

NORTH CAROLINA CERTIFICATION BOARD FOR SOCIAL WORKERS

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

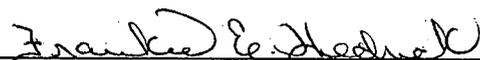
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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including machine readable records not listed in this schedule are not authorized to be destroyed.** The

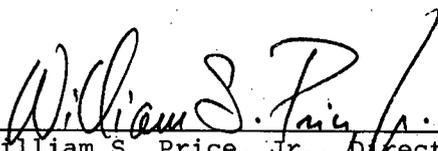
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

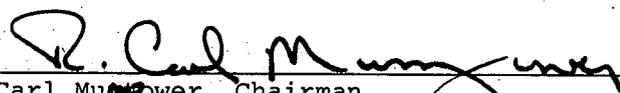


Frankie Hedrick, Secretary Treasurer
N.C. Certification Board for Social Workers

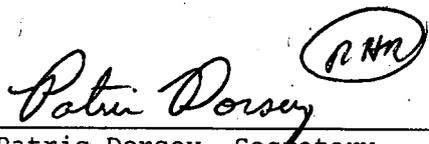


William S. Price, Jr., Director
Division of Archives and History

APPROVED



Carl Mumpower, Chairman
N.C. Certification Board for Social Workers



Patric Dorsey, Secretary
Department of Cultural Resources

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Item 31163. EXAMINATIONS (PASSED) FILE. Completed examinations and tests of applicants who passed the licensing examination.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

Item 31170. NORTH CAROLINA CERTIFICATION BOARD FOR SOCIAL WORKERS MINUTES FILE. Official minutes of the board.

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

Item 31174. SUSPENDED LICENSE FILE. Records concerning individuals whose licenses have been suspended.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 10 year(s). Records will be held for agency in the State Records Center 15 additional years and then destroyed.

Item 31172. REPORTS FILE. Reports concerning the operations of the board. File includes reports sent to board members, licensees, the Office of the Attorney General, the Secretary of State, and other interested parties.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 10 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 31173. REVOKED LICENSE FILE. Records concerning individuals whose licenses have been revoked.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 10 year(s). Records will be held for agency in the State Records Center 15 additional years and then destroyed.

Item 31171. POLICIES AND PROCEDURES FILE. Policies and procedures established by the board.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

Item 31175. UNSUCCESSFUL APPLICANTS FILE. Applications of individuals who either did not take or did not finish the licensing examination.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

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Item 31159. BOARD PUBLICATIONS FILE. Publications prepared by the board. File includes newsletters, booklets, brochures, and other related materials.

DISPOSITION INSTRUCTIONS: Transfer 5 or more copies (as required) of each publication to the State Documents Clearinghouse, North Carolina State Library, when received from printer, in accordance with G.S. 125-11.7/11.8. Destroy in office remaining copies and related records when reference value ends.

Item 31155. ASSOCIATIONS FILE. Records concerning local, state, and national associations with which the board is affiliated.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

Item 31157. AUDIT REPORTS FILE. Audit reports for the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

Item 31158. BOARD OFFICIALS' CORRESPONDENCE FILE. Correspondence concerning the implementation of board's policies. File includes correspondence of the board, executive secretary, or director.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 4 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 31156. ATTORNEY GENERAL'S OPINIONS FILE. Legal opinions and rulings prepared by the Office of the Attorney General regarding interpretations of board regulations.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 31166. LEGISLATIVE FILE. Legislative bills or information concerning legislation affecting the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

Item 31162. EXAMINATIONS (FAILED) FILE. Completed examinations and tests of applicants who failed the licensing examination.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 1 year(s). Records will be held for agency in the State Records Center 5 additional years and then destroyed.

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Item 31160. COMPLAINTS FILE. Records concerning complaints on licensed individuals or associated firms.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 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 31168. LICENSEE FILE. Records concerning individuals who have failed to renew their licenses.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

Item 31164. FINANCIAL FILE. Records concerning board budgets and expenditures. File includes requisitions, vouchers, purchase orders, invoices, paid checks, expense reimbursement records, budget reports, bank statements, cash receipts, deposit slips, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 year(s) and when released from all audits, whichever occurs later.

Item 31165. INVESTIGATIONS FILE. Investigations of licensed individuals or associated firms for suspected violations of licensing laws or regulations. File includes court cases.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 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 31161. CONTRACTS FILE. Contracts and supporting documents.

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of agreement/contract if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 31169. LICENSEE REGISTRATION FILE. Indexes of individuals licensed by the board.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 31167. LICENSE APPLICATION REQUESTS FILE. Requests for license applications.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.