RECORDS RETENTION AND DISPOSITION SCHEDULE

LOCAL HEALTH DEPARTMENTS

Issued By:

North Carolina Department of Cultural Resources
Division of Historical Resources
Archives and Records Section
Government Records Branch

September 7, 2007

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Local Health Department
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 do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. It is further agreed that these records may not be destroyed prior to the time periods stated; however, for sufficient reason they may be retained for longer periods. This schedule is to remain in effect from the date of approval until it is reviewed and updated.

APPROVAL RECOMMENDED

Leah Devlin, State Health Director
DHHS, Division Of Public Health

David Brook, Director
Division of Historical Resources

APPROVED

Dempsey Benton, Secretary
Department of Health and Human Services

Lisbeth C. Evans, Secretary
Department of Cultural Resources

ACKNOWLEDGED (AGREED TO COMPLY)

Local Health Department, Director

Chairman, Local Health Department Board

September 7, 2007

County/Region

EXECUTIVE SUMMARY

Q. Why do I need this schedule?

A. According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources. This schedule is the primary way DCR gives its consent. Without approving this schedule, your department is obligated to obtain DCR's permission to destroy *any* record, no matter how insignificant.

Q. When can I destroy records?

A. Each records series listed on this schedule has specific disposition instructions which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are "Retain in office permanently," which means that those records must be kept in your offices forever.

Q. What film services do you provide?

A. The Department of Cultural Resources provides microfilming of the minutes of major decision-making boards and commissions in a county. Once those records are filmed, we will store the silver negative (original) film in our security vault.

At the time this schedule is published, there is no fee for the filming or for storage. There will be a fee if you request duplicate reels of film. Contact the analyst assigned to your county for the most current information.

Q. What should I do in case of fire or flood?

A. Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 807-7365 for the Head of the Local Records Program or (919) 807-7339 for the State Preservation Officer. If you're in the western part of the state, call our Asheville Office at (828) 274-6789. Nights and weekends, call your local emergency management office.

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

Damaged records are extremely fragile and require careful handling. Our staff is trained in preliminary recovery techniques, and professional vendors can handle larger disasters.

Q. Who can I call with questions?

A. If you are located west of about Statesville, call our Western Office in Asheville at (828) 274-6789. East of Statesville, all the way to the coast, call our Raleigh office at (919) 807-7350.

MANAGING PUBLIC RECORDS IN NORTH CAROLINA

Q. What is this "records retention and disposition schedule"?

A. This document is a tool for the employees of local government departments across the state to use when managing the records in their offices. It lists records commonly found in local government offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your department/agency and the Department of Cultural Resources.

This schedule serves as the inventory and schedule that the Department of Cultural Resources is directed by G.S. §121-5 (c) and G.S. §132-8 to provide. It supersedes all previous editions including all amendments.

Q. Why do I need this schedule?

A. According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources. This schedule is the primary way DCR gives its consent. Without approving this schedule, your department is obligated to obtain DCR's permission to destroy *any* record, no matter how insignificant.

Q. How do I get it approved?

A. The governing board of your department or the Board of Commissioners in your county must approve this schedule for use. That approval should be made in a regular meeting and recorded as an action in the minutes. It may be done as part of the consent agenda, by resolution, or other action.

Q. Do I have to have all of the records listed on this schedule?

A. No. This is not a list of records you must have in your office.

Q. I can't find some of my records on this schedule.

A. Call the Records Management Analyst assigned to your county. We will work with you to amend this records schedule so that you may destroy records appropriately.

Q. What are public records?

A. The *General Statutes of North Carolina*, Chapter §132, provides this definition of public records:

"Public record" or "public records" shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

Q. Can anyone see my records?

A. Yes, except as restricted by specific provisions in state or federal law. G.S. §132-6 instructs:

"Every custodian of public records shall permit any record in the custodian's custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. … No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request."

Q. What about my confidential records?

A. Not all government records are open to public inspection. Exceptions to the access requirements in G.S. §132-6 and the definition of public records in G.S. §132-1 are found throughout the General Statutes. You must be able to cite a specific provision in the General Statutes or federal law when you restrict or deny access to a particular record. Health Department records which contain patient information are confidential under G.S. §130A-12.

Q. *Do I have to make copies of drafts available to the public that haven't been approved?*

A. Yes, even if a report, permit, or other record has not been finalized. Any record that is not confidential by law must be copied when a request is received, whether it is "finished" or not.

Q. *What do I do with permanent records?*

A. Permanent records should be maintained in the office that created the records, forever. They must also have a preservation duplicate, which is either a paper or microfilm copy. The State Archives will store the silver halide (original) copy of your microfilm, as long as it has been properly processed.

Q. *What is historical value?*

A. Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its citizens. Call the analyst assigned to your county for further assistance.

Q. *I don't have any records.*

A. Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and email, are public records. Even if your records are not the official or final version, your records are public records. Not all records have high historical, legal, or fiscal value, but they all must be destroyed in accordance with the provisions of the appropriate records schedule.

Q. *Can I store our unused records in the basement (attic, outdoor shed)?*

A. Public records are public property. While we encourage offices to find places to store records that do not take up too much valuable office space, the selected space should be dry, secured, and free from pests and mold. Your office must ensure that records stored away from your main office area are well protected from natural and man-made problems, while remaining readily available to your staff and the public.

Q. *Our old records are stored in the attic, basement or off-site building, etc. Do we have to let anyone who asks see them?*

A. Yes, as long as the records are not confidential by law. You should also be aware that confidentiality may expire.

Q. *Aren't all of our old records at the State Archives?*

A. Probably not. The State Archives collects only very specific types of records from local government offices. You are certainly welcome to contact the analyst assigned to your county for more information about appraisal and accessioning.

Q. *I have found some really old records. What should I do with them?*

A. Call the analyst assigned to your county. We will help you examine the records and assess their historical value.

Q. *Can I give my old records to the historical society or public library?*

A. Before you offer any record to a historical society, public library, or any other entity, you must contact the Records Management Analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives.

Q. *Who can I call with questions?*

A. If you are located west of about Statesville, call our Western Office in Asheville at (828) 274-6789. East of Statesville, all the way to the coast, call our Raleigh office at (919) 807-7350.

AUDITS, LITIGATION AND OTHER OFFICIAL ACTION

No record involved in a pending audit, legal or other official action may be destroyed before that audit or action is resolved.

We have used an asterisk (*) in the disposition instructions to mark records series that are commonly audited, litigated or may be subject to other official actions, however, any record has this potential. Records custodians are responsible for being aware of potential actions, and for preventing the destruction of any record that is, or may be reasonably expected to become, involved in an audit, legal or other official action.

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See **AUDITS: PERFORMANCE** Item 6, page 2 and **AUDITS: FINANCIAL** Item 5, page 14.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the county should inform records custodians when legal matters are concluded and records will no longer be needed. Following the conclusion of any legal action, the records may be destroyed if they have met the retention period in the schedule. Otherwise, they should be kept for the remaining time period.

DESTRUCTION OF PUBLIC RECORDS

Q. When can I destroy records?

A. Each record series listed on this schedule has specific disposition instructions that indicate how long that series must be kept in your offices. In some cases, the disposition instructions are "Retain in office permanently," which means that those records must be kept in your offices forever. (See also the question below, "***How should I deal with my permanent records?***")

Q. When can I destroy Health Department Case Files?

A. Health Department Case Files, Program Operational Records (Standards 6 through 9), and all financial and programmatic records, supporting documents, statistical records, and all other records pertinent to a Federal award must be retained until released by the DHHS Office of Controller. These records are subject to Federal audit. Twice per year, the Office of the Controller will issue a memorandum listing specific records that have cleared audits and may be destroyed. This notice is based on funding sources rather than records series. Health Departments must confirm that the Office of the Controller has released specific funding sources represented in the file before destroying the records. Once the Controller's letter has been received, the specific records covered by the specific funding source should be removed from the file and destroyed.

Q. How do I destroy records?

A. After your department has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:

a) burned, unless prohibited by local ordinance;
b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
d) buried under such conditions that the record nature of the documents or materials will be terminated;
e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.
— N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used.

Q. How can I destroy records if they are not listed on this schedule?

A. Contact the Records Management Analyst assigned to your county. Your analyst will discuss the nature of the records with you to determine if the records have historical value. If the records do have historical value, we will discuss the possibility of transferring the records to the State Archives to be preserved permanently.

If the records do not have historical value, we will ask you to complete a **Request and Approval of Unscheduled Records Disposal** (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

Q. I have some old records that aren't on this schedule, but that we don't use any more. How can I get permission to destroy them?

A. At the end of this schedule is a form called the **Request and Approval of Unscheduled Records Disposal**. Complete that form and submit it to us. We will get in touch with you, and make a determination about that destruction.

Q. Do I have to tell anyone about the destruction?

A. We recommend that you report on your records retention activities to your governing Board or Board of Commissioners on an annual basis. This report does not need to be detailed, but it is important that significant destructions be entered into the minutes of the Board.

Q. Computer storage is cheap. I'll just keep my computer records.

A. The best practice is to destroy all records that have met their retention requirements at the same time, regardless of format.

Q. Can I give my old records to the historical society or public library?

A. Before you offer any record to a historical society, public library, or any other entity, you must contact the Records Management Analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives.

ELECTRONIC RECORDS AND DIGITAL IMAGING

Q. When can I delete my email?

A. Electronic mail is just as much a record as any traditional paper record, and must be treated in the same ways. It is the content of each message that is important. If a particular message would have been filed as a paper memo, it should still be filed (either in your email program or in your regular directory structure), and it should be retained the same length of time as its paper counterparts. It is inappropriate to destroy email simply because storage limits have been reached.

Three of our publications will be particularly helpful (available online at http://www.ah.dcr.state.nc.us/records/):

- *E-Mail as a Public Record in North Carolina: Guidelines for its Retention and Disposition*
- *E-Mail User Guidelines Checklist*
- *North Carolina Public Records with Short-Term Value: Guidelines for their Retention and Disposition*

Q. We have an imaging system. Do we have to keep the paper?

A. You may scan any record, including permanent records. Your office should follow the instructions in the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* to conduct the Self Warranty process, develop an Electronic Records Policy, and complete a copy of the **Request to Destroy Records Duplicated by Electronic Means** (located at the end of this schedule). Then submit all three to us.

Permanent records must have a preservation copy as defined by G.S. §132-8.2:
Preservation duplicates shall be durable, accurate, complete and clear, and such duplicates made by a photographic, photo static, microfilm, micro card, miniature photographic, or other process which accurately reproduces and forms a durable medium for so reproducing the original shall have the same force and effect for all purposes as the original record whether the original record is in existence or not. . Such preservation duplicates shall be preserved in the place and manner of safekeeping prescribed by the Department of Cultural Resources. The preservation duplicate of permanent records must be either paper or microfilm.

Non-permanent records may be retained in any format. You will have to take precautions with records that you must keep more than about 10 years. Computer systems do not have long life cycles. Each time you change computer systems, you will have to convert all records to the new system so that you can assure their preservation and provide access. Your office will still be required to conduct the Self-Warranty process, establish an Electronic Records Policy, and submit the **Request to Destroy Records Duplicated by Electronic Means** form for our approval.

Q. Do I have to print my email to file it?

A. As long as the email is not a permanent record, as defined by the schedule, you may elect to keep it in electronic format.

Q. Computer storage is cheap. I'll just keep my computer records.

A. The best practice is to destroy all records that have met their retention requirements at the same time, regardless of format.

Q. I use my personal email account for work. No one can see my personal email.

A. The best practice is to avoid using personal resources, including private email accounts, for public business. G.S. §132-1 states that records "made or received pursuant to law or ordinance *in connection with the transaction of public business* by any agency of North Carolina government or its subdivisions" are public records (emphasis added). The fact that public records reside in a personal email account is irrelevant.

MICROFILM

Q. Why do you still use microfilm?

A. Microfilm is a legally acceptable replacement for original records, as outlined in G.S. §8-45 and §153A-436. Our office provides a publication *Micrographics: Technical and Legal Procedures* on our website. It explains the four groups of national standards for the production of archival quality microfilm:

- manufacture of raw film;
- filming methods;
- processing (developing) film;
- storage methods.

That publication also provides sample forms, targets, and procedures that you or your vendor can use in producing film of your records.

Microfilm can be read with nothing more sophisticated than a magnifying glass. There is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection.

Q. What film services do you provide?

A. The Department of Cultural Resources provides microfilming of minutes of major decision-making boards and commissions in local governments. Once those records are filmed, we will store the silver original film in our security vault.

At the time this schedule was published, there is no fee for the filming or for storage. There will be a fee if you request duplicate reels of film. Contact the analyst assigned to your county for the most current information.

Q. How do I get my minutes filmed?

A. We have two processes to film minutes. First, you can send photocopies of your approved minutes to us in the mail. Simply include a copy of the "*Certification of the Preparation of Minutes for Microfilming*" form (available online at http://www.ah.dcr.state.nc.us/records/) with each shipment. For more detailed instructions, contact the analyst assigned to your county.

Alternatively, you can bring us your original books. We will film them and return them to you. This process is most useful when you have more minutes to film than you are willing to photocopy. It is important to remember that a representative of your office or ours must transport the original books in person so that the custody of the records is maintained. You should not mail or ship your original minutes. Call the analyst assigned to your county to make arrangements for an appointment for your books to be filmed. We will make every effort to expedite the filming so that your books will be returned to you as quickly as possible.

Q. What if I need my books while they're being filmed?

A. Just call the Raleigh Office at (919) 807-7350, and ask for the analyst in charge of minutes.

Q. Can I email you my minutes?

A. Not at this time. We require photocopies of the approved minutes, complete with signatures.

Q. I have some old minutes that aren't signed. Can they still be filmed?

A. If the only copy you have available is unsigned, and you use it as the official copy, we will film it.

Q. What if my books are destroyed after they have been filmed?

A. Call the analyst assigned to your county, who will help you make arrangements to purchase copies of the microfilm from our office. You can then send those reels to a vendor, who can either make new printed books, or scan the film to create a digital copy.

DISASTER ASSISTANCE

Q. What should I do in case of fire or flood?

A. Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 807-7365 for the Head of the Local Records Program or (919) 807-7339 for the State Preservation Officer. If you're in the western part of the state, call our Asheville Office at (828) 274-6789. Nights and weekends, call your local emergency management office.

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

Damaged records are extremely fragile and require careful handling. Our staff is trained in preliminary recovery techniques, and professional vendors can handle your larger disasters.

Q. What help do you give in case of an emergency?

A. We will do everything we can to make a visit to you at the earliest opportunity to provide hands-on assistance. We can assist you in appraising the records that have been damaged so that precious resources (and especially time) are not spent on records with lesser value. We can provide lists of professional recovery vendors that you can contact to preserve your essential and permanent records.

Q. What can I do to prepare for an emergency?

A. We provide training to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the analyst assigned to your county.

STAFF TRAINING

Q. What types of workshops or training do you offer?

A. While we have a group of prepared workshops that we can offer at any time, we are also happy to work with you directly to develop training suited to your specific needs. Our basic workshops are:

- **Managing Public Records: Law and Practice in North Carolina** – our basic introduction to the Public Records law and records management.
- **Evaluating Filing Systems** – how to evaluate and improve filing systems.
- **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system.
- **Disaster Preparedness and Recovery** – how to be prepared for disasters and what to do after a disaster happens.
- **Microfilming as a Preservation Tool: Digital Imaging and Microfilm** – why microfilm is still used, and how it can work with digital technologies.

