

**NORTH CAROLINA STATE BOARD OF OPTICIANS**

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

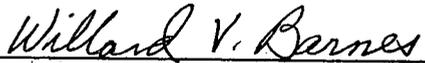
**NORTH CAROLINA STATE BOARD OF OPTICIANS**

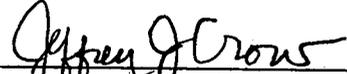
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention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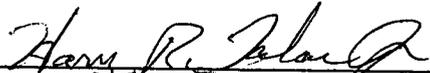
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

  
\_\_\_\_\_  
Willard V. Barnes, Administrative Director  
North Carolina State Board of Opticians

  
\_\_\_\_\_  
Jeffrey J. Crow, Director  
Division of Archives and History

APPROVED

  
\_\_\_\_\_  
Harry R. Folar, Jr., Chairman  
North Carolina State Board of Opticians

  
\_\_\_\_\_  
Betty Ray McCain, Secretary  
Department of Cultural Resources

April 19, 1996

HFH

**NORTH CAROLINA STATE BOARD OF OPTICIANS  
ADMINISTRATIVE UNIT**

**ITEM 3338. 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 3 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 3995. NORTH CAROLINA STATE BOARD OF OPTICIANS MINUTES FILE.**

Official minutes of the North Carolina State Board of Opticians. Minutes include licensure examination results and other related information. (This is an essential agency record.)

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. 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. Retain microfilm in security vault permanently.

**ITEM 28344. 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.

**ITEM 28345. ASSOCIATIONS FILE.**

Reference copies of records concerning local, state, and national associations with which the board is involved. File includes applications for membership, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**ITEM 28346. ATTORNEY GENERAL'S OPINION FILE.**

Reference copies of legal opinions and rulings prepared by the Office of the Attorney General regarding interpretations of board regulations.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 28348. COMPLAINTS (INFORMAL) FILE.**

Records concerning complaints regarding licensed individuals or associated firms. File includes correspondence related to registered complaints received by the office, reference copies of advertisements regarding complaints, and other related records.

DISPOSITION INSTRUCTIONS: Transfer records concerning unresolved complaints to Complaints (Formal) File (Item 28354) immediately after notification of second offense. Destroy in office records concerning resolved complaints after 5 years.

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ADMINISTRATIVE UNIT**

**ITEM 28349. CONTRACTS FILE.**

Contracts and supporting correspondence. File includes service contracts for office equipment and building leases.

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 28350. CORRESPONDENCE (OFFICE ADMINISTRATION) FILE.**

Routine correspondence created and received in the office concerning daily operations and requests for applications.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**ITEM 28351. FINANCIAL FILE.**

Records concerning board budget 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 28352. APPLICATIONS FOR REGISTRATION OF OPTICAL BUSINESSES FILE.**

Completed applications concerning the registration of optical businesses in North Carolina. Applications include names and addresses of optical businesses, names of business owners, names of managing opticians, telephone numbers, amounts of fees received, and other related information. Names and addresses of optical businesses, names of business owners, license numbers, names of managing opticians, telephone numbers, amounts of payments received, and other related data are entered into Optical Businesses Database (Electronic) File (Item 38550) immediately upon receipt.

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

**ITEM 28353. INSPECTIONS FILE.**

Records concerning inspection of each licensee's office, firm, or business. File includes inspection reports and correspondence regarding status of inspections.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete 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 28354. COMPLAINTS (FORMAL) FILE.**

Investigations of licensed individuals or associated firms for suspected violations of licensing laws or regulations. File includes court cases, correspondence regarding the complaints, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 year(s) after case is closed.

**ITEM 28355. LEAVE FILE.**

Records concerning leave taken by office personnel. File includes monthly leave reports, yearly leave recapitulations, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 year(s) and when released from all audits, whichever occurs later.

**NORTH CAROLINA STATE BOARD OF OPTICIANS  
ADMINISTRATIVE UNIT**

**ITEM 28356. LEGISLATIVE FILE.**

Reference copies of legislative bills.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 28357. LEGISLATIVE SALARY INCREASE LISTING FILE.**

Reference copies of listings concerning legislative salary increases for each position or pay

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 28358. LICENSE APPLICATION REQUESTS FILE.**

Requests for applications for licensed opticians, apprentices, and internships.

DISPOSITION INSTRUCTIONS: Item discontinued. Records transferred to Correspondence (Office Administration) File (Item 28350).

**ITEM 28359. 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: Item discontinued. Transfer office operating instructions to Policies and Procedures File (Item 28362) immediately. Destroy in office remaining records immediately.

