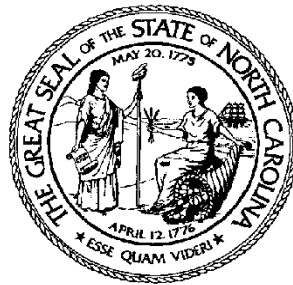


RECORDS RETENTION AND DISPOSITION SCHEDULE

DMH/DD/SAS PROVIDER AGENCY

APSM- 10-5



Issued By:



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

October 26, 2011

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**DIVISION OF MENTAL HEALTH, DEVELOPMENTAL DISABILITIES AND
SUBSTANCE ABUSE SERVICES PROVIDER AGENCY
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 provision 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. Such records shall be disposed of in accordance with the guidelines found in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule are not authorized to be destroyed.**

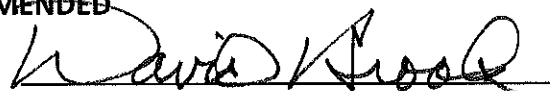
The Division of Mental Health, Development Disabilities and Substance Abuse Services (DMH/DD/SAS) and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow these records to be destroyed when "*administrative/reference value ends.*" The provider agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Cultural Resources has scheduled with the disposition instruction "*destroy when administrative/reference value ends.*" If the agency does not establish internal policies and retention periods, the agency is not complying with the provisions of this retention schedule and is not authorized by Cultural Resources to destroy the records with the disposition instruction "*destroy when administrative/reference value ends.*"

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

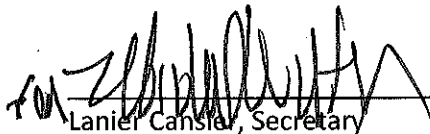


B. Monica Hughes
DHHS Chief Records Officer

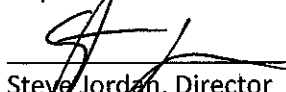


David Brook, Director
Division of Historical Resources

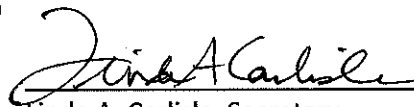
APPROVED




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ACKNOWLEDGED (AGREED TO COMPLY)

Provider Agency, Director

Chairman, Provider Agency Board

EXECUTIVE SUMMARY

- ✓ This records retention and disposition schedule is the foundation of the records management program for DMH/DD/SAS Provider agencies.
- ✓ 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 (DCR). This schedule is the primary way DCR gives its consent. Without approving this schedule, your agency is obligated to obtain the Department's permission to destroy *any* record, no matter how insignificant.
- ✓ Notwithstanding the confidentiality of DMH/DD/SAS records under 42 CFR Chapter 1 part 2 (Confidentiality of Alcohol and Drug Abuse Patient Records), 45 CFR Parts 160 and 164 (the Health Insurance Portability and Accountability Act, and applicable statutory requirements in G. S. 122C for the purpose of this schedule, public records are defined as records created during the course of providing publicly-funded DMH/DD/SAS services where such records directly relate to and support the provision of services (e.g. clinical records, personnel records, financial and reimbursement records).
- ✓ Each record 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 simply "Retain in office permanently," which means that those records must be kept in your offices forever. In other cases, the retention period may be "destroy in office when administrative/reference value ends." Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization."
- ✓ E-mail is a record as defined by G.S. §121-5 and G.S. §132. It is the content of the e-mail that is critical when determining the retention period of a particular e-mail, including any attachments, and not the media in which the records were created. E-mail should be retained in the same manner as its paper counterpart. It is important for all agency employees and officials to determine the appropriate record series for specific e-mails and retain them according to the disposition instructions.
- ✓ The Department of Cultural Resources recommends that all agency employees and officials take our online tutorials in order to familiarize themselves with records management principles and practices. The online tutorials, which are developed by the Government Records Branch, include topics such as records management, utilizing the retention schedule, e-mail management, and scanning guidelines. This information is available on the Government Records Branch website <http://www.records.ncdcr.gov/>.
- ✓ Questions about DMH/DD/SAS records should be directed to the DMH/DD/SAS Accountability Team Policy Unit (919-881-2446). Questions can also be directed to the Government Records Branch, Division of Historical Resources. When contacting a representative of the Government Records Branch, if you are located west of approximately Statesville, call the Western Office in Asheville at (828) 274-6789. If you are located east of Statesville, all the way to the coast, call the Raleigh office at (919) 807-7350.

MANAGING PUBLIC RECORDS IN NORTH CAROLINA

1. What agencies does this schedule apply to?

This records retention and disposition schedule is the foundation of the records management program for DMH/DD/SAS Provider agencies.

2. My agency is a private service provider. Does this schedule apply to all of our records?

No. This schedule applies to service records and records supporting the expenditure of state appropriation and federal funds for Local Management Entities (LMEs). For the purposes of record retention, service records are viewed as having two distinct components: the clinical record and the financial record, the latter of which contains client financial, billing, and reimbursement information for the services provided. [For these purposes "reimbursement information" includes personnel records that document that the staff providing billed services held the proper credentials to do so.]

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

This document is a tool for the employees of DMH/DD/SAS provider agencies across the state to use when managing the records in their offices. It lists records commonly found in provider agencies to support the provision of publicly-funded DMH/DD/SA services, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is an agreement between your 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.

4. Why do I need this schedule?

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 this schedule, your agency is obligated to obtain DCR's permission to destroy *any* public record, no matter how insignificant.

5. What are public records?

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.

Within the public DMH/DD/SAS system, private provider consumer service records and records supporting the expenditure of state and federal funds which are created by private providers are considered public records because they relate to the transaction of public business by LMEs, the Division of Medical Assistance, and DMH/DD/SAS.

6. How should records be handled when LMEs merge?

When a Local Management Entity dissolves, the successor organization is obligated to assume responsibility for the records of the dissolved LME for the duration of the retention schedule for those records per the *Records Retention Schedule for State and Area Facilities* [APSM 10-3]. This includes client records, administrative records, and other records covered by the retention schedule. The successor LME has the option of scanning the records and disposing of the paper copies or renting storage space and retaining the records in storage. These records can be disposed of when the retention schedule requirements for the records have been met. Records which have met the retention schedule requirements shall be destroyed if these records are not subject to audit, investigation, or litigation.

There is a straight line of custody for permanent records. 42 CFR 2.19 indicates that when a program dissolves or is taken over by another, and there is a legal requirement to hold records past the time of the discontinuation of the program, the new program takes over custody of the records.

The transfer of substance abuse records is protected by 42 CFR Part 2. In order to ensure the security and privacy of these records, any substance abuse records that are transferred need to be put in sealed envelopes labeled, "Records of [insert name of program] required to be maintained under GS 121 and DHHS Record Retention Schedule found in DMH APSM 10-3 until a date not later than [insert appropriate date.]"

While it is recommended that written permission be obtained from the consumers to transfer their records, when this is not possible, 45 CFR Section 164 provides for the transfer of the records without written permission or authorization by the consumer because of the LME's responsibility for the oversight of DMH/DD/SAS services in the community and to facilitate continuity of care.

7. Are the support services of the NC Department of Cultural Resources available to service providers?

No, support services such as microfilming minutes, disaster assistance, and staff training are intended for the LMEs and state facilities. The LMEs support the records management efforts of the private providers they oversee by providing guidance and technical assistance around records management issues.

8. Are there other record retention schedules that I should be aware of?

Yes, The DHHS Records Retention and Disposition Schedule for Grants incorporates records management requirements for state and federal funds disbursed by the Department of Health and Human Services [DHHS]. All financial and programmatic records supporting documents, statistical records, and all other records pertinent to a federal award must be retained in accordance with this schedule.

9. Does Medicaid have records retention requirements?

Yes, the *Basic Medicaid Billing Guide* [see link: <http://www.ncdhhs.gov/dma/bulletin/BasicMed1006.pdf>] requires that records that "disclose the extent of service rendered to recipients and billed to the N. C. Medicaid Program" be kept for a period of six years [page 3-3]. While Medicaid requires that records be kept for a period of six years, providers of DMH/DD/SAS services are subject to the more stringent schedule for retaining clinical service records outlined in this document and the *DHHS Records Retention and Disposition Schedule for Grants*.

10. What do I do if records are subject to multiple requirements?

When records are subject to two or more sets of standards, your agency must follow the strictest standard.

11. Is this schedule up to date?

Yes. Updates have been made and an extensive revision is conducted in view of the age of the schedule and changes in the DMH/DD/SAS system.

12. Working with multiple requirements, an evolving system, and a schedule that is in the process of being revised will be difficult. What accommodations will be made for this situation?

DMH/DD/SAS, the Government Records Branch of the Division of Historical Resources, and the DHHS Controller's Office recognize these challenges. Staff members from these offices are available for consultation regarding questions about records management requirements and their implementation. Initial questions about records should be directed to the DMH/DD/SAS Accountability Team Policy Unit (919-881-2446).

