

7. Healthcare

The function of Healthcare entails the maintaining and restoration of health by the treatment and prevention of disease. The State Veterans Homes (within the Department of Military and Veterans Affairs), the Division of State Operated Healthcare Facilities (DSOHF, within the Department of Health and Human Services [DHHS]), the Department of Adult Correction (DAC), and the Division of Juvenile Justice and Delinquency Prevention (within the Department of Public Safety) provide medical care to patients and residents in their facilities. The DHHS Central Billing Office handles financial records for DSOHF. The Office of the Chief Medical Examiner and the State Laboratory of Public Health under DHHS also perform health-related research that is addressed on this schedule.

NOTE: For employee medical records, see HUMAN RESOURCES.

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Appendix: [Records That Will Transfer to the State Records Center](#)

The trigger for the retention period for Healthcare records is usually the date of the last encounter, so it is useful to be able to sort inactive records based on these dates. The records documenting aid provided by the Centers for Medicare and Medicaid Services (CMS) are required by the DHHS Office of the Controller to be retained for 10 years; in cases where this retention is longer than that specified in this schedule, the records must be retained according to the more stringent requirement.

This schedule applies to medical records in both paper and electronic formats. In accordance with G.S. § 131E-97, all medical records compiled and maintained at DHHS facilities are confidential and exempt from public inspection. The 1972 NC Court of Appeals decision in *Goble v. Bounds* (13 N.C. App. 579) affirmed that prison records of inmates are confidential and not subject to inspection by the public. G.S. § 8-53 confers confidentiality on communications between physicians and their patients. 42 USC 1320d-2(d)(2) establishes safeguards related to the maintenance and transmittal of health information to ensure its confidentiality, and the HIPAA Privacy Rule (45 CFR Parts 160 and 164) establishes national standards to protect individuals’ medical records and other personal health information maintained by health care providers that conduct certain health care transactions electronically in an electronic health record (EHR). In addition, the HIPAA Privacy Rule protects the individually identifiable health

information about a decedent for 50 years following the date of death of the individual (see paragraph (2)(iv) of the definition of “Protected health information” in 45 CFR 160.103). Rather than list these citations beside each individual record, the lock symbol indicates confidentiality under this legislation; any *additional* confidentiality provisions are noted in the citation column.



These Functional Schedules apply to records in all media, unless otherwise specified. The State Archives of North Carolina recommends that agencies develop a file plan that documents the owners of record copies, internal definitions of reference value, and record formats. (A sample is available on the records management tools page at <https://archives.ncdcr.gov/government/rm-tools>.) Information about the NC Public Records Act, confidentiality, destructions, audits and litigation actions, and electronic records can be found in the overview to the functional scheduling initiative. A key for the Functional Schedule along with definitions of important records management terms can be found in the glossary to this schedule.

7.1 Administration of Healthcare Facilities

DEFINED: Activities related to the oversight of healthcare provision.

SEE ALSO: Surveillance records for chronic and communicable diseases are under [Health-Related Research](#) (7.4). Facility accreditation records are under AGENCY MANAGEMENT. Business associate agreements are under LEGAL.



7.1

RC No.	Record Types	Description	Disposition Instructions	Citation
711.5 	Facility Advocate Records	records of advocates placed in facilities; includes reports and investigations regarding rights protection of individuals	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 122C-52
712.6	HIPAA Policies SEE ALSO: Agency Policies (AGENCY MANAGEMENT), Contracts (LEGAL)	facility policies and procedures to align with the requirements of the Health Insurance Portability and Accountability Act (HIPAA)	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy	<u>Retention</u> 45 CFR 164.316(b)(2) 45 CFR 164.530(j)
713.5	Infection Control Records	records created and/or received by a facility's infection control program; includes investigative reports, surveillance records and logs, infection control reports <i>NOTE: Records concerning employees who may have been or were exposed to a communicable disease should be transferred to the Personnel file</i>	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
714.10 	Patient Safety Organization Records	records created by Division of State Operated Healthcare Facilities to oversee data sharing and patient safety initiatives; includes event investigations, root cause analyses, and other related patient safety work product (PSWP)	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	<u>Confidentiality</u> 42 CFR 3.204 42 CFR 3.206

