

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

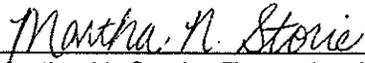
NORTH CAROLINA PSYCHOLOGY BOARD

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 This schedule is to remain in effect until superseded.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

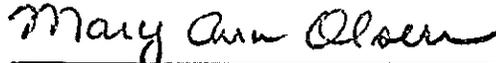


Martha N. Storie, Executive Director
North Carolina Psychology Board

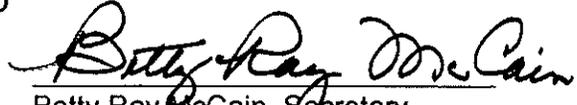


Jeffrey D. Crow, Director
Division of Archives and History

APPROVED



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



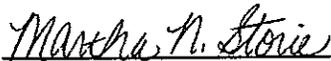
Betty Ray McCain, Secretary
Department of Cultural Resources

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

NORTH CAROLINA STATE BOARD OF EXAMINERS OF PRACTICING PSYCHOLOGISTS

Amend the records retention and disposition schedule approved September 29, 1989 by changing the disposition instructions for Items 17035 and 17036 and adding Items 41040, 41159, and 41160 as shown on substitute pages dated February 27, 1998.

APPROVAL RECOMMENDED

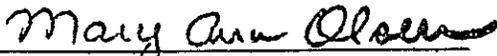


Martha N. Storie, Executive Director
North Carolina State Board of
Examiners of Practicing Psychologists

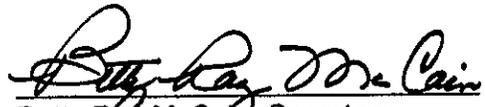


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



Mary Ann Olsen, M. S., Chairperson
North Carolina State Board of
Examiners of Practicing Psychologists



Betty Ray McCain, Secretary
Department of Cultural Resources

February 27, 1998

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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

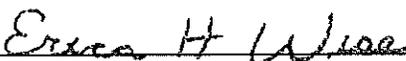


Martha N. Storie, Executive Director
North Carolina Psychology Board



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

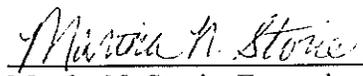
AWH

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

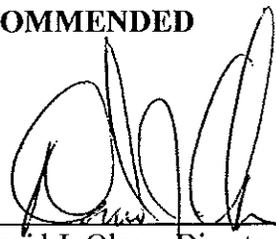
NORTH CAROLINA PSYCHOLOGY BOARD

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

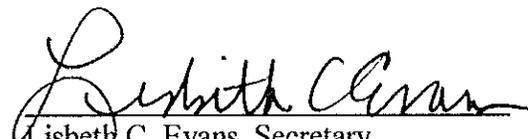


David J. Olson, Director
Division of Historical Resources

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

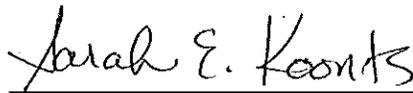
NORTH CAROLINA PSYCHOLOGY BOARD

Amend the program records retention and disposition schedule approved April 30, 1998, by changing the description and disposition instructions for the following item 3622 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

APPROVAL RECOMMENDED

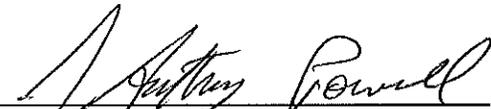


Martha N. Storie, Executive Director
North Carolina Psychology Board

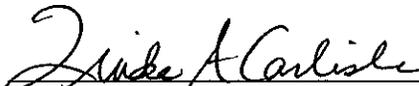


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



J. Anthony Powell, M.A., Chair
North Carolina Psychology



Linda A. Carlisle, Secretary
Department of Cultural Resources

October 29, 2012

AWH

NORTH CAROLINA PSYCHOLOGY BOARD

ITEM 3622. NORTH CAROLINA STATE BOARD OF EXAMINERS OF PRACTICING PSYCHOLOGISTS MINUTES FILE.

Official minutes of the board. File includes official signed minutes and reference copies in electronic and paper formats. Amended 10-29-2012

DISPOSITION INSTRUCTIONS: Retain signed (original) governing board minutes in office permanently. Transfer a duplicate copy of the official signed governing board minutes to the State Records Center immediately to be imaged. Agency will be responsible for cost of microfilm production. After completion of imaging and production of the microfilm, the silver-halide original microfilm will be transferred to the custody of the Archives. Paper records will be destroyed in the State Records Center after imaging. Destroy in office reference copies when reference value ends.

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 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 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.

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 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.

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 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 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 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.

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 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 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.

NORTH CAROLINA PSYCHOLOGY BOARD

ITEM 17037. LEGISLATIVE FILE.

Legislative bills and other legislative information concerning the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 17038. LICENSE APPLICATION REQUESTS FILE.

Requests for license applications.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

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 17040. LICENSEE REGISTRATION FILE.

Indexes of individuals licensed by the board.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

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.

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 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 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.

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.

NORTH CAROLINA PSYCHOLOGY BOARD

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 17047. RETIRED AND DECEASED LICENSEES FILE.

Records concerning licensed psychologists who have retired or died.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

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.

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 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 17053. AUDIT REPORTS FILE.

Official audit reports for the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

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 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.