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

No. This schedule does not list all the records you must have in your office. This schedule only includes those records that support accountability for the provision of publicly-funded MH/DD/SA services.

14. What is the definition of "administrative value"?

Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization." Records having administrative value are generally considered useful or relevant to the activities that caused the record to be created as well as during an audit of those activities. Traditionally, records managers have seen "administrative value" as transitory. (From Richard Pearce-Moses publication, *A Glossary of Archival and Records Terminology*)

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

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

16. Can anyone see my public records?

Yes, except as restricted by specific provisions in state or federal law [G.S. §122C (MH/DD/SA Act), CFR Chapter 1, Part 2 (Confidentiality of Alcohol and Drug Abuse Patient Records), 45 CFR parts 160 and 164 (HIPPA)]. 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.

17. What about my confidential records?

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. LME, state facility, and service provider records which contain client information are confidential under G.S. §122C-52. Records of individuals receiving substance abuse services are further protected by 42 CFR Chapter 1, Part 2.

All LMEs, state facilities, and service providers must comply with the applicable provisions of the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191, encoded as 45 CFR Parts 160, 162, and 164), and Title IV of the Health Information Technology for Economic and Clinical Health (HITECH) Act.

18. Do I have to make copies of draft public records that haven't been approved available to the public?

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.

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

Permanent records should be maintained in the office that created the records, forever. Permanent records must also have a preservation duplicate, which is either a paper or microfilm copy.

20. *What is historical value?*

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.

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

Nearly every position in LMEs, state facilities, and private providers generates, receives, or uses records. Computer files of any kind, including drafts and e-mail, are records. Even if your records are not the official or final version, your records are public records if generated by a government agency or if they support the expenditure of state or federal funds. Not all records have high historical, legal, or fiscal value, but they all must be retained or destroyed in accordance with the provisions of the appropriate records schedule.

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

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.

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

Yes, as long as the records are not confidential by law or if, in the case of private providers, they do not support the expenditure of state and federal funds.

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

Probably not. Human-made and natural disasters, accidental damage, and similar event in the past have led to the disappearance of many records. The State Archives also 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.

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

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

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

Perhaps. 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.

27. *What do I need to do if my agency closes?*

In the event that a provider agency ends services, or dissolves for any reason, the provider is required to make arrangements to continue safeguarding both the clinical and reimbursement records in accordance with the record retention guidelines.

Termination of enrollment, dissolution of a business, or merger with another agency does not relieve the provider of responsibility for the records generated during the time the provider was in business. The two schedules that address the retention and disposition requirements for publicly-funded DMH/DD/SAS services are the *DHHS Records Retention and Disposition Schedule for Grants* which is based

on the funding source, and the *Records Retention and Disposition Schedule for State and Area Facilities*, Division Publication, APSM 10-3 which is organized by record type. Providers are subject to the applicable standards outlined in both schedules.

Service provider agencies have the responsibility of fulfilling the record retention and disposition requirements for all the records generated within their agency. This includes responsibility for maintaining custody of the records for the duration of the retention period. Record retention is addressed in the provider MOA/contract with the LME as well as in the provider services agreement with the Division of Medical Assistance for direct enrollment to provide Medicaid-funded services.

Each provider must develop a retention and disposition plan outlining how the records are stored, who will be the designated records custodian and how the records custodian is going to inform the respective LMEs of what their process is and where the records will be located. The provider should send the responsible LME a copy of the storage logs identifying each individual served within their catchment area, the dates of service and into which box a record is stored.

The storage log can be used for all record types including service records, reimbursement records, personnel records, etc. The required identifying information consists of the:

- Agency name
- Department
- Date of storage
- Series number
- Box number
- Start date and the end date of the contents in the box
- Location of where the box is stored
- Record type or the name of the individual. Record type refers to the classification of the particular information contained the box. Generally one would store records of the same type in the same box; however, if a box contains more than one type of record, this needs to be so noted on the front of the box.
- Record number or any other identifying number, if there is one
- Date of birth is recorded for individual service records. In the case of personnel records, the employee's date of birth is to be recorded for quick reference.
- Timeframe of the information stored in a particular box. For example, you would record an admission of 9/2/07 –9/13/09, or an employment period of 2/12/03 – 2/13/09 or a specific timeframe (e.g., October 2002 Cost Reporting, etc).
- Storage media (i.e., paper/hard copy, microfilm, tape, disc)

Records that are placed in storage will require proper boxing procedures to ensure intellectual control of your records. We recommend you choose a letter size box (12" x 15" x 10.5") for storage of your files in order to facilitate ease of handling. When making the bottom of a box you will need to turn short flaps in first, then long flaps. Make sure to secure the bottom with 3-inch wide tape. (Do not use scotch tape or duct tape.) Place the records in the boxes in an upright position and in the same order as they were arranged in the office filing drawers. Leave the records in their original file folders. Pack firmly, but allow approximately three inches of free space in the back of the box. Stand letter size folders on the shortest width of the box (the 12-inch way) from the front to rear of the box. Legal size folders will need to stand the longest width of the box (the 15-inch way) from the front to rear of the box. Be sure to keep the records of each series in boxes separate from other records with different schedule references. Do not place multiple record series in the same box. Make sure you provide adequate documentation of the records you are boxing. You will need to make an inventory of each box's content. This can be as simple as making a list of what records series is included in each box along with a date range that the records span.

Labels should include the name of the agency, the division or section, the records item title shown in the records schedule, the date range of the records, and the number or letter of beginning and ending folders. Also include how many boxes there are of this particular record. For example, if you are boxing up 3 boxes of client files, the first box would be Box No. 1 of 3. Stick the label in the center of the front 12-inch end of

all boxes. Ledger box (15"W x 19"L x 11"H) users must stick the label in the center long (19") side of the box. Number all boxes consecutively within each series to show correct box sequence. Write the number on the label. When you are finished boxing the records you will close the box by tucking the flaps in alternately over and under each other. Do not tape the top of the box.

28. *If the retention requirements have changed, which disposition instructions, do I follow?*

Follow the new retention schedule disposition instructions.

29. *Who can I call with questions?*

Questions about DMH/DD/SAS records should be directed to the DMH/DD/SAS Accountability Team Policy Unit (919-881-2446). Questions can also be directed to the Government Records Branch, Division of Historical Resources. When contacting a representative of the Government Records Branch, if you are located west of approximately Statesville, call the Western Office in Asheville at (828) 274-6789. If you are located east of Statesville, all the way to the coast, call the Raleigh office at (919) 807-7350.

FREQUENTLY ASKED QUESTIONS BY PROVIDER AGENCIES AND ANSWERS PROVIDED BY DHHS

Q. I know that we are required to maintain consumer records and provider/employee records, but are agency e-mails also required to be stored?

A. Provider agency e-mails that have to do with the provision of consumer services must be stored. All documentation directly supporting the provision of services should be maintained whether that documentation is in paper or in electronic format. Also remember that all e-mail communication is governed by HIPAA security and privacy regulations.

Q. How long do we need to keep visitor logs? We are a private provider contracted with the LME, and the log would be used to check in and check out visitors.

A. Visitor logs to a facility are to be maintained in accordance with HIPAA regulations. The new record retention and disposition schedule addresses HIPAA security measures in STANDARD-9, ALL LOCAL MANAGEMENT ENTITY (LME) PROGRAMS, Item #7 on page 59. While logs are not specifically addressed in HIPAA SECURITY IMPLEMENTATION RECORDS, they fall under this item because they are used to protect health information and access.

Q. How long do the STR forms that come from the LME when the consumer does not show up for the intake appointment need to be retained? If we do need to keep these, can you tell me for how long?

A. The STR forms that come from the LME when the consumer does not show up for the intake appointment is to be maintained in accordance with the APSM 45-2. Page 2-2 addresses pending records. STANDARD-8, PROGRAM OPERATION RECORDS: CLIENT SERVICES RECORDS in the records retention and disposition schedule addresses these records under item #7 RAW TEST/EVALUATION DATA, PENDING AND SCREENING RECORDS on page 56.

Q. Would the boxing of records under Implementation Update #62 apply to an agency that is no longer going to provide ANY services? What if they have only stopped providing a particular service, such as community support, and are now keeping the records together with other discharges? They would not be required to box and develop a storage log, correct? It is only when the agency decides to no longer provide services at all that the requirements of IU #62 apply, correct?

A. The boxing of records under IU #62 applies to an agency that is no longer providing ANY services due to a closing or going out of business. An agency that no longer provides CS, but is still providing other services, will then keep their CS records with the rest of their discharged records. The agency will not be required to box and develop a storage log unless they are closing all services.

