RECORDS RETENTION AND DISPOSITION SCHEDULE

LOCAL HEALTH DEPARTMENTS

Issued By:

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

March 1, 2019
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Local Health Departments
Records Retention and Disposition Schedule

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. This agency-specific records schedule should be used in concert with the current Local Government Agencies General Records Retention and Disposition Schedule to provide full records management guidance. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. The local government agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. 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.

This local government agency and the Department of Natural and 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 that allow these records to be destroyed when “reference value ends.” The local government agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that the Department of Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” If a local government agency does not establish internal policies and retention periods, the local government agency is not complying with the provisions of this retention schedule and is not authorized by the Department of Natural and Cultural Resources to destroy the records with the disposition instruction “destroy when reference value ends.”

The local government agency and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires additional commitment and active management by the agency. The agency agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records.
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

Danny Staley, Division Director (Acting)  
DHHS, Division of Public Health

Sarah E. Koonts, Director  
Division of Archives and Records

APPROVED

Mandy K. Cohen, MD, MPH, Secretary  
Department of Health and Human Services

Susi H. Hamilton, Secretary  
Department of Natural and Cultural Resources

ACKNOWLEDGED (AGREED TO COMPLY)

Local Health Director

Chair, Local Board of Health or Board of County Commissioners

County

March 1, 2019
EXECUTIVE SUMMARY

✓ According to G.S. § 121-5(b) and G.S. § 132-3, you may destroy public records only with the consent of the Department of Natural and Cultural Resources (DNCR). The State Archives of North Carolina is the division of DNCR charged with administering a records management program. This schedule is the primary way the State Archives of North Carolina gives its consent. Without approving this schedule, your agency is obligated to obtain the State Archives of North Carolina’s permission to destroy any record, no matter how insignificant.

✓ Each records series listed on this schedule has specific disposition instructions that will indicate how long the series must be kept in your office. In some cases, the disposition instructions are simply “retain in office permanently,” which means that those records must be kept in your office forever. In other cases, the retention period may be “destroy in office when reference value ends.” An agency may have reference copies of materials, meaning “a copy of a record distributed to make recipients aware of the content but not directing the recipient to take any action on the matter” (from Richard Pearce-Moses, A Glossary of Archival and Records Terminology). Your agency must establish and enforce internal policies by setting minimum retention periods for the records that the State Archives of North Carolina has scheduled with the disposition instruction “destroy when reference value ends.”

✓ This schedule applies to the records of county health departments, multi-county district health departments, and county public health authorities, and to the health records of county consolidated human services agencies.

✓ 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 attachments, not the media in which the record was created. It is important for all agency employees and officials to determine the appropriate records series for specific e-mails and retain them according to the disposition instructions.

✓ The State Archives of North Carolina recommends that all agency employees and officials view the tutorials that are available online through the State Archives website to familiarize themselves with records management principles and practices. The State Archives of North Carolina’s online tutorials include topics such as records management, utilizing the retention schedule, e-mail management, and scanning guidelines.

✓ The State Archives of North Carolina provides microfilming services for the minutes of major decision-making boards and commissions. Once those records are filmed, we will store the silver halide negative (original) in our security vault. There is a nominal fee for filming and duplicating film. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.

✓ There are numerous locations in the North Carolina General Statutes and the North Carolina Administrative Code that list responsibilities of local health departments along with written policies that should be developed and implemented. See, for example:
Information about policies and procedures required by the Privacy Rule of the Health Insurance Portability and Accountability Act (HIPAA) can be found in 45 CFR Parts 160 and 164.
Q. What is this “records retention and disposition schedule”?

A. This document is a tool for the employees of local government agencies across North Carolina to use when managing the records in their offices. It lists records commonly found in agency offices and gives an assessment of their value by indicating how long those records should be retained. This schedule is also an agreement between your agency and the State Archives of North Carolina.

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

Q. How do I get this schedule approved?

A. This schedule must be approved by your governing body for use in your agency. That approval should be made in a regular meeting and recorded as an action in the minutes. It may be done as part of the consent agenda, by resolution, or other action.

Q. Am I required to have all the records listed on this schedule?

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

Q. What is “reference value”?

A. Items containing “reference value” in the disposition instructions are generally records that hold limited value, which is typically restricted to those documenting routine operations within the office. A minimum retention period should be established by the office for any items containing the phrase “destroy in office when reference value ends” in the disposition instructions.

Q. Do the standards correspond to the organizational structure of my agency?

A. Records series are grouped into standards to make it easier for users to locate records and their disposition instructions. You may find that the groupings reflect the organizational structure of your agency, or you may find that records are located in various standards depending on the content of the record. The intent of the schedule’s organization is to provide an easy reference guide for the records created in your agency.

Q. What if I cannot find some of my records on this schedule?

A. Sometimes the records are listed in a different standard than how you organize them in your office. Be sure to check the Index and utilize the search function on the PDF version of the schedule to facilitate the location of records series. If you still cannot locate your records on the schedule, contact a Records Management Analyst. We will work with you to amend this records schedule so that you may destroy records appropriately.

Q. What are public records?

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

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

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

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

Q. What about my confidential records?

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

Q. Am I required to make available to the public copies of drafts that have not been approved?

A. Yes, even if a report, permit, or other record has not been finalized, it is still a public record subject to request. Any record that is not confidential by law must be provided when a request is received, whether it is “finished” or not.

Q. What do I do with permanent records?

A. Permanent records should be maintained in the office that created the records, forever.

The Department of Natural and Cultural Resources (DNCR) is charged by the General Assembly with the administration of a records management program (N.C.G.S. §121-4 (2) and §132-8.1) and the maintenance of “a program for the selection and preservation of public records considered essential to the operation of government and to the protection of the rights and interests of persons” (§132-8.2). Permanent records with these characteristics require preservation duplicates that are human-readable (paper or microfilm). Some examples of these characteristics include:

- Affect multiple people, without regard to relation
- Have significance over a long span of time
- Document governance
- Document citizenship

Examples of records with these characteristics:

- Minutes of governing bodies at the state and local levels are the basic evidence of our system of governance, and are routinely provided for the public to read.
- Records, such as deeds and tax scrolls, about land document changes in ownership and condition. Counties maintain offices expressly for the purpose of making those records available to the public. Other records in local and state governments document potential public health hazards, such as hazardous materials spills.
- Adoptions, marriages, and divorces document changes in familial relationships and document citizenship. Though adoptions are confidential (not available for public inspection), they document citizenship and changes in inheritance and familial succession.
- Court records, such as wills, estates, and capital cases, affect people within and across family groups, are made available for public inspection, and often involve transactions related to the examples above. See the Human-Readable Preservation Duplicates policy issued by the North Carolina Department of Natural and Cultural Resources (https://archives.ncdcr.gov/documents/human-readable-preservation-duplicates) and check with a records analyst to determine whether your permanent records require a preservation duplicate.
Q. What is historical value?

A. Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its citizens. Call a Records Management Analyst for further assistance in assessing historical value.

Q. What if I do not have any records?

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

Q. May I store our unused records in the basement, attic, shed, etc.?

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

Q. Our old records are stored in the attic, basement, or off-site building, etc. Are we required to provide public access to these records?

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

Q. Aren’t all our old records at the State Archives of North Carolina?

A. Probably not. The State Archives of North Carolina collects only very specific types of records from local government offices. Contact a Records Management Analyst for more information about which records are held or can be transferred to the State Archives of North Carolina for permanent preservation.

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

A. Call a Records Management Analyst. We will help you examine the records and assess their historical value.

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

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

Q. Whom can I call with questions?

A. If you are located west of Statesville, call our Western Office in Asheville at (828) 296-7230 extension 224. If you are east of Statesville, all the way to the coast, call our Raleigh office at (919) 814-6900.
AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

Q. Why is there an asterisk in the disposition instructions of so many items on this schedule?

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

A legal hold or litigation hold means that records that are the subject of the legal hold or litigation hold must be preserved and thus must not be destroyed until officially released from the hold. A legal hold or litigation hold is placed when either an official discovery order is served on the agency requesting the production of the records in question (for a litigation, regulatory investigation, audit, open records request, etc.) or litigation is pending and the agency is thus on notice to preserve all potentially relevant records. You must also ensure that for a claim or litigation that appears to be reasonably foreseeable or anticipated but not yet initiated, any records (in paper or electronic formats) relevant to such a claim or litigation are preserved and not destroyed until released by your General Counsel. The records in question must not be destroyed until the completion of the action and the resolution of all issues that arise from it regardless of the retention period set forth in this schedule.

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 Local Government General Records Schedule, Standard 1, Audits: Performance and Standard 2, Audits: Financial.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the agency 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.
TRANSITORY RECORDS

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”

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 characteristics, 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 approval from the Department of Natural and Cultural Resources.

The Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called “transitory records.” The following questions and answers discuss types of transitory records commonly created in state government. They may be disposed of according to the guidance below. However, all public employees should be familiar with the General Schedule for State Agency Records, their office’s Program Records Retention and Disposition Schedule, and any other applicable guidelines for their office. If any of these documents require a different retention period for these records, follow the longer of the two retention periods. When in doubt about whether a record is transitory, or whether it has special significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

Q. What do I do with routing slips, fax cover sheets, “while you were out” slips, memory aids, etc.?

A. Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed.

Similarly, “while you were out” slips, memory aids, and other records requesting follow-up actions (including voicemails) have minimal value once the official action these records are supporting has been completed and documented. Unless they are listed on the General Schedule for State Agency Records or your office’s Program Records Retention and Disposition Schedule, these records may be destroyed or otherwise disposed of once the action has been resolved.

Q. What about research materials, drafts, and other working papers used to create a final, official record?

A. Drafts and working papers are materials, including notes and calculations, gathered or created to assist in the creation of another record. All drafts and working papers are public records subject to all provisions of General Statute § 132, but many of them have minimal value after the final version of the record has been approved, and may be destroyed after final approval, if they are no longer necessary to support the analysis or conclusions of the official record. Drafts and working documents which may be destroyed after final approval include:

- Drafts and working papers for internal and external policies
- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and

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• Drafts and working papers for presentations, workshops, and other explanations of agency policy that are already formally documented.

Q. What if I have forms designed and used solely to create, update, or modify records in an electronic medium?

A. If these records are not required for audit or legal purposes, they may be destroyed in office after completion of data entry and after all verification and quality control procedures. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g. a signature or notary’s seal), they should be retained according to the disposition instructions for the records series encompassing the forms’ function.

