

**STATE BOARD OF EXAMINERS FOR ENGINEERS AND SURVEYORS**

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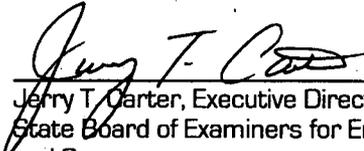
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention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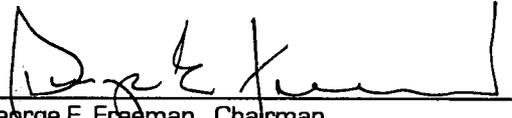
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

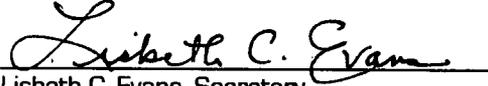
**APPROVAL RECOMMENDED**

  
\_\_\_\_\_  
Jerry T. Carter, Executive Director  
State Board of Examiners for Engineers  
and Surveyors

  
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Jeffrey J. Crow, Director  
Division of Archives and History

  
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George E. Freeman, Chairman  
State Board of Examiners for Engineers  
and Surveyors

**APPROVED**

  
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Lisbeth C. Evans, Secretary  
Department of Cultural Resources

April 27, 2001

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## STATE BOARD OF EXAMINERS FOR ENGINEERS AND SURVEYORS

**Item 3300. EXPIRED LICENSE FILE.** Applications and licenses for professional engineers and professional land surveyors which are not renewed. File also includes business firms and correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after last activity.

**Item 3301. DECEASED LICENSEE FILE.** Applications and licenses for professional engineers and professional land surveyors who have died. File also includes correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**Item 3302. INCOMPLETE, LAPSED, AND DECEASED APPLICANT FILE.** Records concerning incomplete and lapsed applications and deceased applicants. File includes application forms, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after last activity.

**Item 3303. STUDENT ENGINEERING INTERN APPLICATIONS FILE.** Applications for certification as engineering interns. File also includes examination results, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Enter basic application information and examination results into Licensees' and Applicants' Database (Electronic) File (Item 45443) when received. Destroy in office 10 years after last activity.

**Item 3304. BOARD CORRESPONDENCE FILE.** Routine correspondence and memorandums created and received in the office concerning day-to-day operations.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years. Destroy records currently held in the State Records Center 5 years from date received.

**Item 3305. VIOLATIONS JACKETS FILE.** Records concerning board investigations of alleged violations of regulations and guidelines for professional engineers and land surveyors. File includes notices of hearings, transcripts of testimonies, exhibits, court decisions, notices of appeals, and certifications to court. (Comply with applicable provisions of G.S. 89C-10 (f) regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 10 year(s) 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 3899. MINUTES FILE.** Official minutes of meetings of the board.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years to be microfilmed for permanent storage. Microfilmed paper records will be destroyed in the State Records Center after microfilming. The original copy (silver-halide) of microfilm will be stored permanently in the State Archives vault. Transfer a duplicate copy of the official signed minutes to the State Records Center after each meeting for security storage. The duplicate copy will be destroyed in the State Records Center when original records microfilmed.

**Item 21080. PERSONNEL FILE.** Records concerning board employees. File includes applications, resumes, job descriptions, salary information, leave records, 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: Retain in office permanently.

**Item 21081. AUDIT REPORTS FILE.** Annual audit reports of the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

**Item 21088. ENGINEERS AND SURVEYORS ACTIVE LICENSE FILE.** Applications and licenses for professional engineers and professional land surveyors. File also includes correspondence.

DISPOSITION INSTRUCTIONS: Transfer to Expired License File (Item 3300) or Deceased Licensee File (Item 3301) as appropriate.

**Item 21090. EXPENDITURES AND RECEIPTS LEDGERS FILE.** Records in both paper and electronic formats concerning board's general expenses, professional expenses, salaries and wages, withholding amounts, and receipts. File also includes backup records.

DISPOSITION INSTRUCTIONS: Transfer backup records to an off-site location for backup storage and update daily. Erase/destroy in office backup records when superseded or obsolete. Destroy in office paper records 5 years after information has been entered into computer 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. Erase/destroy in office remaining records when administrative value ends.