Q. Will you design a workshop especially for our office?

A. Yes, we will. Let the analyst assigned to your county know what type of training you need.

Q. Do we have to come to Raleigh for workshops?

A. No, we will come to your offices to present the workshops you need. We have no minimum audience requirement. We will also do presentations for professional associations, regional consortiums, and the public.

Q. Is there a fee for workshops?

A. Not at this time.

PUBLIC RECORDS WITH SHORT-TERM VALUE
GUIDELINES FOR THEIR RETENTION AND DISPOSITION

According to North Carolina General Statutes §121 and §132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristic, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with any approved program records retention and disposition schedule, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- facsimile cover sheets containing only transmittal ("to" and "from") information, or information that does not add significance to the transmitted material;
- routing slips or other records that transmit attachments;
- reservations and confirmations;
- personal messages (including electronic mail) not related to official business;
- preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records;
- documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business;
- records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives.

The records described above may be destroyed or otherwise disposed of when their reference value ends.

These guidelines are not intended to serve as authorization to destroy or otherwise dispose of unscheduled records. They are intended to complement the use of an approved records retention and disposition schedule for the creating government or agency, not replace or supersede it. Should a creating government or governmental agency lack an approved records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including electronic mail) until it receives approval of its **Request and Approval of Unscheduled Records Disposal** (located at the end of the this schedule). Such offices should contact the Government Records Branch of the Division of Historical Resources for assistance in creating a schedule.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the public records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS
Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine office administration of local health departments.

ITEM #	***STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ADMINISTRATIVE DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES**	a) Retain official copy permanently. b) Destroy in office remaining copies 3 years after superseded.	
2.	**AGENDA AND MEETING PACKETS FILE** Includes agendas and copies of supporting documentation submitted and discussed during meetings of public bodies. See also **MINUTES OF PUBLIC BODIES** item 34, page 7.	a) Retain records with historical value permanently. b) Destroy in office when administrative value ends.	
3.	**APPLICATIONS FOR APPOINTMENT** Applications and related documentation received from individuals applying for appointments to serve on public boards, commissions, councils and committees.	a) Destroy in office records concerning individuals appointed 1 year after expiration of term. b) Destroy in office remaining records after 2 years.	
4.	**APPOINTMENTS REPORTING RECORDS** Includes public boards, commissions, councils and committees annual appointment reports filed with the NC Department of the Secretary of State and related records.	Destroy in office after 2 years.	G.S. § 143-157.1
5.	**ASSOCIATIONS AND ORGANIZATIONS FILE** Records concerning associations, organizations, groups, etc., that have some form of association or relationship with the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.	**AUDITS: PERFORMANCE** Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, and related records. See also **AUDITS: FINANCIAL**, item 5, page 14.	a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	
7.	**AUDIO AND VIDEO RECORDING OF MEETINGS**	Destroy in office after approval of official written minutes.	
8.	**BLUEPRINTS AND SPECIFICATIONS** Blueprints and specifications of agency owned buildings and facilities. May include as-built plans and related records concerning approved changes.	Retain for life of structure.	Comply with applicable provisions of G.S. §132-1.6 regarding the confidentiality of security records.
9.	**BULLETINS**	Destroy in office when administrative value ends.	
10.	**BUSINESS LICENSES**	Destroy in office 5 years after expiration.	
11.	**CALENDARS OF EVENTS AND APPOINTMENTS**	Destroy in office when superseded or obsolete.	
12.	**CHARTER RECORDS** Charter and charter proceedings related to adoption, amendment and/or repeal.	Retain in office permanently.	
13.	**CITIZEN COMPLAINTS AND SERVICE REQUESTS** Records concerning objections, dissatisfaction or disagreements with actions or positions taken or not taken by the agency. May include routine requests for service or information and petitions with no legal effect.	a) Destroy in office 1 year after resolution.* b) Transfer to **LITIGATION CASE RECORDS** item 11, page 33 if legal action is taken.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
14.	**CONFERENCES AND WORKSHOPS FILE** Record concerning conferences and workshops conducted or attended by department/agency employees. See also **EMPLOYEE TRAINING AND EDUCATIONAL RECORDS** item 31, page 40.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
15.	**CORRESPONDENCE AND MEMORANDA** See also **Public Records with Short Term Value,** page **xv**. For information on handling electronic mail, See **Electronic Records and Digital Imaging** page **xii**.	a) Retain records with historical value permanently. b) Destroy routine administrative correspondence and memoranda when administrative value ends. c) Destroy in office remaining records after 3 years.	
16.	**EQUIPMENT AND PROPERTY INVENTORIES** Inventories describing the type of property or equipment, its location and related information.	Destroy in office when superseded or obsolete.	
17.	**EQUIPMENT AND VEHICLE REFERENCE FILE** Includes operation, specification and technical manuals, brochures, bulletins and related documentation.	Destroy in office when superseded, obsolete or asset is no longer owned.	
18.	**EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS** Records concerning the maintenance, repair, and inspection of county owned facilities. See Also **GRANTS** item 26, page 5.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of equipment. b) Retain for life of equipment records documenting all other equipment maintenance and repairs.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
19.	**EQUIPMENT, FACILITY AND VEHICLE USAGE RECORDS** Records concerning the assignment, request and usage of agency assets. May include mileage and check out logs, fuel consumption reports, facility reservation requests, authorizations and similar records relating to the assignment and use of agency owned property.	a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.* b) Destroy in office remaining records after 1 year.	
20.	**FACILITY ACCESSIBILITY FILE** Records concerning compliance with the Americans with Disabilities Act (ADA). May include survey of county buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.	Destroy in office after 5 years.*	29 CFR 1602 (1992)
21.	**FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS** Records concerning the maintenance, repair, and inspection of county owned facilities. See Also **GRANTS** item 26, page 5.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of facilities. b) Destroy records concerning all other facility maintenance, repair and inspection (including plumbing, electrical, fire and other systems) in office after 3 years.	
22.	**FUND DRIVE AND EVENT RECORDS** Records concerning the promotion and organization of fund drives and other special events in which the agency participated.	a) Retain records with historical value permanently. b) Destroy in office remaining records after 1 year.	
23.	**GOALS AND OBJECTIVES**	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
24.	**GRANT CONTRACT APPEALS CASES**	Destroy in office 10 years after final action or decision.*	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
25.	**GRANT PROPOSALS**	a) Transfer records concerning approved grants to **GRANTS** item 26, page 5 if approved. b) Destroy in office rejected or withdrawn grant proposals when reference value ends.	
26.	**GRANTS** Records concerning approved federal, state, and private grants. May include applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records. See also **GRANTS: FINANCIAL** item 29, page 17.	a) Destroy in office records relating to specific non-continuing grants 5 years after termination or when released from audit, whichever occurs later.* b) Destroy in office yearly records relating to specific continuing grants 5 years after annual financial report is filed.* c) Destroy in office records of non-expendable property acquired in whole or in part with grant funds 5 years after its final disposition.* d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.	
27.	**HISTORIES FILE (AGENCY AND EMPLOYEES)** Records concerning the history of the organization and its employees. May include published and unpublished histories, photographs, newspaper clippings, and other related records.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
28.	**INDEX FILE**	Destroy in office when reference value ends.	
29.	**LEGISLATION AND REGULATORY RECORDS** Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.	Destroy in office when reference value ends.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
30.	**LITIGATION CASE FILE** Legal cases in which the agency is a party.	a) Transfer to **LITIGATION CASE RECORDS** item 11, page 33 when reference value ends. b) Destroy copies in office when administrative value ends.	Comply with applicable provisions of G.S. §132-1.1 regarding confidentiality of legal records.
31.	**LOST AND STOLEN PROPERTY REPORTS** Includes reports of vandalism.	Destroy in office after 3 years.*	
32.	**MAILING AND DISTRIBUTION RECORDS** Includes mailing and meeting notification lists, Sunshine Lists and related documentation of transactions with the U.S. Postal Service or private carries.	a) Destroy in office Sunshine Lists when superseded or obsolete. b) Destroy in office all other records when administrative value ends.	G.S. § 142-318.12 (b) 2
33.	**MANAGEMENT STUDIES**	a) Retain record with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
34.	**MINUTES OF PUBLIC BODIES** As defined by G.S. § 143-318.10 (b), include official and reference copies of the governing board and all subsidiary and advisory boards. Subsidiary boards are defined as boards that exercise or are authorized to exercise legislative, policy-making, quasi-judicial, or administrative functions. Also includes minutes of subcommittees of the governing board and its subsidiary and advisory boards. See the **Microfilm** section on page **xiii** for instructions on microfilming.	a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records. The NC State Archives offers free security microfilming services for such records. b) The official minutes of advisory boards may only be destroyed upon approval by the NC State Archives. The NC State Archives reserves the right to designate the minutes of any advisory board as permanent, and offers free security microfilming services for such records. c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the NC State Archives reserves the right to designate the minutes as permanent, and offers free security microfilming services for such records. d) Reference copies of minutes of any public body may be destroyed when administrative value ends. No NC State Archives approval to purge is required.	G.S. § 143-318.10
35.	**MINUTES (STAFF MEETINGS)** Minutes of meetings including all referenced and attached documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	G.S. § 143-318.10(c)
36.	**NOTICES OF PUBLIC MEETINGS** Includes notices and regular meeting schedules.	Destroy in office when administrative value ends.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
37.	**OFFICE SECURITY RECORDS** Records concerning the security of the office, its equipment, and office personnel. May include visitor's register, security and surveillance system reports and tapes.	a) Destroy in office or reuse after 30 days tapes not required to support known investigations or litigation. b) Destroy remaining records in office after 1 year.	Comply with applicable provisions of G.S. §132-1.6 regarding the confidentiality of security records.
38.	**ORDINANCES** Includes code of ordinances and ordinance development records. See the **Microfilm** section on page **xiii** for instructions on microfilming.	a) Retain official copy permanently. b) Destroy in office additional copies (including tabled or failed ordinances) when administrative value ends. c) Destroy in office development records when ordinance is no longer in effect or when administrative value ends, whichever occurs first.	
39.	**ORGANIZATION RECORDS** Includes organizational charts, reorganization studies, and similar documentation describing the arrangement and administrative structure of the agency.	a) Retain records with historical value permanently. b) Destroy in office all other copies when superseded or obsolete.	
40.	**PARKING FILE** Records concerning staff parking assignments.	Destroy in office when superseded or obsolete.	
41.	**PLANNING AND DEVELOPMENT FILE** Records concerning the formulation, planning, and adoption of policies, procedures and functions of the agency and its departments.	a) Retain record with historical value permanently. b) Destroy in office remaining records when administrative valve ends.	
42.	**PRINTING REQUESTS**	Destroy in office when reference value ends.	
43.	**PROJECTS FILE** Includes project correspondence, final reports, specifications and contract documents, notices to proceed, cost estimates, change orders, performance and payment bonds and similar documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
44.	**PUBLICATIONS RECEIVED** Includes books, magazines, periodicals, pamphlets, brochures, journals and newspapers, whether printed or electronic.	Destroy in office when reference value ends.	
45.	**PUBLICATION AFFIDAVITS** Verifications from newspapers that public notices have been published.	Destroy in office after 2 years.	
46.	**PUBLIC HEARING RECORDS** Includes agendas, minutes, speaker sign up sheets and similar documentation.	a) Retain minutes permanently. b) Destroy in office remaining records when administrative value ends.	
47.	**PUBLIC RECORDS DISCLOSURE FILE** Formal requests submitted by persons seeking access to agency records.	Destroy in office 2 years after resolution.*	
48.	**RECORDS MANAGEMENT FILE** Includes correspondence with state and/or federal agencies, records disposition documentation, and copies of records retention and disposition schedules.	a) Retain records concerning the final disposition of records permanently. b) Destroy in office remaining records when administrative value ends.	
49.	**REFERENCE (READING) FILE** Subject files containing informational copies of records, organized by areas of interest.	Destroy in office when reference value ends.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
50.	**REPORTS AND STUDIES (INTERNAL ADMINISTRATION)** Records concerning the performance of a department, program, or project, as well as those created for planning purposes. May include all annual, sub-annual, or irregularly prepared reports and studies generated by an agency or prepared by consultants hired by the agency.	a) Retain in office 1 copy of all biennial and annual reports permanently. b) Retain reports and studies prepared by request of an agency's governing body or a court permanently. c) Destroy in office after 3 years reports prepared monthly, bimonthly, or semi-annually. d) Destroy in office after 1 year activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis. e) Destroy in office remaining reports and studies when administrative value ends. *Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.*	
51.	**REQUESTS FOR PROPOSALS** Proposals submitted by vendors in response to requests from departments. See also **BIDS FOR PURCHASE** item 8, page 14.	Destroy in office when administrative value ends.	
52.	**REQUISITIONS FILE** Requests for payment of parts and inventory items.	Destroy in office after 1 year.	
53.	**RESEARCH AND STUDIES FILE (ADMINISTRATIVE)** Includes feasibility studies, planning and land use studies, transportation system plans, and similar and supporting records with potential long-term value.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
54.	**RESOLUTIONS, PROCLAMATIONS AND ORDERS** See the **Microfilm** section on page **xiii** for instructions on microfilming.	a) Retain one copy permanently. b) Destroy in office additional copies (including those tabled or failed) when administrative value ends. c) Destroy in office development records when administrative value ends.	
55.	**STATE AND OTHER COUNTY PROGRAMS** Resource materials, program information, and other related records concerning other state or county programs.	Destroy in office when reference value ends.	
56.	**SURPLUS PROPERTY FILE**	Destroy in office 3 years after disposition of property.*	
57.	**TELEPHONE USAGE LOGS AND REPORTS**	Destroy in office when administrative value ends.	
58.	**TRAVEL REQUESTS**	Destroy in office after 1 year.*	
59.	**VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS** Records concerning the maintenance, repair, and inspection of agency owned vehicles. See Also **GRANTS** item 26, page 5.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning, and maintenance of vehicles. b) Retain for life of vehicle records documenting all other maintenance and repairs.	
60.	**VETERANS COMMISSION QUARTERLY REPORTS**	Destroy in office after 5 years.	
61.	**WORK ORDERS (EQUIPMENT REPAIR)** Records include date and location or work, cost of materials used and labor, type of work preformed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work was completed, follow disposition instructions for **EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS** item 18, page 3.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
62.	**WORK ORDERS (FACILITY REPAIR)** Records include date and location or work, cost of materials used and labor, type of work preformed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work was completed, follow disposition instructions for **FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS** item 21, page 4.	
63.	**WORK ORDERS (VEHICLE REPAIR)** Records include date and location or work, cost of materials used and labor, type of work preformed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work was completed, follow disposition instructions for **VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS** item 59, page 11.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-2. BUDGET, FISCAL AND PAYROLL RECORDS
Records created and accumulated incidental to the managerial control, budgeting, disbursement, collection and accounting of the local health departments.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department "records containing privileged patient medical information or information protected under 45 CFR Parts 160 and 164."