See also the State Archives of North Carolina’s guidance on digital signatures found at: https://archives.ncdcr.gov/documents/digital-signature-policy-guidelines
USING THE LOCAL HEALTH DEPARTMENTS RECORDS RETENTION SCHEDULE

This records retention and disposition schedule applies to records in all media, unless otherwise specified.

LEGEND

- symbol designating that one or more records in this series may be confidential or may include confidential information.

Item # – an identifying number assigned to each records series for ease of reference.

Series – “a group of similar records that are . . . related as the result of being created, received, or used in the same activity.” (From Richard Pearce-Moses, A Glossary of Archival and Records Terminology). Series in this schedule are based on common functions in government offices.

Records Series Title – a short identification of the records in a series, based on their common function.

Series Description – a longer description of the records in a series, often including the types of records that can frequently be found in that series. This information is included underneath the Records Series Title.

Disposition Instructions – instructions dictating the length of time a series must be retained and how the office should dispose of those records after that time.

Citation – a listing of references to statutes, laws, and codes related to the records series. Citations can include:

- Authority: governing the creation of records
- Confidentiality: limiting access to public records
- Retention: setting a retention period

Throughout this schedule, items that cross-reference other items within this schedule are indicated with bold, uppercase letters. If you hover your cursor over one of these items, you will see the hand tool that will enable you to click on the item to follow the link to that location.

Sample record series title and description with cross-reference included

NC DHHS RECORDS RETENTION SCHEDULE FOR GRANTS

Local health departments must retain all records of programs funded by federal sources until the NC DHHS Office of the Controller provides notification that the records may be destroyed. The NC DHHS Office of the Controller provides this notification with the North Carolina Department of Health and Human Services Records Retention and Disposition Schedule for Grants (DHHS Records Schedule for Grants), published on the DHHS Office of the Controller’s website at https://www.ncdhhs.gov/about/administrative-offices/office-controller/records-retention.
You must use this Local Health Departments Records Retention and Disposition Schedule in conjunction with the DHHS Records Schedule for Grants. You must retain all financial and programmatic records, supporting documents, statistical records, and other records pertinent to a federal award in accordance with the DHHS Records Schedule for Grants. This Local Health Departments Records Retention and Disposition Schedule includes the following disposition language for records series that require notification by the NC DHHS Office of the Controller prior to destruction of records:

Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.

The DHHS Records Schedule for Grants lists by funding source and state fiscal year the earliest date that records may be destroyed. You must know the federal funding sources that support the specific records in question. For each record, identify:

- The programs covered in the record;
- The records retention and disposition instructions;
- How those programs are funded; and
- If federally funded, whether the federal funding sources have been cleared for disposition by the DHHS Records Schedule for Grants.

When there is a discrepancy between this schedule and the DHHS Records Schedule for Grants, you must use the longer retention period.

*No destruction of records may take place if litigation or audits are pending or reasonably anticipated. See also AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS, page viii.*
**STANDARD 10: PROGRAM OPERATIONAL RECORDS – ADULT HEALTH RECORDS**

Public health records created or received in local health departments and used to manage and monitor adult health programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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<thead>
<tr>
<th>ITEM #</th>
<th>RECORDS SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
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</thead>
</table>
| 1.     | ADULT DAY CARE AND ADULT DAY HEALTH PROGRAM MONITORING RECORDS Monitoring reports and standard reviews written by public health nurses (PHNs) who monitor clients and employees for compliance with health-related standards in licensed Adult Day Health Centers. | a) Send original monitoring reports and standard reviews to county social services agency.  
b) Send copies of monitoring reports and standard reviews to NC DHHS, Division of Aging and Adult Services, Adult Day Care Consultant.  
c) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.†  
d) Destroy in office remaining records after 5 years.* | Retention: NC DHHS, Division of Aging and Adult Services, Adult Day Health Services Certification Procedures Manual |

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
† See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
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</thead>
</table>
| 2.    | ADULT HEALTH PROGRAM RECORDS | a) If individual receives clinical services transfer records to **PATIENT CLINICAL RECORDS**, page 36, item 5, as applicable.  
  b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
  c) Destroy in office remaining records after 5 years.* |
|       | Records documenting contacts between adult health services and individuals served by the local health department. |
| 3.    | BREAST AND CERVICAL CANCER CONTROL PROGRAM (BCCCP) AND NC WISEWOMAN RECORDS | a) If individual receives clinical services transfer records to **PATIENT CLINICAL RECORDS**, page 36, item 5, as applicable.  
  b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
  c) Destroy in office remaining records after 6 years.* |
|       | Records concerning breast and cervical cancer screenings, screening follow-ups, cardiovascular disease screenings, and life habit improvement assistance for prevention of cardiovascular and other chronic diseases for eligible women. |

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.  
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.  
¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.
# 2019 Local Health Department Records Retention and Disposition Schedule

## Standard 10: Adult Health Records

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>Records Series Title</th>
<th>Disposition Instructions</th>
<th>Citation</th>
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</table>
| **4.** | CHRONIC DISEASE PROGRAM RECORDS  
Records concerning chronic disease early detection and referral, patient education, monitoring, treatment, and follow-up activities. May include program procedures, statistical summaries, chronic disease services reports, and other related records. | a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
c) Destroy in office remaining records after 5 years.* | |
| **5.** | FAMILY PLANNING RECORDS  
Records documenting contacts between family planning services and with individuals served by the local health department. | a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
c) Destroy in office remaining records after 5 years.* | |

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* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.

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

¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
# STANDARD 11: PROGRAM OPERATIONAL RECORDS – ALL HEALTH DEPARTMENT PROGRAMS

Public health records created or received in local health departments and used to manage and monitor federal, state, and local programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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<tbody>
<tr>
<td>1.</td>
<td>CLINICAL POLICIES AND PROCEDURES</td>
<td>Retain in office permanently.</td>
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<tr>
<td></td>
<td>See also ELECTRONIC PROTECTED HEALTH INFORMATION (ePHI) SECURITY IMPLEMENTATION RECORDS, page 5, item 4.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>CLINICAL RECORD AUDITS</td>
<td>a) Medicare/Medicaid audits: Destroy in office after 5 years and when all findings have been resolved.*</td>
<td>Authority: 10A NCAC 48B .0201</td>
</tr>
<tr>
<td></td>
<td>Internal and external audit summaries and findings. Includes associated supporting records.</td>
<td>b) All other audits: Destroy in office after 3 years and when all findings have been resolved.*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>See also Local Government General Records Schedule, Standard 2, Audits: Financial.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>COMMUNITY HEALTH ASSESSMENTS</td>
<td>a) Retain in office official copy of community health assessment permanently.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Also includes interim State-of-the-County's Health (SOTCH) Reports.</td>
<td>b) Destroy in office interim reports after completion of next community health assessment.</td>
<td></td>
</tr>
</tbody>
</table>

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
† See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
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<tbody>
<tr>
<td>4.</td>
<td><strong>ELECTRONIC PROTECTED HEALTH INFORMATION (ePHI) SECURITY IMPLEMENTATION RECORDS</strong></td>
<td>Policies, procedures, and records of actions, activities, and security risk analyses undertaken to ensure ePHI is secure from unauthorized access in compliance with the HIPAA Security Rule. Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.</td>
<td>Retention: 45 CFR 164.316</td>
</tr>
<tr>
<td>5.</td>
<td><strong>ENCOUNTER FORMS</strong></td>
<td>Forms, including triage logs, used to summarize contacts between department staff and clients. Destroy in office after 3 years.*</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td><strong>FEE SCHEDULES</strong></td>
<td>Billing guides, fee plans, and schedules of fees charged for services.</td>
<td>Authority: G.S. § 130A-39(g) G.S. § 130A-45.3(a)(5) G.S. § 153A-77(d)(1)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>b) Destroy in office remaining records 5 years after superseded.*</td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td><strong>PATIENT APPOINTMENT AND SCHEDULING RECORDS</strong></td>
<td>Destroy in office when reference value ends.† Agency Policy: Destroy in office after ____________</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td><strong>PATIENT DEMOGRAPHIC DATA REPORTS</strong></td>
<td>Reports summarizing demographic data for patients in programs.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>a) Retain reports with historical value permanently.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>b) For remaining reports, follow disposition instructions for Local Government General Records Schedule, Standard 1, Reports and Studies.</td>
<td></td>
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| 9.    | PATIENT SELF-HISTORIES AND RECEIVED MEDICAL RECORDS | a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  
b) Comply with agency policy for patient notification. If unable to locate patient, destroy in office when reference value ends.†  
   Agency Policy: Destroy in office after ________________ |  |
|       | Preliminary medical information collected concerning patients served by the local health department. May include patient self-histories and health surveys, including family medical histories, known health conditions, and allergies; copies of medical records; and referrals received from other agencies. |  |  |
| 10.   | PROGRAM TIME AND ACTIVITY REPORTS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
b) Destroy in office remaining records after 5 years.* |  |
|       | Reports and related records documenting activities of personnel for all program areas. |  |  |
| 11.   | PROTECTED HEALTH INFORMATION (PHI) ACCESS RECORDS | Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later. | Retention: 45 CFR 164.530(j)(2) |
|       | Records documenting client requests for or restrictions of access to PHI required by the HIPAA Privacy Rule. |  |  |
| 12.   | PROTECTED HEALTH INFORMATION (PHI) AMENDMENT REQUEST RECORDS | Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later. | Authority: 45 CFR 164.526(d)(4)  
Retention: 45 CFR 164.530(j)(2) |
|       | Records documenting client requests for amendment of PHI required by the HIPAA Privacy Rule. |  |  |

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<td>13.</td>
<td>PROTECTED HEALTH INFORMATION (PHI) DISCLOSURE RECORDS</td>
<td>Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.</td>
<td>Authority: 45 CFR 164.508  Retention: 45 CFR 164.528(a)(1)</td>
</tr>
<tr>
<td>14.</td>
<td>PROTECTED HEALTH INFORMATION (PHI) PRIVACY PRACTICES RECORDS</td>
<td>Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.</td>
<td>Authority: 45 CFR 164.520  Retention: 45 CFR 164.530(j)(2)</td>
</tr>
<tr>
<td>15.</td>
<td>PROTECTED HEALTH INFORMATION (PHI) PRIVACY PRACTICES VIOLATION RECORDS</td>
<td>Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.</td>
<td>Retention: 45 CFR 164.530</td>
</tr>
</tbody>
</table>
| 16.    | PUBLIC HEALTH EMERGENCY PREPAREDNESS AND RESPONSE RECORDS | a) Retain records with historical value permanently.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
c) Destroy in office remaining records after 6 years.* |  |