**Item 21091. EXAMINATIONS FILE.** Answer sheets completed by individuals who passed and/or failed examinations for licensure as professional engineers and land surveyors.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 months 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 21094. PAYROLL REGISTER FILE.** Payroll register forms and payroll deduction authorizations for board employees.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) 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 21095. PAID BILLS FILE.** Paid bills for the board.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) 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 21096. LICENSEE CARDS FILE.** Cards providing an index to application jackets and to fee renewal dates. (File provides statistical data concerning registrants.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**Item 21097. VIOLATIONS REGISTER FILE.** Records concerning alleged violations of board regulations and guidelines for professional engineers and land surveyors. File includes names of complainants and defendants and the ultimate dispositions of cases. (Comply with applicable provisions of G.S. 89C-10 (f) regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Records transferred to Investigations Database (Electronic) File (Item 45446).

**Item 27478. FINANCIAL FILE.** Records concerning board budget and expenditures. File includes requisitions, vouchers, invoices, cancelled checks, reimbursement records for expenses, budget reports, bank statements, cash receipts, deposit slips, check stubs, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) 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 27479. BUSINESS FIRMS FILE.** Records concerning applicant and licensee information on professional corporations, limited liability companies, firms, and Chapter 87 corporations. File includes initial applications, renewals, violations, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to Expired License File (Item 3300) when license expires or is terminated.

## STATE BOARD OF EXAMINERS FOR ENGINEERS AND SURVEYORS

### **Item 45443. LICENSEES' AND APPLICANTS' DATABASE (ELECTRONIC) FILE.**

Electronic records concerning individuals who are licensed by the board. Electronic file includes status of licensees, renewal data, CPC (Continuing Professional Competency) hours, disciplinary actions, correspondence, and other related records. File also includes backup records.

DISPOSITION INSTRUCTIONS: Transfer backup records to an off-site location for backup storage and update daily. Erase/destroy in office backup records when superseded or obsolete. Retain in office remaining records permanently.

### **Item 45444. CONTINUING PROFESSIONAL COMPETENCY (CPC) SPONSORS DATABASE (ELECTRONIC) FILE.** Electronic records concerning application and renewal procedures for CPC sponsors. Electronic file includes summary of application information and renewal dates. File also includes backup records.

DISPOSITION INSTRUCTIONS: Transfer backup records to an off-site location for backup storage and update daily. Erase/destroy in office backup records when superseded or obsolete. Retain in office remaining records permanently.

### **Item 45445. CONTINUING PROFESSIONAL COMPETENCY (CPC) SPONSORS FILE.** Records concerning applications and renewals for CPC sponsors. File includes application forms, information regarding courses, renewal information, and other related records.

DISPOSITION INSTRUCTIONS: Enter information contained in paper records into Continuing Professional Competency (CPC) Sponsors Database (Electronic) File (Item 45444) when received. Destroy in office 1 year after last activity.

### **Item 45446. INVESTIGATIONS DATABASE (ELECTRONIC) FILE.** Electronic records concerning investigations of alleged violations of board statutes and rules. Electronic file includes summary of investigations, board actions, and disposition of the case. File also includes backup records. (Comply with applicable provisions of G.S. 89C-10 (f) regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Transfer backup records to an off-site location for backup storage and update daily. Erase/destroy in office backup records when superseded or obsolete. Retain in office remaining records permanently.

### **Item 45447. BUSINESS FIRMS DATABASE (ELECTRONIC) FILE.** Electronic records concerning professional corporations, limited liability companies, firms, and Chapter 87 corporations. Electronic file includes initial license, renewals, office locations, violations, and index to file jackets. File also includes backup records.

DISPOSITION INSTRUCTIONS: Transfer backup records to an off-site location for backup storage and update daily. Erase/destroy in office backup records when superseded or obsolete. Retain in office remaining records permanently.

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**Item 45448. ENGINEERING INTERN APPLICATIONS (OTHER THAN STUDENT)**

**FILE.** Records concerning engineering intern applications not on the student form. File includes applications, references, records received listing, and examination results.

**DISPOSITION INSTRUCTIONS:** Enter basic applicant information, records received listing, and examination results into Licensees' and Applicants' Database (Electronic) File (Item 45443) when received. Destroy in office 1 year after last activity.