**ITEM 28360. OFFICE EQUIPMENT INVENTORY FILE.**

Inventories concerning office equipment purchased for or by the board.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 28361. PERSONNEL FILE.**

Records concerning office personnel. File includes applications, resumes, job descriptions, 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.)

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 28362. POLICIES AND PROCEDURES FILE.**

Official policies and procedures of the board.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative 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 28363. REPORTS FILE.**

Reports regarding the operations of the board. File includes the reports sent to board members, licensees, Office of the Attorney General, Secretary of State, and other interested parties.

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.

**NORTH CAROLINA STATE BOARD OF OPTICIANS  
LICENSEES' UNIT**

**ITEM 3339. REVOKED LICENSES FILE.**

Records concerning individuals whose licenses have been revoked. File includes license applications, examination results, correspondence regarding revoked licensees, credentials, and other related records. (Comply with applicable provisions of 20 USCA 1232g, G.S. 115C-402, and G.S. 132-6 regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office examination results after 2 years. Destroy records currently stored in the State Records Center 5 years from date received. Transfer remaining records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 28364. APPRENTICESHIPS (ACTIVE) FILE.**

Records concerning apprentice opticians approved by the board. File includes apprenticeship applications, credentials, and other related records. Names and addresses of apprentices, names and addresses of training establishments and trainers, qualifications of trainers, dates of registration, status of apprenticeships, and other related information are entered into Opticians Database (Electronic) File (Item 38551) and/or into Training Establishments Database (Electronic) File (Item 38552) as appropriate immediately upon receipt. (Comply with applicable provisions of 20 USCA 1232g, G.S. 115C-402, and G.S. 132-6 regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer to Apprenticeships (Inactive) File (Item 28466) when the apprentice withdraws or quits apprenticeship. Transfer to Internships File (Item 28451) after 3.5 years and when apprenticeship is completed and certification has been received by the

**ITEM 28365. CONTINUING EDUCATIONAL FILE.**

Certificates concerning educational requirements established by the N.C. Administrative Code for licensed opticians. Licensees' names, number of credit hours earned, names of providers, and other related information are entered into Opticians Database (Electronic) File (Item 38551) immediately upon receipt.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 28366. EXAMINATIONS (FAILED) FILE.**

Completed examination results of applicants who failed the licensing examination.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 28367. EXAMINATIONS (PASSED) FILE.**

Examination results of applicants who passed the licensing examination.

DISPOSITION INSTRUCTIONS: Item discontinued. Records transferred to Licensee File (Item 28369).

**ITEM 28368. EXPIRED LICENSES AND RETIRED LICENSEES FILE.**

Records concerning individuals who have failed to renew their licenses or have retired. File includes transcripts, examination results, applications, credentials, and other related records. (Comply with applicable provisions of 20 USCA 1232g, G.S. 115C-402, and G.S. 132-6 regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer to Deceased Licensees File (Item 28370) immediately upon notification of death. Destroy in office examination results after 2 years. Destroy in office remaining records after 5 years.

**NORTH CAROLINA STATE BOARD OF OPTICIANS  
LICENSEES' UNIT**

**ITEM 28369. LICENSEE FILE.**

Records concerning individuals licensed by the board. File includes transcripts, applications, credentials, examination test results, and other related records. Names and addresses of licensees, license numbers, status of license classification, and other related information are entered into Opticians Database (Electronic) File (Item 38551) immediately upon receipt. (Comply with applicable provisions of 20 USCA 1232g, G.S. 115C-402, and G.S. 132-6 regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer to Expired Licenses and Retired Licensees File (Item 28368) immediately when license expires or licensee retires, transfer to Deceased Licensees File (Item 28370) immediately when notified of licensee's death, transfer to Suspended Licenses File (Item 28371) immediately when individual's license is suspended by the board, or transfer to Revoked Licenses File (Item 3339) immediately when individual's license is revoked by the board as appropriate.

**ITEM 28370. DECEASED LICENSEES FILE.**

Records concerning individuals who have died. File includes transcripts, examination results, applications for licensure, credentials, correspondence, and other related records. (Comply with applicable provisions of 20 USCA 1232g, G.S. 115C-402, and G.S. 132-6 regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 28371. SUSPENDED LICENSES FILE.**

Records concerning individuals whose licenses have been suspended. File includes transcripts, examination results, applications for licensure, credentials, correspondence, and other related records. (Comply with applicable provisions of 20 USCA 1232g, G.S. 115C-402, and G.S. 132-6 regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer to Licensee File (Item 28369) immediately when suspension is vindicated.

