

NORTH CAROLINA STATE BOARD OF EXAMINERS IN OPTOMETRY

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

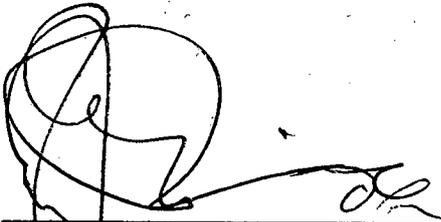
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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition 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 This schedule is to remain in effect until superseded.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



John D. Robinson, O. D., Secretary
N.C. State Board of Examiners
in Optometry

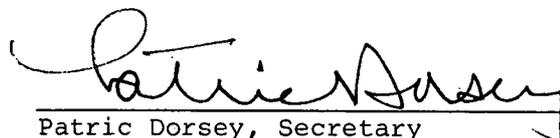


William S. Price, Jr., Director
Division of Archives and History

APPROVED



E. S. Christian, O. D., President
N.C. State Board of Examiners
in Optometry



Patric Dorsey, Secretary
Department of Cultural Resources

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Item 28987. 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 3340. MINUTES FILE. Official minutes of the licensing board.

DISPOSITION INSTRUCTIONS: Transfer copy of official, signed minutes after each board meeting to the State Records Center for security storage. Paper records will be microfilmed in the State Records Center when volume is sufficient. Microfilmed paper records will be returned to the agency and destroyed when reference value ends. Transfer original 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.

Item 29008. PERSONNEL FILE. Records concerning office personnel. File includes applications, resumes, job descriptions, performance evaluation forms, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency 25 additional years and then destroyed.

Item 29000. LEAVE FILE. Recapitulation of leave taken, balance remaining, and employees' requests for vacation or sick leave.

DISPOSITION INSTRUCTIONS: Destroy in office leave records after 4 years and when released from all audits, whichever occurs later. Destroy in office requests for leave after 1 year.

Item 29004. LICENSEES' FILE. Records concerning individuals and corporations licensed by the board. File includes initial applications for licensure, examination results, notification of licensure, and subsequent information pertinent to current licensees.

DISPOSITION INSTRUCTIONS: Transfer records concerning retired and deceased licensees to Retired and Deceased Licensee File when individual retires or dies. Transfer records concerning revoked licenses to Revoked License File when license is revoked. Transfer records concerning suspended licenses to Suspended License File when license is suspended.

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Item 29002. LICENSE APPLICATION REQUESTS FILE. Requests for license applications.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

Item 29006. OFFICE EQUIPMENT FILE. Records concerning office equipment purchased for or by the board. File includes service contracts, purchasing records, inventories of board equipment and supplies, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office service contracts and purchasing records after disposition of equipment and when released from all audits. Destroy in office inventory lists when superseded. Destroy in office remaining records when superseded or obsolete.

Item 29007. PAYROLL FILE. Financial records concerning the board's payroll.

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

Item 29003. LICENSEE REGISTRATION FILE. Chronological registry of licensees that assigns license numbers in numeric order.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 29009. POLICIES AND PROCEDURES FILE. Official policies and procedures of the board.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

Item 29001. LEGISLATIVE FILE. Legislative bills and other legislative information concerning the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

Item 29005. OFFICE ADMINISTRATION FILE. Records concerning the management of the office. File includes office space and building information, office operating instructions, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

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Item 29012. PROFESSIONAL CORPORATIONS FILE. Professional incorporation records filed initially with the Secretary of State. File includes renewal forms and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after professional corporation is dissolved or is terminated.

Item 29016. SCHOOL INFORMATION FILE. Records concerning accredited optometric institutions.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

Item 29014. RETIRED AND DECEASED LICENSEE FILE. Records concerning individuals who have retired or died.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

Item 29018. TRANSCRIPTS OF NATIONAL EXAMINATIONS FILE. Transcripts of examination results from both the National Board of Examiners in Optometry and the International Association of Boards of Examiners in Optometry which are sent to the board at the request of the candidate at the time of filing for the examinations.

DISPOSITION INSTRUCTIONS: Transfer appropriate transcripts to Licensees' File when applications for examinations are received from individuals. Destroy in office remaining transcripts after 2 years.

Item 29010. PRECEPTEE FILE. Educational information concerning optometric students who apply for and are approved for preceptorship programs within the state.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

Item 29011. PRECEPTOR FILE. Records concerning licensees making application for approval by the board as preceptors.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

Item 29019. 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 29015. REVOKED LICENSE FILE. Records concerning individuals whose licenses have been revoked.

DISPOSITION INSTRUCTIONS: Destroy in office after 20 years.

Item 29013. REPORTS FILE. Reports concerning the operations of the board. File includes reports sent to the board members, licensees, Office of the Attorney General, Secretary of State, and other interested parties.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 15 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 29017. SUSPENDED LICENSE FILE. Records concerning individuals whose licenses have been suspended.

DISPOSITION INSTRUCTIONS: Destroy in office after 20 years.

Item 28994. DUPLICATE LICENSE APPLICATION FORMS FILE. Applications for duplicate licenses for office locations other than the location of licensee's primary practice.

DISPOSITION INSTRUCTIONS: Transfer to Licensees' File when duplicate license becomes inactive or is cancelled.

Item 28990. BOARD PUBLICATIONS FILE. Publications produced 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 28998. FINANCIAL FILE. Records concerning board budget and expenditures. File includes requisitions, vouchers, purchase orders, invoices, paid checks, expense reimbursement records, budget reports, bank statements, case 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.

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Item 28996. EXAMINATIONS (FAILED) FILE. Completed examinations and test results of applicants who failed the licensing examination administered by the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years.

Item 28992. 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 28993. CORRESPONDENCE (OFFICE ADMINISTRATION) FILE. Routine correspondence created and received in the office concerning day-to-day operations.

Item 28997. EXAMINATIONS (PASSED) FILE. Completed examinations and test results of applicants who passed the licensing examination administered by the board.

DISPOSITION INSTRUCTIONS: Transfer examination results to Licensees' File when results are available. Destroy in office remaining records after 7 years.

Item 28995. EDUCATIONAL FILE. Machine readable and paper records concerning educational programs approved by the board for continuing education purposes.

DISPOSITION INSTRUCTIONS: Destroy in office paper records when administrative value ends. Retain in office electronic records permanently.

Item 28991. COMPLAINTS FILE. Records concerning complaints regarding individual optometrists and/or professional corporations.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

Item 28999. INVESTIGATIONS FILE. Investigations of licensees or professional corporations for suspected violations of licensing laws or regulations. File includes court case records.

DISPOSITION INSTRUCTIONS: Destroy in office 10 years after investigation or case is closed.

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Item 28986. ASSOCIATIONS FILE. Records concerning local, state, and national associations with which the board deals.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

Item 28984. ANNUAL LICENSE RENEWAL FORMS FILE. Records concerning annual license renewals for individuals and professional corporations. File includes license renewal forms, duplicate license renewal forms, and professional corporation renewal forms.

DISPOSITION INSTRUCTIONS: Transfer professional corporation renewal forms to Professional Corporations File when corporation is dissolved or is terminated. Destroy in office remaining records after 3 years.

Item 28989. 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 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 28985. APPLICATIONS FOR EMPLOYMENT FILE. Completed application forms for employment with resumes and other supporting documents received by the board. (Comply with applicable provisions of G.S. 126-22 regarding confidentiality of personnel records.)

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.