ITEM #	***STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ACCOUNTS PAYABLE** Records concerning the status of accounts in which the county owes money to firms or individuals.	Destroy in office after 3 years.*	
2.	**ACCOUNTS RECEIVABLE** Records concerning receivables owed and collected.	Destroy in office after 3 years.*	
3.	**ACCOUNTS UNCOLLECTABLE**	Destroy in office official/audit copies 3 years after account is paid, collected, or determined to be uncollectable.*	Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department "records containing privileged patient medical information or information protected under 45 CFR Parts 160 and 164."
4.	**ANNUAL BUDGET** Annual budget and budget message submitted to governing board for approval.	a) Retain records with historical value permanently. b) Destroy in office remaining records after 5 years.	G.S. § 159-11

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.	**AUDITS: FINANCIAL** Records concerning internal and external financial statement and financial related audits. Includes reports, working papers, and related records. See also **AUDITS: PERFORMANCE**, item 6, page 2.	a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	G.S. § 159-34
6.	**AUTHORIZATION FORMS**	Destroy in office after 3 years.*	
7.	**BANK STATEMENTS, CANCELED CHECKS, DEPOSIT SLIPS, RECONCILIATIONS, AND WARRANTS.**	Destroy in office after 3 years.*	
8.	**BIDS FOR PURCHASE** Records concerning quotes to supply products and services. May include advertisements, requests for proposals, tabulations, bid bonds, awards letters, records of bids and related records concerning accepted and rejected bids.	a) Destroy in office successful (awarded) construction (capital improvements) bid records 6 years after completion or termination of project.* b) Destroy in office all other successful (awarded) bid records 3 years after purchase.* c) Destroy in office unsuccessful bid records not awarded or opened after 1 year.	G.S. § 143 Article 8
9.	**BIDS FOR DISPOSAL OF PROPERTY** Records concerning the disposal of surplus property. May include various disposition procedures used, such as sealed bids and public auction.	Destroy in office all records after the disposition of property has been recorded in governing board's minutes.	G.S. § 153A-176
10.	**BILLING AND CLAIMS** Records used as the basis for payment of bills and claims for damages made by and against the agency.	Destroy in office after 3 years after settlement.*	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
11.	**BUDGET RESOLUTIONS AND ORDINANCES** Includes copies of budget, annual balanced budget, and project ordinances, resolutions, and amendments.	a) Retain permanently official copies in the minutes of the governing board. b) Destroy in office remaining copies when administrative value ends.	G.S § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S § 159-15
12.	**BUDGET REQUESTS AND WORKING PAPERS** Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence and related records.	Destroy in office after 3 years.*	G.S. § 159-10
13.	**CASH RECEIPTS**	Destroy in office after 3 years.*	
14.	**CHECK STUBS** Stubs for checks written on agency accounts.	a) Destroy official/audit copies after 3 years.* b) Destroy remaining records after 1 year.	
15.	**CHECK REGISTER, VARIOUS FUNDS**	a) Destroy computerized check registers in office after 1 year.* b) Destroy in office all other registers after 3 years.*	
16.	**CONTRACT BUDGET AND EXPENDITURE REPORTS**	Destroy in office after 3 years.*	
17.	**CREDIT CARD USE FILE**	Destroy in office after 1 year.*	
18.	**DAILY CASH REPORTS**	Destroy in office after 1 year.*	
19.	**DAILY DETAIL REPORTS**	Destroy in office after 1 year.*	
20.	**DAILY JOURNAL AND LEDGER ENTRY UPDATE PRINTOUTS**	Destroy in office after 1 year.*	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
21.	**DEPOSITS**	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	G.S. § 159-32
22.	**DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER)**	a) Destroy in office annual reports after 3 years. b) Destroy in office all other reports after 1 year.	
23.	**DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS**	Destroy in office when superseded or obsolete.	
24.	**DISTRICT INVESTMENT RECORDS**	Destroy in office after 3 years.*	
25.	**ELIGIBILITY DETERMINATION RECORDS** Records concerning eligibility of local health department clients for financial programs.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department "records containing privileged patient medical information or information protected under 45 CFR Parts 160 and 164."
26.	**EXPENDITURE REPORTS**	Destroy in office after 3 years.*	
27.	**FACILITY SERVICE AND MAINTENANCE AGREEMENTS** See Also **GRANTS: FINANCIAL**, item 29, page 17.	a) Destroy depreciation schedules 3 years after asset is fully depreciated or disposed. b) Destroy in office remaining records after 3 years.*	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
28.	**FINANCIAL JOURNALS AND LEDGERS**	a) Destroy in office after 3 years year-end summaries of receipts and disbursements. b) Destroy in office after 1 year daily, monthly or quarterly transaction detail journals and ledgers.	
29.	**GRANTS: FINANCIAL** Records concerning approved federal, state, and private grants. May include all relevant accounting, purchasing, payroll, and financial records. See Also **GRANTS** item 26, page 5.	Destroy in office after 5 years after submission of final expenditure report.*	
30.	**INSURANCE FILE** Certificates of insurance and related records provided by insurance provides as proof of coverage. See also **BILLING AND CLAIMS** item 10, page 14. See also **GRANTS: FINANCIAL** item 29, page 17.	Destroy in office 3 years from date of termination, expiration, or settlement of all claims.*	
31.	**INVOICES**	Destroy in office after 3 years.*	
32.	**LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS**	Destroy in office after 3 years.*	G.S. §159-33 and §159-33.1.
33.	**LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS**	Destroy in office after 3 year.*	
34.	**MONTHLY BUDGET REPORTS**	Destroy in office after 2 years.*	
35.	**PAID CHECKS, BILLS AND VOUCHERS**	Destroy in office after 3 years.*	
36.	**PATIENT FEE SUMMARY**	Destroy in office after 1 year.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
37.	**PAYROLL DEDUCTION RECORDS** Records used to start, modify, or stop all voluntary or required deductions from payroll. May include bank payments, savings plans, insurance, association dues, W-4 forms, orders of garnishment, etc. Used as proof the employee approved of the deduction(s). Does not include federal tax deduction records.	a) Destroy in office deduction authorization forms and records when superseded or obsolete. b) Destroy remaining records in office after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
38.	**PAYROLL AND EARNINGS RECORDS** Records containing information such as the name, Social Security number, number of hours worked, compensation rate, deductions, and total wages paid each employee per payroll period. May include individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.	a) Transfer records documenting personnel actions to **PERSONNEL RECORDS (OFFICIAL COPY)**, item 48, page 43. b) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. c) Destroy all remaining records in office after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records. FICA Reg. § 316001-1 29 CFR 516.2, 516.5 29 CFR 1627.3(a)
39.	**PURCHASE ORDERS** Records, forms and attached documents concerning purchased supplies, equipment, and services. See also **GRANTS: FINANCIAL**, item 29, page 17.	Destroy in office after 3 years.*	
40.	**PURCHASING REPORTS AND LOGS** Reports and logs containing quote information such as vendor name, item descriptions, price, award dates, and related information.	Destroy in office after 1 year.*	
41.	**RECIPIENT CHECK AND CANCELLATION REGISTERS**	Destroy in office after 3 years.*	
42.	**TELEPHONE LOGS (BILLINGS)**	Destroy in office after 1 year.*	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
43.	**TIME REPORTS** Reports detailing time spent on program elements of the local health department.	Destroy in office after 5 years.*	
44.	**TIME SHEETS, CARDS, AND ATTENDANCE RECORDS** Records concerning the work hours and attendance of employees.	a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. b) Destroy all remaining records in office after 4 years.*	29 CFR 516.5 29 CFR 516.6 29 CFR 825.500 29 CFR 1627.3 26 CFR 31.6001-1 26 CFR 31.6001-4
45.	**TRAVEL REIMBURSEMENTS** Includes authorizations and requests for reimbursement for travel and related expenses. See also **GRANTS: FINANCIAL**, item 29, page 17.	Destroy in office after 3 years.*	
46.	**VEHICLE MAINTENANCE FILE** Includes billing records. See also **GRANTS: FINANCIAL**, item 29, page 17.	Destroy in office after 3 years.*	
47.	**VENDOR FILE** Records concerning specific vendors. May include accounts payable activity, Federal Tax Identification Number, name and address, correspondence and related records.	Destroy in office when administrative value ends.	
48.	**VOUCHER REGISTERS FILE**	Destroy in office after 3 years.*	
49.	**VOUCHERS**	Destroy in office after 3 years.*	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
50.	**WITHHOLDING TAX FILE** Records concerning individual employee's income taxes. May include wage and income tax reports, IRS forms W-2, W-3, W-4, 1099, and similar records of withheld federal and state income taxes.	a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. b) Destroy all remaining records in office after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records. 29 CFR 1627.3 26 CFR 31.6001-1 26 CFR 31.6001-4

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-3. INFORMATION TECHNOLOGY (IT) RECORDS
Information technology encompasses all activities undertaken by local health departments to design, develop, and operate electronic information systems. This section covers records for which Information Technology personnel are responsible, including administrative records and those used to process data and monitor and control operations.

Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information, and G.S. 132-6.1 (c) regarding the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes".

ITEM #	***STANDARD-3: INFORMATION TECHNOLOGY RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
GENERAL ADMINISTRATION Records concerning IT policy development, planning, and the coordination of activities.			
1.	**POLICIES AND PROCEDURES** Records concerning policies and procedures. May include systems development, data retention and disposition, and data ownership, access and security.	a) Retain official copy of internal agency policies permanently. b) Destroy reference copies and external policy procedures when superseded or obsolete.	
2.	**SERVICES PLANNING FILE** Plans for information resources management, information systems development, technology acquisitions, data processing services provision, and related functions.	a) Retain records with historical value permanently. b) Destroy in office master copies of plans and supporting documentation after 3 planning cycles subsequent to completion or revision of plans. c) Destroy in office remaining records when superseded or obsolete.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
3.	**PROCUREMENT (HARDWARE AND SOFTWARE) FILE** Reference copies of records concerning the procurement of system hardware and software. May include request for proposals, proposals, quotations and bids, benchmark/acceptance testing information, correspondence, duplicate copies of contracts, purchase orders, technical reviews, and vendor information, including references and literature on the firm or product line.	Destroy in office when reference value ends.	
4.	**PROCUREMENT (IT SERVICES) FILE** Reference copies of records concerning the purchasing process, authorize and provide funds for payments, and satisfy claims by private service providers. May include purchase orders, invoice requests, receipts, agency vouchers, service reports, and other supporting documentation.	Destroy in office when reference value ends.	
5.	**USER CHARGE BACK FILE (IT)** Records concerning documentation of usage, calculation of costs, and billing of program units for IT services.	Destroy in office after 3 years.*	
SYSTEMS AND APPLICATION DEVELOPMENT Records concerning the development, modification, procurement, and testing of systems and applications.			
6.	**APPLICATION DEVELOPMENT PROJECT FILE** Records concerning the development and modification of an automated system or application. May include project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence.	Destroy in office 3 years after completion of project. *Retention Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). Please see North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems available on Government Records Branch website.*	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.	**APPLICATION DOCUMENTATION FILE** Records concerning program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.	Destroy in office 1 year after program is superseded or obsolete.*	
8.	**DATA DOCUMENTATION FILE** Records (sometimes known as metadata) concerning the development and modification of and the access, retrieval, manipulation, and interpretation of data in an automated system. May include data element dictionary, file layout, codebook or table, and other records concerning the meaning, purpose, structure, logical relationships, and origin of the data elements.	Destroy in office 3 years after system or application has been discontinued and after system's or application's instance data have been destroyed or transferred to a new structure or format. *Retention Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). Please see North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems available on Government Records Branch website.*	
9.	**SYSTEMS DOCUMENTATION FILE** Records concerning user and operational documentation describing how an application system operates from a functional user and data processing point of view. May include records documenting data entry, manipulation, output and retrieval records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or work flow records, system specifications, and input and output specifications.	Destroy in office 3 years after superseded or obsolete. *Retention Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). Please see North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems available on Government Records Branch website.*	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
10.	**QUALITY ASSURANCE FILE** Records concerning the adherence of applications and systems development procedures and products to established policies, processes, architectures, deliverables, performance metrics, budgetary allocations, and deadlines. May include reviews, assessments, and supporting documentation.	Destroy in office 3 years after associated source code is superseded or obsolete.*	
11.	**TEST DATABASE FILE** Records concerning benchmark data sets, test results constructed or used to test or develop a system, and other related documentation.	Destroy in office when reference value ends.*	
COMPUTER OPERATIONS AND TECHNICAL SUPPORT Records concerning operating systems, maintaining hardware and software, data input services, system backup off-line storage operations, job and production control, monitoring system usage, and liaison with hardware and software vendors.			
12.	**AUDIT TRAILS FILE** Records documenting user actions affecting the contents of monitored systems.	Destroy in office after 3 years.*	
13.	**COMPUTER RUN SCHEDULING** Records concerning the scheduling of computer runs. May include daily schedules, run reports, run requests, and other records documenting the successful completion of a run.	Destroy in office when administrative value ends.*	
14.	**HARDWARE DOCUMENTATION** Records concerning the use, operation, and maintenance of an agency's IT equipment. May include operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	Destroy in office when superseded or obsolete and after transfer of data to new hardware environment.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
15.	**INPUT/SOURCE RECORDS** Records or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled in any agency records schedule.	Destroy in office after completion of data entry and after all verification and quality control procedures. *Retention Note: Records retained for fiscal audit or legal purposes, or records that include information not entered into the data file, need to be scheduled separately by the responsible program unit.*	
16.	**IT MAINTENANCE CONTRACTS** Reference copies of maintenance contracts and related records for data processing equipment. May include copies of contracts, service histories, and work orders.	Destroy in office after administrative value ends.	
17.	**OFF-LINE STORAGE LIBRARY CONTROL RECORDS** Records (automated or non-automated) concerning control of the location, maintenance, and disposition of off-line storage media. May include lists of holdings, control logs, and scratch reports (file destruction reports).	a) Retain destruction records permanently unless transferred to **RECORDS MANAGEMENT FILE**, item 48, page 9. b) Destroy all other records in office after 3 years.*	
18.	**SYSTEM AND HARDWARE CONVERSION PLANS** Records concerning the replacement of equipment or computer systems.	Destroy in office 1 year after completion of conversion.	
19.	**SCANNING AND DATA ENTRY AUDIT REPORTS** Reports documenting the sampling of records produced and what remedial procedures were followed if the expected level of accuracy was not achieved.	Destroy in office after 3 years.*	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
20.	**SCANNING AND DATA ENTRY QUALITY CONTROL RECORDS** Logs and reports documenting quality control procedures and corrective action taken in scanning and data entry processes.	Destroy in office after 3 years.*	
DATA ADMINISTRATION Records concerning data administration support. May include maintenance of data standards, corporate data models, and data definitions and dictionaries.			
21.	**DATA/DATABASE DICTIONARY** Records concerning the management of data in an agency's information systems and that explain the meaning, purpose, logical relationships, ownership, use, or origin of data. May include information on data element definitions, data structures or file layout, code tables, and other data attribute information.	Destroy in office 3 years after discontinuance or modification of the related application and after application data has been destroyed or transferred to new structure or format. *Please Note: These records are essential for managing electronic records in agency automated information systems and have value as long as the data/electronic records are retained. In some cases, agencies will retain data for extended periods of time, sometimes offline. In such cases, it is essential that related documentation be retained in an accessible format and that it be listed in a program records retention and disposition schedule.*	
22.	**DATA/DATABASE DICTIONARY REPORTS** Periodic printouts from a data/database dictionary system. May include data element attribute reports, database schema, and related records used for reference purposes.	Destroy in office when superseded or obsolete.	
23.	**FINDING AIDS (INDEXES)/TRACKING SYSTEMS FILE** Includes electronic indexes, lists, registers, and other finding aids providing access to records in paper and electronic format in the custody of the data processing unit.	Destroy in office when related paper or electronic records have been destroyed or transfer in accordance with the disposition of the related paper or electronic records, as appropriate.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
USER/OFFICE AUTOMATION SUPPORT Records concerning the support to users of a computer application or office automation system. May include assisting users to solve software and hardware problems, installing hardware or software, providing training, and providing review and recommendation of software for agency use.			
24.	**HARDWARE AND SOFTWARE REVIEW** Records concerning the review of and recommendations for hardware and software use. May include vendor information, manuals, hardware and software reviews, and other related records.	a) Destroy in office review materials after selected hardware or software is no longer in use. b) Destroy in office review material for non-selected hardware or software after reference value ends.	
25.	**HELP DESK TELEPHONE LOGS AND REPORTS** Records concerning requests for technical assistance and responses to these requests as well as the collection of information on the use of computer equipment for program delivery, security, or other purposes.	Destroy in office after 2 years.*	
26.	**SITE, EQUIPMENT, AND SOFTWARE SUPPORT FILE** Records concerning support services provided to specific equipment and software or installations. May include site visit reports, program and equipment service reports, service histories, and correspondence and memorandums.	a) Destroy service histories and other summary records when equipment or software is no longer in use. b) Destroy remaining records after 3 years.	
27.	**TRAINING (IT) COURSE INFORMATION** Records concerning training courses run by a user support or office automation support group. May include memorandums, flyers, catalogues, registration forms, rosters, and other related records.	Destroy in office when superseded or obsolete.	
NETWORK AND DATA COMMUNICATION SERVICES Records concerning installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and communications with network providers.			