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
715.10 	Performance Improvement and Quality Assurance Records	incident analyses and reports; includes medication error reports, occurrence reports, and performance improvement plans	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	<u>Confidentiality</u> G.S. § 122C-191(e)
715.3		formal and informal data collection logs and records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
716.P	Registers and Logbooks	includes master patient index (MPI) documenting patient registration, medical record number, and date(s) of admission; also includes admission and death registers	PERMANENT	
717.5	Scheduling Records SEE ALSO: Daily Staffing Records , Float Rosters (below)	schedules for medical personnel including physicians, medical aides, nursing staff, and other support personnel who provide medical treatment	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
717.S 		lists of all patients seen or scheduled to be seen by medical personnel and labs	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

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Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.








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7.2 Business Office and Patients’/Residents’ Financial Records

DEFINED: Activities concerning insurance claims and payments, Medicare and Medicaid disbursements, medical bills, and other financial activities for patients/residents served by a state operated healthcare facility.

7.2

SEE ALSO: Routine facility financial records that are not related to patients or residents are under FINANCIAL MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
721.10 	Adjusted Patient Accounts	records of adjustments to patients’ bills and insurance claims	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy*	
722.5 	Daily Charge Reports	report summarizing charges to daily in-patients	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
723.10 	Insurance Claims Reports	claim forms submitted to insurance companies; also includes reports summarizing unpaid insurance claims	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy*	
724.10 	Medicaid and Medicare Records	logs listing payments made to healthcare providers and indicating the accounts to which they are posted; also includes disbursement reports and bad debt Medicare logs	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy*	<u>Retention</u> 42 CFR 422.504(d)
725.10 	Patient Financial Records	records documenting paid balances and refunds for patients/residents receiving Medicaid/Medicare benefits	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy*	<u>Retention</u> 42 CFR 422.504(d)
725.3 		records documenting paid balances and refunds issued to patients/residents or insurance companies	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
726.3 	Payment Vouchers	vouchers for payments received from patients and insurance companies	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	

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± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

7.3 Clinical Records

DEFINED: Records concerning patient/resident care at state operated healthcare facilities or provided by state counselors. 10A NCAC 26D .0703 specifies the contents of the client record for patients/residents in DSOHF facilities, as does 14B NCAC 11C .0404 for those of inmates in the custody of the Department of Adult Correction and Division of Juvenile Justice and Delinquency Prevention.

NOTE: In cases where outside hospitals or providers are used to provide tests or procedures, those providers retain the original medical records that must be retained and the copies held within DSOHF, DAC, or DPS clinical records are reference copies used for the purpose of follow-up treatment.

SEE ALSO: Staff meeting minutes are under AGENCY MANAGEMENT. Safety data sheets are under RISK MANAGEMENT.




7.3

RC No.	Record Types	Description	Disposition Instructions	Citation
731.P	Admission/Discharge/Transfer Reports	records documenting the admission, discharge, and transfer of patients/residents; includes lists of patient’s name, age, sex, race, address, financial class, services received, admitting doctor, date admitted, date discharged, date transferred, floor, room, and other related information	PERMANENT	<u>Retention</u> APSM 45-3, p.126

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Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.




± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
732.11-1 	Adult Clinical Records: <i>includes admission records, physical examination and laboratory reports, medical treatment notes, discharge plans and summaries, patient transfer certifications, radiology and diagnostic imaging records, medication administration records, living wills, authorizations to release patient information, communicable disease reports, consent to test forms, and other related records</i>	patient clinical records for adults admitted to a hospital or seen at an outpatient clinic	RETAIN UNTIL: Last encounter PLUS: 11 years ^Ω THEN: Destroy*	<u>Authority</u> 10A NCAC 13B .3903(d) 10A NCAC 28F .0605 14B NCAC 11C .0404(a) <u>Confidentiality</u> G.S. § 122C-52 14B NCAC 11C .0404(b) <u>Retention</u> 10A NCAC 13B .3903(a)
732.11-2 		resident clinical records for adults diagnosed with intellectual disabilities	RETAIN UNTIL: Death of client PLUS: 11 years THEN: Destroy*	<u>Authority</u> 10A NCAC 13B .5204 10A NCAC 28F .0605 <u>Confidentiality</u> G.S. § 122C-52
732.5 		resident clinical records for adults admitted to a nursing facility	RETAIN UNTIL: Last encounter PLUS: 5 years THEN: Destroy*	<u>Authority</u> 10A NCAC 13D .2401 10A NCAC 28F .0605 <u>Confidentiality</u> G.S. § 122C-52 <u>Retention</u> 10A NCAC 13D .2402(a)
733.5	Central Sterile Supply Records	records concerning the proper functioning of autoclave equipment; includes mechanical, chemical, and biological monitor notebooks and sterilizer logs and tests	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
734.6	Correspondence Log	logs and records detailing patient-related correspondence that is not part of the clinical record	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.


± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
735.10 	Dental Records	records concerning dental treatments; includes tests and diagnoses, treatments, prescriptions, treatment plans, and other related records	RETAIN UNTIL: Last encounter PLUS: 10 years THEN: Destroy*	<u>Authority/Retention</u> 21 NCAC 16T .0101
736.P	Master Patient Index	medical record index listing patients' names, discharge dates, medical record numbers, dates of service, financial class, attending physicians' names, procedures performed, diagnostic and procedural codes, and other related information	PERMANENT	
737.<-1 	Pediatric Clinical Records: <i>includes admission records, physical examination and laboratory reports, medical treatment notes, discharge plans and summaries, patient transfer certifications, radiology and diagnostic imaging records, medication administration records, living wills, authorizations to release patient information, communicable disease reports, consent to test forms, and other related records</i>	patient clinical records for those from birth to 18 years of age admitted to a hospital or seen at an outpatient clinic	RETAIN UNTIL: Patient reaches age 30 Ω THEN: Destroy* <i>NOTE: Records must be retained 11 years after last encounter at hospital</i>	<u>Authority</u> 10A NCAC 13B .3903(d) 10A NCAC 28F .0605 14B NCAC 11C .0404(a) <u>Confidentiality</u> G.S. § 122C-52 14B NCAC 11C .0404(b) <u>Retention</u> 10A NCAC 13B .3903(b)
737.<-2 	<i>wills, authorizations to release patient information, communicable disease reports, consent to test forms, and other related records</i> (continued on following page)	resident clinical records for those from birth to 18 years of age diagnosed with intellectual disabilities	RETAIN UNTIL: Death of client THEN: Destroy* <i>NOTE: Records must be retained 11 years after last encounter</i>	<u>Authority</u> 10A NCAC 13B .5204 10A NCAC 28F .0605 <u>Confidentiality</u> G.S. § 122C-52

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

\pm The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
737.4 	Pediatric Clinical Records (cont.)	resident clinical records for those from birth to 18 years of age admitted to a nursing facility	RETAIN UNTIL: Last encounter PLUS: 4 years THEN: Destroy* <i>NOTE: Records must be retained until the patient reaches 19 years of age in addition to this minimum time requirement</i>	<u>Authority</u> 10A NCAC 13D .2401 10A NCAC 28F .0605 <u>Confidentiality</u> G.S. § 122C-52 <u>Retention</u> 10A NCAC 13D .2402(b)
738.<	Transcription Logs	logs detailing transcription activities for physicians' notes	RETAIN UNTIL: Complete PLUS: 6 months THEN: Destroy	

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Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.




± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

7.4 Health-Related Research and Data



DEFINED: Activities related to the promotion, protection, and assurance of the health of North Carolina constituents. 10A NCAC 41A .0101, as authorized by G.S. § 130A-134, lists the diseases and conditions declared to be dangerous to the public health and required to be reported to the DHHS Communicable Disease Branch. The clinical records of individual patients are confidential, pursuant to HIPAA and specific State laws cited below; reports produced by DHHS use only de-identified data (and are included on the AGENCY MANAGEMENT schedule).

SEE ALSO: Reports received by DHHS from local health departments are under MONITORING AND COMPLIANCE.