Q. In APSM 10-3 and APSM 45-2 it states that adult client records may be destroyed 11 years after the date of the last encounter and that minor client records may be destroyed 12 years after the minor turns 18 if they are no longer receiving services. I am assuming that this addresses the client's service record to include all of the required forms and documents, etc. What about all of the datasheets that our habilitation technicians have completed documenting each day of services provided? How long do we keep those records?

A. They are part of the client services record and shall be retained for the same amount of time as the client record. Some agencies use overflow files, but the sheets are still part of the active client record and must be retained under the same retention period as the client services record.

Q. All supervisory visits and phone calls are documented between QPs and habilitation technicians and between QPs and parents/guardians. How long is the supervisory documentation kept?

A. Supervisory visits and the contacts are also part of the client record, and should be maintained in accordance with the records retention and disposition schedule. You can find this record listed as Item #32, SUPERVISION PLANS/SUPERVISION NOTES, on page 44 of the records schedule under STANDARD-5 PERSONNEL RECORDS. The minimum retention period is provided.

Q. How long must we keep medication administration sheets?

A. Medication administration sheets are part of the client record and need to be retained in accordance with the records retention and disposition schedule. Please refer to STANDARD-8, PROGRAM OPERATION RECORDS: CLIENT SERVICES RECORDS, on page 53 for disposition instructions.

Q. We have employee records on each individual who works with a client. How long do we need to keep employee records? Do we keep their records for the same amount of time that we have to keep the records of the clients that they have worked with?

A. Personnel records retention and disposition guidelines are identified in STANDARD 5, PERSONNEL RECORDS, Item #27, PERSONNEL RECORDS (OFFICIAL COPY) on page 43 in the records schedule.

Q. If we destroy client records are we supposed to document that on the Record Destruction Log form?

A. Yes, you need to document the destruction of any and all covered record types on the destruction log. The record destruction form on the Records Management webpage on the DMH website identifies the required information and authorization.

Q. Do we need permission to destroy employee records?

A. Yes. You need to obtain permission from your board and the records can only be destroyed if they have met the retention timeframe. It is recommended 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 your governing board.

Q. In years past we have always scanned our records to microfilm, and at one time the law prohibited us from having our records burned onto CDs for long term storage. Can you tell me if anything has changed? Are we still required to use the microfilming method, or can we move into the 21st century and use CDs? Where can I find this information?

A. This is no longer the case. For more information concerning storage media for medical records refer to the records retention and disposition schedule, STANDARD-8, PROGRAM OPERATIONAL RECORDS: CLIENT SERVICES RECORDS page 51. '

Q. My staff investigates allegations of abuse/neglect/exploitation and writes comprehensive reports to summarize their findings. How long do investigative reports have to be retained in the facilities?

A. Refer to the records retention and disposition schedule, STANDARD-7, RISK MANAGEMENT RECORDS, Item #1, ACCIDENTS/INCIDENT REPORTS, page 49. The investigative report is an extension of the incident report and should be retained in accordance with the retention period for incident reports.

DESTRUCTION OF PUBLIC RECORDS

1. *When can I destroy public records?*

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 above, “*What do I do with my permanent records?*”)

2. *How do I destroy public records?*

After your agency 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.

The destruction of public records shall be recorded in a permanently preserved document such as a records destruction register. The record shall include the description and quantity of each record or records series disposed of, inclusive of dates of the records, and the date of destruction.

3. *How can I destroy public records if they are not listed on this schedule?*

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.

4. *Do I have to tell anyone about the destruction?*

Yes, this is best practice. 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.

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

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

ELECTRONIC RECORDS: E-MAIL, BORN DIGITAL RECORDS, AND DIGITAL IMAGING

1. *When can I delete my e-mail?*

For service providers this answer applies only to e-mail that qualifies as a public record (please see question 5). E-mail is a public record as defined by G.S. §121-5 and G.S. §132. E-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 e-mail 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 e-mail simply because storage limits have been reached.***

Our publications will be particularly helpful in managing your e-mail (available online at <http://www.records.ncdcr.gov/>):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
- *Online E-mail Tutorial: Managing Your Inbox: E-mail as a Public Record*
- *Online Tutorial: Managing Public Records for Local Government Agencies*
- *Guidelines for E-mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail*

2. *We have an imaging system for storing public records. May we destroy the paper records?*

Yes, for all records except permanent records. 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 and therefore you may be approved to destroy hard copy originals after proper imaging. You will have to take precautions with records that you must keep for more than 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.

3. *Do I have to print my e-mail to file it?*

No. As long as the e-mail is not a permanent record, as defined by the schedule, you may elect to keep it in electronic format. Permanent records should be printed and kept in human readable form.

4. *I use my personal e-mail account for work. No one can see my personal e-mail.*

The best practice is to avoid using personal resources, including private e-mail 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 e-mail account is irrelevant.

5. *For Further Guidance regarding the creation and handling of electronic public records.*

The following documents are available on the Government Records Branch Website

<http://www.records.ncdcr.gov/>:

- Best Practices for File Naming
- Guidelines for Digital Imaging Systems
- Security Backup Files as Public Records in North Carolina: Guidelines for Recycling, Destruction, Erasure, and Re-Use of Security Backup Files
- Best Practices for Social Media Usage in North Carolina

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 3, page 1 and **AUDITS: FINANCIAL** item 5, page 11) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the provider 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.

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 e-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, governmental agency or provider 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 e-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. When a DMH/DD/SAS provider agency discovers that there is not a record series that addresses a specific record type generated by the agency, the provider should contact the DMH/DD/SAS Policy Unit or the Records Management Analyst for guidance.

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, quality improvement records, and routine administration of the DMH/DD/SAS Provider agency.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADMINISTRATIVE BYLAWS, DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES	a) Retain official copy permanently. b) Destroy in office remaining copies when administrative value ends. Agency Policy: Destroy in office after_____.†	
2.	AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also MINUTES OF PUBLIC BODIES item 18, page 5.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends. Agency Policy: Destroy in office after_____.†	
3.	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 11.	a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	

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

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	BUSINESS LICENSES	Destroy in office 5 years after expiration.	
5.	CALENDARS OF EVENTS AND APPOINTMENTS	Destroy in office when superseded or obsolete.	
6.	CITIZEN COMPLAINTS AND SERVICE REQUESTS Records concerning objections, dissatisfaction or disagreements with actions or positions taken or not taken by a provider agency. May include routine requests for service or information.	a) Destroy in office 1 year after resolution.* b) Transfer to LITIGATION CASE RECORDS item 6, page 34 if legal action is taken.	
7.	CONFERENCES AND WORKSHOPS FILE Records concerning conferences and workshops conducted or attended by provider employees. See also EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 16, page 39.	a) Retain records with historical value permanently. c) Destroy in office remaining records when administrative value ends. Agency Policy: Destroy in office after _____. †	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<p>CORRESPONDENCE AND MEMORANDA Administrative and management correspondence/memorandum, including e-mail written or received by the office concerning agency authority, operating philosophy, purpose, methods, and any other function.</p> <p>See also Public Records with Short Term Value page xvi. For information on handling e-mail, See Electronic Records section page xiii.</p>	<p>a) Transfer after 3 years correspondence, including e-mail with historical value to the HISTORIES FILE item 13, page 4.</p> <p>b) Destroy in office routine administrative correspondence and memoranda when administrative value ends.</p> <p>Agency Policy: Destroy in office after _____. †</p> <p>c) Destroy in office remaining records after 3 years.</p> <p><i>Retention Note: The correspondence, including e-mail, of the director and department heads have historical value and should be retained.</i></p>	
9.	<p>FUND DRIVE AND EVENT RECORDS Records concerning the promotion and organization of fund drives and other special events in which the agency participated.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records after 1 year.</p>	
10.	<p>GRANT CONTRACT APPEALS CASES</p>	<p>Destroy in office 10 years after final action or decision.*</p>	
11.	<p>GRANT PROPOSALS Proposals submitted for grants. File may include applications, correspondence, including e-mail, and other related records.</p>	<p>a) Transfer records concerning approved grants to GRANTS item 12, page 4 if approved.</p> <p>b) Destroy in office rejected or withdrawn grant proposals when reference value ends.</p>	