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
28.	**CIRCUITS (IT) INVENTORIES FILE** Records concerning network circuits used by the agency. May include circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other related records.	Destroy in office when superseded or obsolete.	
29.	**NETWORK AND CIRCUIT INSTALLATION AND SERVICE FILE** Records concerning requests by departments to public or private providers for data communication service, installation, or repair. May include work orders, correspondence, memorandums, work schedules, copies of building or circuitry diagrams, copies of fiscal documents, and other related records.	Destroy in office 2 years after completion of work.*	
30.	**NETWORK IMPLEMENTATION PROJECT FILE** Records concerning the planning for and implementation of a network. May include reports, justifications, working diagrams of proposed network, wiring schematics, diagrams and other related records.	Destroy in office when superseded or obsolete.	
31.	**NETWORK SITE AND EQUIPMENT SUPPORT FILE** Records concerning support services provided to specific sites and computer to computer interfaces on a network. May include site visit reports, trouble reports, service histories, and correspondence and memoranda.	a) Destroy service histories and other summary records when equipment is no longer in use. b) Destroy remaining records after 3 years.	
COMPUTER AND INFORMATION SECURITY Records concerning measures taken to secure government property, networks, and data.			

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
32.	**AGENCY INTERNET SERVICES LOGS** Electronic files or automated logs created to monitor access and use of services provided via the Internet and use of the internet by employees. May include FTP (file transfer protocol), World Wide Web site, agency telnet services, or other service providers.	Destroy in office when administrative value ends.*	
33.	**COMPUTER USAGE FILE** Electronic files or automated logs created to monitor computer system usage. May include log-in files, system usage files, data entry logs, data concerning individual computer program usage, security logs, and other related records.	Destroy in office when administrative value ends.*	
34.	**COMPUTER SECURITY INCIDENT FILE** Records concerning incidents involving unauthorized attempted entry, probes and/or attacks on electronic data processing systems, information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. May include reports, logs, extracts and compilations of data, and other related records.	Destroy in office after 1 year or when administrative value ends.*	
35.	**DISASTER PREPAREDNESS AND RECOVERY PLANS (IT)** Records concerning the protection and reestablishment of data processing services and equipment in case of a disaster. (Disaster preparedness and recovery plans should be stored in secure, off-site location.)	a) Retain records documenting past disaster recovery permanently. b) Destroy in office after superseded or obsolete.	
36.	**NETWORK USAGE FILE** Electronic files or automated logs created to monitor network usage. May include log in files, system usage files, and other related records.	Destroy in office when administrative value ends.*	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
37.	**NETWORK USAGE REPORTS** Summary reports and other related records created to document computer usage for reporting or other purposes.	Destroy in office when administrative value ends.*	
38.	**SYSTEM BACKUP FILE** Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction. (System backup files and records should be stored in secure, off-site location.)	Destroy in office in accordance with your office's established, regular backup plan and procedures. *See Also: Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files, available on Government Records Branch website.*	
39.	**SYSTEM USERS ACCESS RECORDS** Records concerning control or monitoring individual access to a system and its data.	Destroy in office 1 year after access for employee is withdrawn.*	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-4. LEGAL RECORDS
Official law and legal documentation created or accumulated to substantiate the rights, obligations, or interests of local health departments or their individual employees or clients.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department "records containing privileged patient medical information or information protected under 45 CFR Parts 160 and 164 (HIPPA)."

ITEM #	***STANDARD-4: LEGAL RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**AFFIDAVITS OF PUBLICATION** Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales, etc.	a) Retain permanently if record provides only evidence of action(s) taken. b) Destroy remaining records in office after 3 years.*	G.S. § 1 Article 50
2.	**BOARD OF HEALTH ORDINANCES, REGULATIONS AND RULES**	a) Retain 1 copy in office permanently. b) Destroy in office remaining copies when reference value ends.	
3.	**COMPLAINTS (DISCRIMINATION)** Records concerning discrimination charges. May include charges made under the Age Discrimination in Employment Act, Americans with Disability Act, Housing and Urban Development Act, and the Civil Rights Act of 1964.	a) Destroy in office 2 years after final disposition of the charge. b) Transfer to **LITIGATION CASE RECORDS** item 11, page 33 if legal action is taken.	
4.	**CONTRACTS AND AGREEMENTS** Contracts and agreements for construction, equipment, supplies, services, special programs, and projects. May include franchise agreements and memorandums of understanding.	a) Destroy construction (capital improvements) contracts 6 years after completion or termination of project.* b) Destroy all other contracts and agreements 3 years after expiration, termination, or completion.* c) Retain contracts and agreements with historical value permanently.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.	**CORRESPONDENCE (LEGAL)** Correspondence and related records concerning actions taken to recover debts, fines, penalties, and assure violations concerning solid waste, environmental health, public health, erosion control, etc.	a) Destroy in office 3 year after resolution. b) Transfer to **LITIGATION CASE RECORDS** item 11, page 33 if legal action is taken. See also **Public Records with Short Term Value** page xv. For information on handling electronic mail, See **Electronic Records and Digital Imaging** section page xii.	Comply with provisions of G.S. § 132-1.1(a) regarding the confidentiality of written communications by legal council.
6.	**EASEMENTS AND RIGHT OF WAY AGREEMENTS** Granted to and by the agency.	a) Retain originals permanently. b) Destroy copies in office when administrative value ends.	
7.	**INSURANCE POLICIES** Records concerning purchased accident, sickness, automobile, theft, fire, life, and all other insurance policies purchased by the county.	a) Destroy original records 6 years from date of termination or settlement of all claims, whichever occurs first.* b) Destroy copies in office when administrative value ends.	
8.	**LEASES FILE** Records concerning leases for property leased by and from other parties and agency property leased to the public. See Also **GRANTS** item 26, page 5.	a) Destroy original records 3 years after termination of lease.* b) Destroy copies in office when administrative value ends.	
9.	**LEGAL OPINIONS** Formal legal opinions written by counsel in response to requests concerning the governance and administration of local government.	a) Retain original records permanently. b) Destroy copies in office when administrative value ends.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
10.	**LEGAL REVIEW RECORDS** Includes legal reviews of by-laws and charges to boards and commissions, conflict of interest, and all other departmental matters as requested. See also **LEGAL OPINIONS** item 9, page 32.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends or expiration of relevant statute of limitations; whichever is longer.	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal council.
11.	**LITIGATION CASE RECORDS** Civil suits to which the county is a party. May include affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.	Retain cases having precedent or historical value permanently. a) Destroy in office adjudicated cases 5 years after final disposition. b) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations; whichever is longer. *Retention Note: Records are retained by the Clerk of Superior Court's office in each county.*	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal council.
12.	**ORDINANCE AND RESOLUTION DEVELOPMENT RECORDS** Records concerning the analysis and development of ordinances and resolutions submitted before the governing board for approval.	Destroy in office development records when ordinance is no longer in effect.	
13.	**OWNERSHIP RECORDS (DEEDS, TITLES)**	Destroy in office 1 year after county relinquishes ownership of land.*	
14.	**PUBLIC HEALTH LAW**	Destroy in office when superseded or obsolete.	
15.	**VEHICLE TITLES**	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	
16.	**WARRANTIES**	Destroy in office 1 year after expiration of warranty.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-5. PERSONNEL RECORDS
Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of local health department employees. Comply with applicable provisions of G.S. §130A-42 regarding confidentiality of personnel records.

ITEM #	***STANDARD-5: PERSONNEL RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ABOLISHED POSITION FILE**	Destroy in office when reference value ends.	
2.	**ADDRESS FILE**	Destroy in office when superseded or obsolete.	
3.	**ADS AND NOTICES OF OVERTIME, PROMOTION, AND TRAINING OPPORTUNITIES**	Destroy in office 1 year from date record was made.	29 CFR 1627.3
4.	**AFFIRMATIVE ACTION FILE**	a) Destroy in office after 5 years all reports, analyses, and statistical data. b) Destroy in office affirmative action plans 5 years from date superseded.	29 CFR 30.8(b) 29 CFR 1608.4
5.	**APPRENTICESHIP PROGRAM RECORDS**	Destroy in office 5 years from the date of enrollment.	29 CFR 30.8(e)
6.	**APTITUDE AND SKILLS TESTING RECORDS** Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. May include civil service examinations. See also **EMPLOYMENT SELECTION RECORDS** item 16, page 37.	a) Destroy applicant and employee test papers 2 years from date record was created. b) Destroy in office validation studies and copies of tests 2 years after no longer in use. c) Destroy records relating to the planning and administration of tests in office after 2 years.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.	**CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS**	a) Destroy in office administrative records after all audits plus 3 years. b) Destroy yearly enrollment records after 1 year. c) Destroy claim records and receipts after all audits plus 3 years.	
8.	**COBRA RECORDS (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT)** Includes notifications, election and claim forms, rejection letters and similar information.	Destroy in office 3 years from date eligibility ended.	29 USC 1161 26 USC 4980B 42 USC 300-bb-1
9.	**DEFERRED COMPENSATION FILE**	Destroy in office when reference value ends.	
10.	**DISABILITY SALARY CONTINUATION CLAIMS**	a) Transfer original forms to Local Government Retirement System for action when received. b) Destroy in office reference copies after 1 year.	
11.	**DISCIPLINARY FILE** Correspondence and other records concerning disciplinary action taken against employees by personnel or supervisory staff, including records documenting terminations. May include records created by civil service boards when considering, or reconsidering on appeal, an adverse action against an employee.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	29 CFR 1602.14 29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
12.	**DRUG AND ALCOHOL PROGRAMS FILE** Records concerning an agency's alcohol misuse and controlled substances use prevention programs. May include test results, evaluations and referrals, annual summary reports, education and training records, chain of custody forms and all other program related documents.	a) Destroy in office after 5 years alcohol test results indicating an alcohol concentration of 0.02 or greater, records of verified positive drug or alcohol test results, documentation of refusals to take required alcohol and/or drug tests (including substituted or adulterated drug test results), referrals to Substance Abuse Professionals (SAP), SAP reports, all follow-up tests and schedules for follow-up tests, copies of annual Drug AND Alcohol Management Information System (MIS) reports submitted to Federal Transit Administration (FTA), equipment calibrations, and records related to the administration of the testing program. b) Destroy in office after 3 years records obtained from previous employers concerning drug and alcohol test results. c) Destroy in office after 2 years records of the inspection, maintenance, and calibration of Evidential Breath Testing Devices (EBTs), records related to the collection process, and records concerning the training of program staff. d) Destroy in office after 1 year records of negative and cancelled drug or alcohol test results, including alcohol test results with a concentration of less than 0.02. *Retention Note: Records should be maintained in a location with controlled access.*	49 CFR 382.401 49 CFR 40.333 49 CFR 655.71
13.	**DUAL EMPLOYMENT FILE** Records concerning employees' requests and authorizations to accept secondary employment.	a) Destroy approved requests and related records 1 year after employee terminates outside employment. b) Destroy unapproved requests and related records after 6 months.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
14.	**EDUCATIONAL LEAVE AND REIMBURSEMENT FILE**	a) Destroy in office records concerning approved requests when released from all audits.* b) Destroy in office records concerning disapproved requests 6 months after disapproval.	
15.	**EMPLOYMENT APPLICATIONS AND RESUMES** Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. May include applications, transcripts, resumes, letter of reference and similar records.	a) Transfer application, resumes, transcripts and similar records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy in office all remaining records concerning individuals hired 2 years from date record was created, received, or the personnel action involved, whichever is longer. c) Destroy in office records concerning 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.* d) Destroy unsolicited applications/resumes, and those received after posted closing dates in office 2 years after receipt.	
16.	**EMPLOYMENT SELECTION RECORDS** Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. May include interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, health or physical examinations, and similar records. See also **APTITUDE AND SKILLS TESTING RECORDS** item 6, page 34.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
17.	**EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS** Records concerning certification or qualification as required for employment, continued employment, or promotion. See also **EMPLOYMENT APPLICATIONS AND RESUMES** item 15, page 37.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	
18.	**EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES** Includes records listing employees, their job titles, work locations, phone numbers, e-mail address, and similar information.	Destroy in office when superseded or obsolete.	
19.	**EMPLOYEE BENEFITS REGISTER**	Destroy in office after 2 years.	
20.	**EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS** Includes records requesting tuition assistance, repayments, and other related records.	Destroy in office 3 years after completion, denial, repayment, and removal from program.*	
21.	**EMPLOYEE ELIGIBILITY RECORDS** Includes the United States Citizenship and Immigration Services, Employment Eligibility Verification forms (I-9) forms.	a) Destroy certificates, I-9 forms and statements, in office 3 years after individual was hired or 1 year from date of separation. b) Destroy registers in office after 2 years.	8 USC 1324(b)
22.	**EMPLOYEE EXIT INTERVIEW RECORDS**	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy all remaining records in office after 1 year.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
23.	**EMPLOYEE HEALTH CERTIFICATES** Includes health or physical examination reports or certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA).	Destroy in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	29 CFR 1602.31
24.	**EMPLOYEE MEDICAL RECORDS** Records concerning asbestos, toxic substances, and blood-borne pathogen exposure, medical examinations required by state or federal law, and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.)	a) Destroy exposure records 40 years from date of exposure or 30 years from date of separation, whichever occurs later.* b) Destroy records pertaining to job-related illness and injury in office after 5 years. c) Destroy results of medical examinations required in connection with personnel actions and similar records in office after 1 year. *Retention Note: Records must be maintained separately from an employee's personnel jacket.*	29 CFR 1627.3 29 CFR 1630.14 29 CFR 1904.4 29 CFR 1910
25.	**EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS** Forms providing personal identifying data, beneficiary information, option selection, and similar information.	a) Transfer pension and deferred compensation enrollment forms to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy life, health, and disability insurance enrollment forms 4 years after termination of coverage.	
26.	**EMPLOYEE PENSION AND BENEFITS PLANS** Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance, seniority and merit systems; and deferred compensation plans, including amendments.	Destroy in office 1 year after plan is terminated.	29 CFR 1627.3