7.4

RC No.	Record Types	Description	Disposition Instructions	Citation
741.P 	Communicable Disease Records	records accumulated by the Department of Health and Human Services concerning NC residents diagnosed with tuberculosis or typhoid	PERMANENT	Authority 10A NCAC 41A .0101
741.< 		records accumulated by the Department of Health and Human Services concerning chronic disease cases, including human immunodeficiency virus (HIV), hepatitis B, and hepatitis C	RETAIN UNTIL: Death of client THEN: Destroy	Confidentiality G.S. § 130A-143 42 USC 1320d-2(d)(2)
741.5 		records accumulated by the Department of Health and Human Services concerning diagnoses and case surveillance for other communicable diseases	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
742.10	Environmental Sciences Testing Records	records accumulated by the Department of Health and Human Services concerning the analysis of environmental samples for radioisotope presence	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	
742.5		records accumulated by the Department of Health and Human Services concerning the bacteriologic, chemical, and fluoride analyses of water samples	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	

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 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
 ± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
743.2 	Health Monitoring Programs	records accumulated by the Department of Health and Human Services about chronic disease and other health issues; includes incidence reporting and other surveillance methods	RETAIN UNTIL: Received PLUS: 2 years THEN: Destroy	<u>Confidentiality</u> G.S. § 130A-131.17 G.S. § 130A-212 G.S. § 130A-374 G.S. § 130A-476(e) G.S. § 130A-480(b) 10A NCAC 47B .0103 10A NCAC 47C .0105
744.P 	Immunization Registry (NCIR)	records accumulated by the Department of Health and Human Services regarding immunizations administered in North Carolina	PERMANENT	<u>Authority</u> G.S. § 130A-153

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Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.


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7.5 Laboratory Services

DEFINED: Records concerning laboratory services and analyses conducted by state operated healthcare facilities, the North Carolina State Laboratory of Public Health, and the Office of the Chief Medical Examiner.

SEE ALSO: Reports from laboratory analyses for patients are incorporated into the Adult and Pediatric Clinical Records. Test reports that are subject to Medicaid requirements should be handled according to the Grants Management schedule under FINANCIAL MANAGEMENT.




7.5

RC No.	Record Types	Description	Disposition Instructions	Citation
751.2	Accession Records	records concerning chain of custody of laboratory samples	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	
752.2	Analytic Systems Records	records documenting all analytic systems activities; includes worksheets, specimen logs, and instrument printouts	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Retention</u> 42 CFR 493.1105(a)(3)
753.60-1	Autopsy Records	microscopic slides, paraffin blocks, and x-rays produced by/for the Office of the Chief Medical Examiner	RETAIN UNTIL: Complete PLUS: 60 years Ω THEN: Destroy	<u>Authority</u> G.S. § 130A-389 G.S. § 130A-389.1 G.S. § 132-1.8
753.60-2 		reports, photographs, and video or audio recordings of autopsies produced by/for the Office of the Chief Medical Examiner		

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
754.10 	Blood Bank Records	records used to monitor the process by which blood products are made available and used; includes donor information and informed consent forms; records concerning the storage, distribution, and visual inspection of blood products; compatibility testing; component preparation; therapeutic bleedings; and immunizations; also includes blood collection and processing results, interpretations of tests, labeling, emergency releases of blood, and equipment calibration and performance checks; also includes transfusion reaction reports and complaints, investigations, errors and accident records, difficulties in blood typing reports, exposures to transmissible diseases, supplies and reagents, and final disposition reports of blood products	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy <i>NOTE: Records should be destroyed no less than 10 years after the records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever occurs later</i>	<u>Authority</u> 21 CFR 606.160 21 CFR 606.165 21 CFR 606.170 <u>Confidentiality</u> G.S. § 131E-97 <u>Retention</u> 21 CFR 606.160(d)
754.P		records concerning blood products with no expiration date	PERMANENT	
754.<		records used to identify unsuitable donors so that their blood products will not be distributed	RETAIN UNTIL: Death of donor THEN: Destroy	<u>Authority</u> 21 CFR 606.160(e)
755.10 	Cytology Records	fine needle aspiration slides	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	
755.5 		stained slides; includes both negative/unsatisfactory and positive/suspicious samples	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
756.P	Laboratory Register	log of laboratory tests performed for clinical care	PERMANENT	
756.5		newborn screening collection forms	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
756.2		test requisitions and test authorizations	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Retention</u> 42 CFR 493.1105(a)(1)
757.2	Proficiency Testing	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	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Retention</u> 42 CFR 493.1105(a)(4)
758.2	Quality Control	records documenting a laboratory's quality control procedures; includes routine surveys and maintenance records, instrument calibrations, instrument/reagent correlations studies, quality control tests, silver recovery records, and other related records	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Retention</u> 42 CFR 493.1105(a)(5)
		method validation and performance verification studies	RETAIN UNTIL: Test system discontinued PLUS: 2 years THEN: Destroy <i>NOTE: These records must be retained at least 2 years</i>	<u>Retention</u> 42 CFR 493.1105(a)(3)
759.2	Test Procedures	standard operating procedures and policies related to lab testing	RETAIN UNTIL: Discontinued PLUS: 2 years THEN: Destroy	<u>Retention</u> 42 CFR 493.1105(a)(2)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

