

**OHIO BOARD OF PSYCHOLOGY
POLICY AND PROCEDURE MANUAL**

SECTION 10: ADMINISTRATIVE POLICIES AND PROCEDURES

POLICY 10.6: RECORDS RETENTION

PRIOR DATE EFFECTIVE: APRIL 1, 2007; APRIL 29, 2013

REVIEWED AND EFFECTIVE: JULY 18, 2019

REVIEWED AND APPROVED:



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Reference: DAS General Retention Schedules; meeting minutes April 29-30, 2013

POLICY

Records are a crucial component of the governing process. They contain information that supports functions affecting every person in government or within its jurisdiction. Like other important state government resources, records and the information they contain need to be managed well to ensure accountability, efficiency, economy, and overall good government.

1. It is the policy of the State Board of Psychology to ensure that those records documenting its functions shall be retained on schedules approved by the Board and in accord with requirements in relevant sections of the ORC. In accordance with Chapter 149 O.R.C., the State Board of Psychology has adopted a record retention schedule. This schedule is designed to provide for efficient management of Board records, and it identifies records for inactive storage or destruction when records no longer serve their usefulness or legal mandate.
2. Records shall be filed in a manner conducive to compliance with the established records retention schedule.
3. Records shall, when appropriate, be filed according to Fiscal Year.
4. Records Retention Schedules shall be reviewed on or after July 1st of each year, or after an agency audit report has been released, in order to identify records due for destruction or retention.
5. A certificate of records disposal (ADM 3504) shall be completed for each record that is destroyed or sent to archival retention in accordance with its retention schedule.

The following represents the records of the Board for which records retention is required and a schedule has been filed with the State on form ADM-3500 or by entry of the schedule into the Records Information Management System (RIMS), use of which supersedes the use of ADM 3500. It is the policy of the Board to recognize and adhere to DAS guidelines for the retention and destruction of records not otherwise scheduled below.

Authorization Number	Title	Description	Retention Period
882-001	Licensee application files	Application, academic transcripts, verification of supervised training/experience, letters of recommendation, summary sheet, oral examination scoring sheets, correspondence between board and applicant.	Retain until license has expired for a period of 6 years; or, retain until 1 year following death of licensee, then destroy.
882-002	Application files of licensees failing to renew license		Obsolete (shall be retained pursuant to revised schedule description for 882-001)
882-003	Application files of deceased licensees		Obsolete (shall be retained pursuant to revised schedule description for 882-001)
882-004	Application files for 30-day non-resident permit to practice	Includes application, verification of license from home jurisdiction, ASPPB or other organization credentials	Retain for 1 year after expiration of permit, then destroy.
882-005	License applications in process	May include: Application, academic transcripts, verification of supervised training/experience, letters of recommendation, summary sheet, correspondence between board and applicant.	Retain for 1 year after application expires, then destroy, unless subsumed under enforcement record retention in the event of an administrative hearing (then retained pursuant to other schedules).
882-006	Applications denied admission to examination for licensure		Obsolete (shall be retained under schedules for enforcement records)
882-007	Requests for "unofficial" review of qualifications for licensure		Obsolete (no process exists dating to grand parenting period, which ended in 1977).
882-009	Oral examination scoring sheets		Obsolete (shall be retained as part of the application file pursuant to 882-001)
882-010	Application materials not required in application file		Obsolete (if materials are placed in file, shall be retained pursuant to 882-001)
882-011	Routine requests for application materials or general information		Obsolete (said records shall be retained under 882-0030, "General Correspondence")
882-012	Materials received in office but never associated with a license application file	Includes academic transcripts, verification of supervised training/experience, letters of recommendation in the absence of a formal application and fee.	Retain for 5 years from date of receipt, then destroy.
882-013	Supervisee Registration Forms	Registration of unlicensed supervisees is required under laws and rules.	Retain for 5 years after termination of the supervisory relationship,

