

NORTH CAROLINA RESPIRATORY CARE BOARD

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 Respiratory Care 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 Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M. 0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

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

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

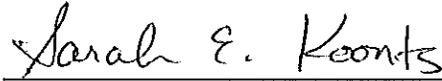
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated with specific retention periods in this program records schedule. Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.

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

APPROVAL RECOMMENDED



William Croft, Executive Director
North Carolina Respiratory Care Board

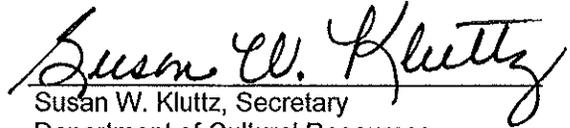


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Larry Simpson, Chairman
North Carolina Respiratory Care Board



Susan W. Kluttz, Secretary
Department of Cultural Resources

NORTH CAROLINA RESPIRATORY CARE BOARD

ITEM 50451. RESPIRATORY CARE BOARD MEMBERS FILE

Records concerning nominations and appointments to the board. File includes board nominations and appointments, correspondence, ethics training, roster of board members, recommendations, and letters of resignation.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50452. RESPIRATORY CARE BOARD MINUTES FILE

Records concerning the North Carolina Respiratory Care Board and committee meetings. File includes minutes, committee reports, and financial reports.

DISPOSITION INSTRUCTIONS: Transfer a duplicate paper copy of the official signed governing board minutes to the State Records Center after 1 year for security storage. Retain signed (original) board minutes in office permanently.

ITEM 50453. RESPIRATORY CARE (ACTIVE) LICENSEE FILE

Records concerning the issuance and maintenance of licenses. File includes original license applications, transcripts, attestation sheets, examination results, previous licenses held, correspondence including email, background checks, and other related records. File may also include complaints, evidence, investigative reports, disciplinary actions, and other related records. (Comply with applicable provisions of G.S. 90-652.(1), 132-1.1(a), 132-1.2.(2), and 132-1.10 regarding the confidentiality of background checks, interaction between the board and legal counsel, electronic payments account numbers, and social security numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office background checks after 1 year. Destroy in office disciplinary records for those granted expunction after 1 year. Destroy in office incomplete or denied applications after 2 years. Transfer inactive licensee files to Respiratory Care (Inactive) Licensee File (Item 50455) when licensee requests a hiatus. Transfer discontinued licensee files to Respiratory Care (Relinquished or Revoked) Licensee File (Item 50454) when license is relinquished by licensee or revoked by the Board. Destroyed remaining records in office after 5 years.

ITEM 50454. RESPIRATORY CARE (RELINQUISHED OR REVOKED) LICENSEE FILE

Records concerning licenses relinquished by practitioners or revoked by the Board. File includes original license applications, transcripts, attestation sheets, examination results, previous licenses held, correspondence including email, and other related records. File also includes complaints, evidence, investigative reports, disciplinary actions, and other related records. (Comply with applicable provisions of G.S. 132-1.1(a), 132-1.2.(2), and 132-1.10 regarding the confidentiality of interaction between the board and legal counsel, electronic payments account numbers, and social security numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office after 25 years.

ITEM 50455. RESPIRATORY CARE (INACTIVE) LICENSEE FILE

Records concerning licenses that are no longer active. File includes original license applications, transcripts, attestation sheets, examination results, previous licenses held, correspondence including email, and other related records. (Comply with applicable provisions of G.S. 132-1.1(a), 132-1.2.(2), and 132-1.10 regarding the confidentiality of interaction between the board and legal counsel, electronic payments account numbers, and social security numbers.)

DISPOSITION INSTRUCTIONS: Transfer reactivated licensee files to Respiratory Care (Active) Licensee File (Item 50453). Destroy remaining records in office after 5 years.

ITEM 50456. RESPIRATORY CARE LICENSEE (ELECTRONIC) FILE

Electronic records concerning brief summary of active, inactive, revoked, relinquished, and deceased licensees. File includes data fields consisting of name, contact information, credentials, license number, licensing dates, complaints, and other related information. (Comply with applicable provisions of G.S. 132-1.10 regarding the confidentiality of social security numbers.)

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

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ITEM 50457. INVESTIGATIONS FILE

Records concerning complaints or disciplinary actions brought against licensees. File includes formal complaints, correspondence, evidence, investigative reports, signed consent orders, and other related records. (Comply with applicable provisions of G.S. 132-1.10 and G.S. 132-1.1(a) and G.S. 132-1.1 regarding the confidentiality of social security numbers and the interaction between the board and legal counsel.)

DISPOSITION INSTRUCTIONS: Transfer records that result in a revoked license to Respiratory Care (Relinquished or Revoked) Licensee File (Item 50454) after disciplinary action is determined. Transfer records that result in a probation or reprimand to Respiratory Care (Active) Licensee File (Item 50453) after disciplinary action is determined.

ITEM 50458. LEGISLATIVE FILE

Records concerning statutory requirements. File includes correspondence, drafts, evidence of implementation, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50459. OFFICIAL RULES AND POLICIES FILE

Records concerning board rules and policies. File includes draft rules, correspondence regarding rule changes, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office official rules and policies permanently. Destroy in office remaining records when reference value ends.

ITEM 50460. PERSONNEL FILE

Records concerning board employees. File includes applications, resumes, job descriptions, information concerning termination of service, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

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