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

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<p>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.</p> <p>See also GRANTS: FINANCIAL item 16, page 12.</p>	<p>a) Destroy in office records relating to specific non-continuing grants 5 years after termination or when released from audit.*</p> <p>b) Destroy in office yearly records relating to specific continuing grants 5 years after annual financial report is filed.</p> <p>c) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.</p>	
13.	<p>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.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
14.	<p>INDEX FILE</p>	<p>Destroy in office when reference value ends.</p> <p>Agency Policy: Destroy in office after _____ . †</p>	
15.	<p>LEGISLATION AND REGULATORY RECORDS Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.</p>	<p>Destroy in office when reference value ends.</p> <p>Agency Policy: Destroy in office after _____ . †</p>	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<p>LITIGATION CASE FILE Legal cases in which the agency is a party.</p>	<p>a) Transfer to LITIGATION CASE RECORDS item 6, page 34 when reference value ends.</p> <p>b) Destroy in office copies when administrative value ends.</p> <p>Agency Policy: Destroy in office after _____, †</p>	Comply with applicable provisions of G.S. §132-1.1 regarding confidentiality of legal records.
17.	<p>MANAGEMENT STUDIES Internal studies by administrators and staff throughout all agency offices. File may include studies, surveys, statistical reports, memoranda, cost analysis, projections, problem solving and comparable data that examine any aspect of the agency administration.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
18.	<p>MINUTES OF PUBLIC BODIES As defined by G.S. § 143-318.10 (b), includes 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.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records.</p>	G.S. § 143-318.10

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	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. Agency Policy: Destroy in office after _____. †	G.S. § 143-318.10(c)
20.	OFFICE SECURITY RECORDS Records concerning the security of the office, IT equipment, and office personnel. May include visitor's register, security and surveillance system reports and recordings.	a) Destroy in office or reuse after 30 days recordings not required to support known investigations or litigation. b) Destroy in office all remaining records after 1 year.	Comply with applicable provisions of G.S. §132-1.6 regarding the confidentiality of security records.
21.	ORDINANCES Includes code of ordinances and ordinance development records.	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. Agency Policy: Destroy in office after _____. †	
22.	ORGANIZATION RECORDS Includes organizational charts, reorganization studies and similar records 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.	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	PLANNING AND DEVELOPMENT FILE Records concerning the formulation, planning and adoption of policies, procedures and functions of the agency and its departments.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends. Agency Policy: Destroy in office after _____. †	
24.	PRINTING REQUESTS	Destroy in office when reference value ends. Agency Policy: Destroy in office after _____. †	
25.	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. Agency Policy: Destroy in office after _____. †	
26.	PUBLIC RECORDS DISCLOSURE FILE Formal requests submitted by persons seeking access to agency records.	Destroy in office 2 years after resolution.*	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	RECORDS MANAGEMENT FILE Includes correspondence, including e-mail, 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. Agency Policy: Destroy in office after _____. †	
28.	REFERENCE (READING) FILE Subject file containing informational copies of records organized by areas of interest.	Destroy in office when reference value ends. Agency Policy: Destroy in office after _____. †	

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

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	<p>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, semi-annual, or irregularly prepared reports and studies generated by an agency or prepared by consultants hired by the agency.</p>	<p>a) Retain in office 1 copy of all biennial and annual reports permanently.</p> <p>b) Retain reports and studies prepared by request of an agency's governing body or a court permanently.</p> <p>c) Destroy in office reports prepared monthly, bimonthly, or semi-annually after 3 years.</p> <p>d) Destroy in office activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis after 1 year.</p> <p>e) Destroy in office remaining reports and studies when administrative value ends.</p> <p>Agency Policy: Destroy in office after _____ . †</p> <p><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i></p>	

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

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STANDARD-2. BUDGET, FISCAL AND PAYROLL RECORDS

Records created and accumulated incidental to the managerial control, budgeting, disbursement, collection and accounting of the DMH/DD/SAS Provider agency.

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 provider 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 Records of accounts deemed uncollectable; including supporting documentation and write-off authorization.	Destroy in office official/audit copies 3 years after account is paid, collected, or determined to be uncollectable.*	
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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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p>AUDITS: FINANCIAL Records concerning internal and external financial statements and related financial audits. Includes reports, working papers, and related records.</p> <p>See also AUDITS: PERFORMANCE item 3, page 1.</p>	<p>a) Retain reports permanently.</p> <p>b) Destroy in office working papers and remaining records 3 years after the date of the report.</p>	G.S. § 159-34
6.	<p>AUTHORIZATION FORMS Authorization to purchase materials.</p>	Destroy in office after 3 years.*	
7.	<p>BILLING AND CLAIMS Records used as the basis for payment of bills and claims for damages made by and against the agency.</p>	Destroy in office after 6 years.*	
8.	<p>BUDGET RESOLUTIONS AND ORDINANCES Includes copies of budget, annual balanced budget, and project ordinances, resolutions, and amendments.</p>	<p>a) Retain official copies in the minutes of the governing board permanently.</p> <p>b) Destroy in office remaining copies when administrative value ends.</p> <p>Agency Policy: Destroy in office after _____. †</p>	<p>G.S § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S § 159-15</p>
9.	CLIENT FEE SUMMARY	Destroy in office after 1 year.	
10.	CONTRACT BUDGET AND EXPENDITURE REPORTS	Destroy in office after 3 years.*	
11.	DAILY DETAIL REPORTS	Destroy in office after 1 year.*	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	ENCOUNTER FORMS Forms used to summarize contacts between department staff and clients. May include billing sheets.	a) Destroy in office after 6 year.* b) See BILLING AND CLAIMS FILE item 7, page 11.	
13.	ELIGIBILITY DETERMINATION RECORDS Records concerning eligibility of provider clients for financial programs.	Destroy in office when administrative value ends. Agency Policy: Destroy in office after _____. †	Comply with applicable provisions of G.S. 130A-12 regarding confidentiality of local health department record containing privileged patient medical information protected under 45 CFR Parts 160 and 164.
14.	EXPENDITURE REPORTS	Destroy in office after 3 years.*	
15.	FINANCIAL JOURNALS AND LEDGERS	a) Destroy in office year-end summaries of receipts and disbursements after 3 years. b) Destroy in office daily, monthly or quarterly transaction detail journals and ledgers after 1 year.	
16.	GRANTS: FINANCIAL Records concerning approved federal, state, and private grants. May include all relevant accounting, purchasing, payroll, and financial records. See also GRANTS Item 12, page 4.	Destroy in office 5 years after submission of final report.* <i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i>	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<p>INSURANCE FILE Certificates of insurance and related records provided by insurance providers as proof of coverage.</p> <p>See also BILLING AND CLAIMS item 7, page 11, and GRANTS: FINANCIAL item 16, page 12.</p>	<p>Destroy in office 3 years from date of termination, expiration, or settlement of all claims.*</p>	
18.	<p>PURCHASE ORDERS Records, forms, packing slips and attached documents concerning purchased supplies, equipment, and services, including requisition for materials and response to materials requested.</p> <p>See also GRANTS: FINANCIAL item 16, page 12.</p>	<p>a) Destroy capital improvement purchase orders 6 years after completion or termination of project.*</p> <p>b) Destroy in office all other purchase orders after 3 years.*</p> <p><i>Retention note: Packing slips may be destroyed upon verification of items received if they are not the only record of the purchase of the item.</i></p>	
19.	<p>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS Records concerning the work hours and attendance of employees.</p>	<p>a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification.</p> <p>b) Destroy in office all remaining records after 4 years.*</p>	<p>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</p>
20.	<p>TRAVEL REIMBURSEMENTS Includes authorizations and requests for reimbursement for travel and related expenses.</p> <p>See also GRANTS: FINANCIAL item 16, page 12.</p>	<p>Destroy in office after 3 years.*</p>	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	<p>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. May also include IRS form 941 and other records of county tax liabilities to the IRS and NC Department of Revenue.</p>	<p>a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification.</p> <p>b) Destroy in office all remaining records after 4 years.*</p>	<p>Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.</p> <p>29 CFR 1627.3 26 CFR 31.6001-1 26 CFR 31.6001-4</p>

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STANDARD-3. INFORMATION TECHNOLOGY (IT) RECORDS

Information technology encompasses all activities undertaken by DMH/DD/SAS Provider agencies 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.

