

NORTH CAROLINA PSYCHOLOGY BOARD

RECORDS RETENTION AND DISPOSITION SCHEDULE

ORGANIZATIONAL NAME CHANGE

An organizational name change to this Records Retention and Disposition Schedule is hereby approved. The Records Retention and Disposition Schedule reflects an organizational change from the **North Carolina State Board of Examiners of Practicing Psychologists to North Carolina Psychology Board**. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedule dated February 27, 1998. 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 PSYCHOLOGY BOARD

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. **Public records, including machine readable records, not listed in the schedule are not authorized to be destroyed.** The

NORTH CAROLINA PSYCHOLOGY BOARD

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 This schedule is to remain in effect until superseded.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

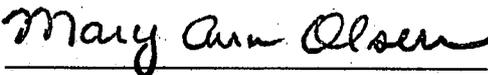


Martha N. Storie, Executive Director
North Carolina Psychology Board

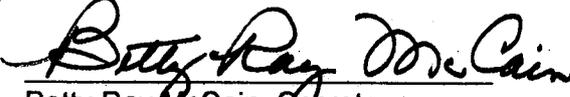


Jeffrey U. Crow, Director
Division of Archives and History

APPROVED



Mary Ann Olsen, M. S., Chairperson
North Carolina Psychology Board



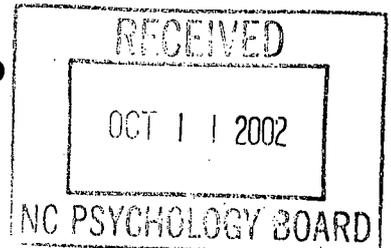
Betty Ray McCain, Secretary
Department of Cultural Resources

April 30, 1998

LLBH

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

NORTH CAROLINA PSYCHOLOGY BOARD



Amend the program records retention and disposition schedule approved May 24, 2002 by changing the disposition instructions for Item 17044 as shown on substitute page dated October 11, 2002.

APPROVAL RECOMMENDED

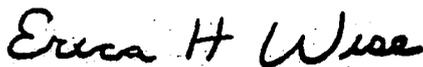


Martha N. Storie, Executive Director
North Carolina Psychology Board



David J. Olson, Director
Division of Historical Resources

APPROVED



Erica H. Wise, Ph.D., Chair
North Carolina Psychology Board



Lisbeth C. Evans, Secretary
Department of Cultural Resources

October 11, 2002

AWH

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

NORTH CAROLINA PSYCHOLOGY BOARD

Amend the program records retention and disposition schedule approved April 30, 1998 by changing the disposition instructions in Item 17044 as shown on substitute page dated May 24, 2002.

APPROVAL RECOMMENDED

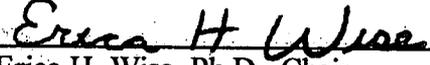


Martha N. Storie, Executive Director
North Carolina Psychology Board



David J. Olson, Director
Division of Historical Resources

APPROVED



Erica H. Wise, Ph.D., Chair
North Carolina Psychology Board



Lisbeth C. Evans, Secretary
Department of Cultural Resources

May 24, 2002

AWH

ABOUT THIS RECORDS RETENTION AND DISPOSITION SCHEDULE

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

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

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

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

For questions, please contact
Laura L. B. Hensey, Records Management Analyst
Records Services Branch,
Archives and Records Section, Division of Archives and History
215 North Blount Street
919.733.35409 (fax 919.733.3627)
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ELECTRONIC MAIL AS A PUBLIC RECORD IN NORTH CAROLINA
Guidelines for Its Retention, Disposition, and Destruction

Department of Cultural Resources
Division of Archives and History

The Division of Archives and History assumes that every state agency or other political unit in the state of North Carolina sends and receives electronic mail ("e-mail") or will shortly have the capability of doing so. E-mail (unless it is personal in nature) contains information of value concerning, or evidence of, the administration, management, operations, activities, and business of an office. Like paper records---such as the memoranda, correspondence, reports, and the hundreds of other types of records received traditionally, for example, through interoffice or U.S. mail or other avenues---e-mail has administrative, legal, reference, and/or archival values. *The content of electronic mail is a public record* (according to G.S. 121.8 and 132.1) *and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources.* This regulation, along with a current records retention and disposition schedule, is intended to provide for that guidance.