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			then destroy
882-014	Biennial license registration (renewal) forms	Pursuant to ORC 4732.14 all licenses shall be registered on a biennial basis.	Retain for 1 year after subsequent renewal period ends.
882-015	Examination summary files	Candidate name, score, ID numbers, date of EPPP	Obsolete (shall be retained in application file).
882-016	Enforcement records	Confidential investigation records for cases closed after being deemed to be without a sufficient basis to proceed to formal board action.	Retain for 5 years after closure, then destroy except for closure letter to licensee, which shall be scanned to LAN and retained for 10 years.
882-017	Enforcement records	Confidential investigation records for cases closed without board action but deemed to have "merit." "Merit" means 1) reasonable suspicion exists that misconduct occurred; or 2) prior unresolved complaints exist.	Obsolete (these files represent complaints investigated and there was no formal action of the board because there was not a sufficient basis to proceed to formal board action. These shall be included in 882-016
882-018	Fiscal records		Obsolete (specific records shall be retained and destroyed pursuant to specific schedules adopted below).
882-019	Minutes of board meetings		Retain for 5 years after meeting date, then to state archives for possible retention.
882-020	Enforcement records	Confidential investigation records for cases closed after resulting in a formal action of the board (e.g., Reprimand, suspension, revocation, or other action by order or agreement).	Retain for 50 years from date of action, then destroy; May be scanned to LAN and retained for 50 years from date of action and the paper files destroyed after review of materials on LAN.
882-0021	Directives, Manuals and Handbooks	Publications produced by an agency detailing operations, regulations, and/or procedures of an agency.	Retain until superseded, obsolete, or replaced, then transfer to State Archives for their possible retention or destruction.
882-0022	Departmental Policies and Procedures	Includes published reports, unpublished substantive reports and policy studies.	Retain until superseded, obsolete or replaced, then transfer to State Archives for their possible retention or destruction.
882-0023	Executive Orders and Proclamations	Instructions issued by the Governor as the Chief Executive of State Government (Original on file permanently with Secretary of State).	Retain until superseded, obsolete, or replaced, then destroy.
882-0024	Management and Operations Reports	Reports created by state agency staff or outside consultants concerning the management or operations of a state agency.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then transfer to State Archives for their possible retention or destruction.
882-0025	Annual Reports	Includes other published periodic reports on agency activities.	Upon publication, fulfill the requirements of O.R.C. 149.11. Destroy excess copies when no longer of administrative value.
882-0026	Monthly & Weekly Reports	Documents status of on-going projects and issues; advises supervisors of various events	Retain 1 year, then destroy.

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and issues.

882-0027	Minutes of Agency Staff Meetings	Minutes and supporting records documenting internal policy decisions.	Retain 2 years, then transfer to State Archives for their possible retention or destruction.
882-0028	Minutes of Official Public Meetings	Official minutes, orders and decisions of a state agency, commission, board, or council.	Retain 2 years, then transfer to State Archives for their possible retention or destruction.
882-0029	Correspondence, Executive	Correspondence of the head of an agency dealing with significant aspects of the administration of their offices. Correspondence includes information concerning agency policies, procedures, program, fiscal and personnel matters.	Retain 2 years then transfer to State Archives.
882-0030	Correspondence, General	Includes internal correspondence (letters, memos); also, correspondence from various individuals and organizations requesting information pertaining to agency and legal interpretations and other miscellaneous inquiries. This correspondence is informative (no attempt to influence agency policy).	Retain 6 months, then destroy.
882-0031	Lists/Directories	Includes Mailing lists, directories, rosters, and registers compiled by an agency.	Retain until superseded, obsolete, or replaced, then destroy.
882-0032	Transient Documents	Includes telephone messages, post-it-notes, drafts and other limited documents which serve to convey information of temporary importance in lieu of oral communication.	Retain until no longer of administrative value, then destroy.
882-0033	Records Retention Schedule	A form used to identify the length of time a record must be retained before final disposition.	Retain until superseded by a revised retention schedule, or until record series is no longer maintained, then destroy.
882-0034	Records Storage Service Request	A form that is used to deposit, retrieve, return and destroy records stored off-site.	For deposits, destructions and returns, retain 2 years after transaction is completed then destroy. For retrievals only, retain until transaction is completed (e.g., Return to storage), then destroy.
882-0035	Certificate of Records Disposal	Form used to certify the destruction or transfer of records according to an approved records retention schedule.	Retain 2 years, then destroy.
882-0036	Attorney General's Opinions	Formal opinions and informal opinions issued to state agencies with all pertinent materials attached thereto.	Retain until no longer of administrative or legal value to agency, then destroy.
882-0037	Legislation	Copies of state and federal legislation of interest to an agency.	Retain until no longer of use, then destroy.
882-0038	Administrative Rules	Includes worksheets and information used to draft rules, JCARR proceedings, transcripts of public hearings etc.	Retain 1 year after rule published, then destroy.
882-0039	Licenses, Permits, Certifications	All documents relating to application and grant or denial of an administrative license, permit, etc.	Retain 1 year after final expiration, including all renewals, or 1 year after denial, then destroy.