Note: Administration, use, and retention of records concerning computer and information security should comply with applicable provisions of G.S. 132-6.1 on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”. (G.S. 132-6.1 (c))

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.	ACCESS AND SECURITY POLICIES Records concerning data processing policies relating to access and security.	Destroy in office 3 years after superseded or obsolete.*	
2.	AGENCY INFORMATION TECHNOLOGY AND DATA PROCESSING SERVICES PLANNING Records concerning planning for information systems development, technology acquisitions, data processing services provision, or related areas.	a) Retain records with historical value permanently. b) Destroy in office master copies of plans and supporting records after 3 planning cycles subsequent to completion or revision of plans. c) Destroy in office remaining records when superseded or obsolete.	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	DATA PROCESSING ADMINISTRATION FILE Records concerning the administration of agency data processing services. Files include correspondence, including e-mail, memorandums, reports, publications, and other related records.	Destroy in office when superseded or obsolete.	
4.	DATA PROCESSING PRODUCT/VENDOR REFERENCE FILE Records concerning data processing equipment, software, and other products and their vendors.	Destroy in office when reference value ends.	
5.	POLICIES AND PROCEDURES Records concerning policies and procedures. May include systems development, data retention and disposition, data ownership, and access and security.	<ul style="list-style-type: none"> a) Retain official copy of internal agency policies permanently. b) Destroy in office reference copies and external policy procedures when superseded or obsolete. 	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information and G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	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, redesign, modification, procurement, and testing of systems and applications, as well as to maintaining the documentation generated by these processes.			
7.	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, including e-mail.	Destroy in office 3 years after completion of project. <i>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.</i>	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<p>APPLICATION DOCUMENTATION FILE Records concerning program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.</p>	Destroy in office 1 year after program is superseded or obsolete. *	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”.
9.	<p>AUTOMATED PROGRAM LISTING SOURCE CODE FILE Automated program code that generates the machine-language instructions used to operate an automated information system.</p>	Destroy in office after supersession or replacement of associated source code.*	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<p>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.</p>	<p>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.</p> <p><i>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.</i></p>	<p>Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes".</p>
11.	<p>DATA SYSTEMS SPECIFICATIONS 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.</p>	<p>Destroy in office 3 years after discontinuance of all systems and after all data created by every system instance has been destroyed or transferred to new operating environment.</p> <p><i>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.</i></p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<p>PROCUREMENT (HARDWARE & SOFTWARE) FILE Records concerning the procurement of system hardware and software. May include request for proposals, proposals, quotations and bids, benchmark/acceptance testing information, correspondence, including e-mail, duplicate copies of contracts, purchase orders, technical reviews, and vendor information, including references and literature on the firm or product line.</p>	Destroy in office contracts and related records after 3 years.*	
13.	<p>PROCUREMENT (IT SERVICES) FILE Records concerning the purchasing process, authorizes and provides funds for payments, and satisfies claims by private service providers. May include purchase orders, invoice requests, receipts, agency vouchers, service reports, and other supporting documentation.</p>	Destroy in office contracts and related records after 3 years.*	
14.	<p>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.</p>	Destroy in office 3 years after associated source code is superseded or obsolete. *	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	TECHNICAL PROGRAM DOCUMENTATION 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.*	
16.	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. *	
17.	TRAINING COURSE INFORMATION FILE Records concerning training courses run by a data processing user support or office automation support unit. File includes memorandums, flyers, catalogues, registration forms, rosters, and other related records.	Destroy in office when superseded or obsolete.	
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.			
18.	AUTOMATED OFF-LINE STORAGE LIBRARY SYSTEM FILE Automated records used to control the location, maintenance, and disposition of off-line storage media (such as tapes) in a media library.	Destroy in office after related records or media are destroyed or withdrawn from the media library.	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	AUDIT TRAILS FILE Records documenting user actions affecting the contents of monitored systems.	Destroy in office after 3 years. *	
20.	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. * Agency Policy: Destroy in office after _____. †	
21.	COMPUTER SECURITY FILE Records concerning routine monitoring of the state's information technology systems, telecommunications networks, web sites and electronic security systems, including associated software and hardware.	Destroy in office when administrative value ends.* Agency Policy: Destroy in office after _____. †	
22.	COMPUTER SECURITY INCIDENT REPORT FILE Records associated with cyber incidents involving unauthorized attempted entry, probes and/or attacks on agency information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. File includes formal reports, logs, extracts and compilations of data, and other related records.	Destroy in office finalized cyber incident reports after 5 years.*	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	<p>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.</p>	<p>Destroy in office when superseded or obsolete and after transfer of data to new hardware environment.</p>	<p>Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes".</p>
24.	<p>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.</p>	<p>Destroy in office after completion of data entry and after all verification and quality control procedures.</p> <p><i>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.</i></p>	
25.	<p>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.</p>	<p>Destroy in office after administrative value ends.</p> <p>Agency Policy: Destroy in office after _____ . †</p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	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 27, page 8. b) Destroy in office all other records after 3 years.*	
27.	SYSTEM AND HARDWARE CONVERSION PLANS Records concerning the replacement of equipment or computer systems.	Destroy in office 1 year after completion of conversion.	
28.	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.*	
29.	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.			

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<p>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, and origin of data. May include information on data element definitions, data structures or file layout, code tables, and other data attribute information.</p>	<p>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.</p> <p><i>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 off-line. 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.</i></p>	
31.	<p>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.</p>	<p>Destroy in office when superseded or obsolete.</p>	
32.	<p>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.</p>	<p>Destroy in office when related paper or electronic records have been destroyed or transferred in accordance with the disposition of the related paper or electronic records, as appropriate.</p>	

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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.			
33.	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.	
34.	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. *	
35.	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, including e-mail, and memoranda.	a) Destroy in office service histories and other summary records when equipment or software is no longer in use. b) Destroy in office remaining records after 3 years.	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	TRAINING COURSE INFORMATION (IT) Records concerning training courses run by a user support or office automation support group. May include memoranda, 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 communicating with network providers.			
37.	INTERNET SERVICES LOGS Electronic files or automated logs created to monitor access and use of agency services provided via the Internet and use of the internet by employees. May include services provided via FTP (file transfer protocol). World Wide Web site, via agency Telnet services, or other service providers.	Destroy in office when administrative value ends.* Agency Policy: Destroy in office after _____. †	
38.	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.	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	<p>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, including e-mail, memoranda, work schedules, copies of building or circuitry diagrams, copies of fiscal documents, and other related records.</p>	Destroy in office 2 years after completion of work. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
40.	<p>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.</p>	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
41.	<p>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, including e-mail.</p>	<p>a) Destroy in office service histories and other summary records when equipment is no longer in use.</p> <p>b) Destroy in office remaining records after 3 years.</p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
COMPUTER AND INFORMATION SECURITY Records concerning measures taken to secure government property, networks, and data. <i>Note: Administration, use, and retention of records concerning computer and information security should comply with applicable provisions of G.S. 132-6.1 on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes". (G.S. 132-6.1 (c))</i>			
42.	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 sites, agency Telnet services, or other service providers.	Destroy in office after 1 year. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
43.	COMPUTER USAGE FILE Electronic files or automated logs created to monitor computer system usage. May include login 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. * Agency Policy: Destroy in office after _____. †	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
44.	<p>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.</p>	<p>a) Destroy in office finalized cyber incident reports after 5 years.* b) If official action has been initiated, destroy in office after completion of action and resolution of issues involved.</p>	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
45.	<p>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.)</p>	<p>a) Retain records documenting past disaster recovery permanently. b) Destroy in office when superseded or obsolete.</p>	
46.	<p>NETWORK USAGE FILE Electronic files or automated logs created to monitor network usage. May include login files, system usage files, and other related records.</p>	<p>Destroy in office when administrative value ends. Agency Policy: Destroy in office after _____ †</p>	
47.	<p>NETWORK USAGE REPORTS Summary reports and other related records created to document computer usage for reporting or other purposes.</p>	<p>Destroy in office when administrative value ends. Agency Policy: Destroy in office after _____ †</p>	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
48.	<p>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 a secure, off-site location.)</p>	<p>Destroy in office in accordance with your office's established, regular backup plan and procedures.</p> <p><i>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.</i></p>	<p>Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.</p>
49.	<p>SYSTEM USERS ACCESS RECORDS Records concerning control or monitoring individual access to a system and its data.</p>	<p>Destroy in office 1 year after access for employee is withdrawn.*</p>	<p>Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.</p>

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STANDARD-4. LEGAL RECORDS

Official law and legal documentation created or accumulated to substantiate the rights, obligations, or interests of the DMH Provider agency 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 medical information protected under 45 CFR Part 160 and 164 HIPPA."

ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	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.	Destroy in office 2 years after final disposition of the charge.*	
2.	CONTRACTS AND AGREEMENTS Contracts and agreements for construction, equipment, supplies, services, special programs, and projects. May include franchise agreements, hold harmless agreements, good faith effort documentation and memorandums of understanding.	c) Destroy in office construction (capital improvements) contracts 6 years after completion or termination of project.* d) Destroy in office all other contracts and agreements 3 years after expiration, termination, or completion.* e) Retain contracts and agreements with historical value permanently.	