Accordingly, agencies and their offices which use e-mail should normally retain or destroy e-mail by following the provisions of a current, valid records retention and disposition schedule listing the records maintained by a particular office, filing e-mail (whether in paper or electronic format) within existing records series on their schedules and handling it according to the disposition instructions assigned to each such records series. Because of the characteristics of the medium, however, electronic mail also possesses a dual identity. E-mail is also used to transmit and receive messages which may have reference or administrative value but which are simultaneously of an ephemeral, temporary, or transient nature. As such, e-mail of this kind functions in some ways like telephone calls or telephone messages. Such messages remain public records but may be treated as having a reference or administrative value which ends when the user no longer needs the information such a record contains. E-mail of ephemeral or rapidly diminishing value may be erased or destroyed when the user has determined that its reference value has ended.

Agencies and offices need, however, to pay particular attention to the sometimes complex requirements for the retention of e-mail for longer periods of time, *i.e.* e-mail of more than transient value. E-mail in this category may be retained in electronic or paper form (the latter may in some cases be the only means of providing for archival retention, for example through microfilming of paper copies), but must be retained for as long as the period specified in a valid records schedule. If retained in paper form, the copies must retain transmission and receipt data. If electronic mail is retained in electronic form, office administrators need to insure that their electronic environment (client server, mainframe computer in or outside their agency, or office personal computer) assures the retention of e-mail for the required period of time. Office administrators may need to contact relevant personnel at SIPS (State Information Processing Services), at their own agency computer systems unit, or any other personnel who operate computer units or systems immediately or remotely, to insure that such systems process e-mail in accordance with records retention schedules and provide for backups, disaster recovery, physical and electronic security, and the general integrity of the system, its components, and the records it generates and maintains. Office administrators may also need to assure that office filing systems adequately provide for the proper classification of electronic files (including e-mail) in the same manner as currently provided for paper-based files.

Office administrators, department or unit heads, and all other state employees who use e-mail should regularly and consistently retain or delete e-mail in accord with the records series and disposition instructions, and other instructions, provided above. Retention of e-mail or any other records, whether in electronic or paper format, for longer than provided in a valid records retention and disposition schedule leads to inefficiency and waste and may subject the affected unit to legal vulnerabilities.

NORTH CAROLINA PSYCHOLOGY BOARD

Item 17040. LICENSEE REGISTRATION FILE. Indexes of individuals licensed by the board.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 41159. APPLICANTS FILE. Records concerning applicants for licensure with the Board. File includes applications, transcripts, reference and supervisor forms, and other related records. (Comply with applicable provisions of G.S. 1156-402 and 20 USCA 1232g regarding confidentiality of education records.) Amended 2-27-98

DISPOSITION INSTRUCTIONS: Transfer records concerning successful applicants to Current Licensees File (Item 17049) immediately when license is issued. Transfer remaining records to Unsuccessful Applicants File (Item 17052) immediately when application is voided.

Item 41160. UNLICENSED NON-APPLICANTS FILE. Records concerning individuals and corporations that are not licensed by the Board, and have not made application for licensure. File includes unsolicited pre-application materials, summary information about closed investigations or complaints, and other related records. Amended 2-27-98

DISPOSITION INSTRUCTIONS: Destroy in office pre-application materials after 1 year. Destroy remaining records in office after 20 years.

Item 3622. NORTH CAROLINA STATE BOARD OF EXAMINERS OF PRACTICING PSYCHOLOGISTS MINUTES FILE. Official minutes of the board.

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

Item 41040. LICENSEE RENEWAL FILE. Records concerning renewal of licensure. File includes renewal form, payment histories, and other related records. Amended 2-27-98

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

NORTH CAROLINA PSYCHOLOGY BOARD

Item 17035. INVESTIGATIONS AND COMPLAINTS FILE. Records concerning investigations or complaints involving licensed and non-licensed psychologists, applicants, and registered corporations. File includes court and administrative hearing case records. Amended 2-27-98

DISPOSITION INSTRUCTIONS: Transfer cases in which probable cause of legal and/or ethical violations is found to the State Records Center 10 years after investigation is closed. Records will be held for agency in State Records Center 10 additional years and then destroyed. Transfer immediately summaries of complaints and outcomes of cases in which probable cause of violation is not found to Current Licensees File (Item 17049), Registered Corporations File (Item 17034), Applicants File (Item 41159), or Unlicensed Non-applicants File (Item 41160) after investigation is closed. Destroy remaining records 1 year after investigation is closed.

Item 17031. CORRESPONDENCE FILE. Routine correspondence, memorandums, and surveys created and received by the office concerning day-to-day operations. File includes information regarding boards, statistics, summaries of items discussed at board meetings, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

Item 17039. INACTIVE LICENSEES FILE. Records concerning individuals who failed to renew their licenses or who chose to relinquish their licenses when there was no pending investigation or legal action.

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 after completion of action and resolution of issues involved.

Item 17037. LEGISLATIVE FILE. Legislative bills and other legislative information concerning the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

Item 17033. 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.

