

**NORTH CAROLINA STATE BOARD OF DENTAL EXAMINERS**

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

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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 electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

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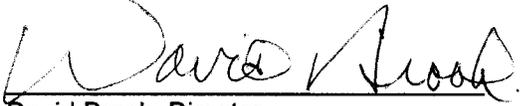
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

**APPROVAL RECOMMENDED**

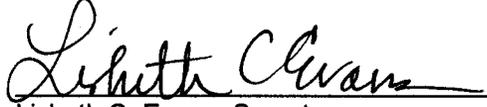
  
\_\_\_\_\_  
Lise Thompson, Records Officer  
North Carolina State Board of Dental Examiners

  
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Bobby D. White, Chief Operations Officer  
North Carolina State Board of Dental Examiners

  
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David Brook, Director  
Division of Historical Resources

**APPROVED**

  
\_\_\_\_\_  
C. Wayne Holland, DDS, President  
North Carolina State Board of Dental Examiners

  
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Lisbeth C. Evans, Secretary  
Department of Cultural Resources

April 6, 2004

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**Item 21940. NORTH CAROLINA STATE BOARD OF DENTAL EXAMINERS MINUTES FILE.** Official minutes of meetings of the board.

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. Transfer records currently being held in the State Records Center to the custody of the Archives 10 years from date of record.

**Item 21941. ELECTIONS FILE.** Records concerning elections to the North Carolina State Board of Dental Examiners. File includes petitions, notices, instructions, requirements, a sample ballot, oaths of office by elected members, tabulations of returns, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after each election. Records will be held for agency in the State Records Center 10 additional years and then destroyed.

**Item 21942. BOARD POLICIES AND BYLAWS FILE.** Records concerning board policies for licensing of dentists and dental hygienists. File includes official manual of board policies regarding board operations, examinations, meetings, regulatory activities (investigations and hearings), and bylaws adopted by the board.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when superseded or obsolete. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**Item 21944. FINANCIAL CORRESPONDENCE FILE.** Correspondence from accounting firms concerning recommendations for improvements in board's methods of bookkeeping. File also includes correspondence relating to fiscal matters.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**Item 21948. SUBJECT FILE.** Records concerning board operations and related subjects. File includes correspondence, licensing inquiries, administrative records, interpretations of laws and rules, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

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**Item 21949. HEARINGS AND DECISIONS FILE.** Records concerning board disciplinary actions of dental practices by dentists and dental hygienists. File includes complaints, transcripts of hearing proceedings, board decisions, hearing transcripts, and exhibits. (Comply with applicable provisions of G.S. 90-41 (g) regarding the confidentiality of investigative records.)

DISPOSITION INSTRUCTIONS: Destroy in office upon death of licensee concerned.

**Item 21950. DENTISTS' APPLICATIONS FILE.** Records in paper and electronic formats of requests for applications for examinations and credentialing received from individuals who subsequently took no further action towards seeking licensure. File also includes transcripts, letters of recommendation, and results of the National Board Examination. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records of requests for applications after 3 years. Destroy in office remaining paper and electronic records after 5 years.

**Item 21951. ACTIVE DENTISTS FILE.** Records in paper and electronic formats concerning each currently licensed dentist in the state. File includes applications, correspondence, school transcripts, examination scores, license numbers, National Board scores, initial date of licensure, and other related records. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer paper records of inactive dentists to Inactive Dentists File (Item 21953) when license is revoked or expires. Transfer paper records of retired or deceased dentists to Retired and Deceased Dentists File (Item 22041) when licensee retires or dies. Destroy in office electronic records when administrative value ends.

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**Item 21953. INACTIVE DENTISTS FILE.** Records in paper and electronic formats concerning formerly licensed dentists in the state whose licenses have been revoked, expired due to failure to renew, or retirement. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after death of dentist.

**Item 21954. ACTIVE PROFESSIONAL ASSOCIATIONS/PROFESSIONAL LIMITED LIABILITY COMPANY (PLLC) FILE.** Records in paper and electronic formats concerning each group of dentists who practice under professional association status. File includes correspondence, applications for certificate of registration, articles of incorporation, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years after dissolution of professional association or PLLC by the Secretary of State.

**Item 21955. DENTAL INTERN PERMIT FILE.** Records in paper and electronic formats concerning permits of individuals who are not licensed but who are graduates of approved dental schools. File includes applications, school transcripts, correspondence, and other related records. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer paper and electronic records concerning individuals who subsequently became licensed to Active Dentists File (Item 21951) when individual is licensed. Destroy in office remaining paper and electronic records after 5 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.

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**Item 21956. DENTAL APPLICANTS - FAILED AND WITHDRAWN FILE.** Records concerning applicants for dental licensure who took examination but were not licensed by reason of failure or withdrawal of request for licensure. File includes applications, transcripts, notices of failure, correspondence, and other related records. (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to the Investigative File (Item 45728).

**Item 21957. ACTIVE HYGIENISTS FILE.** Records in paper and electronic formats concerning currently-licensed dental hygienists. File includes correspondence, recommendations, notices of renewals, transcripts, applications, examination scores, and other related records. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer paper and electronic records of inactive hygienists to Inactive Hygienists File (Item 21958) when license expires or is revoked. Transfer paper and electronic records of deceased hygienists to Deceased Hygienists File (Item 22042) when licensee dies.