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p>CORRESPONDENCE (LEGAL) Correspondence and related records, including e-mail, concerning actions taken to recover debts, fines, penalties, and assure violations are addressed.</p>	<p>Destroy in office 3 years after resolution.* See also Public Records with Short Term Value page xvi. For information on handling e-mail, see Electronic Records and Digital Imaging section page xiii.</p>	<p>Comply with provisions of G.S. § 132-1.1(a) regarding the confidentiality of written communications by legal counsel.</p>
4.	<p>INSURANCE POLICIES Records concerning purchased accident, sickness, automobile, theft, fire, life, and all other insurance policies purchased by the provider.</p>	<p>a) Destroy in office when superseded or obsolete if no outstanding litigation.* b) Destroy other records in office 6 years after settlement. c) Destroy in office copies when administrative value ends. Agency Policy: Destroy in office after _____. †</p>	
5.	<p>LEGAL REVIEW RECORDS Includes legal reviews of bylaws and charges to boards and commissions, conflict of interest, and all other departmental matters as requested.</p>	<p>a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends or expiration of relevant statute of limitations. Agency Policy: Destroy in office after _____. †</p>	<p>Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.</p>

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p>LITIGATION CASE RECORDS Civil suits to which the provider 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.</p>	<p>a) Retain cases having precedent or historical value permanently.</p> <p>b) Destroy in office adjudicated cases 5 years after final disposition.</p> <p>c) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations.</p> <p><i>Retention Note: Records are retained by the Clerk of Superior Court's office in each county.</i></p>	<p>Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.</p>
7.	<p>OWNERSHIP RECORDS (DEEDS, TITLES)</p>	<p>Destroy in office 1 year after provider relinquishes ownership of land.*</p>	

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STANDARD-5. PERSONNEL RECORDS

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of DMH/DD/SAS Provider agency employees. Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AFFIRMATIVE ACTION FILE	a) Destroy in office all reports, analyses, and statistical data after 5 years. b) Destroy in office affirmative action plans 5 years from date superseded.	29 CFR 30.8(b) 29 CFR 1608.4
2.	DISCIPLINARY FILE Correspondence, including e-mail, 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 an appeal or an adverse action against an employee.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43. b) Destroy in office all remaining records 2 years after resolution of all actions.	29 CFR 1602.14 29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p>EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS Records concerning certification or qualification as required for employment, continued employment, or promotion.</p> <p>See also EMPLOYMENT APPLICATIONS AND RESUMES item 18, page 40.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43.</p> <p>b) Destroy in office all remaining records 2 years after resolution of all actions.</p>	
4.	<p>EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Includes records listing employees, their job titles, work locations, phone numbers, e-mail addresses, and similar information.</p>	Destroy in office when superseded or obsolete.	
5.	<p>EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS Includes records requesting tuition assistance, repayments, and other related records.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43.</p> <p>b) Destroy in office other records 3 years after completion, denial, repayment, and removal from program.*</p>	
6.	<p>EMPLOYEE ELIGIBILITY RECORDS Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification (I-9) forms.</p>	<p>a) Destroy in office certificates, I-9 forms and statements, 3 years after individual was hired or 1 year from date of separation.</p> <p>b) Destroy in office registers after 2 years.</p>	8 USC 1324(b)

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	EMPLOYEE EXIT INTERVIEW RECORDS	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43. b) Destroy in office all remaining records after 1 year.	
8.	EMPLOYEE HEALTH CERTIFICATES Includes health or physical examination reports or certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA).	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43. b) Destroy all other records in office 2 years after resolution of all actions.	29 CFR 1602.31
9.	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 in office exposure records 40 years from date of exposure or 30 years from date of separation.* b) Destroy in office records pertaining to job-related illness and injury after 5 years. c) Destroy in office results of medical examinations required in connection with personnel actions and similar records after 1 year. <i>Retention Note: Records must be maintained separately from an employee's personnel jacket.</i>	29 CFR 1627.3 29 CFR 1630.14 29 CFR 1904.4 29 CFR 1910

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	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
11.	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 27, page 43. b) Destroy life, health, and disability insurance enrollment forms 4 years after termination of coverage.	
12.	EMPLOYEE PERFORMANCE REVIEW FILE	a) Destroy in office supervisor approved and signed work plans after 3 years. b) Destroy in office remaining records when administrative value ends. Agency Policy: Destroy in office after _____. †	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	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 be 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
14.	EMPLOYEE SECURITY RECORDS Records concerning the issuance of keys, identification cards, pass, parking permits, etc., to employees.	Destroy in office when administrative value ends. Agency Policy: Destroy in office after _____. †	
15.	EMPLOYEE SUGGESTIONS	Destroy in office when administrative value ends. Agency Policy: Destroy in office after _____. †	
16.	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 27, page 43 if such training and testing is required for the position held or could affect career advancement. b) Destroy in office non-employee-specific records 1 year from date record was created. c) Destroy in office remaining records when administrative value ends. Agency Policy: Destroy in office after _____. †	29 CFR 1627.3

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	EMPLOYEE WORKS SCHEDULES AND ASSIGNMENT RECORDS Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office when administrative value ends. Agency Policy: Destroy in office after _____. †	
18.	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 27, 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. 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 in office unsolicited applications/resumes, and those received after posted closing dates in office 2 years after receipt.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49
19.	EMPLOYMENT LISTINGS, ADVERTISEMENTS AND ANNOUNCEMENTS	Destroy in office after 2 years.	29 CFR 1602

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	<p>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.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43.</p> <p>b) Destroy in office all remaining records in office 2 years after resolution of all actions.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3</p>
21.	<p>EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the DMH/DD/SAS Provider agency.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43.</p> <p>b) Destroy in office all remaining records 2 years after resolution of case.*</p>	<p>29 CFR 1602.31</p>
22.	<p>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). May include compiled documentation used to complete EEO reports.</p>	<p>Destroy in office after 3 years.</p>	<p>29 CFR 1602</p>
23.	<p>EQUAL PAY RECORDS Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.</p>	<p>Destroy in office after 2 years.</p>	<p>29 CFR 1620.32</p>

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<p>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.</p>	Destroy in office 3 years after leave ends.*	29 CFR 825.500(b)
25.	<p>GRIEVANCE FILE Includes initial complaint, investigations, actions, summary, and disposition. May include disciplinary correspondence, including e-mail.</p> <p>See also DISCIPLINARY FILE item 2, page 35.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43.</p> <p>b) Destroy in office all remaining records after 2 years.</p>	
26.	<p>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.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43.</p> <p>b) Destroy in office all remaining records 2 years from date record was created, received, or the personnel action involved.</p>	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	<p>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.</p> <p>See also EMPLOYEE MEDICAL RECORDS item 9, page 37.</p>	Destroy in office 30 years from date of separation.	G.S. § 160A-168 (Municipal Employees) G.S. § 153A-98 (County Employees)
28.	<p>PERSONNEL RECORDS (REFERENCE COPY) Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43.</p> <p>b) Destroy in office remaining records when administrative value ends.</p> <p>Agency Policy: Destroy in office after _____. †</p>	
29.	<p>POLICIES AND PROCEDURES (PERSONNEL)</p>	<p>a) Retain official copy of internal agency personnel policies permanently.</p> <p>b) Destroy in office reference copies and external policy procedures when superseded or obsolete.</p>	
30.	<p>POSITION CLASSIFICATION/POSITION HISTORY FILE</p> <p>See also POSITION DESCRIPTION RECORDS item 31, page 44.</p>	<p>a) Destroy in office when superseded or obsolete.</p> <p>b) Retain records with historical value permanently.</p>	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	POSITION DESCRIPTION RECORDS Includes information on job title, grade, duties, agency assigned, duties and responsibilities.	Destroy in office 2 years from the date record is superseded.	29 CFR 1620.32
32.	SUPERVISION PLANS/SUPERVISION NOTES Recorded plans and notes of supervision sessions.	a) Transfer employee-specific records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43.	
33.	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.	a) If employee is a DMH/DD/SAS Provider agency employee, transfer applicable records to PERSONNEL RECORDS (OFFICIAL COPY) item 27, page 43. b) If the employee is a temporary service company employee, destroy in office 3 years from date of separation.	

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STANDARD-6. PUBLIC RELATIONS RECORDS

Official records and materials created and accumulated by internal public information programs operated by DMH/DD/SAS Provider agency administrative 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 Publications created at agency expense.	a) Retain records with historical value permanently. b) Destroy remaining copies in office when administrative value ends. Agency Policy: Destroy in office after _____. †	

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ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	AUDIO RECORDINGS (PUBLIC RELATIONS) Audio recordings produced by agency. This does not include audio recordings of public meetings.	a) Retain records with historical value permanently. b) Destroy remaining records in office when administrative value ends. Agency Policy: Destroy in office after _____. †	
4.	BIOGRAPHICAL DATA Biographical sketches, news releases, news clippings, and photographs of various agency officials.	a) Retain records with historical value permanently. b) Destroy in office remaining records when reference value ends. Agency Policy: Destroy in office after _____. †	
5.	FILMS FILE Films produced by agency for public or departmental use.	a) Retain records with historical value permanently. b) Destroy in office remaining films when administrative value ends. Agency Policy: Destroy in office after _____. †	
6.	NEWS CLIPPINGS Clippings from newspapers concerning the agency or agency employees.	a) Retain records with historical value permanently. b) Destroy in office remaining items when reference value ends. Agency Policy: Destroy in office after _____. †	

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ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	NEWS AND PRESS RELEASES News and press releases issued concerning programs, activities, and services of the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends. Agency Policy: Destroy in office after _____. †	
8.	PHOTOGRAPHS Photographs (including digital) and negatives used in publicizing programs, services, and other related agency matters.	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends. Agency Policy: Destroy in office after _____. †	
9.	PUBLIC RELATIONS FILE Records concerning overall public relations of DMH/DD/SAS Provider agency administrative offices. May include procedures, correspondence, including e-mail, and other related records.	Destroy in office after 5 years.	
10.	SLIDES Slides (including digital) produced by public relations offices concerning programs, services, and other related agency matters.	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends. Agency Policy: Destroy in office after _____. †	

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ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	SPEECHES Speeches made by agency officials.	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends. Agency Policy: Destroy in office after _____. †	
12.	VIDEO RECORDINGS Video recordings (including digital) produced by the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends. Agency Policy: Destroy in office after _____. †	
13.	VISUAL AIDS	Destroy in office when administrative value ends. Agency Policy: Destroy in office after _____. †	
14.	WEBSITE (ELECTRONIC) FILE Electronic records concerning the administration and maintenance of the agency's website. (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. NOTE: Consult web guidelines on Government Records Branch website.	