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| 17.  | PUBLIC HEALTH PROBLEM SURVEILLANCE RECORDS | a) Retain records with historical value permanently.  
     b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
     c) Destroy in office remaining records after 6 years.* | See also Local Government General Records Schedule, Standard 8, Disaster and Emergency Management Plans. |
| 18.  | QUALITY ASSURANCE RECORDS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
     b) Destroy in office remaining records after 6 years.* | See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller. |
| 19.  | SATISFACTION ASSESSMENT SURVEY RESPONSES | Destroy in office survey response sheets 6 months after survey due date or date of any follow-up inquiry. | Authority: 10A NCAC 48B .1001 |
| 20.  | SCREENING AND REFERRAL RECORDS | a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  
     b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
     c) Destroy in office remaining records after 5 years.* |  

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<td>21.</td>
<td>STANDING ORDERS</td>
<td>Destroy in office 3 years after superseded or obsolete.</td>
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<td></td>
<td>See also Local Government General Records Schedule, Standard 5, Delegation of Authority Records.</td>
<td></td>
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</tbody>
</table>
| 22.   | STATISTICAL REPORTS  | a) Retain reports with historical value permanently.  
|       |                      | b) For remaining reports, follow disposition instructions for Local Government General Records Schedule, Standard 1, Reports and Studies. |          |
|       |                      |                          |          |
| 23.   | STERILIZATION RECORDS | Destroy in office after 3 years. |          |
|       |                      |                          |          |
|       |                      |                          |          |
| 24.   | VACCINE PROGRAM MANAGEMENT RECORDS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
|       |                      | b) Destroy in office remaining records after 5 years.* |          |
|       |                      |                          |          |

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# Standard 12: Program Operational Records – Animal Control Programs

Public health records created or received in local health departments and used to manage and monitor animal control programs.

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<th>Disposition Instructions</th>
<th>Citation</th>
</tr>
</thead>
</table>
| 1.     | Activity Reports     | a) Retain reports with historical value permanently.  
b) For remaining reports, follow disposition instructions for Local Government General Records Schedule, Standard 1, Reports and Studies. |  |
| 2.     | Animal Abuse and Cruelty Cases  
Includes complaints, citations, compliance orders, and similar records. | Destroy in office after 5 years.* | Confidentiality: G.S. § 132-1.4 |
| 3.     | Animal Adoption Records  
Includes pre-adoption records and agreements. | Destroy in office after 2 years. |  |
| 4.     | Animal Bite Reports  
Reports detailing animal bites investigated by, or reported to, local health departments.  
See also Dangerous Animals Records, page 11, item 10. | Destroy in office after 3 years.* | Authority: G.S. § 130A-196 |
| 5.     | Animal Complaints  
Includes complaints of nuisance animals.  
See also Dangerous Animals Records, page 11, item 10. | Destroy in office after 3 years.* | Confidentiality: G.S. § 132-1.4 |

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See NC DHHS Records Schedule for Grants, page xi; it is published semiannually by the DHHS Office of the Controller.
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<tbody>
<tr>
<td>6.</td>
<td>ANIMAL CONTROL CITATIONS AND COMPLIANCE ORDERS</td>
<td>Destroy in office after 3 years.*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Includes citations and compliance orders issued to animal owners of violations of county ordinances.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>See also DANGEROUS ANIMALS RECORDS, page 11, item 10.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>ANIMAL LICENSE RECORDS</td>
<td>Destroy in office after 3 years.*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Records concerning the payment of license fees.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>CERTIFICATES OF ANIMAL RELEASE</td>
<td>Destroy in office 1 year after animal is released.</td>
<td>Retention: 02 NCAC 52J .0103</td>
</tr>
<tr>
<td></td>
<td>Certificates verifying health of animals examined and released by local health department.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>CONTROLLED SUBSTANCE EUTHANASIA LOG</td>
<td>Destroy in office after 2 years.</td>
<td>Retention: 21 CFR 1304.03</td>
</tr>
<tr>
<td></td>
<td>Includes amount of controlled substance used and animals destroyed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>DANGEROUS ANIMALS RECORDS</td>
<td>Destroy in office records concerning dangerous animals until known dead or after 10 years.*</td>
<td>Confidentiality: G.S. § 132-1.4</td>
</tr>
<tr>
<td></td>
<td>Includes complaints, compliance orders, citations, bite reports, and similar records relating to dangerous animals. (See G.S. § 67-4.1 for a definition of “dangerous dog” and “potentially dangerous dog.”)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>HISTORIES OF PET OWNERS</td>
<td>Destroy in office after 3 years.*</td>
<td>Confidentiality: G.S. § 132-1.4</td>
</tr>
<tr>
<td></td>
<td>Records concerning information for each animal owner that violates the county ordinances. May include signed complaint forms, pictures, and paperwork issued by the animal control officer.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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<tr>
<td>12.</td>
<td>OWNER CONTACT NOTICE RECORDS</td>
<td>Destroy in office 1 year from date of contact.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Records concerning attempts to contact owners of animals impounded at animal shelter.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.</td>
<td>SHELTER DISPOSITION RECORDS</td>
<td>Destroy in office 1 year after animal is released or euthanized.</td>
<td>Authority: G.S. § 19A, Article 3 02 NCAC 52J .0100 Retention: 02 NCAC 52J .0103</td>
</tr>
<tr>
<td></td>
<td>Records on each animal processed by the animal shelter. Records contain information on whether animal is reclaimed by the owner, adopted, or euthanized.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.</td>
<td>VACCINATION RECORDS</td>
<td>Destroy in office after 3 years.</td>
<td>Authority: G.S. § 130A-189</td>
</tr>
<tr>
<td></td>
<td>Includes rabies vaccination certificates sent to county animal control by area veterinarians.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
**STANDARD 13: PROGRAM OPERATIONAL RECORDS – BUSINESS OFFICE AND PATIENTS’ FINANCIAL RECORDS**

Public health records concerning Medicare and Medicaid disbursements, insurance claims and payments, and other financial activities for patients served by local health departments. See the Local Government Agencies General Records Retention and Disposition Schedule, Standard 2: Budget, Fiscal, and Payroll Records for the disposition of records concerning office operational financial activities.

In accordance with G.S. § 131E-97, all charges, accounts, credit histories, and other personal financial records maintained by public health care facilities in connection with admission, treatment, and discharge of individual patients are confidential and exempt from public inspection as outlined in G.S. § 132-6. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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<td>1.</td>
<td>ACCOUNTS RECEIVABLE: CLINICAL SERVICES</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>b) Destroy in office remaining records after 3 years.*</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>ADJUSTED PATIENT ACCOUNTS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>b) Destroy in office remaining records after 3 years.*</td>
<td></td>
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<td>3.</td>
<td>CONSOLIDATED AGREEMENT</td>
<td>Destroy in office 5 years after annual financial report is filed.*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Consolidated agreement and agreement addenda between local health department and NC DHHS, Division of Public Health concerning requirements for distribution of state and federal funds.</td>
<td></td>
<td></td>
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<tr>
<td>4.</td>
<td>COST REPORTS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Reports and supporting documentation summarizing costs incurred for administration of programs.</td>
<td>b) Destroy in office remaining records after 5 years.*</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>DEBT SETOFF PROGRAM RECORDS</td>
<td>Destroy in office after total debt is paid or after 10 years.</td>
<td>Authority: G.S. § 105A</td>
</tr>
<tr>
<td></td>
<td>Records concerning accounts sent to NC Debt Setoff Program for collection. Includes returned mail to patients being notified of submission.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>ELIGIBILITY DETERMINATION RECORDS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Authority: 10A NCAC 45A .0202</td>
</tr>
<tr>
<td></td>
<td>Records concerning financial eligibility of local health department clients for payment programs.</td>
<td>b) Destroy in office remaining records when reference value ends.†</td>
<td></td>
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| 7.    | INSURANCE CLAIMS     | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
  b) Destroy in office remaining records after 5 years.* |  |
|       | Includes Medicare, Medicaid, and insurance carrier claim forms and records, including schedule of payments, copies of claim, listing of invalid or rejected claims, payment list, and list of checks received. | | |
| 8.    | INSURANCE PENDING REPORTS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
  b) Destroy in office remaining records after 5 years.* |  |
|       | Reports and supporting documentation summarizing unpaid insurance claims. | | |
| 9.    | MEDICARE DISBURSEMENT REPORTS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
  b) Destroy in office remaining records after 3 years.* |  |
|       | Reports and supporting documentation summarizing funds received from Medicare and the accounts to which they are posted. | | |
| 10.   | MEDICARE PART D PRESCRIPTION DRUG FINANCIAL RECORDS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
  b) Destroy in office remaining records after 10 years.* | Retention: 42 CFR 423.505(d) |
|       | Financial records related to Part D drug plans administered by the local health department. Includes remittance advice records. | | |

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.

