the Ethics Committee concerning legal ethics. File includes notes of committee meetings, opinions, and other related records.

DISPOSITION INSTRUCTIONS: Records transferred to the Ethics Correspondence File (Item 48005).

## **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.**

Records in paper and electronic formats of correspondence of lawyers, including e-mail, Ethics Committee members, and staff. File includes routine communications, notes of committee meetings, opinions, and other related records. Amended 12/30/09

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 7 years.

## **ITEM 48006. 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).) Amended 12/30/09

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. Amended 12/30/09

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

## **ITEM 48009. ETHICS PHONE LOG DATABASE (ELECTRONIC) FILE.**

Electronic records concerning phone inquiries from attorneys regarding ethics questions. Electronic file includes names, contact information, advice given, and other related data. Data is 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.

**NORTH CAROLINA STATE BAR  
ETHICS**

**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.

**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. Amended 12/30/09

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 3233. STATE BAR ANNUAL MEETING FILE.**

Record and information copies concerning annual meetings of the North Carolina State Bar. File includes agendas, invitations, listings, responses to invitations, programs, and other related records.

DISPOSITION INSTRUCTIONS: Records transferred to the Council Meetings File (Item 3235).

## **ITEM 3235. COUNCIL MEETINGS FILE.**

Records in paper and electronic formats 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. Amended 12/30/09

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 10 years. Destroy records currently being held in the State Records Center 10 years from date of record.

## **ITEM 3249. COUNCIL MEMBERS OATH FILE.**

Record copies of oaths signed by all council members of the North Carolina State Bar upon taking office. Amended 12/30/09

DISPOSITION INSTRUCTIONS: Records transferred to the Council Members File (Item 3232).

## **ITEM 48661. OFFICERS' MEETING AND TRAVEL INFORMATION FILE.**

Records in paper and electronic formats concerning meetings, including the American Bar Association, Southern Conference of Bar Presidents, NC Bar Association, etc., attended by State Bar officers. File includes correspondence, registration forms, hotel confirmations, flight information, and other related records. Amended 12/30/09

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

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

Records in paper and electronic formats concerning the planning of each of the three district bar meetings planned by the State Bar each year. File includes meeting agendas, correspondence, meeting notifications, and other related records. Amended 12/30/09

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

**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 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 20937. FINANCE AND AUDIT COMMITTEE FILE.**

Record copies of budget reports, proposed budgets, supplements to financial reports, and summaries of changes in cash balances.

DISPOSITION INSTRUCTIONS: Records transferred to the Quarterly Budget and Finance Report File (Item 20943).

**ITEM 20943. QUARTERLY BUDGET AND FINANCE REPORT FILE.**

Quarterly financial reports of the State Bar. File also includes budget committee records.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 20970. OFFICE EQUIPMENT FILE.**

Reference copies of brochures and pamphlets describing office equipment.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 48012. PROPERTY, PLANT AND EQUIPMENT LISTING FILE.**

Records concerning equipment and other depreciable assets. File includes asset listings, supporting documentation for current year additions and dispositions.

DISPOSITION INSTRUCTIONS: Records transferred to the Financial Statements File (Item 20933), which is now a General Schedule item.

**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. Amended 12/30/09

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

**NORTH CAROLINA STATE BAR  
GRIEVANCE**

**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 regarding the confidentiality of allegations before 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 45700. GRIEVANCE PROCEDURES REVIEW COMMITTEE FILE.**

Records concerning the review of grievance procedures. File includes correspondence, including e-mail, agendas, proposed amendments to the Discipline and Disability Rules, and other related records. Amended 12/30/09

DISPOSITION INSTRUCTIONS: Records transferred to Administration, Ad Hoc Committee Meeting File (Item 48131).

**ITEM 48091. GRIEVANCE COMMITTEE DATABASE (ELECTRONIC) FILE.**

Electronic records concerning the functions of the Grievance Committee. Electronic 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 is entered into this database from the Grievance Committee Report of Counsel File (Item 48138). (Comply with applicable provisions of 27 NCAC 1B.0129 regarding the confidentiality of allegations before the Grievance Committee.) (File maintenance and backup procedures are conducted by the Computer Systems Administrator.) Amended 12/30/09

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. Amended 12/30/09

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action.

**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. Amended 12/30/09

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

**NORTH CAROLINA STATE BAR  
GRIEVANCE**

**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. Data is entered into Grievance Committee Report of Counsel History Database (Electronic) File (Item 48139). (Comply with applicable provisions of 27 NCAC 1B.0129 regarding confidentiality of allegations before the Grievance Committee.)

DISPOSITION INSTRUCTIONS: 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.**

Electronic records concerning grievances against lawyers. Electronic file includes complaints, responses with supporting documentation, Reports of Counsel to the Grievance Committee, and other related data. Data is entered 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.) (File maintenance and backup procedures are conducted by the Computer Systems Administrator.)