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RC No.	Record Types	Description	Disposition Instructions	Citation
7510.4	Toxicology Records	records produced by the Office of the Chief Medical Examiner; includes request for analysis, chain of custody, data sheets, analyst’s worksheets, and other related records	RETAIN UNTIL: Complete PLUS: 4 years THEN: Destroy	

7.5

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
 ± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.




7.6 Nuclear Medicine, Radiation Therapy, and Radiology Records

DEFINED: Records concerning patient x-rays, radiation treatments, and similar activities at the state operated healthcare facility.

NOTE: In cases where outside hospitals or providers are used to provide tests or procedures, those providers retain the original medical records that must be retained and the copies held within DSOHF, DAC, or DPS clinical records are reference copies used for the purpose of follow-up treatment.

SEE ALSO: Reports from electronic radiographic cases, nuclear medicine exams, and imaging diagnostic tests are incorporated into the Adult and Pediatric Clinical Records. Inspections of radiation protection programs are under MONITORING AND COMPLIANCE. Employee exposure records are under RISK MANAGEMENT.

7.6

RC No.	Record Types	Description	Disposition Instructions	Citation
761.11 	Cardiac Catheter Records SEE ALSO: Adult Clinical Records , Pediatric Clinical Records (above)	tests on coronary arteries of adult patients; includes film and electronic images produced during procedure	RETAIN UNTIL: Last encounter PLUS: 11 years THEN: Destroy*	
761.< 		tests on coronary arteries of pediatric patients; includes film and electronic images produced during procedure	RETAIN UNTIL: Patient reaches age 30 THEN: Destroy* <i>NOTE: Records must be retained 11 years after last encounter</i>	
762.3	Daily Statistical Sheets and Logs	statistical sheets and logs documenting the number of patients given examinations during a given reporting period; includes patient names, names of attending physicians, type and number of examinations performed, and other related information	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
763.5 	Imaging Services and Radiographic Records	nuclear medicine exams and imaging diagnostic tests, including CAT scans, MRI scans, and x-rays; includes film and electronic images produced during tests	RETAIN UNTIL: Last encounter PLUS: 5 years THEN: Destroy*	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

7.7 Nursing Services

DEFINED: Records maintained at nurses' duty stations.

SEE ALSO: Staff meeting minutes and productivity reports are under AGENCY MANAGEMENT. Information on contracted employees is under HUMAN RESOURCES.

7.7

RC No.	Record Types	Description	Disposition Instructions	Citation
771.1	Call-In Reports	records concerning ambulance reports generated when the ambulance is used to transport a Division of State Operated Healthcare Facilities patient; includes ambulance run reports	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
772.5	Daily Staffing Records	assignments sheets specifying nurses' floor assignments; includes nurses' names and numbers of patients seen	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
773.5	Emergency Department Log	records concerning individuals receiving services in the emergency department	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
774.5	Emergency Equipment Checklists	checklists regarding equipment reliability on the code cart	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
775.R	Float Rosters	lists of nurses sent to other units within the facility; includes nurse's name, unit sent to, hours worked, and time spent	RETAIN UNTIL: Reference value ends ± THEN: Destroy Facility Policy: _____	
776.1	Floor Census Records	records used to track room usage; includes number of patients and number of rooms available	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy*	
777.5	Observation Logs	records concerning observation of patients in the facility less than 24 hours	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.