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

¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
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| 11.   | PATIENT REFUND RECORDS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
   b) Destroy in office remaining records after 3 years.* |  |
|       | Reports, logs, and supporting documentation summarizing refunds issued to patients and insurance agencies. |  |  |
| 12.   | SUPERBILLS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
   b) Destroy in office remaining records after 6 years.* |  |
|       | Summaries of charges to client for clinical services with codes for services received. File includes electronic superbills (ESBs). |  |  |

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
**STANDARD 14: PROGRAM OPERATIONAL RECORDS – COMMUNICABLE DISEASE CONTROL RECORDS**

Public health records created or received in local health departments and used to manage and monitor communicable disease control programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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</thead>
<tbody>
<tr>
<td>1.</td>
<td>COMMUNICABLE DISEASE OUTBREAK INVESTIGATION RECORDS</td>
<td>a) Enter all required information for cases and contacts into the North Carolina Electronic Disease Surveillance System (NC EDSS). Any documents that are part of the investigation should be attached to the corresponding outbreak event in NC EDSS for retention; NC EDSS records are not scheduled for expiration or destruction at this time. Paper records may be destroyed once pertinent information is entered into NC EDSS. &lt;br&gt;b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹ &lt;br&gt;c) Destroy in office after 10 years paper records not entered into NC EDSS.*</td>
<td>Authority: G.S. § 130A-140&lt;br&gt;10A NCAC 41A.0103&lt;br&gt;Confidentiality: G.S. § 130A-143</td>
</tr>
</tbody>
</table>

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.
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</thead>
<tbody>
<tr>
<td>2.</td>
<td>COMMUNICABLE DISEASE REPORTS</td>
<td>a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS). Any documents that are part of the investigation should be attached to the corresponding outbreak event in NC EDSS for retention; NC EDSS records are not scheduled for expiration or destruction at this time. Paper records may be destroyed once pertinent information is entered into NC EDSS.</td>
<td>Authority: G.S. § 130A-140 10A NCAC 41A .0103 Confidentiality: G.S. § 130A-143 Retention: NC DHHS, Division of Public Health Communicable Disease Manual</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.†</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>c) Destroy in office after 10 years paper records not entered into NC EDSS.*</td>
<td></td>
</tr>
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</table>

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

† See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
**STANDARD 15: PROGRAM OPERATIONAL RECORDS – ENVIRONMENTAL HEALTH RECORDS**

Public health records created or received in local health departments and used to manage and monitor environmental health programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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</thead>
<tbody>
<tr>
<td>1.</td>
<td>ENVIRONMENTAL HEALTH PERMITS</td>
<td>Destroy in office 3 years after expiration, inactivation, or revocation.</td>
<td>Authority: G.S. § 87-97 15A NCAC 02C .0300 15A NCAC 18A</td>
</tr>
<tr>
<td></td>
<td>Records concerning permits for child care facilities, public swimming pools, tattoo parlors, private drinking water wells, and other inspected permittees under the jurisdiction of the environmental health program.</td>
<td></td>
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</tr>
<tr>
<td>2.</td>
<td>FOOD AND LODGING MAPS, PLANS, AND BLUEPRINTS</td>
<td>Destroy in office after 1 year.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Records concerning new food service and lodging establishments submitted for review and approval to environmental health program prior to construction.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 3.    | FOOD AND LODGING PERMIT ACTIONS | a) Initial and new permits: Destroy in office 3 years after revocation or disapproval.  
b) Transitional permits: Destroy in office 3 years after new permit application approved or expiration occurs.  
c) Suspended permits: Destroy in office 3 years after date of suspension or disapproval. | |
|       | Records concerning the application and permit process for food and lodging establishments. Includes new, transitional, expired, revoked, or suspended permits. | | |

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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

↑ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.
### STANDARD 15: ENVIRONMENTAL HEALTH RECORDS

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<tbody>
<tr>
<td>4.</td>
<td>FOOD, LODGING, INSTITUTIONAL SANITATION, AND PUBLIC SWIMMING POOLS AND SPAS INSPECTION RECORDS</td>
<td>Destroy in office 3 years after resolution of any violations and closure of report.*</td>
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<tr>
<td></td>
<td>Records concerning environmental health inspections. Includes inspection reports, listings of violations, compliance reports, and other related records.</td>
<td></td>
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<tr>
<td>5.</td>
<td>INSPECTION SUMMARIES</td>
<td>a) Destroy in office 3 years after date records were created while establishment is in operation.</td>
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<tr>
<td></td>
<td>Summaries of inspections of establishments whose business impacts environmental health.</td>
<td>b) Destroy in office 1 year after establishment ceases operation.</td>
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</tr>
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<td>6.</td>
<td>LABORATORY REPORTS</td>
<td>Destroy in office after 3 years.</td>
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<tr>
<td></td>
<td>Laboratory reports showing results of environmental health tests.</td>
<td></td>
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<tr>
<td>7.</td>
<td>LEAD POISONING PREVENTION RECORDS</td>
<td>a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS). Any documents part of the investigation should be attached to the corresponding outbreak event in NC EDS for retention. Paper records may be destroyed once pertinent information is entered into NC EDSS.</td>
<td>Authority: G.S. § 130A, Article 5, Part 4 15A NCAC 18A .3100</td>
</tr>
<tr>
<td></td>
<td>Records concerning childhood lead poisoning prevention programs. Includes examination and testing results, investigation case files, copies of medical records, remediation plans, and other related records.</td>
<td>b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>c) Destroy in office paper records not entered into NC EDSS after 10 years.*</td>
<td></td>
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* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.

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

¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
## 15. Environmental Health Records

### STANDARD 15: ENVIRONMENTAL HEALTH RECORDS

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<tbody>
<tr>
<td>8.</td>
<td>METHAMPHETAMINE LABS DECONTAMINATION RECORDS</td>
<td>Destroy in office 3 years after documented decontamination is complete.</td>
<td>Retention: 10A NCAC 41D .0104</td>
</tr>
<tr>
<td>9.</td>
<td>WASTEWATER COLLECTION, TREATMENT, AND DISPOSAL REGULATION RECORDS</td>
<td>Destroy in office 3 years after implementation of corrective action.*</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>WASTEWATER DISPERSAL SUBDIVISION SYSTEM RECORDS</td>
<td>Destroy in office when system is no longer in use and the system has been properly abandoned or when system is connected to an approved public or community system.</td>
<td></td>
</tr>
</tbody>
</table>
| 11.    | WASTEWATER DISPERSAL SYSTEM APPLICATIONS - IMPROVEMENT PERMIT AND CONSTRUCTION AUTHORIZATION PERMIT | a) Transfer applications for which a permit is issued to WASTEWATER DISPERSAL SYSTEM IMPROVEMENT PERMITS AND CONSTRUCTION AUTHORIZATION PERMITS, page 22, item 13.  
b) Destroy in office denied applications 3 years after denial.  
c) Destroy in office remaining applications 1 year after expiration of application period. | |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
† See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
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| 12.   | **WASTEWATER DISPERSEL SYSTEM ENGINEERED OPTION PERMITS**  
Includes notices of intent, inspection reports, engineer’s reports, operations and management programs, and other related records. | Destroy in office when permit is revoked, or the system is no longer in use and the system has been properly abandoned, or the facility is connected to an approved public or community system. | Authority:  
G.S. § 130A-336.1  
15A NCAC 18A .1971 |
| 13.   | **WASTEWATER DISPERSEL SYSTEM IMPROVEMENT PERMITS AND CONSTRUCTION AUTHORIZATION PERMITS**  
Includes the entirety of the permit including applications, wastewater system site plans and plats indicating location of septic tanks, drain fields, other plans and specifications, and site evaluations. Includes expiring and non-expiring permits, as well as permits subject to the 2017 Permit Extension Act. | a) Transfer permits that result in the issuance of an operation permit to **WASTEWATER DISPERSEL SYSTEM OPERATION PERMITS**, page 22, item 14.  
b) Destroy in office revoked permits 3 years from date of revocation.  
d) Destroy in office remaining expiring permits 1 year after expiration date.  
e) Destroy in office remaining non-expiring permits when permit is revoked, or the system is no longer in use and has been properly abandoned, or the facility is connected to an approved public or community system. | Authority:  
G.S. § 130A-336  
15A NCAC 18A .1937  
Retention:  
G.S. § 130A-336(b1) |
| 14.   | **WASTEWATER DISPERSEL SYSTEM OPERATION PERMITS**  
Permit issued to verify wastewater disposal/dispersal systems have been completed according to local health department guidelines and are approved for use. | Destroy in office when permit is revoked, or the system is no longer in use and the system has been properly abandoned, or the facility is connected to an approved public or community system. | Authority:  
G.S. § 130A-33715A  
15A NCAC 18A .1937 |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
† See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.
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<td>15.</td>
<td>WATER SUPPLY ON-SITE SANITATION SERVICES RECORDS</td>
<td>Destroy in office 3 years after implementation of corrective action.*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Records concerning sanitation of individual on-site water supplies. File includes inspections, test results, analyses of water samples, and corrective actions in cases of complaints and illnesses associated with water supplies.</td>
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</tbody>
</table>
b) Destroy in office water test results upon closure of well. | Authority:  
G.S. § 87-97  
15A NCAC 02C .0307  
Retention:  
G.S. § 87-97(k) |
|       | Registry of all private drinking water wells for which a construction or repair permit was issued. Includes water test results for permitted wells. | | |
| 17.   | WATER SUPPLY WELL OPERATIONS RECORDS | Destroy in office when well is no longer in use or when water supply is connected to an approved public or community system. | Authority:  
15A NCAC 02C .0114 |
|       | Forms submitted by well contractors concerning construction, abandonment, and repair of private drinking water wells in area of local health department. File includes certifications of completion or abandonment. | | |

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² See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
2019 LOCAL HEALTH DEPARTMENT RECORDS RETENTION AND DISPOSITION SCHEDULE

**STANDARD 16: PROGRAM OPERATIONAL RECORDS – HEALTH EDUCATION RECORDS**

Public health records created or received in local health departments and used to manage and monitor health education programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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</thead>
</table>
| 1.     | HEALTH EDUCATION RECORDS  
Records documenting contacts with individuals receiving health education services. Includes screenings, consultations, and referrals. | a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
c) Destroy in office remaining records after 5 years.*  
Authority:  
10A NCAC 48B .0803 |
| 2.     | HEALTH PROMOTION TRAINING RECORDS  
Records concerning health promotion classes and training, including pregnancy prevention, childbirth education, worksite wellness, nutrition counseling, injury control, and tobacco cessation. | a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
c) Destroy in office remaining records after 5 years.*  
Authority:  
10A NCAC 48B .0402 |

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| 3.    | MEDIA AND PUBLIC HEALTH INFORMATION | a) Retain in office records with historical value permanently.  
b) Destroy in office remaining records when reference value ends.†  
Agency Policy: Destroy in office after ________________ | Authority: 10A NCAC 48B .0400 |
|       | Records concerning information released to media, the public, and appointed and elected officials. Includes copies of public health assessments, requests for health education presentations, public health hotline messages, public health press releases, community health data and health status information, and other related records. | | |
| 4.    | SEXUALLY TRANSMITTED DISEASE (STD)/SEXUALLY TRANSMitted INFECTION (STI) COUNSELING AND TESTING QUARTERLY REPORTS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
b) Destroy in office remaining records after 5 years.* | |
|       | Records summarizing counseling and testing for HIV/AIDS and other sexually transmitted diseases and infections. | | |
| 5.    | SEXUALLY TRANSMITTED DISEASE (STD)/SEXUALLY TRANSMitted INFECTION (STI) EDUCATION REPORTS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
b) Destroy in office remaining records after 5 years.* | |
|       | Records concerning public education and awareness efforts concerning HIV/AIDS and other sexually transmitted diseases and infections. | | |