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
27.	**EMPLOYEE PERFORMANCE REVIEW FILE**	a) Destroy in office after 3 years supervisor approved and signed work plans. b) Destroy in office remaining records when administrative value ends.	
28.	**EMPLOYEE POLYGRAPH RECORDS** Includes statements informing employee of the time, place and reasons for the test. Copy of notice sent to examiner identifying employee to the tested. Copies of opinions, reports, or similar records generated by the examiner and provided to the agency.	Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.	29 CFR 801.30
29.	**EMPLOYEE SECURITY RECORDS** Records concerning the issuance of keys, identification cards, pass, parking permits, etc., to employees.	Destroy in office when administrative value ends.	
30.	**EMPLOYEE SUGGESTIONS**	Destroy in office when administrative value ends.	
31.	**EMPLOYEE TRAINING AND EDUCATIONAL RECORDS** Includes employee-specific records (certificates, transcripts, test scores, etc.) and non-employee-specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.	a) Transfer employee-specific records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43 if such training and testing is required for the position held or could affect career advancement. Destroy remaining records when administrative value ends. b) Destroy in office non-employee-specific records 1 year from date record was created.	29 CFR 1627.3
32.	**EMPLOYEE WORK SCHEDULES AND ASSIGNMENT RECORDS** Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office when administrative value ends.	
33.	**EMPLOYMENT LISTINGS, ADVERTISEMENTS AND ANNOUNCEMENTS**	Destroy in office after 2 years.	29 CFR 1602

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
34.	**EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS** Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the county.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy all remaining records in office 2 years after resolution of case.*	29 CFR 1602.31
35.	**EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS AND REPORTS** Reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provisions of Title VII and the Americans with Disabilities Act (ADA). Also includes complied documentation used to complete EEO reports.	Destroy in office after 3 years.	29 CFR 1602
36.	**EQUAL PAY RECORDS** Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.	Destroy in office after 2 years.	29 CFR 1620.32
37.	**FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS** Records concerning leave taken, premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over FMLA and other related records.	Destroy in office 3 years after leave ends.*	29 CFR 825.500(b)
38.	**FRINGE BENEFITS FILE**	Destroy in office when reference value ends.	
39.	**GRIEVANCE FILE** Includes initial complaint, investigations, actions, summary, and disposition. Disciplinary correspondence may also be included. See also **DISCIPLINARY FILE** item 11, page 35.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
40.	**HEALTH INSURANCE FILE** Completed claim forms and other records concerning employees covered by health plans.	Destroy in office after 2 years.*	
41.	**INCREMENTS FILE**	Destroy in office when released from all audits.	
42.	**INTERNSHIP PROGRAM FILE**	Destroy in office after 3 years.	
43.	**LEAVE FILE** Records concerning employee leave including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, military, etc.	a) Destroy in office records concerning military service leave 5 years after leave ends.* b) Destroy in office records concerning non-military service leave 5 years after leave ends.*	5 CFR 1208 29 CFR 825.500(b)
44.	**LEAVE WITHOUT PAY FILE**	Destroy in office 5 years after return of employee or termination of employment.	
45.	**LONGEVITY PAY REQUESTS**	Destroy in office when released from all audits.	
46.	**MERIT AND SENIORITY SYSTEM RECORDS**	a) Destroy employee-specific records in office after 3 years. b) Destroy in office system and plan records 1 year after no longer in effect.	29 CFR 1627.3
47.	**PERSONNEL ACTION NOTICES** Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, position or job title, name change and leave.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
48.	**PERSONNEL RECORDS (OFFICIAL COPY)** Official copy of personnel file maintained on each agency employee. May include basic employee information and records and forms relating to the selection, or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.	Destroy in office 30 years from date of separation. See also **EMPLOYEE MEDICAL RECORDS** item 24, page 39.	G.S. § 160A-168 (Municipal Employees) G.S. § 153A-98 (County Employees)
49.	**PERSONNEL RECORDS (REFERENCE COPY)** Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy remaining records when administrative value ends.	
50.	**POLICIES AND PROCEDURES (PERSONNEL)**	a) Retain official copy of internal agency personnel policies permanently. b) Destroy reference copies and external policy procedures when superseded or obsolete.	
51.	**POSITION CLASSIFICATION/POSITION HISTORY FILE**	Retain in office permanently.	
52.	**POSITION CONTROL CARDS**	Destroy in office when reference value ends.	
53.	**POSITION DESCRIPTION RECORDS** Includes information on job title, grade, duties, agency assigned, duties and responsibilities.	Destroy in office 2 years from the date of record.	29 CFR 1620.32
54.	**POSITION REQUISITION AND ANALYSIS RECORDS** Records used to fill vacant positions and request new positions.	Destroy in office when administrative value ends.	
55.	**SALARY SURVEY RECORDS**	Destroy in office when administrative value ends.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
56.	**SERVICE AWARDS AND COMMENDATIONS** Includes award and selection committee reports, nominations, selection criteria, and similar employee recognition or incentive programs administrative records.	a) Transfer employee-specific records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	
57.	**TEMPORARY EMPLOYEE RECORDS** Records concerning temporary employees who were not provided or eligible for benefits. Does not include personnel records created for specific federal programs.	Destroy in office 1 year from date of separation.	
58.	**UNEMPLOYMENT COMPENSATION CLAIMS** Claim form and other related records concerning unemployment compensation cases.	Destroy in office after 3 years.*	
59.	**UNEMPLOYMENT COMPENSATION REPORTS** Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with Employment Security Commission.	Destroy in office after 3 years.*	
60.	**UNEMPLOYMENT INSURANCE FILE**	a) Transfer original records to the Department of Commerce, Unemployment Insurance Division, when received. b) Destroy in office remaining records after 2 years.	
61.	**VOLUNTEER RECORDS** Records concerning individuals who volunteered to assist with various agency activities and/or serve on boards.	Destroy in office 3 years from date of last inquiry or entry.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
62.	**WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE** Includes program policies, guidelines, and related administrative documentation.	a) Retain records with historical value permanently. b) Destroy in office when administrative value ends.	
63.	**WORKERS' COMPENSATION PROGRAM CLAIMS FILE** Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. May include Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, reference copies of medical invoices, and other related records. Also includes reference copies. (Records concerning claims filed for injuries that occurred prior to July 5, 1994 are considered permanent records in compliance with *Hyler v. GTE Prods. Co.*, 333 N. C. 258 S.E.2d 698 (1993).)	a) Retain in office permanently records concerning claims filed for injuries that occurred prior to July 5, 1994. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with county personnel policy. Retain in office permanently records concerning claims filed for injuries that occurred on or after July 5, 1994, for which the Industrial Commission form "Employee's Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. §97-25.1" (Form 18M) has been filed. Destroy remaining records in office 5 years after closing, in accordance with G.S. §97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated.* b) If official action has been initiated, transfer to **LITIGATION CASE RECORDS** item 11, page 33.	Comply with applicable provisions of G.S. § 8-53 regarding the confidentiality of physician-patient records.

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-6. PUBLIC RELATIONS RECORDS
Official records and materials created and accumulated by internal public information programs operated by local health department offices.

ITEM #	***STANDARD-6: PUBLIC RELATIONS RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ADVERTISEMENTS** Includes advertisements of special events and services concerning the agency which appear in newspapers, journals, newsletters etc.	a) Destroy the advertisements in office 3 years after expiration.* b) Destroy in office billing information and other fiscal records when released from all audits. c) Retain record with historical value permanently. d) Destroy remaining records in office when reference value ends, but within 5 years.	
2.	**AGENCY PUBLICATIONS**	a) Retain record with historical value permanently. b) Destroy remaining copies in office when administrative value ends.	
3.	**AUDIO TAPES (PUBLIC RELATIONS)**	a) Retain records with historical value permanently. b) Destroy remaining records in office when administrative value ends.	
4.	**BIOGRAPHICAL DATA**	a) Retain records with historical value permanently. b) Destroy in office remaining records when reference value ends.	
5.	**FILMS FILE**	a) Retain records with historical value permanently. b) Destroy in office remaining films when administrative value ends.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.	**HOMEPAGE (ELECTRONIC) FILE** Electronic records concerning the administration and maintenance of the agency's Web site. (A network administrator or information systems office may maintain electronic files.)	a) Retain records with historical value permanently. Can be maintained in electronic or paper form. b) Erase/destroy in office when superseded or obsolete.	
7.	**NEWS CLIPPINGS**	a) Retain records with historical value permanently. b) Destroy in office remaining items when reference value ends.	
8.	**NEWS AND PRESS RELEASES**	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
9.	**PHOTOGRAPHS**	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
10.	**PUBLIC RELATIONS FILE** Records concerning overall public relations of county administrative offices. May include procedures, correspondence, and other related records.	Destroy in office after 5 years.	
11.	**SLIDES**	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
12.	**SPEECHES**	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	***STANDARD-6: PUBLIC RELATIONS RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
13.	**VIDEO TAPES**	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
14.	**VISUAL AIDS**	Destroy in office when administrative value ends.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-7. RISK MANAGEMENT RECORDS
Official records created and accumulated for use by local health department risk management officers.

ITEM #	***STANDARD-7: RISK MANAGEMENT RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)** See also **WORKERS' COMPENSATION PROGRAM CLAIMS FILE** item 63, page 45. See also **LITIGATION CASE FILE** item 11, page 33, if report results in legal action.	a) Transfer records resulting in workers' compensation to **WORKERS' COMPENSATION PROGRAM CLAIMS FILE** item 63, page 45. b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.* c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.* d) Destroy in office reports that do not result in claims or official action after 3 years.	Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department "records containing privileged patient medical information or information protected under 45 CFR Parts 160 and 164 (HIPPA)."
2.	**ASBESTOS MANAGEMENT PLAN**	Destroy in office 1 year after building is destroyed or ownership is transferred.	29 CFR 1910.1001
3.	**BLOOD-BORNE PATHOGEN TRAINING RECORDS** Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualification of instructors.	a) Transfer employee-specific records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 43 if such training and testing is required for the position held or could affect career advancement. Destroy remaining records when administrative value ends. b) Destroy remaining records in office after 3 years.*	29 CFR 1910.1030(h)(2)(ii).
4.	**CLAIM COST REPORTS AND/OR STATEMENTS**	Destroy in office after 3 years.*	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.	**DISASTER AND EMERGENCY MANAGEMENT PLANS** Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious).	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.6 regarding the confidentiality of security records.
6.	**EMPLOYEE MEDICAL EXPOSURE RECORDS** Records concerning the exposure of employees to potential hazardous materials, including asbestos and blood borne pathogens.	Destroy exposure records 40 years from date of exposure or 30 years from date of separation, whichever occurs later.*	29 CFR 1910
7.	**FIRE AND SAFETY FILE**	Destroy in office when superseded or obsolete.	
8.	**FUEL OIL STORAGE TANK RECORDS**	a) Destroy in office closure records 3 years after completion of permanent closure in accordance with 40 CFR 280.34 and 280.74. b) Destroy in office performance claims and tank tightness tests completed every 5th year after 5 years. c) Destroy in office maintenance reports, repair and upgrade reports, product inventory measuring charts, tank tightness tests completed on a yearly schedule, and all other tests and related records after 1 year.	40 CFR 280.34 and 280.74
9.	**HAZARDOUS MATERIALS TRAINING RECORDS** Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors. See also **EMPLOYEE TRAINING AND EDUCATIONAL RECORDS** item 31, page 40.	Destroy in office after 5 years.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
10.	**HEALTH AND SAFETY RECORDS** Records concerning agency safety measures. Includes reports, logs and similar records documenting health and safety inspections of agency facilities.	Destroy in office when superseded or obsolete.	
11.	**HOLD HARMLESS AGREEMENTS**	Destroy in office 6 years from date of termination or settlement of all claims.*	
12.	**INSURANCE AUDITS, SURVEYS AND REPORTS**	Destroy in office when administrative value ends.	
13.	**INSURANCE AND LIABILITY WAIVERS**	Destroy in office 6 years from date of termination or settlement of all claims.*	
14.	**LOSS CONTROL INSPECTION REPORTS** Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office after 1 year.	
15.	**MATERIAL SAFETY DATA SHEETS** Forms supplied to local government agencies from manufacturers and distributors of hazardous materials.	Destroy in office 30 years after materials have been disposed of according to manufactures instructions. *Retention Note: A data sheet for a mixture may be discarded if the new data sheet includes the same hazardous chemicals as the original formulation. If the formulation is different, both data sheets must be retained for 30 years. Data sheets may also be discarded if some other record identifying the substances used, where it was used, and when it was used is retained the required 30 year period.*	29 CFR 1910.1200 and 29 CFR 1910.22E
16.	**NOTIFICATION OF PENALTY ASSESSMENT FILE**	Destroy in office after 6 years.	
17.	**OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) FILE** Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms 101 and 200.	Destroy in office after 5 years.	29 CFR 1904.44

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
18.	**RESPIRATOR PROGRAM RECORDS** Includes respirator fit test records.	Destroy in office when administrative value ends.	
19.	**SELF-INSURER CERTIFICATION FILE**	Destroy in office 6 years from date of termination or settlement of all claims.	
20.	**U.S. BUREAU OF LABOR STATISTICS AND SUMMARY FILE**	Destroy in office when administrative value ends.	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-8. ADULT HEALTH RECORDS
Public health records created or received in local health departments and used to manage and monitor adult health programs

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-8: ADULT HEALTH RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ADULT DAY CARE PROGRAM MONITORING RECORDS** File includes copies of monitoring reports and standard reviews conducted by public health nurses (PHN) as they monitor clients and employees for compliance with health standards in licensed Adult Day Health Centers.	a) Send original monitoring reports and reviews to the County Department of Social Services. b) Send copies of monitoring reports and reviews to the Division of Aging and Adult Services, Adult Day Services Consultant. c) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-8: ADULT HEALTH RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
2.	**ADULT HEALTH PROGRAM RECORDS** Records documenting adult health service contacts with individuals served by of the local health department.	a) If individual receives clinical services transfer records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. a) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46.0209
3.	**FAMILY PLANNING RECORDS** Records documenting family planning service contacts with individuals served by of the local health department.	a) If individual receives clinical services transfer records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46.0206

