

NORTH CAROLINA WATER TREATMENT FACILITY OPERATORS CERTIFICATION 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

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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.

The North Carolina Water Treatment Facility Operators Certification Board and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative business and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. As part of its program operations the North Carolina Water Treatment Facility Operators Certification Board agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.

E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any E-mail messages requiring retention longer than 10 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

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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

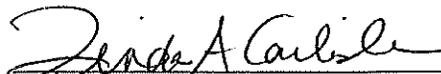


David Brook, Director
Historical Resources

APPROVED



Vance Brooks, Chairman
North Carolina Water Treatment Facility Operators
Certification Board



Linda A. Carlisle, Secretary
Department of Cultural Resources

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ITEM 19728. ACTIVE OPERATORS FILE.

Records in paper or electronic formats, including e-mail, of applications to take the Water Treatment Facility Operators' Examination. File includes applications, correspondence, course descriptions, reimbursement applications, and other related records. Transfer records pertaining to inactive operators to Inactive Operators File (Item 19732). (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Retain in office electronic records permanently. Destroy in office paper after 2 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.

ITEM 19729. CORRESPONDENCE FILE.

Records in paper and electronic formats, including e-mail, of correspondence pertaining to certification, copies of exams, list of persons certified, payment and refund correspondence, and Regional and Annual Waterworks School information. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records after 4 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.

ITEM 19730. EXAMINATION FILE.

Records concerning examinations given for each category of Water Treatment Facility Operator.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 19731. FINANCIAL FILE.

Records in paper and electronic formats, including e-mail, of board members' requests for reimbursement for expenses and deposit receipts for examination and certification fees. (Comply with provisions of the U.S. Privacy Act of 1974, 5 U.S.C. § 552a (U.S. Privacy Act of 1974) and G.S. 132-1.10 with regard to social security numbers and other personal data.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Scan in office paper records when received. Destroy in office paper copies of scanned records when all quality control procedures have been completed. Destroy in office electronic records after 4 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.

ITEM 19732. INACTIVE OPERATORS FILE.

Records in paper or electronic formats, including e-mail, concerning formerly active operators and operators who fail the examination. File includes applications, folders with all information transferred from the Active Operators File when the operator is no longer active, 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: Destroy in office paper and electronic records pertaining to applications and examinations for individuals who failed the examinations after 2 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. Retain all other records in agency permanently.

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ITEM 19733. MINUTES OF THE BOARD OF CERTIFICATION.

Records in paper and electronic formats, including e-mail, concerning minutes of all meetings of the North Carolina Water Treatment Facility Operators Certification Board.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer paper records to the State Records Center after 2 years. Transfer paper records to the State Records Center after 10 years. Records will be held for agency in the State Records Center 10 additional years and then transferred to the custody of the Archives. Transfer electronic records after 5 years, including e-mail, to the State Records Center for immediate transfer to the custody of the Archives. Contact the Electronic Records Branch prior to the transfer of electronic records.

ITEM 19734. OPERATORS CARD FILE.

3x5 card file listing name, address, date of exam, whether passed or failed exam, and fee paid.

DISPOSITION INSTRUCTIONS: Retain in office inactive records permanently.

ITEM 49938. RENEWAL FORMS FILE.

Records concerning renewal forms pertaining to Water Treatment Facility Operators' Certification. (Comply with applicable provisions of G.S. 126-22, 126-23, 126-24, and 126-29 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after one year after information is entered into Renewal Form Database (Electronic) File (Item 49339).

ITEM 49939. RENEWAL FORMS DATABASE (ELECTRONIC) FILE.

Electronic records concerning renewal forms pertaining to Water Treatment Facility Operators' Certification. (Comply with applicable provisions of G.S. 126-22, 126-23, 126-24, and 126-29 regarding confidentiality of personnel records.)

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

ITEM 49940. COURSE PRE-APPROVAL APPLICATIONS FILE.

Records in paper and electronic formats, including e-mail, concerning course pre-approval applications pertaining to Water Treatment Facility Operators' Examination. File includes applications, correspondence, course descriptions, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, 126-24, and 126-29 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records after 3 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 49941. CLASS ROSTERS FILE.

Records in paper and electronic formats, including e-mail, concerning class rosters for courses concerning the Water Treatment Facility Operators' Examination. File includes attendees, correspondence, course descriptions, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records, including e-mail, and interfile with related paper records. Retention of the electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Scan paper records in office. Retain electronic records in office permanently. Destroy in office paper copies of scanned records after all quality control procedures have been completed.

ITEM 49942. OPERATOR IN RESPONSIBLE CHARGE (ORC) DESIGNATION FORMS FILE.

Records in paper and electronic formats, including e-mail, concerning ORC Designation forms pertaining to persons certified to operate water systems in the state of North Carolina. File includes applications, correspondence, forms, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.