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi. This document is published semiannually by the DHHS Office of the Controller.
STANDARD 17: PROGRAM OPERATIONAL RECORDS – HOME HEALTH AND COMMUNITY-BASED SERVICES RECORDS

Public health records created or received in local health departments and used to manage and monitor home health and community-based services programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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</table>
| 1.     | COMMUNITY ALTERNATIVES PROGRAM FOR CHILDREN (CAP/C) CASE RECORDS | a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
c) Destroy in office remaining records after 6 years.* | |
| 2.     | COMMUNITY ALTERNATIVES PROGRAM FOR DISABLED ADULTS (CAP/DA) CASE RECORDS | a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
c) Destroy in office remaining records after 6 years.* | |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
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<tbody>
<tr>
<td>3.</td>
<td>HOME HEALTH ADVISORY COMMITTEE MINUTES</td>
<td>Retain official minutes in office permanently.</td>
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<td>See also Local Government General Records Schedule, Standard 1, Minutes of Public</td>
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<td>Bodies. See the MICROFILM section on page 61 for instructions on microfilming.</td>
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<tr>
<td>4.</td>
<td>HOME HEALTH PROGRAM RECORDS</td>
<td>a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS,</td>
<td>Authority:</td>
</tr>
<tr>
<td></td>
<td>Records documenting contacts between home health services and individuals served by</td>
<td>page 36, item 5, as applicable.</td>
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<td>the local health department. Includes screenings, consultations, referrals,</td>
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<td>admission and service data, plans of care, and case conferences.</td>
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<td>b) Destroy records supporting the expenditure of federal funds passed through NC</td>
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<td>DHHS on a fiscal year basis when the DHHS Office of the Controller provides written</td>
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<td>guidance that records are released from all audits and other official actions.†</td>
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<td></td>
<td>c) Destroy in office remaining records after 5 years.*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>INSURANCE FOR THE AGED CERTIFICATION</td>
<td>Destroy in office upon expiration of certification.</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>NC STATE LICENSURE CERTIFICATE</td>
<td>Destroy in office upon expiration of certification.</td>
<td>Authority:</td>
</tr>
<tr>
<td></td>
<td>Proof of licensure by NC DHHS to operate as a home care agency.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
† See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
**STANDARD 18: PROGRAM OPERATIONAL RECORDS – LABORATORY RECORDS**

Public health records created or received in local health departments and used to manage and monitor laboratory programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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<tbody>
<tr>
<td>1.</td>
<td>EQUIPMENT AND INSTRUMENT MAINTENANCE AND REPAIR FILE</td>
<td>Destroy in office after 2 years.</td>
<td>Retention: 42 CFR 493.1105(a)(5)</td>
</tr>
<tr>
<td></td>
<td>Records documenting the proper functioning of equipment. Includes notebooks, logs, and test results.</td>
<td></td>
<td></td>
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<tr>
<td>2.</td>
<td>HIV TEST RECORDS</td>
<td>a) Transfer individual clinical records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹ c) Destroy in office remaining records after 5 years.*</td>
<td>Confidentiality: G.S. § 130A-143</td>
</tr>
<tr>
<td></td>
<td>Records and logs documenting the transfer of samples to NC DHHS for HIV test processing. May include test results and patient information.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>LABORATORY PROCEDURES MANUAL</td>
<td>Destroy in office 2 years after date of discontinuance.</td>
<td>Retention: 42 CFR 493.1105(a)(2)</td>
</tr>
<tr>
<td></td>
<td>Laboratory test procedures with dates of initial use and discontinuance.</td>
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<td></td>
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</table>

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
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<tr>
<td>4.</td>
<td>MEDICAL EXAMINER RECORDS&lt;br&gt;Records related to the investigation of deaths by the county medical examiner. May include photographs, notes, reference copies of medical records and law enforcement reports, and other related records.</td>
<td>a) Submit final report to DHHS Office of the Chief Medical Examiner. &lt;br&gt;b) Submit certificate of death to the State Registrar of Vital Statistics. &lt;br&gt;c) Destroy in office remaining investigatory materials when reference value ends. †&lt;br&gt;Agency Policy: Destroy in office after _____________&lt;br&gt;Retention Note: The offices receiving the final report and the death certificate are the records custodians.</td>
<td>Authority: G.S. § 130A-385</td>
</tr>
<tr>
<td>5.</td>
<td>PROFICIENCY TESTING RECORDS&lt;br&gt;Records used to attest the handling, preparation, processing, examination, and reporting of results of all proficiency testing. Includes testing report forms, records documenting testing failures and corrective actions, and other related records.</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹ &lt;br&gt;b) Destroy in office remaining records after 2 years.*</td>
<td>Retention: 42 CFR 493.1105(a)(4)</td>
</tr>
</tbody>
</table>

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
### STANDARD 18: LABORATORY RECORDS

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| 6.     | QUALITY CONTROL RECORDS | a) Retain in office permanently quality control records for blood and blood products with no expiration dates.*  
          b) Destroy in office quality control records for immunohematology, blood and blood products with expiration dates, and transfusions 10 years after completion of processing or 6 months after expiration date for individual product, whichever is later.*  
          c) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
          d) Destroy in office remaining records after 2 years.*  
          Retention Note: Retain test system performance specifications for life of test system. Upon disuse of test system, follow disposition instructions above. | Retention: 21 CFR 606.160(d)  
42 CFR 493.1105(a)(3)  
42 CFR 493.1105(a)(5) |
| 7.     | SLIDES, BLOCKS, AND TISSUE | a) Destroy in office histopathology slides 10 years from date of examination.  
          b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
          c) Destroy in office remaining records after 6 years.* | Authority: 42 CFR 493.1105  
Retention: 42 CFR 493.1105 |

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

¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
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<td>8.</td>
<td>TEST REPORTS</td>
<td>a) Transfer individual clinical records to <strong>PATIENT CLINICAL RECORDS</strong>, page 36, item 5, as applicable.</td>
<td>Retention: 21 CFR 606.160(d) 42 CFR 493.1105</td>
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<td>b) Retain in office permanently immunohematology test reports for products with no expiration date.*</td>
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<td></td>
<td>c) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
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<td></td>
<td>d) Destroy remaining test reports for immunohematology, blood and blood products, and transfusions 10 years after completion of processing or 6 months after latest expiration date for individual product, whichever is later.*</td>
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<td></td>
<td>e) Destroy in office remaining pathology test reports after 10 years.*</td>
<td></td>
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<td></td>
<td>f) Destroy in office all other remaining test reports after 2 years.*</td>
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<td>9.</td>
<td>TEST REQUISITIONS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Retention: 42 CFR 493.1105</td>
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<td></td>
<td>b) Destroy in office remaining records after 2 years.*</td>
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* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.
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¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.
**STANDARD 19: PROGRAM OPERATIONAL RECORDS – MATERNAL AND CHILD HEALTH RECORDS**

Public health records created or received in local health departments and used to manage and monitor maternal and child health programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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<td>1.</td>
<td>ADMINISTRATIVE FACILITY INFORMATION (CHILD HEALTH PROGRAM) Includes memorandum of agreement forms, visit narrative notes, facility assessment forms, and other related records.</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
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<td>b) Destroy in office remaining records after 5 years.*</td>
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<td>2.</td>
<td>CARE COORDINATION FOR CHILDREN (CC4C) PROGRAM RECORDS Records concerning status of children in CC4C program, including child’s name, referral, report date, development status, service status, and other related information. Records created and maintained in NC DHHS, Division of Public Health CC4C Case Management Information System (CMIS).</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
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<td></td>
<td></td>
<td>b) Destroy in office remaining records after 5 years.*</td>
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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
### STANDARD 19: MATERNAL AND CHILD HEALTH RECORDS

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| 3.     | CHILD CARE HEALTH CONSULTANT RECORDS (CHILD HEALTH PROGRAM) Records concerning child care health programs administered to child care facilities by local health departments. May include parent and guardian permission slips, child health assessment forms, confidentiality statements, screening forms, and other related records. | a) If child receives clinical services transfer records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
c) Destroy in office remaining records after 5 years.* |  |
| 4.     | CHILD FATALITY PREVENTION TEAM REVIEWS Case reviews submitted by local child fatality prevention teams listing identifying information, summaries, outcomes of reviews, administrative comments, and other related information. File also includes minutes and quarterly reports to board of health. | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
b) Destroy in office remaining records after 5 years.*  
Authority: G.S. § 7B-1410  
Confidentiality: G.S. § 7B-1413 |  |
| 5.     | CHILDREN WITH SPECIAL HEALTH CARE NEEDS SERVICES RECORDS Records concerning services provided to children with special health care needs administered through local health departments. | a) Transfer individual clinical records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and when child reaches 30 years of age and has not received services within the last 10 years.¹  
c) Destroy in office remaining records when child reaches 30 years of age and has not received services within the last 10 years.* |  |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
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| 6.    | MATERNAL AND CHILD HEALTH RECORDS | a) Transfer individual clinical records to PATIENT CLINICAL RECORDS, page 36, item 5, as applicable.  

b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and when child reaches 30 years of age and has not received services within the last 10 years.¹  

c) Destroy in office remaining records when child reaches 30 years of age and has not received services within the last 10 years.* | |
| 7.    | SUDDEN INFANT DEATH SYNDROME (SIDS) PATHOLOGY REPORTS | Destroy in office when reference value ends.†  
Agency Policy: Destroy in office after _______________ | |

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

¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
STANDARD 20: PROGRAM OPERATIONAL RECORDS – PATIENT CLINICAL RECORDS

Records created or received by local health departments documenting patient care, including x-ray films, consents for medical care, and copies of laboratory reports.

In accordance with G.S. § 131E-97, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in G.S. § 132-6. Custodians also should be familiar with G.S. § 8-53 concerning confidentiality of communications between physicians and their patients.

Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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<tr>
<td>1.</td>
<td>DENTAL PATIENT RECORDS</td>
<td>a) Adult patients: Destroy in office 10 years from date of last service.*</td>
<td>Authority/Retention: 21 NCAC 16T .0101</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b) Pediatric patients: Destroy in office when individual reaches 30 years of age and has not received services within the last 10 years. If individual has received services within the last 10 years, follow disposition instructions for adult patients.*</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>c) Deceased patients: Destroy in office 10 years from date of last service.</td>
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* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.