**Item 21958. INACTIVE HYGIENISTS FILE.** Records in paper and electronic formats concerning dental hygienists who were formerly licensed to practice in the state. File includes records of dental hygienists who failed to renew licenses. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after death of hygienist.

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**Item 21959. DENTAL HYGIENISTS - PROVISIONAL LICENSURE FILE.** Records concerning each dental hygienist who was licensed by another state but practices in North Carolina under provisional licensure status. File includes correspondence, applications, transcripts, National Board scores, and other related records. (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer records to Active Hygienists File (Item 21957) or Inactive Hygienists File (Item 21958) as appropriate after individual becomes licensed or fails to become licensed.

**Item 21960. EXAMINATION FILE.** Records concerning the administration of dental examinations and dental hygienist examinations. File includes copies of examinations, instructions, applicant lists, grader lists, memorandums to graders and applicants, final grade tabulations, examination keys, summary of examination results, and other related records. (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Retain in office permanently. Return records currently being held for agency in the State Records Center immediately.

**Item 21961. EXAMINATION ADMINISTRATION VALIDATION FILE.** Records used to prepare and compile examinations for dentists and dental hygienists.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**Item 22035. ATTORNEY GENERAL'S OPINIONS FILE.** Legal opinions and rulings prepared by the Office of the Attorney General regarding interpretations of board statutes and rules.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**Item 22036. CORRESPONDENCE FILE.** Correspondence concerning the implementation of board policies. File includes correspondence of the board and board staff.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

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**Item 22037. DENTAL HYGIENE APPLICANTS-FAILED AND WITHDRAWN FILE.** Records concerning applicants for licensure who took examination but were not licensed due to failure or withdrawal from completing the examination. (Comply with applicable provisions of 20 USCA 1232g regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to the Investigative File (Item 45728).

**Item 22038. DENTISTS-PROVISIONAL LICENSURE FILE.** Records concerning each dentist who was licensed by another state but practices in North Carolina under provisional licensure status. File includes correspondence, applications, transcripts, National Board scores, and other related records.(Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer records to Active Dentists File (Item 21951) or Inactive Dentists File (Item 21953) as appropriate after individual becomes licensed or fails to become licensed.

**Item 22039. EXAMINATION AND LICENSURE CORRESPONDENCE FILE.** Correspondence and inquiries concerning licensure for dentists and dental hygienists in North Carolina.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**Item 22040. PERSONNEL FILE.** Records concerning current board employees. File includes applications for employment, all personnel action forms, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.) (NOTE: Workers' compensation records shall not be included in official personnel files. A separate file must be maintained and retained in accordance with provisions of the Workers' Compensation Program procedures and Item G49 of the General Schedule for State Agency Records, published by the Department of Cultural Resources.)

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.

## **NORTH CAROLINA STATE BOARD OF DENTAL EXAMINERS**

**Item 22041. DECEASED DENTISTS FILE.** Records in paper and electronic formats concerning dentists who have died. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 1 year after death of licensed dentist.

**Item 22042. DECEASED HYGIENISTS FILE.** Records in paper and electronic formats concerning dental hygienists who have died. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of 20 USCA 1232g regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 1 year after death of licensed dental hygienist.

**Item 3260. LICENTIATES BOOKS FILE.** Records concerning dentists and dental hygienists licensed by board. File includes information regarding each licensee including license number, name, age, address, county of residence at time of licensure, name of dental school attended and date of graduation, date and location where each examination was administered, average grade, and other related data. (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Records transferred to Active Dentists File (Item 21951) or Active Hygienists File (Item 21957) as appropriate.

**Item 45728. INVESTIGATIVE FILE.** Records concerning complaints and investigations conducted where no disciplinary action is taken. File includes complaint forms, correspondence, investigators' reports, patient charts, and disposition of complaint. (Comply with applicable provisions of G.S. 90-41 (g) regarding confidentiality of investigative records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no disciplinary action was taken based on no violation. Destroy in office after 7 years if no disciplinary action was taken based on insufficient evidence.

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**Item 45729. GOVERNOR'S REPORTS FILE.** Annual reports of the board required to be filed with the Office of the Governor in accordance with G.S. 90-44. File includes statistics on licenses and permits issued and renewed during the year and lists of new licensees.

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 45730. ANESTHESIA/SEDATION PERMITS FILE.** Records in paper and electronic formats concerning permits issued to dentists to administer intravenous sedation or general anesthesia in their offices. File includes applications, educational background, payment history, and completed evaluation forms. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Transfer paper records to Inactive Dentists File (Item 21953) when licensee retires or Deceased Dentists File (Item 22041) when licensee dies. Destroy in office electronic records when administrative value ends.

**Item 45733. EXAMINATION DENTAL SKILLS FILE.** Records concerning individual applicants for examination and physical objects used by applicants to demonstrate dental skills. File includes examination forms, individual grade sheets, written tests, acrylic dental models, and radiographs. (Summary of applicant performance is maintained in Examination File (Item 21960).) (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.