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-9. ALL HEALTH DEPARTMENT PROGRAMS
Public health records created or received in local health departments and used to manage and monitor federal, state, and local programs.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-9: ALL HEALTH DEPARTMENT PROGRAMS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ACCREDITATION RECORDS** Records generated or accumulated to prove compliance with those standards outlined by accrediting agencies whether public or private. File includes public notices required by accrediting agencies and any additional supporting records necessary for surveys, inspections, and/or correction of deficiencies.	a) Retain records with historical value permanetly. b) Destroy in office remaining records 6 months after expiration date of applicable accreditation period to which the records apply.	10A NCAC 48A.0101
2.	**CLINICAL RECORD AUDITS** Records concerning internal and external audit summaries and/or finding and associated supporting records. See also **AUDITS: FINANCIAL** item 5, page 14.	a) Medicare/Medicaid audits: Destroy in office after 5 years and when all findings have been resolved, whichever occurs last.* b) All other audits: Destroy in office after 3 years and when all findings have been resolved, whichever occurs last.*	
3.	**ENCOUNTER FORMS** Forms used to summarize contacts between department staff and clients.	Destroy in office after 1 year.*	
4.	**FEE SCHEDULES** Billing guides and schedules of fees charged for services.	Destroy in office 5 years after superseded. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-9: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.	**HIPAA (HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT) SECURITY IMPLEMENTATION RECORDS** Includes policies, procedures, and records of actions, activities, or assessments relating to security measures taken to ensure protected health information (PHI) is secure from unauthorized access.	Destroy in office 6 years from date of creation, or 6 years from the date when the record(s) was last in effect, whichever is later.	45 CFR 164.316
6.	**HEALTH SERVICE INFORMATION SYSTEM (HSIS) PRINTOUTS** Includes statistical and surveillance reports generated from the HSIS system.	Destroy in office when administrative value ends.	
7.	**INVESTIGATIVE REPORTS, AND COPIES OF MEDICAL RECORDS AND/OR REFERRALS RECEIVED FROM OTHER AGENCIES** Investigative reports for patients served by the local health department. May include copies of medical records and/or referrals received from other agencies.	a) Comply with statutes and/or agency policy in locating patient. If unable to locate, destroy records in office when administrative value ends. b) If individual receives clinical services transfer records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable.	
8.	**REQUISITION FOR MATERIALS/RESPONSE TO MATERIALS REQUESTS**	Destroy in office after 3 years.*	
9.	**PATIENT APPOINTMENT AND SCHEDULING RECORDS**	Destroy in office when administrative value ends.	
10.	**PATIENT DEMOGRAPHIC DATA REPORTS** Reports summarizing demographic data for patients in programs.	a) Retain reports with historical value permanently. b) Destroyed remaining reports per **REPORTS AND STUDIES (INTERNAL ADMINISTRATION)** item 50, page 10.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-9: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
11.	**PROGRAM TIME AND ACTIVITY REPORTS** Reports and similar records documenting activities of personnel for all program areas.	Destroy records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
12.	**PROTECTED HEALTH INFORMATION (PHI) ACCESS RECORDS** Provider records listing the titles and offices of employees responsible for receiving and processing requests for access to protected health information (PHI).	Destroy in office 6 years from date of creation, or 6 years from the date when the record(s) was last in effect, whichever is later.	45 CFR 164.542 45 CFR 164.530
13.	**PROTECTED HEALTH INFORMATION (PHI) AMENDMENT REQUEST RECORDS** Provider records listing the titles and offices of employees responsible for receiving and processing requests for amendment of protected health information (PHI).	Destroy in office 6 years from date of creation, or 6 years from the date when the record(s) was last in effect, whichever is later.	45 CFR 164.526 45 CFR 164.530
14.	**PROTECTED HEALTH INFORMATION (PHI) DISCLOSURE RECORDS** Records documenting the disclosure of protected health information required under the Health Insurance Portability and Accountability Act (HIPAA).	Destroy in office 6 years from date of creation, or 6 years from the date when the record(s) was last in effect, whichever is later.	45 CFR 164.528

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-9: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
15.	**PROTECTED HEALTH INFORMATION (PHI) PRIVACY PRACTICES RECORDS** Policies, procedures, and related records documenting actions taken to safeguard the privacy and security of protected health information (PHI) required under the Health Insurance Portability and Accountability Act (HIPAA).	Destroy in office 6 years from date of creation, or 6 years from the date when the record(s) was last in effect, whichever is later.	45 CFR 164.528 45 CFR 164.530
16.	**PROTECTED HEALTH INFORMATION (PHI) PRIVACY PRACTICES VIOLATION RECORDS** Records documenting complaints received concerning privacy policies and procedures required under the Health Insurance Portability and Accountability Act (HIPAA).	Destroy in office 6 years from date of creation, or 6 years from the date when the record(s) was last in effect, whichever is later.	45 CFR 164.530
17.	**PUBLIC HEALTH COMPLAINTS FILE** Files of complaints submitted to the agency by the public or other local departments or agencies regarding possible violations of local or state public health laws or regulations. Includes nature of complaint, records of investigations, and results or findings. See also **CITIZEN COMPLAINTS AND SERVICE REQUESTS** item 13, page 2.	a) Destroy in office 3 years after date of last action.* b) Transfer to **LITIGATION CASE RECORDS** item 11, page 33 if legal action is taken.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-9: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
18.	**SCREENING AND REFERRAL RECORDS** Records of screenings, consultations, and referrals conducted by local health department staff (all programs).	a) If individual receives clinical services transfer records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
19.	**STAFF DAILY ACTIVITY RECORDS** Records documenting daily activity of staff. See also **PROGRAM TIME AND ACTIVITY REPORTS** item 11, page 57.	Destroy in office when administrative value ends.	
20.	**STATISTICAL REPORTS** Agency statistical studies and reports including HSIS printouts.	a) Destroy reports per **REPORTS AND STUDIES (INTERNAL ADMINISTRATION)** item 50, page 10. b) Destroy reference copies of reports in office when administrative value ends.	
21.	**SAMPLE RESPONSE SHEETS (SURVEYS)** Client/patient surveys (all programs).	Destroy in office within 6 months of survey due date, or within 6 months of any follow up inquiry.	
22.	**STAFF WORK SCHEDULES AND ASSIGNMENT RECORDS** Work schedules and assignment records for department staff.	Destroy in office when administrative value ends.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-9: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
23.	**VACCINE PROGRAM MANAGEMENT RECORDS** Includes forms, reports and policies required to document the storage, handling, transfer and inventorying of vaccines.	Destroy records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-10. ANIMAL CONTROL PROGRAMS
Public health records created or received in local health departments and used to manage and monitor animal control programs.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-10: ANIMAL CONTROL PROGRAMS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ACTIVITY REPORTS (ANIMAL CONTROL)** Daily, weekly and monthly reports providing statistics regarding complaints answered, dogs and cats impounded, impounded animals disposed of, vaccinations, dog and cat bites reported, etc.	a) Retain reports with historical value permanently. b) Destroy remaining reports per **REPORTS AND STUDIES (INTERNAL ADMINISTRATION)** item 50, page 10.	
2.	**ANIMAL ADOPTION RECORDS** Includes pre-adoption records and agreements.	Destroy in office after 3 years.	
3.	**ANIMAL ABUSE CASES**	a) Destroy in office after 3 years.* b) Transfer to **LITIGATION CASE RECORDS** item 11, page 33 if legal action is taken.	
4.	**ANIMAL BITE REPORTS** Reports detailing animal bites investigated by, or reported to, local health departments.	Destroy in office after 3 years.	G.S. §130A-196, 197, 198**.**
5.	**ANIMAL COMPLAINT RECORDS** Includes complaints of animal abuse and nuisances. See also **DANGEROUS ANIMALS RECORDS**, item 12, page 62.	a) Destroy in office after 3 years.* b) Transfer to **LITIGATION CASE RECORDS** item 11, page 33 if legal action is taken.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-10: ANIMAL CONTROL PROGRAMS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.	**ANIMAL CONTROL CITATIONS/COMPLIANCE ORDERS** Includes citations and/or compliance orders issued to animal owners of violations of county ordinances. See also **DANGEROUS ANIMALS RECORDS**, item 12, page 62.	Destroy in office after 3 years.*	
7.	**ANIMAL CRUELTY RECORDS** Includes complaints, citations and/or compliance orders, and similar records.	a) Destroy in office after 3 years.* b) Transfer to **LITIGATION CASE RECORDS** item 11, page 33 if legal action is taken.	G.S. §14-360
8.	**ANIMAL LICENSE RECORDS** Documents the payment of license fees.	Destroy in office after 3 years.*	
9.	**ANIMAL RELEASE CERTIFICATES** Certificates verifying health of animals examined and released by local health department.	Destroy in office after 3 years.	
10.	**CONTACT NOTICE LOG** Logs and similar records of lost or stray animals found and/or reported lost by owners.	Destroy in office when administrative value ends.	
11.	**CONTROLLED SUBSTANCE EUTHANASIA LOG** Includes amount of controlled substance used and animals destroyed.	Destroy in office after 2 years.	21 CFR 1304.03
12.	**DANGEROUS ANIMALS RECORDS** Includes complaints, compliance orders, citations, bite reports, and similar records relating to dangerous animals.	Retain records relating to dangerous animals until known dead or 10 years, whichever occurs first.*	G.S. §67-4.1

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-10: ANIMAL CONTROL PROGRAMS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
13.	**HISTORIES OF PET OWNERS** File includes information for owners who violate county animal control ordinances. File includes signed complaint forms, pictures, and paperwork issued by the animal control officer.	Destroy in office when administrative value ends.	
14.	**IMPOUNDMENT RECORDS**	Destroy in office after 3 years.	
15.	**MONTHLY VEHICLE LOG (COUNTY ANIMAL SHELTER)**	Destroy in office when administrative value ends.	
16.	**RABIES CONTROL REPORTS** Monthly reports sent to the Division of Health Services.	Destroy in office after 1 year.	
17.	**RABIES VACCINATION CERTIFICATE CARD FILE** Rabies vaccination certificates submitted by local veterinarians.	Destroy in office after 3 years.	
18.	**REFERENCE MATERIAL (ANIMAL CONTROL)** Informational materials concerning first aid, care and handling of pets, ticks, rabies, etc.	Destroy when superseded or obsolete.	
19.	**SHELTER DISPOSITION RECORDS** Records on each animal processed by the animal shelter, and contain information on whether the animal is reclaimed by the owner, adopted or euthanized.	Destroy in office after 3 year.	
20.	**VACCINATION RECORDS** Includes rabies vaccination certificates sent to county animal control by area veterinarians.	Destroy in office after 3 years.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-11. BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS
Public health records concerning Medicare and Medicaid disbursements, insurance claims and payments, and other financial activities for patients served by local health departments. See **STANDARD-2. BUDGET AND FISCAL RECORDS** for the disposition of records concerning non-patient related financial activities.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-11: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ACCOUNTS RECEIVABLE - CLINICAL SERVICES** Patient payments, filings to private insurance and/or Medicare/Medicaid, and other related records.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
2.	**ADJUSTED PATIENT ACCOUNTS** Records of adjustments to patients' bills and insurance claims.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
3.	**BAD DEBT REPORTS** Reports, logs and supporting documentation summarizing accounts sent to collection agencies.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	G.S. § 105A

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.
[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-11: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.	**COST REPORTS** Reports and supporting documentation summarizing costs incurred for the administration of programs.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
5.	**INSURANCE CLAIMS FILE** Includes Medicare, Medicaid or insurance carrier claim forms and records including schedule of payments, copy of claim, listing of invalid or rejected claims, payment list, and list of checks received.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
6.	**INSURANCE PENDING REPORTS** Reports and supporting documentation summarizing unpaid insurance claims.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-11: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.	**MEDICARE DISBURSEMENT REPORTS** Reports and supporting documentation summarizing funds received Medicare and the accounts to which they are posted.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
8.	**MEDICARE PART D PRESCRIPTION DRUG FINANCIAL RECORDS** Includes financial records related to Part D drug plans administered by the agency. Includes remittance advice records. See also **MEDICARE PART D PRESCRIPTION DRUG PROGRAM RECORDS**, item 9, page 92.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	42 CFR 423.505(e)(4)
9.	**PATIENT REFUND RECORDS** Reports, logs and supporting documentation summarizing refunds issued to patients and insurance agencies.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-11: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
10.	**PAYMENT VOUCHERS** Vouchers for payment received from patients and insurance agencies.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
11.	**REMITTANCE ADVICE RECORDS** Includes member name, patient account number, amount billed, amount paid, claim provider, carrier, and service dates.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-12. ENVIRONMENTAL HEALTH RECORDS
Public health records created or received in local health departments and used to manage and monitor environmental health programs.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-12: ENVIRONMENTAL HEALTH RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ENVIRONMENTAL HEALTH PERMIT RECORDS** Records concerning permits for daycare centers, public pools, tatoo parlors or other inspected permits under the jurisdiction of the Environmental Health Program.	Destroy in office 3 years after expiration or revocation.	
2.	**ENVIRONMENTAL HEALTH REPORTS** Monthly and annual reports listing accomplishments of environmental health program elements.	a) Retain reports with historical value permanently. b) Destroy remaining reports per **REPORTS AND STUDIES (INTERNAL ADMINISTRATION)** item 50, page 10.	
3.	**FOOD AND LODGING INSPECTION RECORDS** Records concerning environmental health inspections. File includes inspection reports, listings of violations, compliance reports, and other related records.	Destroy in office after 3 years.*	10A NCAC 46 .0213
4.	**FOOD AND LODGING PERMIT ACTIONS** Records concerning the application and permit process for food and lodging establishments. May include new, transitional, expired, revoked or suspended permits.	a) Initial/New Permits: Destroy in office 3 years after revocation. b) Transitional Permits: Destroy in office 3 years after new permit application approved or expiration occurs. c) Suspended Permits: Destroy in office 3 years after date of suspension.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-12: ENVIRONMENTAL HEALTH RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.	**LABORATORY REPORTS** Laboratory reports showing results of environmental health tests.	Destroy in office after 3 years.	
6.	**METH LABS DECONTAMINATION RECORDS** Records concerning decontamination compliance.	Destroy in office 3 years after documented decontamination is complete.	
7.	**SEWAGE DISPOSAL SYSTEM PERMITS** Permit issued to verify sewage disposal systems have been completed according to local health department guidelines and are approved for use.	Destroy in office when system is no longer in use, or when system is connected with an approved public or community system.	
8.	**SEWAGE DISPOSAL SYSTEM IMPROVEMENT PERMIT/AUTHORIZATION TO CONSTRUCT PERMIT RECORDS** Includes septic tank plot plans indicating location of septic tanks.	a) Approved: Destroy in office when system is no longer in use, or when system is connected with an approved public or community system. b) Approved, System Not Installed, Fee Paid: Destroy in office 5 years after permit issue date. c) Approved, System Not Installed, Fee Unpaid: Destroy in office 1 year after permit issue date. d) Denied: Destroy in office after 3 years. e) Voided/Expired: Destroy in office after 1 year. f) Process Incomplete: Destroy in office after 5 years.	10A NCAC 46 .0211
9.	**SEWAGE DISPOSAL SYSTEM SUBDIVISION FILES** Records concerning sewage disposal systems for subdivisions. File includes plans, applications for permits, and other related records.	Destroy in office when system is no longer in use, or when system is connected with an approved public or community system.	10A NCAC 46 .0211

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.