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| 2.    | IMMUNIZATION CONSENT FORMS | a) Transfer consent forms containing immunization information (dose details, etc.) to IMMUNIZATION RECORDS, page 36, item 3.  
b) Destroy in office remaining consent forms with HIPAA section after 6 years.  
c) Destroy in office remaining consent forms without HIPAA section after 3 years. | Retention: 45 CFR 164.530(j)(2) |
| 3.    | IMMUNIZATION RECORDS | a) Destroy in office immunization records 1 year after entry in the North Carolina Immunization Registry (NCIR).  
b) Destroy in office immunization records not entered in the NCIR after patient’s death and 10 years from date of last service, whichever is later. | Authority: G.S. § 130A-153 |
| 4.    | MAMMOGRAMS | a) Destroy in office baseline and most recent mammogram 10 years from date of last service.*  
b) Destroy in office remaining records when superseded.* | |
| 5.    | PATIENT CLINICAL RECORDS | a) Adult patients: Destroy in office 10 years from date of last service.*  
b) Pediatric patients: Destroy in office when individual reaches 30 years of age and has not received services within the last 10 years. If individual has received services within the last 10 years, follow disposition instructions for adult patients.*  
c) Deceased patients: Destroy in office 10 years from date of last service. | Retention: G.S. § 1-15 |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
**2019 LOCAL HEALTH DEPARTMENT RECORDS RETENTION AND DISPOSITION SCHEDULE**

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| 6.    | PERINATAL HEPATITIS B PREVENTION REPORT PART I | a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS) and the North Carolina Immunization Registry (NCIR).  
b) Destroy in office when individual reaches 30 years of age and has not received services within the last 10 years.* | Confidentiality: G.S. § 130A-143 |
|       | Records tracking the testing and vaccination status of newborns exposed to hepatitis B at birth. | | |
| 7.    | PERINATAL HEPATITIS B PREVENTION REPORT PART II | a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS) and the North Carolina Immunization Registry (NCIR).  
b) Destroy in office 10 years from date of last service. | Confidentiality: G.S. § 130A-143 |
|       | Records tracking the testing and vaccination status of contacts of pregnant females who have hepatitis B. | | |
| 8.    | SEXUALLY TRANSMITTED DISEASES (STD)/SEXUALLY TRANSMITTED INFECTIONS (STI) (CLINICAL) RECORDS | Destroy in office 10 years after documented determination of cure or after death of patient. | Authority: NC DHHS, Sexually Transmitted Diseases Public Health Program Manual  
Confidentiality: G.S. § 130A-143 |
|       | Clinical records of patients who receive services for sexually transmitted diseases/sexually transmitted infections, including HIV/AIDS. | | |

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

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.
### STANDARD 20: PATIENT CLINICAL RECORDS

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</table>
| 9.     | TUBERCULOSIS (CLINICAL) RECORDS | a) Negative test: Destroy in office after 1 year.  
         | Clinical records for patients with tuberculosis (TB). File also includes summaries of treatment, x-rays, culture results, drug records, counseling, and other related records. | b) TB infection (no disease): Retain interpretation of most recent x-ray films, TB drug record if treated, and HIV test results if tested for life of patient. Destroy x-ray films 10 years from date of last service.  
         | c) TB disease: Retain summary of treatment, most recent x-ray films including interpretations, TB drug record, HIV test results if tested, most recent mycobacterium TB culture result with susceptibilities, and hospital discharge summaries, if any, for life of patient. Destroy all but the most recent x-ray films 10 years from date of last service.  
         | d) When patient reaches 90 years of age or is deceased: Destroy records and x-ray films 10 years from date of last service. | Authority: NC DHHS, Tuberculosis Control Program Policy Manual  
         | Confidentiality: G.S. § 130A-143 |

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† See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.
**STANDARD 21: PROGRAM OPERATIONAL RECORDS – PHARMACY RECORDS**

Records created or received by pharmacies operating within local health departments. According to 21 NCAC 46.2508, local health departments may create and maintain pharmacy records digitally, provided that the system can print pharmacy records, protects against unauthorized access to pharmacy records, and is backed up daily.

In accordance with G.S. § 131E-97, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in G.S. § 132-6. This exemption includes financial records concerning charges, accounts, and credit histories, and other personal financial records. Custodians also should be familiar with G.S. § 8-53 concerning confidentiality of communications between physicians and their patients. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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<td>1.</td>
<td>ADVERSE DRUG REACTION REPORTS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Authority: G.S. § 90, Article 5 21 NCAC 46.1414 21 NCAC 46.2502</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b) Destroy in office remaining records after 3 years.*</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>CONTROLLED SUBSTANCES RECORDS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
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<td></td>
<td>b) Destroy in office remaining records after 3 years.*</td>
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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
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<td>3.</td>
<td>DRUG DISPOSAL RECORDS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Authority/Retention: 21 NCAC 46 .3001</td>
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<td></td>
<td>b) Destroy in office remaining records after 3 years.*</td>
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<td>4.</td>
<td>DRUG INVENTORIES</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Authority/Retention: 21 NCAC 46 .1414 21 NCAC 46 .2513</td>
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<td></td>
<td></td>
<td>b) Destroy in office remaining records after 3 years.*</td>
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<tr>
<td>5.</td>
<td>INTRAVENOUS HOOD PERFORMANCE REPORTS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
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<td></td>
<td>b) Destroy in office remaining records after 5 years.*</td>
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<td>6.</td>
<td>MEDICATION ERRORS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Retention: G.S. § 90-85.26 21 NCAC 46 .1414</td>
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<td></td>
<td>b) Destroy in office remaining records after 3 years.*</td>
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¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.
**2019 LOCAL HEALTH DEPARTMENT RECORDS RETENTION AND DISPOSITION SCHEDULE**

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| 7.     | MEDICATION STORAGE INSPECTION REPORTS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
   b) Destroy in office remaining records after 5 years.* | Retention: 42 CFR 423.505(e)(4) |
|        | Reports of medication storage areas inspected on a routine basis, including removal of expired or expiring medication. | | |
|        | See also MEDICARE PART D PRESCRIPTION DRUG FINANCIAL RECORDS, page 15, item 10. | | |
| 8.     | MEDICARE PART D PRESCRIPTION DRUG PROGRAM RECORDS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
   b) Destroy in office remaining records after 10 years.* | Authority/Retention: 21 NCAC 46 .1414 |
|        | Records needed to determine compliance with Part D contracts and regulations, such as copies of prescriptions, claims and purchase records, signature logs, and other related records. | | |
| 9.     | PATIENT MEDICATION PROFILES | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
   b) Destroy in office remaining records after 3 years.* | | |
|        | Lists of all prescribed medications for each patient. | | |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
### 2019 LOCAL HEALTH DEPARTMENT RECORDS RETENTION AND DISPOSITION SCHEDULE

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<tr>
<td>10.</td>
<td>PHARMACY AUDIT RECORDS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹ &lt;br&gt;b) Destroy in office remaining records after 5 years.*</td>
<td>Authority: &lt;br&gt;G.S. § 90-85.21 &lt;br&gt;21 NCAC 46 .1601</td>
</tr>
<tr>
<td>11.</td>
<td>PHARMACY LICENSES AND PERMITS</td>
<td>Destroy in office when superseded or obsolete.</td>
<td>Authority/Retention: &lt;br&gt;21 NCAC 46 .2504</td>
</tr>
<tr>
<td>12.</td>
<td>PHARMACEUTICAL PATIENT COUNSELING AND ASSESSMENT RECORDS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹ &lt;br&gt;b) Destroy in office remaining records after 3 years.*</td>
<td>Authority: &lt;br&gt;21 NCAC 46 .1414 &lt;br&gt;21 NCAC 46 .2302 &lt;br&gt;21 NCAC 46 .2303 &lt;br&gt;21 NCAC 46 .2304 &lt;br&gt;21 NCAC 46 .2507 &lt;br&gt;21 NCAC 46 .2801</td>
</tr>
<tr>
<td>13.</td>
<td>PRESCRIPTION DISPENSING AND FILLING RECORDS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹ &lt;br&gt;b) Destroy in office remaining records after 3 years.*</td>
<td>Authority: &lt;br&gt;21 NCAC 46 .1414 &lt;br&gt;21 NCAC 46 .2302 &lt;br&gt;21 NCAC 46 .2303 &lt;br&gt;21 NCAC 46 .2304 &lt;br&gt;21 NCAC 46 .2507 &lt;br&gt;21 NCAC 46 .2801</td>
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<td>14.</td>
<td>PRESCRIPTION ORDERS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Authority: G.S. § 90-85.26 21 NCAC 46 .1803 21 NCAC 46 .1806 21 NCAC 46 .1813 21 NCAC 46 .1816 21 NCAC 46 .2301 Confidentiality: G.S. § 90-85.36 Retention: 21 NCAC 46 .1414</td>
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<td></td>
<td>b) Destroy in office remaining records after 3 years.ª</td>
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<td></td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Authority: G.S. § 90-85.47 Confidentiality: G.S. § 90-85.47(d)</td>
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<td></td>
<td>QUALITY ASSURANCE PROGRAM RECORDS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Authority: G.S. § 90-85.26 21 NCAC 46 .1803 21 NCAC 46 .1806 21 NCAC 46 .1813 21 NCAC 46 .1816 21 NCAC 46 .2301 Confidentiality: G.S. § 90-85.36 Retention: 21 NCAC 46 .1414</td>
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<td></td>
<td>b) Destroy in office remaining records after 3 years.ª</td>
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¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
**STANDARD 22: PROGRAM OPERATIONAL RECORDS – RADIOLOGY RECORDS**