NORTH CAROLINA PSYCHOLOGY BOARD

Item 17030. CONTRACTS FILE. Contracts and supporting documents entered into by the board.

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 17038. LICENSE APPLICATION REQUESTS FILE. Requests for license applications.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

Item 17034. REGISTERED CORPORATIONS FILE. Records concerning corporations which have failed to renew their certificates or which chose to relinquish their certificates when there was no pending investigations or legal actions.

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 after completion of action and resolution of issues involved.

Item 17032. EXAMINATIONS SECURITY FILE. Official masters of state examinations developed and administered by the board.

DISPOSITION INSTRUCTIONS: Transfer 1 duplicate copy of each form to the State Records Center when master copy is prepared. Records will be held for agency in the State Records Center 15 additional years and then destroyed. Destroy in office master copies when reference value ends.

Item 17036. LEAVE FILE. Records concerning leave by office personnel. File includes leave requests, monthly leave reports, yearly leave recapitulations, and other related records. (Comply with applicable provisions of G.S. 126-22 regarding the confidentiality of personnel records.) Amended 2-27-98

DISPOSITION INSTRUCTIONS: Destroy in office after 5 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 17053. AUDIT REPORTS FILE. Official audit reports for the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

NORTH CAROLINA PSYCHOLOGY BOARD

Item 17050. RULE-MAKING PROCEEDINGS FILE. Records concerning rule-making hearings and information regarding review of rules.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

Item 17052. UNSUCCESSFUL APPLICANTS FILE. Records concerning individuals who did not take, did not finish, or who failed the licensing examination. File includes applications which were never completed for review or which were not approved for examination.

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 after completion of action and resolution of issues involved.

Item 4087. STATE EXAMINATIONS FILE. Completed answer sheets of individuals who took the state examination.

DISPOSITION INSTRUCTIONS: Destroy in office answer sheets for candidates who passed the state examination after 1 year. Destroy in office answer sheets for candidates who failed the state examination after 3 years, if no litigation or other official action regarding the examination has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 17027. BOARD OFFICIALS' CORRESPONDENCE FILE. Records concerning the implementation of board's policies. File includes correspondence created or received by members of the board, the Executive Director, the chairperson, and the counsel to the board.

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 17025. ASSOCIATIONS FILE. Records concerning local, state, and national associations.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

Item 17026. 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.

NORTH CAROLINA PSYCHOLOGY BOARD

Item 17028. BOARD PUBLICATIONS FILE. Publications prepared by the board. File includes newsletters, booklets, brochures, and other related material.

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 17024. APPLICATIONS FOR EMPLOYMENT FILE. Completed application forms for employment with resumes and other supporting documents received by the board.

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

Item 17047. RETIRED AND DECEASED LICENSEES FILE. Records concerning licensed psychologists who have retired or died.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

Item 17043. PAYROLL FILE. Financial records concerning salaries paid to permanent and temporary employees of the board.

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

Item 17041. OFFICE ADMINISTRATION FILE. Records concerning the management of the office. File includes service manuals for office equipment, inventory lists, service contracts, design specifications for offices and buildings, instructions for office operations, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

NORTH CAROLINA PSYCHOLOGY BOARD

Item 17049. CURRENT LICENSEES FILE. Records concerning each psychologist currently licensed by the board. File includes applications, transcripts, lists of references, and other related records.

DISPOSITION INSTRUCTIONS: Transfer records concerning retired and deceased licensees to the Retired and Deceased Licensees File when individual retires or dies. Transfer records concerning revoked and suspended licensees to the Revoked and Suspended Licenses File when individual's license is revoked or suspended. Transfer records concerning inactive licensees to the Inactive Licensees File when individual's license becomes inactive.

Item 17045. POLICIES AND PROCEDURES FILE. Records concerning the official policies and procedures of the board. File includes administrative rules and regulations.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

Item 17042. OFFICE EQUIPMENT FILE. Records concerning office equipment. File includes service records, warranty information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

Item 17046. REPORTS FILE. Records concerning the operations of the board. File includes reports sent to board members, licensees, the Attorney General, the Secretary of State, and other interested individuals.

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 17044. PERSONNEL FILE. Records concerning office personnel. File includes applications, resumes, job descriptions, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.) Amended 10-11-02

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency in the State Records Center 25 additional years and then destroyed. Destroy records currently held in the State Records Center 30 years from date of record.

NORTH CAROLINA PSYCHOLOGY BOARD

Item 17048. REVOKED AND SUSPENDED LICENSES FILE. Records concerning individuals whose licenses have been revoked or suspended due to any reason other than non-renewal.

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