**ITEM 28372. UNSUCCESSFUL APPLICANTS FILE.**

Applications of individuals who either did not take or did not finish the licensing examination.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 28451. INTERNSHIPS FILE.**

Records concerning internships approved by the board. File includes internship applications, correspondence regarding internships, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to Licensee File (Item 28369) after 6 months and when internship is completed and when a passing score has been achieved on the licensing examination.

**ITEM 28465. TRAINING ESTABLISHMENTS REGISTRATION FILE.**

Records concerning registration of training establishments. File includes applications for registration, correspondence regarding the registration process, and other related records. Names and addresses of training establishments, trainers' names, license numbers, dates of registration, and other related data are entered into Training Establishments Database (Electronic) File (Item 38552) immediately upon receipt.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**NORTH CAROLINA STATE BOARD OF OPTICIANS  
LICENSEES' UNIT**

**ITEM 28466. APPRENTICESHIPS (INACTIVE) FILE.**

Records concerning individuals who have withdrawn or quit their apprenticeships with the board. File includes apprenticeship applications, correspondence, credentials, and other related records. (Comply with applicable provisions of 20 USCA 1232g, G.S. 115C-402, and G.S. 132-6 regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**ITEM 28467. OPTICIANS MAILING LISTS (PRINTOUTS) FILE.**

Mailing lists printouts concerning all registered apprentices, registered interns, and licensed opticians in North Carolina. Listing includes names and addresses, license numbers, renewal dates, telephone numbers, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 28468. SECURITY BACK-UP (ELECTRONIC) FILE.**

Security back-up disks of electronic records created by the board.

DISPOSITION INSTRUCTIONS: Item discontinued. Security copies of magnetic disks are created and identified under Optical Businesses Database (Electronic) File (Item 38550), Opticians Database (Electronic) File (Item 38551), and Training Establishments Database (Electronic) File (Item 38552).

**ITEM 28469. ADMINISTRATIVE (ELECTRONIC) FILE.**

Machine readable records concerning the administration and management of the office. Electronic file on hard drives and magnetic tapes include correspondence, mailing lists, reports, brochures, publications, form letters, and other related records. (Paper copies of electronic files are located within records series in paper files.)

DISPOSITION INSTRUCTIONS: Copy electronic files from hard disk to magnetic tapes. Transfer 1 security copy of each magnetic tape to an off-site location for backup storage. Erase in office hard disks and magnetic tapes when administrative and reference values end and (if applicable) when released from all audits, whichever occurs later. Dispose of paper copies only in accordance with corresponding records series disposition instructions on this schedule. If series is unlisted or unscheduled, destruction is not authorized.

**ITEM 38549. EXAMINATIONS BOOKLETS FILE.**

Examinations booklets used by the board when administering licensing examinations to prospective opticians.

DISPOSITION INSTRUCTIONS: Retain in office 1 copy of each examination booklet for 10 years and then destroy. Destroy in office remaining copies when administrative value ends.

**ITEM 38550. OPTICAL BUSINESSES DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning the registration of optical businesses in North Carolina. Electronic file includes names and addresses of businesses, names and license numbers of licensees in charge, dates of registration, telephone numbers, amounts of payments received, and other related data.

DISPOSITION INSTRUCTIONS: Transfer 1 copy of each magnetic tape to an offsite location for backup security storage. Agency representative will update routinely and return superseded magnetic tapes to be recycled. Erase in office appropriate fields of data when superseded or administrative value ends.

**NORTH CAROLINA STATE BOARD OF OPTICIANS  
LICENSEES' UNIT**

**ITEM 38551. OPTICIANS DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning the registration and status of opticians in North Carolina. Electronic file includes names and addresses of opticians, names and addresses of training establishments and trainers, apprentice and internship license numbers, dates of licensure or registration, status of individuals's classification (retired, suspended, current), registration classification (apprentice, intern, or optician), telephone numbers, number of hours earned for continuing education, amounts of payments received, and other related data.

DISPOSITION INSTRUCTIONS: Transfer 1 copy of each magnetic tape to an offsite location for backup security storage. Agency representative will update routinely and return superseded magnetic tapes to be recycled. Erase in office appropriate fields of data when administrative value ends.

**ITEM 38552. TRAINING ESTABLISHMENTS DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning the registration of training establishments in North Carolina. Electronic file includes names and addresses of training establishments, names and license numbers of trainers, telephone numbers, dates of registration, and other related data.

DISPOSITION INSTRUCTIONS: Transfer 1 copy of each magnetic tape to an offsite location for backup security storage. Agency representative will update routinely and return superseded magnetic tapes to be recycled. Erase in office appropriate fields of data when superseded or when administrative value ends.