Public health records concerning protection from sources of radiation used for medical radiology. Records are created or received in local health departments and used to manage and monitor federal, state, and local programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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<td>1.</td>
<td>QUALITY CONTROL RECORDS</td>
<td>a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Authority/Retention: 10A NCAC 15 .1643</td>
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<td>b) Destroy in office remaining records after 3 years.*</td>
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<td>2.</td>
<td>RADIATION AREA SURVEY RECORDS</td>
<td>Retain until termination of each pertinent license requiring the records: records of dosages from external sources used in assessments of individual dose equivalents; records of measurements of individual intakes of radioactive material used in assessments of internal doses; records of air sampling, surveys, and bioassays required pursuant to 10A NCAC 15 .1620(a); and records of measurements of releases of radioactive effluents to the environment. Upon termination, follow disposition instructions below.</td>
<td>Authority/Retention: 10A NCAC 15 .1637</td>
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<td>a)</td>
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<td></td>
<td>b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
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<td>c) Destroy in office remaining records after 3 years. *</td>
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<td>3.</td>
<td>RADIATION DOSES ADMINISTERED RECORDS</td>
<td>Retain until termination of each pertinent license or registration requiring the records. Upon termination, follow disposition instructions below.</td>
<td>Authority: 10A NCAC 15 .1640</td>
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<td>a)</td>
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<td></td>
<td>b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
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<td></td>
<td>c) Destroy in office remaining records after 3 years. *</td>
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| 4.    | RADIATION EXPOSURE HISTORY RECORDS | a) Destroy in office records on the agency form for recording occupational radiation dose history or equivalent when the agency terminates each pertinent license or registration requiring this record.  
b) Destroy in office after 3 years records used in preparing the agency form for recording occupational radiation dose history. | Authority/Retention: 10A NCAC 15 .1638 |
| 5.    | RADIATION PROTECTION PROGRAM RECORDS | a) Destroy in office records documenting the provisions of the radiation protection program when the agency terminates each pertinent license or registration requiring this record.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
c) Destroy in office remaining records after 3 years.* | Retention: 10A NCAC 15 .1636 |
| 6.    | RADIOACTIVE MATERIALS RECEIPT AND DISPOSAL RECORDS | a) Destroy in office records of the disposal of licensed radioactive materials when the agency terminates each pertinent license or registration requiring this record.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
c) Destroy in office remaining records after 3 years.* | Authority: 10A NCAC 15 .0115  
10A NCAC 15 .0362  
10A NCAC 15 .1642  
Retention: 10A NCAC 15 .0362  
10A NCAC 15 .1642 |

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| 7.    | RADIOLOGICAL FILM SIGN-OUT RECORDS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
   b) Destroy in office remaining records after 3 years.* | Authority: 10A NCAC 15 .0200 |

7. RADIOLOGICAL FILM SIGN-OUT RECORDS  
Records concerning the release of radiological films by a facility for review by another physician. Sign-out records list patient’s name, type of film being released, where records were sent, date released, signature of person receiving exams, and other related information.

8. RADIOLOGY EQUIPMENT REGISTRATION  
Registration information for radiology equipment.  
Destroy in office upon final disposition of equipment.

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¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
STANDARD 23: PROGRAM OPERATIONAL RECORDS – SCHOOL HEALTH RECORDS

Records concerning health and behavioral support services provided by local health department nurses to students at area schools. Records are created or received in local health departments and used to manage and monitor federal, state, and local programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

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<td>1.</td>
<td>BEHAVIORAL HEALTH PROGRAM POLICY AND PROCEDURE RECORDS</td>
<td>Retain in office permanently.</td>
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<tr>
<td>2.</td>
<td>BEHAVIORAL HEALTH SERVICES RECORDS</td>
<td>Destroy in office when student reaches 30 years of age and has not received services within the last 10 years.*</td>
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| 3.    | BEHAVIORAL REFERRAL RECORDS | a) If student receives clinical services transfer to BEHAVIORAL HEALTH SERVICES RECORDS, page 48, item 2. 
   b) Destroy in office remaining records when reference value ends.† 
   
   Agency Policy: Destroy in office after ______________ |        |
| 4.    | CLIENT APPOINTMENT AND SCHEDULING RECORDS | Destroy in office when reference value ends.† 
   
   Agency Policy: Destroy in office after ______________ |        |

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| 5.    | SCHOOL HEALTH PROVIDER CONTRACTS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
b) Destroy in office remaining records after 6 years.* | Authority: NC DHHS, School Health Program Manual |
|       | Memorandums of agreement and contracts between local health departments and local education agencies outlining each party’s responsibilities and duties. | | |
| 6.    | SCHOOL HEALTH SCREENING RECORDS | a) Transfer relevant information to Local Education Agency for retention with Local Education Agency’s student records.  
b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and student reaches 30 years of age.¹  
c) Destroy in office remaining records when student reaches 30 years of age.* | Authority: NC DHHS, School Health Program Manual  
Confidentiality: G.S. § 115C-402(e) |
|       | Records and logs documenting results of vision, blood pressure, hearing, dental, and other screenings conducted by school nurses.  
See also SCREENING AND REFERRAL RECORDS, page 8, item 20. | | |
| 7.    | SCHOOL HEALTH SERVICES REPORTS | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹  
b) Destroy in office remaining records after 6 years.* | Authority: NC DHHS, School Health Program Manual |
|       | Reports listing school enrollments, health services provided by nurses, and similar statistical information. Files includes all reports filed with NC DHHS. | | |

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| 8.    | SCHOOL NURSE RECORDS | a) Transfer relevant information to Local Education Agency for retention with Local Education Agency’s student records.  
     b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and student reaches 30 years of age.¹  
     c) Destroy in office remaining records when student reaches 30 years of age.* | Authority: NC DHHS, School Health Program Manual  
Confidentiality: G.S. § 115C-402(e) |

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¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
**STANDARD 24: PROGRAM OPERATIONAL RECORDS – VITAL RECORDS**

Public health records created or received in local health departments and used to manage and monitor vital records programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4. Comply with applicable provisions of G.S. § 130A-93(b) regarding confidentiality of birth data.

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<td>1.</td>
<td><strong>BIRTH AND DEATH RECORDS</strong>&lt;br&gt;Copies of birth and death certificates. &lt;br&gt;See also <strong>BIRTHS AND INDEX</strong>, page 51, item 2, and <strong>DEATHS AND INDEX</strong>, page 52, item 4.</td>
<td>Destroy in office within 2 years.</td>
<td>Authority: G.S. § 130A, Article 4&lt;br&gt;Confidentiality: G.S. § 130A-93(b)&lt;br&gt;Retention: G.S. § 130A-97(5)</td>
</tr>
<tr>
<td>2.</td>
<td><strong>BIRTHS AND INDEX</strong>&lt;br&gt;Official copies of birth certificates deposited with the Register of Deeds by the local health department. Original records are filed with NC DHHS, Division of Public Health, Vital Records. &lt;br&gt;&lt;br&gt;Note: County Register of Deeds Office may keep official record. &lt;br&gt;See also <strong>BIRTH AND DEATH RECORDS</strong>, page 51, item 1.</td>
<td>a) Transfer original birth certificates to North Carolina Vital Records. &lt;br&gt;b) Transfer official copies to county Register of Deeds. &lt;br&gt;c) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.</td>
<td>Authority: G.S. § 130A, Article 4&lt;br&gt;Confidentiality: G.S. § 130A-93(b)</td>
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<th>RECORDS SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
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<tbody>
<tr>
<td>3. BURIAL TRANSIT PERMITS</td>
<td>Destroy in office after 1 year.</td>
<td>Authority: G.S. § 130A-113</td>
</tr>
</tbody>
</table>
| 4. DEATHS AND INDEX | a) Transfer original death certificates to North Carolina Vital Records.  
b) Transfer official copies to county Register of Deeds.  
c) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval. | Authority: G.S. § 130A, Article 4 |

Official copies of death certificates deposited with the Register of Deeds by the local health department. Original records are filed with NC DHHS, Division of Public Health, Vital Records.

*Note: County Register of Deeds Office may keep official record.*

See also BIRTH AND DEATH RECORDS, page 51, item 1.

| 5. DELAYED BIRTH APPLICATION RECORDS | a) Destroy in office after 1 year applications and supporting documentation for a non-completed registration.  
b) Destroy in office after 1 year applications and supporting documentation for a completed registration (certificate was approved). | Authority: G.S. § 130A, Article 4  
Confidentiality: G.S. § 130A-93(b) |

Applications and other records submitted as evidence in support of a delayed registration of birth. Copies are filed with NC DHHS, Division of Public Health, Vital Records.

*Note: County Register of Deeds Office may keep official record.*

See also BIRTHS AND INDEX, page 51, item 2.

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* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
‡ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
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<tr>
<td>6.</td>
<td>DELAYED BIRTHS AND INDEX</td>
<td>a) Transfer original delayed certificates of birth to North Carolina Vital Records. &lt;br&gt;b) Transfer official copies to county Register of Deeds. &lt;br&gt;c) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.</td>
<td>Authority:  &lt;br&gt;G.S. § 130A, Article 4 10A NCAC 41H .0403-.0406 10A NCAC 46 .0215  &lt;br&gt;Confidentiality:  &lt;br&gt;G.S. § 130A-93(b)</td>
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<td></td>
<td>Note: County Register of Deeds Office may keep official record.</td>
<td>See also BIRTHS AND INDEX, page 51, item 2.</td>
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| 7.    | DISINTERMENT/REINTERMENT PERMITS | Transfer permits after 5 years for permanent retention to: Records Description Unit Government Records Section NC Department of Natural and Cultural Resources 4615 Mail Service Center Raleigh, NC 27699-4615 | Authority:  <br>10A NCAC 41H .0505 |

| 8.    | NOTIFICATION OF DEATH | Destroy in office 1 year after death certificate is filed. | Authority:  <br>G.S. § 130A-112 |

| 9.    | VITAL RECORD AMENDMENTS | a) Destroy in office 1 year after amendment and/or correction was approved, or after request was denied or withdrawn. <br>b) Return to North Carolina Vital Records copies of certificates involving adoptions, legitimations, or other registrants when a new certificate is received. | Authority:  <br>G.S. § 130A, Article 4 10A NCAC 41H .0900 |

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.  
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¹ See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semiannually by the DHHS Office of the Controller.
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</table>
| 10.   | VITAL RECORD APPLICATIONS FOR CERTIFIED COPIES | a) Destroy in office 1 year from date of request if copies are issued and/or received by requestor.  
   b) Destroy in office 3 years from date of request if copies are not issued and/or received by requestor. | Authority:  
   G.S. § 130A, Article 4 |
|       | Application forms completed by persons seeking certified copies of birth, death, or marriage certificates. | | |
| 11.   | VITAL RECORDS PROGRAM EDUCATIONAL RECORDS | a) Retain records with historical value permanently.  
   b) Destroy in office remaining records when reference value ends.† | |
|       | Records documenting vital records education services administered by local health department for local registration personnel, hospital administrators, and their medical records personnel, funeral directors, medical examiners, and others involved in the registration system. | Agency Policy: Destroy in office after _____________ | |

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
†† See NC DHHS RECORDS SCHEDULE FOR GRANTS, page xi; it is published semianually by the DHHS Office of the Controller.
### STANDARD 25: PROGRAM OPERATIONAL RECORDS – WOMEN, INFANTS, AND CHILDREN (WIC) RECORDS

Public health records created or received in local health departments and used to manage and monitor the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) funded by the U.S. Department of Agriculture. These are not individual patient clinical records (see PATIENT CLINICAL RECORDS, page 36, item 5). Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4. The Crossroads WIC System is considered the system of record, so reports produced out of it are reference copies; see Local Government General Records Schedule, Standard 1, Reference (Reading) File.