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

# **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 10 years after termination of employment.

**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 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 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: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. 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 45716. BOARD OF TRUSTEES MEETINGS FILE.**

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

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

**ITEM 45717. STATUS FORMS FILE.**

Completed decision forms, other forms and correspondence authorizing the conversion of attorney trust accounts to Interest on Lawyers' Trust Accounts (IOLTA) program accounts.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 45718. EXECUTIVE DIRECTOR'S CORRESPONDENCE FILE.**

Reference copies of correspondence of the executive director.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative 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 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 45720. GRANTS FILE.**

Records concerning grant applications funded by the program. File includes grant agreements, reports, payment verifications, correspondence, and other related records. File also includes rejected applications. Data is entered into Interest on Lawyers Trust Accounts (IOLTA) Database (Electronic) File (Item 48092).

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 10 years after grant ends. Records will be held for agency in the State Records Center 10 additional years and then destroyed.

**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. Amended 12/30/09

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: Transfer to Human Resources, Personnel File (Item 45703) when employee terminates service.

**ITEM 48013. STATE FUNDS PAID TO OTHER ORGANIZATIONS.**

Records concerning grant funds paid to other organizations. File includes bank statements, checks, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: 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.**

Reports concerning state grant funds paid to other organizations. File includes correspondence, required documentation, reports to Interest on Lawyers Trust Accounts (IOLTA) from organizations, and reports from IOLTA to state offices.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after the 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 48092. INTEREST ON LAWYERS TRUST ACCOUNTS (IOLTA) DATABASE (ELECTRONIC) FILE.**

Electronic records concerning the history of participating account transactions and grant records. Electronic file includes firm account, trust account, and grantee data. Data is entered into this database from Bank Remittance Reports File (Item 45714) and Grants File (Item 45720). (File maintenance and backup procedures are conducted by the Computer Systems Administrator.) Amended 12/30/09

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 in office remaining records 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. Data is entered into this database by office personnel. (File maintenance and backup procedures are conducted by the Computer Systems Administrator.) (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.

# NORTH CAROLINA STATE BAR MEMBERSHIP

## **ITEM 3246. MEMBERSHIP AND FEES FILE.**

Records concerning membership in the State Bar. File includes correspondence, reports, requests and decisions for special status, petitions for classification, and other data utilized to monitor membership status and to assess dues.

DISPOSITION INSTRUCTIONS: Item discontinued. Records transferred to Bar Member Licenses File (Item 20946).

## **ITEM 3247. PROFESSIONAL ORGANIZATIONS FILE.**

Records concerning professional corporations, professional limited liability companies, and interstate law firms. File includes correspondence, registration documents, renewal applications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

## **ITEM 20938. CERTIFICATES OF GOOD STANDING FILE.**

Requests by attorneys for certificates of good standing with the North Carolina State Bar and copies of receipts for payment for those certificates.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

## **ITEM 20946. BAR MEMBER LICENSES FILE.**

Records concerning the application for and maintenance of membership in the State Bar. File includes correspondence, social security numbers, fingerprints, reports, petitions for classification, special status requests and decisions, character references, applications, and other related records. Data is entered into Membership History Database (Electronic) File (Item 48083). (Comply with applicable provisions of G.S. 84-24 and 27 NCAC 01B.0129 and 5 USC Section 552a regarding the confidentiality of records.) Amended 12/30/09

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.

## **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. Amended 12/30/09

DISPOSITION INSTRUCTIONS: Retain in office permanently.

## **ITEM 20954. INACTIVE MEMBER CARD FILE.**

Record copies of data on 3x5 cards pulled from Registration Cards File concerning each inactive member of the State Bar.

DISPOSITION INSTRUCTIONS: Records transferred to the Registration Cards File (Item 20953).

## **ITEM 20955. DISBARRED MEMBER CARD FILE.**

Record copies of data on 3x5 cards pulled from Registration Cards File concerning each disbarred member of the State Bar.

DISPOSITION INSTRUCTIONS: Records transferred to the Registration Cards File (Item 20953).

## **ITEM 20956. SUSPENDED MEMBER CARD FILE.**

Record copies of data on 3x5 cards pulled from Registration Cards File providing data concerning each suspended member of the State Bar.

DISPOSITION INSTRUCTIONS: Records transferred to the Registration Cards File (Item 20953).

**NORTH CAROLINA STATE BAR  
MEMBERSHIP**

**ITEM 20957. DECEASED MEMBERS CARDS FILE.**

Record copies of data on 3x5 cards pulled from Registration Cards File providing data concerning each deceased member of the State Bar.

DISPOSITION INSTRUCTIONS: Records transferred to the Registration Cards File (Item 20953).