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882-0040	Office Equipment Service Request	Used to request installation or modification of any equipment or service provided by telephone, computer, copier companies, etc.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0041	Equipment Inventory and Assignment Sheets	Original computer printout, instructions and work sheets used to complete equipment inventory reports for pagers, laptops, cellular phones, etc.	Retain until superseded, then destroy.
882-0042	Delivery Slips and Packing Lists		Retain until no longer of administrative value, then destroy.
882-0043	Direct Purchase Orders, Requisitions and Other Documents Related to Purchase of Goods or Services		Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0044	Intra-State Transfer Voucher	Authorizes payment to another state agency for goods and/or services received and serves as the basis for disbursing funds.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0045	Invoices (Accounts Payable Invoices)	Bill for goods shipped or services rendered. They are matched with purchase orders and receiving reports, and attached to vouchers for payment.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0046	Printing Orders	Used to submit specification for a printing job to State Printing and to encumber the dollars needed for the job.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0047	Out-of-State Travel Request	Internal form used to obtain authorization for out-of-state travel for a state employee.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0048	Travel Expense Report	Used for claiming reimbursement for in-state and out of state travel.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0049	Employee Position Control Rosters	List of all positions within an agency by position control number, including both filled and vacant positions. Used for budget and personnel purposes.	DAS to retain 3 years; all other agencies retain until superseded by a new roster, then destroy, provided audited by Auditor of State and audit report is released and all discrepancies are resolved.
882-0050	Employee Personnel File		Retain 7 years after employee leaves employment, then transfer to DAS to keep permanently.
882-0051	Hiring Materials	Vacancy postings and applications, resumes, civil service applications and interview questions from applicants not hired.	Retain 7 years after position filled or decision not to fill the position is made.
882-0052	Employee FMLA, EAP, Disability and Workers Compensation Records		Retain 7 years after employee separation, then destroy.

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882-0053	Attendance Records	Timesheets, leave requests, etc.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0054	Payroll Warrant Records and Payroll Disbursement Records		Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0055	Temporary Personnel Contracts		Retain 7 years after the expiration of contracts, then destroy provided audited by Auditor of State and audit report is released and all discrepancies are resolved.
882-0056	Requests for Investigations	Requests for outside agency (ex. Highway Patrol, Auditor, EOD...) to investigate an employee. Includes request, referral, and any attached documentation including preliminary investigation before the referral.	Retain 1 year after completion of investigation or decision not to investigate, then destroy.
882-0057	Internal Investigations	Employee investigations file.	Retain 3 years, then destroy.
882-0058	Telephone Logs, Bills and Call Records	Listing of long distance calls made by agency personnel for a particular time period.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0059	Financial Disclosure Statements & Joint Legislative and Ethics Commission "JLEC" Statements		Retain 2 years, then destroy.
882-0060	Employee Training Records, Workforce Development, Tuition Reimbursement and Other Education Assistant		Retain 2 years, then destroy.
882-0061	Civil Rights and Title VII Files	Contains complaints and hearing information.	Retain 7 years, then destroy.
882-0062	Affirmative Action Plans		Retain 2 years, then transfer to State Archives for their possible retention or destruction.
882-0063	Accident, Health & Safety Records, Incident Reports, OSHA Reports, etc.		Retain 5 years, then destroy.
882-0064	Application, Affidavit and Related Documents for Replacement Warrants Never Received, Lost,		Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.

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	Stolen		
882-0065	Request for Stop, Release or Cancellation of Warrant		Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0066	Vouchers and Voucher Journals		Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0067	Executive Budget Proposal		Retain until the end of biennium, then destroy.
882-0068	Federal or State Audit Reports	Copies of audit reports issued by the Auditor of State or federal government.	Retain 2 years, then destroy.
882-0069	Petty Cash Records		Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0070	Cash in Treasury Detail Ledger, Cash Receipt Records & Cash Transfer, Register of Intra-Treasury		Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0071	Accounting Entity Description, Accounts Payable Ledger and Accounts Receivable Ledger		Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0072	CAS Batch Control Sheet	Used by agency to maintain a log of batches submitted to CAS.	Retain until batches are verified, then destroy.
882-0073	CAS Reports and Inquiries by Data Classification	Various computer generated reports distributed by OBM to various state agencies	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0074	Revenue Receipts and Holding Account Redistribution	Used to deposit and record revenue receipts from any known revenue source and to hold unknown receipts for redistribution.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
882-0075	Correspondence, Routine	Referral letters, requests for routine information or publications provided to the public by an agency which are answered by standard form letters.	Retain 6 months, then destroy.
882-0076	Contract Encumbrances, Procurements, Complaints to Vendors, and Related Contract Documents		For sale of goods, retain five years after contract expires, then destroy. For services, retain 16 years, then destroy.