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<th>ITEM #</th>
<th>RECORDS SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
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</table>
| 1.    | VOTER REGISTRATION RECORDS | a) Transmit original records to county board of elections within 5 business days of obtaining registration preference form.  
b) Destroy in office copies of voter registration preference forms and agency transmittal forms after 4 years. | Authority: 52 U.S.C. § 20506 |
| 2.    | WIC CROSSROADS RECORDS | All documentation uploaded into the NC DHHS, Division of Public Health, Crossroads WIC System can be destroyed in office after quality control procedures have been completed. | Authority: 7 CFR 246.25  
Confidentiality: 7 CFR 246.26 |

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page viii.
† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.
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<td>3.</td>
<td><strong>WIC LOCAL RECORDS</strong>&lt;br&gt;Records concerning the WIC program that are maintained in office and not uploaded into the Crossroads WIC System. File includes any locally-required documentation such as participant waivers. File also includes vendor applications, monitoring reports, training verification, etc. necessary for administrative reviews.</td>
<td>Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.¹</td>
<td>Authority: 7 CFR 246.25  &lt;br&gt;Confidentiality: 7 CFR 246.26</td>
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</table>

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.
DESTRUCTION OF PUBLIC RECORDS

Q. When can I destroy records?

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

Q. How do I destroy records?

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

1) burned, unless prohibited by local ordinance;
2) shredded, or torn so as to destroy the record content of the documents or material concerned;
3) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
4) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.

The provision that electronic records are to be destroyed means that the data, metadata, and physical media are to be overwritten, deleted, and unlinked so that the data and metadata may not be practicably reconstructed.

The data, metadata, and physical media containing confidential records of any format are to be destroyed in such a manner that the information cannot be read or reconstructed under any means.

— N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Without your agency’s approval of this records schedule, no records may legally be destroyed.

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

A. Contact a Records Management Analyst. An 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 of North Carolina to be preserved permanently.

If the records do not have historical value, we will ask you to complete a Request for Disposal of Unscheduled Records (page 66) if the records are no longer being created. If the records are an active records series, an analyst will help you develop an amendment to this schedule so that you can destroy the records appropriately from this point forward.

Q. Am I required to tell anyone about the destructions?

A. We recommend that you report on your records retention activities to your governing board 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. See a sample destructions log that follows (and is available online at the State Archives of North Carolina website, https://archives.ncdcr.gov/government/forms-government).
## Destructions Log

<table>
<thead>
<tr>
<th>Records Series</th>
<th>Required Retention</th>
<th>Date Range</th>
<th>Volume (file drawers or MB)</th>
<th>Media (Paper, Electronic)</th>
<th>Date of Destruction</th>
<th>Method of Destruction</th>
<th>Authorization for Destruction</th>
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ELECTRONIC RECORDS:
E-MAIL, BORN-DIGITAL RECORDS, AND DIGITAL IMAGING

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

A. E-mail is a public record as defined by G.S. § 121-5 and G.S. § 132. Electronic mail is as much a record as any paper record and must be treated in the same manner. **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.** Some examples of e-mail messages that are public records and therefore covered by this policy include:

- Policies or directives;
- Final drafts of reports and recommendations;
- Correspondence and memoranda related to official business;
- Work schedules and assignments;
- Meeting agendas or minutes
- Any document or message that initiates, facilitates, authorizes, or completes a business transaction; and
- Messages that create a precedent, such as issuing instructions and advice.

*From the Department of Cultural Resources E-Mail Policy (Revised July 2009), available at the State Archives of North Carolina website*

Other publications (available online at the [State Archives of North Carolina website](https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-imaging)) that will be particularly helpful in managing your e-mail include tutorials on managing e-mail as a public record and on using Microsoft Exchange.

Q. **May I print my e-mail to file it?**

A. We do not recommend printing e-mail for preservation purposes. Important metadata are lost when e-mail is printed.

Q. **I use my personal e-mail account for work. No one can see my personal e-mail, right?**

A. 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.

Q. **We have an imaging system. Are we required to keep the paper?**

A. You may scan any record, but you will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your agency must develop an electronic records policy and then submit a Request for Disposal of Original Records Duplicated by Electronic Means. You can find these templates in the Digital Imaging section of the State Archives of North Carolina website ([https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-imaging](https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-imaging)). Contact a Records Management Analyst for further instructions on how to develop a compliant electronic records policy.

Permanent records must have a security preservation copy as defined by State Archives of North Carolina’s [Human-Readable Preservation Duplicate Policy](https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-imaging) (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 Natural and Cultural Resources.

The preservation duplicate of permanent records must be either on paper or microfilm.

Non-permanent records may be retained in any format. You will need to take precautions with electronic records that you must keep more than about 5 years. Computer systems do not have long life cycles. Each time you change computer systems, you must convert all records to the new system so that you can assure their preservation and provide access.

Q. Computer storage is cheap. Can I just keep my computer records permanently?

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

Q. What are the guidelines regarding the creation and handling of electronic public records?


Note that e-mail, text messages, and social media should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 1 year (see Local Government Agencies General Records Schedule, Standard 6: Leave Records).
MICROFILM

Q. Why do you still use microfilm?

A. Microfilm is a legally acceptable replacement for original records, as outlined in G.S. § 8-45.1 and § 153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass, and there is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection. The State Archives of North Carolina provides a publication, *Micrographics: Technical and Legal Procedures*, on our website. It explains the four groups of national standards for the production of archival quality microfilm:

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

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

Q. What film services do you provide?

A. The Department of Natural and Cultural Resources provides microfilming services for minutes of major decision-making boards and commissions. We will also film records of adoptions for Social Services agencies. Once those records are filmed, we will store the silver negative (original) in our security vault. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.

Q. How do I get my minutes filmed?

A. We have two processes to film minutes. First, you can send photocopies of your approved minutes to us in the mail. Simply include a copy of the *Certification of the Preparation of Minutes for Microfilming* form (available online at the State Archives of North Carolina website) with each shipment. For more detailed instructions, contact a Records Management Analyst.

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

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

A. Call the Raleigh Office at (919) 814-6900, and ask for the Records Management Analyst in charge of microfilm coordination.

Q. Can I send you my minutes electronically?

A. We are working on standards and procedures for an electronic transfer system for minutes. Please contact the Records Management Analyst in charge of microfilm coordination for more information.

Q. I have some old minutes that are not signed. Can they still be filmed?

A. If the only copy you have available is unsigned, and you use it as the official copy, we will film it.
Q. What if my books are destroyed after they have been filmed?

A. Call a Records Management Analyst who will help you make arrangements to purchase copies of the microfilm from our office. You can then send those reels to a vendor who can either make new printed books or scan the film to create a digital copy.
DISASTER ASSISTANCE

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

A. Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 814-6903 for the Head of the Government Records Section or (919) 814-6849 for the Head of the Collections Management Branch. If you’re in the western part of the state, call our Asheville Office at (828) 296-7230 extension 224. On nights and weekends, call your local emergency management office.

**DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.**

Damaged records are extremely fragile and require careful handling. Our staff are trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle larger disasters.

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

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

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

A. We provide training on disaster preparation that includes a discussion of the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, call a Records Management Analyst.

Q. What are essential records?

A. Essential records are records that are necessary for continuity of operations in the event of a disaster. There are two common categories of records that are considered essential:

- **Emergency operating records** – including emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records.

- **Legal and financial rights records** – these protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, Social Security records, payroll records, retirement records, and insurance records. These records were formerly defined as “rights-and-interests” records.

Essential records should be stored in safe, secure locations as well as duplicated and stored off-site, if possible.
STAFF TRAINING

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

A. We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact a Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:

- Managing public records in North Carolina
- Scanning/digital imaging
- Disaster preparedness and recovery
- Confidentiality
- Organizing paper and digital files
- E-mail
- Digital communications

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

A. Yes, we will. Let a Records Management Analyst know what type of training you need.

Q. Are workshops offered only in Raleigh?

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

Q. Is there a fee for workshops?

A. Not at this time.

Q. Are the workshops available in an online format?

A. Not at this time. However, there are several online tutorials available on the State Archives of North Carolina website, including managing public records, electronic records, and scanning.
Request for Change in Local Government Records Schedule

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.

AGENCY INFORMATION

Requestor name

Location and Agency [e.g., County/Municipality + Department of Social Services]

Phone and email

Mailing Address

CHANGE REQUESTED

Specify title and edition of records retention schedule being used: _______________________________

☐ Add a new item
☐ Delete an existing item
☐ Change a retention period

Standard Number _____ Page _____ Item Number _____

Title of Records Series in Schedule or Proposed Title:

Inclusive Dates of Records: Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by: ____________________________

Signature Title Date

Approved by: ____________________________

Signature Requestor’s Supervisor Date
Request for Disposal of Unscheduled Records

**AGENCY INFORMATION**

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<th>Requestor name</th>
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<tr>
<th>Location and Agency [e.g., County/Municipality + Department of Social Services]</th>
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In accordance with the provisions of G.S. § 121 and § 132, approval is requested for the destruction of records listed below. These records have no further use or value for official administrative, fiscal, historical, or legal purposes.

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<thead>
<tr>
<th>RECORDS TITLE AND DESCRIPTION</th>
<th>INCLUSIVE DATES</th>
<th>QUANTITY</th>
<th>RELEVANT STATUTORY REGULATIONS</th>
<th>PROPOSED RETENTION PERIOD</th>
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Requested by:

Signature  Title  Date

Approved by:

Signature  Requestor’s Supervisor  Date

Concurred by:

Signature  Assistant Records Administrator  Date
Request for Disposal of Original Records Duplicated by Electronic Means

If you have questions, call (919) 814-6900 and ask for a Records Management Analyst.

This form is used to request approval from the Department of Natural and Cultural Resources to dispose of non-permanent paper records that have been scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to a digital environment. This form does not apply to records that have been microfilmed or photocopied or to records with a permanent retention.

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<th>Agency Contact Name:</th>
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<th>State Archives of North Carolina</th>
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