RC No.	Record Types	Description	Disposition Instructions	Citation
778.R	Private Duty Call Lists	lists of patient sitters	RETAIN UNTIL: Reference value ends ± THEN: Destroy Facility Policy: _____	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
 ± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

7.8 Pharmacy Records


DEFINED: Records concerning operations of state operated healthcare facility pharmacies. (See 21 North Carolina Administrative Code 46, Board of Pharmacy – Rules and Regulations Sections .0100 through .3000 for further information regarding the disposition of records.)

SEE ALSO: Original prescription orders are incorporated into the Adult and Pediatric Clinical Records.

7.8

RC No.	Record Types	Description	Disposition Instructions	Citation
781.3	Adverse Drug Reaction Reports	reports to the Food and Drug Administration (FDA) describing adverse drug reactions	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
782.P	Drug Disposal Records	pharmaceutical waste manifests	PERMANENT	<u>Retention</u> DHHS Pharmaceutical Waste Policy
782.3		records documenting the disposal or final disposition of all outdated, improperly labeled, adulterated, damaged, or unwanted controlled and non-controlled substances, or drug containers with worn, illegible, or missing labels	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
783.3	Drug Distribution Records	records listing who filled and/or checked a medication at time of issuing or dispensing and other related information	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Retention</u> 21 NCAC 46 .1414(j)(1)



* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
 ± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
784.3	Drug Inventories	inventories of controlled and non-controlled substances; includes inventory reports, ancillary drug cabinet inventories, annual and biennial inventories, perpetual inventories, and other related records used to account for medication compounding and dispensing by pharmacies and locations outside the pharmacy; also includes inventories of drugs destroyed, their amounts, and when destroyed	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	<u>Retention</u> 21 NCAC 46 .1414(j)(6)
785.10	Insurance Claim Records	Medicaid and Medicare Part D medication and billing records; includes electronic records used to maintain billing	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy*	<u>Retention</u> 42 CFR 422.504(d)
785.3		insurance claim forms, confirmation or denial reports, remittance and status reports, and other related records submitted by pharmacies for reimbursement	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
786.3	Medication Storage and Environment Inspection Reports	results of medication storage areas inspected on a routine basis; also includes intravenous hood performance reports	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
787.< 	Patient Medication Profile	lists of all prescribed medications for each patient; also includes records involving the interpretation and evaluation of a patient's drug therapy or other pharmaceutical care services (e.g., on-site drug and medication reviews)	RETAIN UNTIL: Patient is no longer active at facility THEN: Destroy*	<u>Confidentiality</u> G.S. § 90-113.74

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
788.3 	Prescription Orders	prescription orders for controlled and non-controlled substances or other medication or devices that are not recorded in the patient’s medical record	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Authority</u> G.S. § 90-85.30 G.S. § 90-85.35 <u>Confidentiality</u> G.S. § 90-85.36 <u>Retention</u> G.S. § 90-85.26 21 NCAC 46 .2302
789.3-1	Schedule II, III, IV, and V Narcotics Records	ordering and receiving records for schedule II controlled substances	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	<u>Authority</u> G.S. § 90-90 G.S. § 90-107 <u>Retention</u> 21 NCAC 46 .1414(j)(6) 42 CFR 423.505
789.3-2 		records documenting the usage of schedule II, III, IV, and V controlled substances	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	<u>Authority</u> G.S. § 90-90 through § 90-93 G.S. § 90-113.71 <u>Confidentiality</u> G.S. § 90-85.36(c) G.S. § 90-113-74

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.


± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

7.9 Social Services and Acute Care Records

DEFINED: Records concerning social service and acute care programs at state operated healthcare facilities or service providers.

SEE ALSO: Patient conference records and referral worksheets for discharge planning are filed in the Adult and Pediatric Clinical Records.