[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-12: ENVIRONMENTAL HEALTH RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
10.	**SUMMARY OF INSPECTIONS** Summaries of inspections of establishments whose business impacts environmental health.	a) Destroy in office after 3 years from date records were created while establishment is in operation. b) Destroy in office 1 year after establishment ceases to operate.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-13. EPIDEMIOLOGY RECORDS
Public health records created or received in local health departments and used to manage and monitor epidemiology programs. These are not individual patient clinical records.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-13: EPIDEMIOLOGY RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**EPIDEMIOLOGY OUTBREAK INVESTIGATION RECORDS** Records concerning actions taken by public health nurses (PHN) to control the spread of a communicable disease. May include copies of letters of notification of exposure sent out to daycares, restaurants, etc.	a) Destroy in office responses from negative-exposures after 1 year. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0214
2.	**COMMUNICABLE DISEASE SURVEILLANCE FORMS/CASE REPORTS** Records concerning detailed information on client's risk factors including lifestyle and demographics.	a) Forward original reports to the North Carolina DHHS, and the Centers for Disease Control and Prevention for statistical purposes. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0214

******See* ***AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix***.
[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-13: EPIDEMIOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
3.	**CHRONIC DISEASE DETECTION PROGRAM RECORDS** Records concerning chronic disease detection programs. May include program procedures, statistical summaries, and other related records.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0214
4.	**CHRONIC DISEASE SERVICES REPORT** Reports summarizing chronic disease detection activities.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0214
5.	**COMMUNICABLE DISEASE (CD) REPORT CARDS** Cards or computerized database containing information on reports of communicable diseases.	a) Forward cards to DHHS as required. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0214

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[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-13: EPIDEMIOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.	**FOLLOW-UP REPORT FOR CHRONIC DISEASE SERVICES** Reports summarizing follow-up activities for chronic disease program services.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0214
7.	**HEPATITIS B CARRIER SURVEILLANCE REPORTS**	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0214
8.	**SEXUAL TRANSMITTED DISEASES (STD) EPIDEMIOLOGIC REPORTS**	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0214

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.

[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

STANDARD-14. HEALTH EDUCATION RECORDS
Public health records created or received in local health departments and used to manage and monitor heath education programs. These are not individual patient clinical records.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-14: HEALTH EDUCATION RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**HEALTH EDUCATION RECORDS** Records documenting contacts with individuals receiving health education services. Includes screenings, consultations, and referrals.	a) If individual receives clinical services transfer records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
2.	**HEALTH PROMOTION TRAINING RECORDS** Records concerning health promotion classes and training including pregnancy prevention, childbirth education and worksite wellness.	a) If individual receives clinical services transfer records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-14: HEALTH EDUCATION RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
3.	**HIV/AIDS COUNSELING AND TESTING QUARTERLY REPORTS**	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
4.	**HIV/AIDS EDUCATION REPORTS**	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
5.	**MEDIA AND PUBLIC INFORMATION** Includes copies of public health assessments provided to the public, requests or health education presentations, public health hotline messages, public health press releases, etc. See also **STANDARD-6. PUBLIC RELATIONS RECORDS**, page 46.	a) Retain records with historical value permanently. b) Destroy in office remaining records when reference value ends.	

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.

[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

STANDARD-15. HOME HEALTH RECORDS
Public health records created or received in local health departments and used to manage and monitor home health programs. These are not individual patient clinical records.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-15: HOME HEALTH RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**HOME HEALTH ADVISORY COMMITTEE MINUTES** See Also **MINUTES OF PUBLIC BODIES** item 34, page 7.	Retain original minutes in office permanently. See the **Microfilm** section on page **xiii** for instructions on microfilming.	10A NCAC 46 .0208
2.	**ANNUAL EVALUATIONS**	Destroy in office after 5 years.	
3.	**CASE CONFERENCE NOTES** Conference notes concerning home health cases.	Destroy in office when administrative value ends.	
4.	**HOME HEALTH PROGRAM RECORDS** Records documenting home health service contacts with individuals served by the local health department. Includes screenings, consultations, and referrals.	a) If individual receives clinical services transfer records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0208

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-15: HOME HEALTH RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.	**INSURANCE FOR THE AGED CERTIFICATION** Records concerning certification of organizations offering health insurance for the aged.	Destroy in office upon expiration of certification.	
6.	**NC STATE LICENSURE CERTIFICATE**	Destroy in office upon expiration of certification.	
7.	**HOME HEALTH QUARTERLY REPORTS**	a) Retain reports with historical value permaently. b) Destroy in office after 5 years.*	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-16. LABORATORY RECORDS
Public health records created or received in local health departments and used to manage and monitor laboratory programs. These are not individual patient clinical records.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-16: LABORATORY RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**EQUIPMENT/INSTRUMENT MAINTENANCE AND REPAIR FILE**	Retain for life of equipment/instrument.	10A NCAC 46 .0216
2.	**HIV TEST RECORDS** Records and logs documenting the transfer of samples to DHHS for HIV test processing. May include test results and patient information.	a) Transfer individual clinical records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
3.	**IMMUNOHEMATOLOGY TEST REPORTS**	a) Transfer individual clinical records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-16: LABORATORY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.	**PATHOLOGY TEST REPORTS** Records concerning any test results processed onsite or at another location.	a) Transfer individual clinical records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 10 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
5.	**PROCEDURES MANUAL (LABORATORY)**	Destroy in office when superseded or obsolete.	10A NCAC 46 .0216
6.	**PROFICIENCY TESTING RESULTS (LABORATORY)**	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0216
7.	**QUALITY ASSURANCE RECORDS (LABORATORY)**	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0216

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.

[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-16: LABORATORY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
8.	**QUALITY CONTROL RECORDS (LABORATORY)**	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0216
9.	**TEST REQUISITIONS (LABORATORY)**	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-17. MATERNAL AND CHILD HEALTH RECORDS
Public health records created or received in local health departments and used to manage and monitor maternal and child health programs. These are not individual patient clinical records.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-17: MATERNAL AND CHILD HEALTH RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ADMINISTRATIVE FACILITY INFORMATION (CHILD HEALTH PROGRAM)** Includes memorandum of agreement forms, visit narrative notes, facility assessment forms, and other related records.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0204 10A NCAC 46.0205
2.	**CHILD FATALITY PREVENTION TEAM (CFPT) REVIEWS** System reviews submitted by child fatality prevention teams listing identifying information, summaries, outcomes of reviews, administrative comments, and other related information.	Destroy in office after 5 years. Record involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	G.S. § 7B-1413
3.	**CHILD SERVICE COORDINATION (CSC) PROGRAM ID AND REFERRALS**	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.
[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-17: MATERNAL AND CHILD HEALTH RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.	**CHILD SERVICE COORDINATION (CSC) PROGRAM STATUS FILE** Status reports of child service coordination programs listing child's name, report date, development status, service status, and other related information.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0204 10A NCAC 46.0205
5.	**CHILDCARE HEALTH CONSULTANT RECORDS (CHILD HEALTH PROGRAM)** Records concerning childcare health programs administrated through local health departments to child care facilities. May include parent/guardian permission slips, child health assessment forms, confidentiality statements, screening forms, and other related records.	c) Transfer child specific clinical records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. d) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0204
6.	**MATERNAL AND CHILD HEALTH RECORDS** Records documenting maternal health services offered to individuals within the jurisdiction of the local health department. Includes screenings, consultations, and referrals.	a) Transfer individual clinical records to **PATIENT CLINICAL RECORDS** item 6, page 87 or **MATERNAL HEALTH (CLINICAL) RECORDS** item 4, page 86 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 46 .0204 10A NCAC 46.0205

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.*

[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-17: MATERNAL AND CHILD HEALTH RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.	**QUALITY ASSURANCE/ASSESSMENT TOOLS** Resource materials and procedures used to assess the quality of maternal and child health programs.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
8.	**SUDDEN INFANT DEATH SYNDROME (SIDS) PATHOLOGY REPORTS** Reference copies of autopsies.	Destroy in office when administrative value ends.	10A NCAC 46 .0204 10A NCAC 46.0205

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-18. ORTHOPEDIC RECORDS
Public health records created or received in local health departments and used to manage and monitor orthopedic programs. These are not individual patient clinical records.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-18: ORTHOPEDIC RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**CHILDREN'S SPECIAL HEALTH SERVICES RECORDS** Records concerning service provided to children with special health care needs administrated through local health departments.	a) Transfer individual clinical records to **PATIENT CLINICAL RECORDS** item 6, page 87 or **MATERNAL HEALTH (CLINICAL) RECORDS** item 4, page 86 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
2.	**CHILDREN'S SPECIAL HEALTH SERVICES STATISTICAL REPORTS**	a) Retain reports with historical value permanently. b) Destroyed remaining records per **REPORTS AND STUDIES (INTERNAL ADMINISTRATION)** item 50, page 10.	
3.	**ORTHOPEDIC SCHOOL SUMMARY REPORTS**	a) Retain reports with historical value permanently. b) Destroy remaining reports per **REPORTS AND STUDIES (INTERNAL ADMINISTRATION)** item 50, page 10.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-19. PATIENT CLINICAL RECORDS
Records created or received by local health departments documenting patient care, including x-ray films, consent for medical care, and copies of laboratory reports.

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Custodians also should be familiar with **G.S. §8-53** (confidentiality of communications between physicians and their patients).

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-19: PATIENT CLINICAL RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**DENTAL PATIENT RECORDS** Patient dental clinical records for adults served by the local health department.	a) Adult Patients: Destroy in office 10 years from date of last service.* b) Pediatric Patients: Destroy in office when individual reaches 28 years of age and has not received services within the last 10 years.* c) Deceased Patients: Destroy in office 10 years from date of last service.	
2.	**IMMUNIZATION RECORDS** Immunization records for patients served by the local health department.	a) Destroy in office immunization records 3 years after entered into the North Carolina Immunization Registry (NCIR) system. b) Destroy in office immunization records not entered into the NCIR system when patient reaches age 90, and has not received services within the past 10 years. c) Destroy in office immunization records of deceased patients not entered into the NCIR system 10 years from date of last service, or 3 years from date records were entered into the NCIR system, whichever applies.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-19: PATIENT CLINICAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
3.	**IMMUNIZATION CONSENT FORMS** Consent forms completed by individuals receiving yearly influenza or other inoculations.	a) Transfer consent forms containing immunization information (dose details, etc.) to **IMMUNIZATION RECORDS** item 2, page 85 as applicable. b) Destroy in office consent forms with HIPAA section after 6 years. c) Destroy in office consent forms without HIPAA section after 3 years.	
4.	**MATERNAL HEALTH (CLINICAL) RECORDS** Patient clinical records of mothers receiving material health services.	a) Destroy in office when child reaches 28 years of age, and (the child) has not received services in the last 10 years.* b) Destroy in office records of deceased patients when child reaches 28 years of age, and (the child) has not received services within the last 10 years.* c) Destroy in office records concerning cases of abortion, miscarriage, or fetal death 10 years from date the mother last received services.*	
5.	**MAMMOGRAMS**	a) Destroy in office baseline and most recent mammogram 10 years from date of last service.* b) Destroy in office remaining records when superseded.*	10A NCAC 13M .0201

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-19: PATIENT CLINICAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.	**PATIENT CLINICAL RECORDS** Clinical records for all patients served by the local health department. See also **IMMUNIZATION RECORDS** item 2, page 85; **TUBERCULOSIS RECORDS** item 10, page 88; **MATERNAL HEALTH (CLINICAL) RECORDS** item 4, page 86 and **STD/HIV/AIDS (CLINICAL) RECORDS** item 9, page 87.	a) Adult Patients: Destroy in office 10 years from date of last service.* b) Pediatric Patients: Destroy in office when individual reaches 28 years of age and has not received services within the last 10 years.* c) Deceased Patients: Destroy in office 10 years from date of last service.	G.S. § 1-15 G.S. § 1-52
7.	**PERINATAL HEPATITIS B PREVENTION REPORT PART I** Records track the testing and vaccination status of newborns exposed to hepatitis B at birth.	a) Forward original reports to the Division of Women's and Children's Health at the North Carolina Department of Health and Human Services. b) Destroy copies in office when individual reaches 28 years of age and has not received services within the last 10 years.*	
8.	**PERINATAL HEPATITIS B PREVENTION REPORT PART II** Records track the testing and vaccination status of contacts of pregnant females who have hepatitis B.	a) Forward original reports to the Division of Women's and Children's Health at the North Carolina Department of Health and Human Services. b) Destroy copies in office after 10 years from date of last service.	
9.	**STD/HIV/AIDS (CLINICAL) RECORDS** Patient clinical records related to patients who receive STD/HIV/AIDS services.	Destroy in office 10 years after documented determination of cure or after death of the patient.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-19: PATIENT CLINICAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
10.	**TUBERCULOSIS RECORDS** Patient clinical records for patients with tuberculosis (TB). File also includes summaries of treatment, x-rays, culture results, and other related records.	a) TB Infection (no disease): Retain interpretation of most recent x-ray films, TB Drug Record if treated, and HIV test results if tested for life of patient. Destroy x-ray films 10 years from date of last service. b) TB Disease: Retain summary of treatment, most recent x-ray films including interpretations, TB Drug Record, HIV test results if tested, most recent mycobacterium tuberculosis culture result with susceptibilities, and hospital discharge summaries, if any for life of patient. Destroy all but the most recent x-ray films 10 years from date of last service. c) Destroy all records and x-ray films upon death of patient or when patient reaches 90 years of age and, for either event, 10 years have elapsed since date of last service.	10A NCAC 46 .0214
11.	**X-RAY FILMS** Films and digital radiological imagery used for clinical diagnostic purposes. See also **MAMMOGRAMS**, item 5, page 86 and **TUBERCULOSIS RECORDS**, item 10, page 88.	a) Adult Patients: Destroy in office 10 years from date of last service.* b) Pediatric Patients: Destroy in office when individual reaches 28 years of age and has not received services within the last 10 years.* c) Deceased Patients: Destroy in office 10 years from date of last service.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-20. PHARMACY RECORDS
Records created or received by pharmacies operated within local health departments.

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Custodians also should be familiar with **G.S. §8-53** (confidentiality of communications between physicians and their patients).

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-20: PHARMACY RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ADVERSE DRUG REACTION REPORTS** Reports to the Food and Drug Administration (FDA) describing adverse drug reactions.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
2.	**BIANNUAL INVENTORY OF CONTROLLED SUBSTANCES** Inventories of controlled substances.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

***See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.**
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-20: PHARMACY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
3.	**DRUG DESTRUCTION RECORDS** Inventories of drugs destroyed, their amounts, and when destroyed.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
4.	**DRUG DISPOSAL RECORDS** Records documenting the disposal or final disposition of all out-dated, improperly labeled, adulterated, damaged, or unwanted controlled and non-controlled substances, or drug containers with worn, illegible, or missing labels.	All records documenting the disposal of unwanted controlled and non-controlled substances may be destroyed in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	G.S. §90-85.6; 90-85.21
5.	**DRUG INVENTORIES** Inventories of controlled and non-controlled substances. File includes inventory reports, ancillary drug cabinet inventories, biannual and annual inventories, perpetual inventories, and similar records used to account for medication compounding and dispensing by pharmacies and locations outside the pharmacy.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-20: PHARMACY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.	**INTRAVENOUS HOOD PERFORMANCE REPORTS** Records of the tests conducted on intravenous hood to ensure a sterile environment.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	21 NCAC 46 .2806
7.	**MEDICATION ERRORS** Records documenting the administration of an incorrect medication or dose. File includes pertinent chronological information, appropriate health care facility forms, and investigative reports including the identity of individual(s) responsible.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
8.	**MEDICATION STORAGE INSPECTION REPORTS** Results of medication storage areas inspected on a routine basis including the removal of expired or expiring medication.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	21 NCAC 46 .2806

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.