**ITEM 20958. UNKNOWN STATUS MEMBER CARD FILE.**

Record copies of data on 3x5 cards pulled from Registration Cards File providing data concerning each member of the State Bar whose status or address is unknown.

DISPOSITION INSTRUCTIONS: Records transferred to the Registration Cards File (Item 20953).

**ITEM 20959. BAR MEMBERS INQUIRY FILE.**

Record copies of inquiries to the State Bar from members regarding certification requirements, payment of dues, references, and other related matters. File also includes inquiries from the State Bar regarding certifications and dues.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

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

Reference copies of certifications from the N.C. Board of Law Examiners naming attorneys who have been licensed and/or admitted to the State Bar. Amended 12/30/09

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.**

Electronic records concerning the activity of each member. Electronic file includes members' names, contact information, license status, license dates, dues payments, and other related data. Data is entered into this database by office personnel. (File maintenance and backup procedures are conducted by the Computer Systems Administrator.) Amended 12/30/09

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

**ITEM 48083. MEMBERSHIP HISTORY DATABASE (ELECTRONIC) FILE.**

Electronic records concerning the history of each member. Electronic file includes 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 is entered into this database from Bar Member Licenses File (Item 20946) and by office personnel. (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.) (File maintenance and backup procedures are conducted by the Computer Systems Administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 25 years after death of attorney.

**NORTH CAROLINA STATE BAR  
MEMBERSHIP**

**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. Amended 12/30/09

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 when member is deceased. Destroy in office notices and orders unable to be served (returned unclaimed or refused) 6 years after notices are mailed.

**ITEM 48657. RETURNED DUES NOTICES 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. Data is entered into the Returned Dues Notices Database (Electronic) File (Item 48658). Amended 12/30/09

DISPOSITION INSTRUCTIONS: Destroy in office 6 years after data has been entered into database and all quality controls have been performed.

**ITEM 48658. RETURNED DUES NOTICES DATABASE (ELECTRONIC) FILE.**

Electronic records concerning the payment of annual membership fees and certification of information. Electronic 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. Data is entered into this database from the Returned Dues Notices File (Item 48657). (File maintenance and backup procedures are conducted by the Computer Systems Administrator.) Amended 12/30/09

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 10 years from date dues are paid.

**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). Amended 12/30/09

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**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. File also includes lock box reports. Amended 12/30/09

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.**

Electronic records concerning the admission of individuals as certified paralegals. Electronic file includes names, contact information, and other related data. Data is entered into this database from the Paralegal Certification Application File (Item 48085). (File maintenance and backup procedures conducted by the Computer Systems Administrator.) Amended 12/30/09

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. PARALEGAL 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 5 years after date of meeting.

**ITEM 48036. PARALEGAL CERTIFICATION EXAMINATIONS (EXECUTED) FILE.**

Records concerning examinations for paralegal certification. File includes completed examinations.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 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). Amended 12/30/09

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

**NORTH CAROLINA STATE BAR  
PARALEGAL CERTIFICATION**

**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. (File maintenance and backup procedures are conducted by the Computer Systems Administrator.) Amended 12/30/09

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). Amended 12/30/09

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). (File maintenance and backup procedures conducted by Computer Systems Administrator.)

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.) (File maintenance and backup procedures conducted by Computer Systems Administrator.)

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: Transfer 10 or more copies (as required) of each publication to the State Documents Clearinghouse, State Library of North Carolina when received from printer, in accordance with G.S. 125-11.8 (b). Keep five copies in office for reference purposes. Destroy all other copies when reference value ends.

**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 paper and electronic records 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.) Amended 12/30/09

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 DATABASE (ELECTRONIC) FILE.**

Electronic records concerning the certification of attorneys as specialists. Electronic file includes certification history, payment history, continuing legal education history, and other related data. Amended 12/30/09

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. Amended 12/30/09

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. Amended 12/30/09

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 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. Amended 12/30/09

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 4 years after date of examination.

**NORTH CAROLINA STATE BAR  
UNAUTHORIZED PRACTICE OF LAW**

**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. Amended 12/30/09

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

**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: Print electronic records and interfile with related paper records. Transfer paper records to the State Records Center 5 years after committee issues response. Records will be held for agency in the State Records Center 10 additional years and then destroyed. Destroy in office electronic versions of records after 15 years.

**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: Transfer to the State Records Center 5 years after meeting date at which file was considered by the Committee. Records will be held for agency in the State Records Center 10 additional years and then destroyed.

**ITEM 48094. UNAUTHORIZED PRACTICE OF LAW DATABASE (ELECTRONIC) FILE.**

Electronic records concerning investigations of possible unauthorized practice of law. Electronic file includes receipt of complaints, service of letters of notice, receipt of responses, and disposition of complaint. (File maintenance and backup procedures conducted by Computer Systems Administrator.)

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