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STANDARD-7. RISK MANAGEMENT RECORDS

Official records created and accumulated for use by DMH/DD/SAS Provider agency risk management process.

ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)	a) Destroy in office remaining employee claims 3 years after settlement or denial of claim.* b) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.* c) Destroy in office reports that do not result in claims or official action after 3 years. d) Destroy in office reports of minors after minor has reached age of 21.	
2.	BLOODBORNE 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.	Destroy in office after 3 years.	29 CFR 1910.1030(h)(2)(ii).
3.	CLAIM COST REPORTS AND/OR STATEMENTS	Destroy in office after 3 years.*	

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ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	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.
5.	FIRE AND SAFETY FILE	Destroy in office when superseded or obsolete.	
6.	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.	Destroy in office after 5 years.	
7.	HEALTH AND SAFETY RECORDS Records concerning agency safety measures. May include reports, logs and similar records documenting health and safety inspections of agency facilities.	Destroy in office when superseded or obsolete.	
8.	HOLD HARMLESS AGREEMENTS Agreements assuming liability. These agreements may be between the local government and an individual or a business. See also CONTRACTS AND AGREEMENTS item 2, page 32.	Destroy in office 3 years after date of termination or settlement of all claims.*	
9.	INSURANCE AND LIABILITY WAIVERS	Destroy in office 6 years from date of termination or settlement of all claims.*	

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ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	INSURANCE AUDITS, SURVEYS AND REPORTS	Destroy in office when administrative value ends. Agency Policy: Destroy in office after _____. †	
11.	LOSS CONTROL INSPECTION REPORTS Self-inspections to identify potential liabilities or hazards that may exist in agency-owned buildings or property.	Destroy in office when administrative value ends. Agency Policy: Destroy in office after _____. †	

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STANDARD-8. PROGRAM OPERATIONAL RECORDS: CLIENT SERVICES RECORDS

Records concerning client records created and maintained by the DMH/DD/SAS Provider agencies.

Comply with applicable provisions of G.S. 130A-12 regarding the confidentiality of DMH/DD/SAS Provider agency records containing privileged clients' medical information, or information protected under 45 CFR Parts 160 and 164 (HIPAA).

RETENTION NOTE:

Storage Media

Medical records may be stored in a microfilm media or an imaging system. If an imaging system is used, the following shall be implemented (See Division of Historical Resources publication, *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems*):

- 1) Documentation about the system. Documentation is necessary for providing audit trails for establishing legal admissibility of images and for use of the system by future system operators. Documentation should include a) policies and procedures for all aspects of system operation and maintenance, including procurement, file and document preparation for scanning, data entry, quality control, indexing, corrections, expungement, redaction, back-ups, security, migration, application of safeguards to prevent tampering and unauthorized access and printing; b) system equipment specification; c) description of all hardware and software upgrades to the system including date of maintenance and version of software; d) contact information for manufacturers and vendors; e) technical operation manuals; f) user operation manuals; policies and procedures related to access and to the security of the records; h) any changes made to the system or the process.
- 2) Training. There should also be documentation to demonstrate that staff responsible for imaging has been trained to operate the system.
- 3) Integrity which includes the actual condition of the media storage device-has the media deteriorated, been scratched, exposed to extreme temperatures, etc. and the reliability of the record after compression or migration, i.e. after such events, has the appearance of the document been altered.
- 4) The intellectual integrity of a record is based upon the authenticity or truthfulness of the information within the record. A system should be in place for electronic records that validates access procedures and documents modification to the records over time.
- 5) Auditing. Periodic and random audits of the imaging system and records storage media should be conducted to ensure that the system is operating within the established records management expectations and that the data remains viable.
- 6) Access. General Statute 132-6.1 (b) requires that all databases be indexed. The index shall contain the following information: 1) a list of the data fields; 2) a description of the format or record layout; 3) information as to the frequency with which the database is updated; 4) a list of any data fields to which public access is restricted; 5) a description of each form in which the database can be copied or reproduced using the agency's computer facilities; and 6) a schedule of fees for the production of copies in each available form. (See Division of Historical Resources publication, *Public Database Indexing*)

Destruction of Records

The following conditions shall be met before the destruction of original records can be approved:

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a) The applicable records series must be scheduled with the Archives and Records Section through current records retention and disposition scheduling procedures.

If an imaging system is used, the agency must satisfy the conditions noted above in section “Storage Media.” If these conditions are met, the original records may be destroyed.

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: CLIENT SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADULT CLIENT SERVICES RECORDS Including selective and indicative prevention service records. May include requests for copies of records.	Records of adult clients who are no longer receiving services may be destroyed 11 years after last date of service.	These records are highly confidential, and access to them is regulated by federal and state law and regulation, including: the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191); 42 CFR Part 2, 45 CFR Parts 160, 162, and 164; G.S. 122C-52 through 122C-56.)

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: CLIENT SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	<p>MINOR CLIENT SERVICES RECORDS Including selective and indicative prevention service records.</p>	Records of minor clients who are no longer receiving services may be destroyed 12 years after the minor reaches age of majority (18 years of age).	These records are highly confidential, and access to them is regulated by federal and state law and regulation, including: the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191); 42 CFR Part 2, 45 CFR Parts 160, 162, and 164; G.S. 122C-52 through 122C-56.)
3.	<p>CONSULTATION, EDUCATION, AND PREVENTION SERVICE RECORDS</p> <p>NOTE CHANGES: Records are still being created, records prior to 2003 were not considered active client records; follow destroy in office when superseded.</p>	<p>a) Records created prior to 2003, destroy in office when superseded.</p> <p>b) Records of adult clients who are no longer receiving services may be destroyed 11 years after last date of service.</p> <p>c) Records of minor clients who are no longer receiving services may be destroyed 12 years after the minor reaches age of majority (18 years of age).</p>	

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

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Cultural Resources has scheduled with the disposition instruction “destroy when administrative/reference value ends.” Please use the space provided.

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: CLIENT SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>DMH PROVIDER AGENCY ADMINISTRATIVE RECORDS Individual records related to provider administrative functions such as screening, triage, referral, authorizations, registrations, care coordination, Person Centered Plan review, etc.</p>	<p>a) <u>Adults</u>. Administrative records of adult consumers may be destroyed 11 years after the date of last administrative action by the provider agency.</p> <p>b) <u>Minors</u>. Administrative records of minor clients for whom the LME is no longer performing provider agency administrative functions may be destroyed 12 years after the minor reaches the age of majority (18 years of age).</p> <p>c) <u>Post-2003</u>: Destroy in office after 5 years.</p>	<p>These records are highly confidential, and access to them is regulated by federal and state law and regulation, including: the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191); 42 CFR Part 2, 45 CFR Parts 160, 162, and 164; G.S. 122C-52 through 122C-56.)</p>
5.	<p>DWI OR DRUG EDUCATION SCHOOL RECORDS</p>	<p>a) Minors: Transfer to Adult Client Records when minor reaches 18 years of age.</p> <p>b) Adult: Records of adult clients who are no longer receiving services may be destroyed 15 years after last date of service.</p>	<p>These records are highly confidential, and access to them is regulated by federal and state law and regulation, including: the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191); 42 CFR Part 2, 45 CFR Parts 160, 162, and 164; G.S. 122C-52 through 122C-56.)</p>

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: CLIENT SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	MASTER CLIENT IDENTIFICATION FILE (MASTER CLIENT INDEX)	Retain in office permanently.	These records are highly confidential, and access to them is regulated by federal and state law and regulation, including: the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191); 42 CFR Part 2, 45 CFR Parts 160, 162, and 164; G.S. 122C-52 through 122C-56.)
7.	RAW TEST/ EVALUATION DATA, PENDING AND SCREENING RECORDS	<p><u>Minors</u>: Destroy in office 5 years after date minor reaches 18 years of age.</p> <p><u>Adults</u>: Destroy in office 5 years after date of report.</p> <p><i>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</i></p>	These records are highly confidential, and access to them is regulated by federal and state law and regulation, including: the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191); 42 CFR Part 2, 45 CFR Parts 160, 162, and 164; G.S. 122C-52 through 122C-56.)