[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-20: PHARMACY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
9.	**MEDICARE PART D PRESCRIPTION DRUG PROGRAM RECORDS** Records needed to determine compliance with Part D contracts and regulations such as copies of prescriptions, claims and purchase records, signature logs and similar records. See also **MEDICARE PART D PRESCRIPTION DRUG FINANCIAL RECORDS**, item 8, page 66.	a) Transfer individual clinical records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 10 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	42 CFR 423.505(e)(4)
10.	**PATIENT MEDICATION PROFILE** Lists of all prescribed medications for each patient.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
11.	**PHARMACY AUDIT RECORDS** Records documenting periodic audits preformed by the NC Division of Medical Assistance. See also **AUDITS: PERFORMANCE**, item 6, page 2.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
12.	**PHARMACY LICENSES AND PERMITS** Licenses, permits and application records submitted to the North Carolina Board of Pharmacy.	Destroy in office when superseded or obsolete.	21 NCAC 46 .1601

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-20: PHARMACY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
13.	**PHARMACEUTICAL PATIENT COUNSELING AND ASSESSMENT RECORDS** Records involving the interpretation and evaluation of a patient's drug therapy or other pharmaceutical care services. File includes on site drug and medication reviews, and collected patient information	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	21 NCAC 46 .2504
14.	**PRESCRIPTION DISPENSING AND FILLING RECORDS** Records documenting the dispensing and filling of prescriptions. Records include dispensing date, quantity dispensed, pharmacist's name, and documentation of satisfaction of state requirements for drug selection.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	21 NCAC 46 .2302 21 NCAC 46 .2303 21 NCAC 46 .2304
15.	**PRESCRIPTION ORDERS** Prescription orders for controlled and non-controlled substances or other medication or a device for each patient. File includes patient's name, location, medical records number, medication name, strength, dosage form, date order was written, and doctor's signature. See also **MEDICARE PART D PRESCRIPTION DRUG PROGRAM RECORDS**, item 9, page 92.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	21 NCAC 46 .2301

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-20: PHARMACY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
16.	**RECORDS OF PRE-PACKAGED DRUGS** Inventories of pre-packaged drugs received in the pharmacy.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
17.	**SCHEDULE I INVOICE AND RECEIVING FILE** Ordering and receiving records for schedule I controlled substances.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	G.S. §90-90.
18.	**SCHEDULE II, III, IV, AND V NARCOTICS USAGE FILE** Records documenting the use of schedule II, III, IV, and V controlled substances.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	G.S. §90-90 through 93. Comply with applicable provisions of G.S. §90-85.36(c) regarding confidentiality of records kept in accordance with G.S. §90-93(d).

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-20: PHARMACY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
19.	**YEARLY DRUG INVENTORY** Annual inventories of all drugs in the pharmacy.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-21. RADIOLOGY RECORDS
Public health records created or received in local health departments and used to manage and monitor federal, state, and local programs. These are not individual patient clinical records.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-21: RADIOLOGY RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**RADIATION AREA SURVEY RECORDS** Area surveys conducted with radiation detection equipment.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	15A NCAC 11. 0515 15A NCAC 11 .0523
2.	**RADIATION PROTECTION PROGRAM RECORDS** Records and reports documenting inspections by state and federal agencies, consultants, or radiology providers. File includes audit reports, review evaluations, proof of corrective actions taken, and program content and implementation records.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	15A NCAC 11 .1636

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.
[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-21: RADIOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
3.	**RADIOACTIVE MATERIALS RECEIPT AND DISPOSAL RECORDS** Records and reports concerning the receipt, return, and disposal of radioactive materials. Records list date received and returned, condition of packages, wipe test results, trigger levels, dose rates, names of individuals performing inspections, and other related information.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	15A NCAC 11 .0523
4.	**RADIOLOGICAL FILM SIGN-OUT RECORD** Records concerning the release of radiological films by a facility for review by another physician. Sign-out records list patient's name, type of film being released, where records were sent, date released, signature of person receiving exams, and other related information.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
5.	**RADIOLOGY DOSES ADMINISTERED FILE** Logs or similar records documenting the amount of radiation given to patients.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
6.	**RADIOLOGY EQUIPMENT REGISTRATION** Registration information for radiology equipment.	Destroy in office upon final disposition of equipment.	15A NCAC 11 .0523

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-21: RADIOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.	**RADIOLOGY UTILIZATION RECORDS** Logs showing make, model, and serial number of devices, machines, and transport or storage containers; site where used, and dates used and removed to storage.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	15A NCAC 11 .0523
8.	**RADIOLOGY EXPOSURE HISTORY FILE** Records concerning radiation exposure levels of hospital staff. File includes film badge reports and other related records.	Transfer to employee's medical records file upon termination of employment.	15A NCAC 11 .0523
9.	**RADIOLOGY QUALITY CONTROL RECORDS** Records concerning quality control for radiology programs. File includes routine surveys, instrument calibrations and quality control tests, leak tests, silver recovery records, quarterly source inventories, and other related records.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	15A NCAC 11 .0523
10.	**X-RAY FILMS (DUPLICATES) FILE** Duplicate x-ray films and reports.	Destroy in office when reference value ends.	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-22. SCHOOL HEALTH RECORDS
Public health records created or received in local health departments and used to manage and monitor federal, state, and local programs. These are not individual patient clinical records.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information, or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-22: SCHOOL HEALTH RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**SCHOOL HEALTH PROVIDER CONTRACT FILE** Memorandums of Agreement and/or contracts between county health departments and local education agencies outlining each party's responsibilities and duties.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
2.	**SCHOOL NURSE RECORDS** Records documenting encounters between school nurses and students. File includes narrative notes, forms and worksheets used and completed by nurses during school visits.	a) If child receives clinical services transfer records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-22: SCHOOL HEALTH RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
3.	**SCHOOL HEALTH SCREENING RECORDS** Records and logs documenting results of vision, blood pressure, hearing, dental etc., screenings conducted by school nurses. Local education agencies also retain documentation in the student's health record. See also **SCREENING AND REFERRAL RECORDS**, item 18, page 59.	a) If child receives clinical services transfer records to **PATIENT CLINICAL RECORDS** item 6, page 87 as applicable. b) Destroy remaining records in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	
4.	**SCHOOL SERVICES REPORTS** Reports listing school enrollments, health services provided by nurses and similar statistical information. File includes all reports filed with the North Carolina Department of Health and Human Services.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-23. VITAL RECORDS
Public health records created or received in local health departments and used to manage and monitor vital records programs. These are not individual patient clinical records.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department "records containing privileged patient medical information or information protected under 45 CFR Parts 160 and 164" (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-23: VITAL RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**BIRTH AND DEATH RECORDS** Copies of birth and death certificates.	Destroy in office after 2 years.	G.S. § 130A, Article 4
2.	**BIRTHS AND INDEX**. Official copies of birth certificates deposited with the Register of Deeds by the local Health Department. *Note: County Register of Deeds Office may keep official record*	a) Retain official copies in office permanently. b) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.	G.S. § 130A, Article 4
3.	**BURIAL TRANSIT PERMITS**	Destroy in office after 1 year.	
4.	**DEATHS AND INDEX** Official copies of death certificates deposited with the Register of Deeds by the local Health Department. Original records are filed with the Office of Vital Records. *Note: County Register of Deeds Office may keep official record.*	a) Retain official copies in office permanently. b) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.	G.S. § 130A, Article 4
5.	**DELAYED BIRTH APPLICATION RECORDS**. Applications and other records submitted as evidence in support of a delayed registration of birth. Copies are filed with the Office of Vital Records. *Note: County Register of Deeds Office may keep official record*	a) Destroy in office after 1 year applications and supporting documentation for a non-completed registration. b) Destroy in office after 1 year applications and supporting documentation for a completed registration (certificate was approved).	G.S. § 130A, Article 4 10A NCAC 41H sections .0403 through .0406

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*
[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

ITEM #	STANDARD-23: VITAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.	**DELAYED BIRTHS AND INDEX** Official copies of certificates registering the birth of a person born in this state, but not registered within one year after birth. Original records are filed with the Office of Vital Records. *Note: County Register of Deeds Office may keep official record.*	a) Retain official copies in office permanently. b) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.	G.S. § 130A, Article 4
7.	**DISINTERMENT/REINTERMENT PERMITS**	Transfer permits after 5 years for permanent retention to: Local Records Supervisor NC Government Records Branch 4615 Mail Service Center Raleigh, NC 27699-4615	10A NCAC 41H .0505
8.	**NOTIFICATION OF DEATH**	Destroy in office 1 year after death certificate is filed.	
9.	**STATE QUARTERLY REPORTS** State reports from Department of Health and Human Services, Vital Records Section.	Destroy in office after 1 year.	
10.	**VITAL RECORD AMENDMENTS** Records submitted as evidence to amend, correct, or replace a birth or death certificate issued by the Office of Vital Records.	a) Destroy in office 1 year after amendment and/or correction was approved, or request was denied or withdrawn. b) Return to Office of Vital Records copies of certificates involving adoptions, legitimations, or other registrants when a new certificate is received.	G.S. § 130A, Article 4 G.S. § 48-9-107(d) 10A NCAC 41H sections .0901 through .0910
11.	**VITAL RECORD APPLICATIONS FOR CERTIFIED COPIES** Application forms completed by persons seeking certified copies of birth, death or marriage certificates.	a) Destroy in office 1 year from date of request if copies are issued and/or received by requestor. b) Destroy in office 3 years from date of request if copies are not issued and/or received by requestor.	G.S. § 130A, Article 4

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.

[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-23: VITAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
12.	**VITAL RECORD PROGRAM EDUCATIONAL RECORDS** Records documenting vital records education services administered by local health department for local registration personnel, hospital administrators, and their medical records personnel, funeral directors, medical examiners, and others involved in the registration system.	a) Retain records with historical value permanently. b) Destroy remaining records when administrative value ends.	10A NCAC 46 .0215

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

STANDARD-24. WOMEN, INFANTS, AND CHILDREN (WIC) RECORDS
Public health records created or received in local health departments and used to manage and monitor federal, state, and local programs. These are not individual patient clinical records.

Comply with applicable provisions of G.S. §130A-12 regarding confidentiality of local health department records containing privileged patient medical information or information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act - HIPAA).

ITEM #	***STANDARD-24: WOMEN, INFANTS, AND CHILDREN RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**WIC ADMINISTRATIVE AND OPERATIONAL RECORDS** Records documenting the administration of local WIC programs. These include a variety of reports (monthly, activity, summary reports), correspondence, complaints, appointment records, inventory logs, and related records.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 43D .0206 7 CFR 246.25
2.	**WIC FINANCIAL RECORDS** Records documenting the expenditure of funds for local WIC programs. These include receipts; check registers, and related financial records.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 43D .0206 7 CFR 246.25
3.	**ALPHABETICAL LISTING OF WIC PARTICIPANTS** Computer printout.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 43D .0206 7 CFR 246.25

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.
[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-24: WOMEN, INFANTS, AND CHILDREN RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.	**FOOD INSTRUMENT (WFI) COMPUTER GENERATED SUMMARIES (WIC)** Computer printouts.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 43D .0206 7 CFR 246.25
5.	**FOOD INSTRUMENT (WFI) REPORTS (WIC)** Computer printouts.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 43D .0206 7 CFR 246.25
6.	**WIC FREQUENCY OF NUTRITIONAL RISK CRITERIA CODE REPORTS** Computer printouts.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 43D .0206 7 CFR 246.25

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.

[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-24: WOMEN, INFANTS, AND CHILDREN RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.	**WIC PARTICIPANT RECORDS** Records documenting participation in the WIC Program. Includes nutritional education records and care plans, lost or stolen ID card reports, certification forms, participant agreement forms, enrollment forms, growth charts, medical histories, and related records.	Destroy in office 5 years following the end of the fiscal year that the client's exited the program. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 43D .0206 7 CFR 246.25
8.	**WIC REPORTS** Computer printouts.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 43D .0206 7 CFR 246.25
9.	**WIC SUBJECT FILE** Records concerning subjects of interest to staff members of WIC programs. File includes correspondence, vendor lists, participant instructions, nutritionist service tally sheets, inventory logs, and other related records.	Destroy in office when administrative value ends.	
10.	**WIC TOTAL CURRENT ENROLLMENT** Computer printouts.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	

**See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix*.

[1]*See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.*

ITEM #	STANDARD-24: WOMEN, INFANTS, AND CHILDREN RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
11.	**WIC VENDOR FILE** Records concerning WIC program vendors. File includes lists of WIC vendors, annual vendor contracts, quarterly price lists, revalidated food instruments documentation, computer printouts and reports, food lists, monitoring forms, correspondence, copies of food instruments, and other related records.	Destroy in office after 5 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* *Retention Note: Records supporting the expenditure of state or federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from the DHHS Office of the Controller.*[1]	10A NCAC 43D .0206 7 CFR 246.25

See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page ix.*

[1]See "DHHS Records Retention and Disposition Schedule for Grants." This document is published semiannually by the DHHS Controller's Office.

North Carolina Department of Cultural Resources
Division of Historical Resources
Government Records Branch
REQUEST FOR CHANGE IN RECORDS SCHEDULE

TO Assistant Records Administrator
N.C. Division of Historical Resources
Government Records Branch
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____
Phone _____

INSTRUCTIONS

Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Submit the signed original, and keep a copy for your file. A proposed amendment will be prepared and submitted to the appropriate state and local officials for their approval and signature. Copies of the signed amendment will be sent to you for insertion in your copy of the schedule.

CHANGE REQUESTED

_____ Add a new item
_____ Delete an existing item Standard Number _____ Page _____ Item Number _____
_____ Change an retention period Standard Number _____ Page _____ Item Number _____

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

INCLUSIVE DATES OF RECORDS _____ **VOLUME OF RECORDS IN LINEAR INCHES** _____

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

Requested by: _____, _____, _____
Signature Title Date

North Carolina Department of Cultural Resources
Division of Historical Resources
Government Records Branch

REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

TO Assistant Records Administrator
N.C. Division of Historical Resources
Government Records Branch
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____
Phone number _____

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of records listed below. These records have no further use or value for official or administrative purposes.

RECORDS TITLE	DESCRIPTION	INCLUSIVE DATES	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

Requested by: _____, _____, _____
Signature Title Date

Approved by: _____, _____, _____
Signature Mayor/Head of Governing Board Date

Concurred by: _____, _____, _____
(as indicated) Signature Assistant Records Administrator Date
NC Division of Historical Resources

North Carolina Department of Cultural Resources
Division of Historical Resources
Government Records Branch

REQUEST FOR DISPOSAL OF ORIGINAL RECORDS DUPLICATED BY ELECTRONIC MEANS

TO Assistant Records Administrator
N.C. Division of Historical Resources
Government Records Branch
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____
Phone number _____

Use this form to request an amendment to your programs schedule from the Department of Cultural Resources to dispose of paper records you have scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to computer or digital environments. This form does not apply to records, which have been microfilmed or photocopied. In addition, this form does not apply to records with a permanent retention or that are to be transferred to the State Archives. Records with a permanent retention or which will come to the State Archives must have a paper of microfilm copy.

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Signature Title Date

Approved by: _____, _____, _____
Signature Mayor/Head of Governing Board Date

Concurred by: _____, _____, _____
(as indicated Signature Assistant Records Administrator Date
NC Division of Historical Resources

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