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: CLIENT SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	WORKSHEETS. Data tally sheets, summary forms, and other related records	Destroy in office when administrative value ends, but within 3 years. Agency Policy: Destroy in office after _____. †	

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STANDARD-9. ALL LOCAL MANAGEMENT ENTITY (LME) PROGRAMS

DMH/DD/SAS records created or received in DMH/DD/SAS Provider Agencies and used to manage and monitor federal, state, and local programs. See also STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS.

Comply with applicable provisions of G.S. §122C-17 regarding confidentiality of DMH/DD/SAS Provider Agency “records containing privileged patient medical information or information protected under 45 CFR Parts 160 and 164 (HIPPA).”

ITEM #	STANDARD-9: ALL LOCAL MANAGEMENT ENTITY (LME) PROGRAMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>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.</p>	<p>a) Retain records that directly relate to prove compliance with those standards outlined by accrediting agencies whether public or private in office permanently.</p> <p>b) Destroy in office remaining records 6 months after expiration date of applicable accreditation period to which the records apply.</p>	10A NCAC 48A.0101
2.	<p>CLIENT APPOINTMENT AND SCHEDULING RECORDS Logs and similar records used to document patient appointments.</p>	<p>Destroy in office when administrative value ends.</p> <p>Agency Policy: Destroy in office after _____ . †</p>	
3.	<p>CLIENT DEMOGRAPHIC DATA REPORTS Reports summarizing demographic data for clients in programs.</p>	<p>Destroy in office when administrative value ends.</p> <p>Agency Policy: Destroy in office after _____ . †</p>	

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ITEM #	STANDARD-9: ALL LOCAL MANAGEMENT ENTITY (LME) PROGRAMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>CLINICAL RECORD AUDITS Records concerning internal and external audit summaries and/or finding and associated supporting records.</p> <p>See also AUDITS: FINANCIAL item 5, page 11.</p>	<p>a) Medicare/Medicaid audits: Destroy in office after 6 years, and when all findings have been resolved, whichever occurs last.*</p> <p>b) All other audits: Destroy in office after 3 years, and when all findings have been resolved, whichever occurs last.*</p>	
5.	<p>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 mental health laws or regulations. Includes nature of complaint, records of investigations, and results or findings.</p> <p>See also CITIZEN COMPLAINTS AND SERVICE REQUESTS item 6, page 2.</p>	<p>a) Destroy in office 3 years after date of last action.*</p> <p>b) Transfer to LITIGATION CASE RECORDS item 6, page 34 if legal action is taken.</p>	
6.	<p>FEE SCHEDULES Billing guides and schedules of fees charged for services.</p>	<p>Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.*</p> <p><i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i></p>	

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ITEM #	STANDARD-9: ALL LOCAL MANAGEMENT ENTITY (LME) PROGRAMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<p>HIPPA 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.</p>	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
8.	<p>MONITORING AND REVIEW DOCUMENTS Official copies of documents concerning readiness assessments, risk assessments, provider endorsement, quality reviews, site visits, deficiencies, follow-up, and all other information used in the service provider monitoring and review process.</p>	Destroy in office after 6 years.*	These records are highly confidential, and access to them is regulated by federal and state law and regulation, including: the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191); 42 CFR Part 2, 45 CFR Parts 160, 162, and 164; G.S. 122C-52 through 122C-56.
9.	<p>PROGRAM TIME AND ACTIVITY REPORTS Reports and similar records documenting activities of personnel for all program areas.</p>	<p>Destroy in office after 6 years.*</p> <p><i>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.</i></p>	

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ITEM #	STANDARD-9: ALL LOCAL MANAGEMENT ENTITY (LME) PROGRAMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	PROTECTED HEALTH INFORMATION (PHI) ACCESS RECORDS 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
11.	PROTECTED HEALTH INFORMATION (PHI) AMENDMENT REQUEST RECORDS 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
12.	PROTECTED HEALTH INFORMATION (PHI) DISCLOSURE RECORDS Records documenting the disclosure of protected health information required under the Health Insurance Portability and Accountability Act (HIPPA).	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
13.	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 (HIPPA).	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

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ITEM #	STANDARD-9: ALL LOCAL MANAGEMENT ENTITY (LME) PROGRAMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	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 (HIPPA).	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
15.	REFERRAL RECORDS Records of screenings, consultations, and referrals from other agencies.	a) If individual receives clinical services transfer to ADULT CLIENT SERVICES RECORDS item 1, page 53 and MINOR CLIENT SERVICES RECORDS item 2, page 53. b) Destroy in office all remaining records when administrative value ends. Agency Policy: Destroy in office after _____. †	
16.	STAFF WORK SCHEDULES AND ASSIGNMENT RECORDS Work schedule and assignment record for departmental staff.	Destroy in office when administrative value ends. Agency Policy: Destroy in office after _____. †	
17.	STATISTICAL REPORTS Agency statistical studies and reports.	a) Destroy remaining reports per REPORTS AND STUDIES (INTERNAL ADMINISTRATION) item 29, page 9. b) Destroy reference copies of reports in office when administrative value ends.	

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STANDARD-10. BUSINESS OFFICE AND CLIENTS' FINANCIAL RECORDS

DMH/DD/SAS Provider Agency records concerning insurance claims and payments, and other financial activities for client served by provider agency. See **STANDARD-2. BUDGET AND FISCAL RECORDS** for the disposition of records concerning non-client related financial activities.

Comply with applicable provisions of G.S. §122C, Article 3 regarding confidentiality of DMH/DD/SAS Provider Agency "records containing privileged client medical information or information protected under 45 CFR Parts 160 and 164 (HIPAA)."

ITEM #	STANDARD-10: BUSINESS OFFICE AND CLIENTS' FINANCIAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCOUNTS RECEIVABLE - CLIENT SERVICES Client payments, filings to private insurance and/or Medicare/Medicaid, and other related records.	Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* <i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i>	
2.	ADJUSTED CLIENT ACCOUNTS Records of adjustments to clients' bills and insurance claims.	Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.* <i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i>	

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ITEM #	STANDARD-10: BUSINESS OFFICE AND CLIENTS' FINANCIAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p>BAD DEBT REPORTS Reports, logs and supporting documentation summarizing accounts sent to collection agencies.</p>	<p>Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.*</p> <p><i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i></p>	
4.	<p>COST REPORTS Reports and supporting documentation summarizing costs incurred for the administration of programs.</p>	<p>Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.*</p> <p><i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i></p>	
5.	<p>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.</p>	<p>Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.*</p> <p><i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i></p>	

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ITEM #	STANDARD-10: BUSINESS OFFICE AND CLIENTS' FINANCIAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p>INSURANCE PENDING REPORTS Reports and supporting documentation summarizing unpaid insurance claims.</p>	<p>Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.*</p> <p><i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i></p>	
7.	<p>MEDICARE DISBURSEMENT REPORTS Reports and supporting documentation summarizing funds received from Medicare and the accounts to which they are posted.</p>	<p>Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.*</p> <p><i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i></p>	
8.	<p>MEDICARE PART D PRESCRIPTION DRUG FINANCIAL RECORDS Includes financial records related to Part D drug plans administered by the agency. Includes remittance advice records.</p>	<p>Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.*</p> <p><i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i></p>	

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ITEM #	STANDARD-10: BUSINESS OFFICE AND CLIENTS' FINANCIAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p>CLIENT REFUND RECORDS Reports, logs and supporting documentation summarizing refunds issued to client and insurance agencies.</p>	<p>Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.*</p> <p><i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i></p>	
10.	<p>PAYMENT VOUCHERS Vouchers for payment received from clients and insurance agencies.</p>	<p>Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.*</p> <p><i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i></p>	
11.	<p>REMITTANCE ADVICE RECORDS Includes member name, client account number, amount billed, amount paid, claim provider, carrier, and service dates.</p>	<p>Destroy in office after 6 years. Records involved in a pending audit, legal or other official action may not be destroyed before that audit or action is resolved.*</p> <p><i>Retention Note: Records supporting the expenditure of federal funds passes 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.</i></p>	

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REQUEST FOR CHANGE IN RECORDS SCHEDULE

TO Assistant Records Administrator
Division of Archives and Records
Government Records Section
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____
Mailing address _____
Phone or email _____

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 _____ **APPROXIMATE VOLUME OF RECORDS** _____

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

Requested by: _____, _____, _____
Signature Title Date

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