7.9

RC No.	Record Types	Description	Disposition Instructions	Citation
791.3	Approval for Nursing Home Placement Records	completed forms approving patients' placements in nursing homes	RETAIN UNTIL: Discharge or death of patient PLUS: 3 years THEN: Destroy	
792.12 	Children's Developmental Service Agency (CDSA) Patient Clinical Records	records concerning admissions and services of CDSA clients of the Infant-Toddler Program; includes medical histories, results of eligibility determinations, evaluations and assessments, diagnostic goals, Individualized Family Service Plans, service notes, summaries of treatment received, responses to treatment, follow-up reports, and other related records	RETAIN UNTIL: Designated inactive PLUS: 12 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 130A-12
793.3	Patient Tracking Records	records used to track patients receiving care through a facility's social service program; includes patient's name and address, room number, consultation date, placement information, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
794.4	Referrals to County Department of Social Services	completed forms (PA-400) used as referrals to county department of social services for patients who may be eligible for Medicare	RETAIN UNTIL: Complete PLUS: 4 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

7.10 Utilization Review Records

DEFINED: Committee records regarding the utilization of healthcare facility staff, programs, and resources.

7.10

RC No.	Record Types	Description	Disposition Instructions	Citation
7101.10	Daily Medicare and Medicaid Logs	record of money paid to provider by Medicaid or Medicare	RETAIN UNTIL: CMS Cost Report Audit closes PLUS: 10 years THEN: Destroy*	<u>Retention</u> 42 CFR 422.504(d)
7102.S	Financial Classification Logs	logs listing financial classifications applicable to patients	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
7103.1	Patient Abstract Records	abstracts of codes used to track both patient billing and types of diseases diagnosed (used to report this information to insurance companies)	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
7104.3	Private Paid Discharge Records	records used to track those patients who pay their bill without insurance or Medicare	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
7105.1	Transfer and Discharge Lists	lists summarizing transfers and discharges of patients	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
7106.S	Utilization Review Plans	plans for utilization review	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Authority</u> 42 CFR 482.30

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

Records That Will Transfer to the State Records Center

732.11 Adult Clinical Records: Transfer records to the State Records Center 6 years after inmate’s release or parole. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Adult Correction, Department of	Inpatient Health Records File	679
	Outpatient Health Records File	4049
	Prisons Health Services Inpatient/Residential Mental Health Records	47048
	Raw Psychological Test Data File	47049

737.< Pediatric Clinical Records: Transfer records to the State Records Center when juvenile reaches 18 years of age. Records will be held for agency 12 additional years and then destroyed.

Agency	Series Title	Item Number
Public Safety, Department of	Juvenile Offender Medical Records	50909

753.60 Autopsy Records: Transfer records to the State Records Center after 5 years. Records will be held for agency 55 additional years and then destroyed.

Agency	Series Title	Item Number
Health and Human Services, Department of	Central Office Microscopic Slides and Paraffin Blocks File	1782
	Investigative Cases File	1779
	Non-Central Office Investigative Cases File	1780
	Non-Central Office Microscopic Slides and Paraffin Blocks File	1783
	X-Ray File	1781

The RC No. listed beside each Record Type is found on the Functional Schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

An index or box inventory should accompany any records that transfer to the State Records Center for temporary storage or for eventual transfer to the custody of the Archives.



792.12 Children’s Developmental Service Agency (CDSA) Patient Clinical Records: Transfer records to the State Records Center after 2 years. Records will be held for agency 10 additional years and then destroyed.

Appendix

Agency	Series Title	Item Number
Health and Human Services, Department of	CDSA – Blue Ridge	3651
	CDSA – Cape Fear	1819
	CDSA – Concord	1810
	CDSA – Durham	3620
	CDSA – Elizabeth City	1811
	CDSA – Greensboro	1813
	CDSA – Morganton/Hickory	1814
	CDSA – New Bern	1815
	CDSA – Raleigh	1816
	CDSA – Rocky Mount	29683
	CDSA – Sandhills	1818
	CDSA – Shelby	1817
	CDSA – Western NC	1808
	CDSA – Winston-Salem	48183

The RC No. listed beside each Record Type is found on the Functional Schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

An index or box inventory should accompany any records that transfer to the State Records Center for temporary storage or for eventual transfer to the custody of the Archives.

Glossary

Audit

The Society of American Archivists *Dictionary of Archives Terminology* defines an audit as “an independent review and examination of records and activities to test for compliance with established policies or standards, often with recommendations for changes in controls or procedures.”¹ The North Carolina Office of the State Auditor defines three types of audits that can be performed for state agencies²:

Glossary

- Financial Statement Audits that “determine whether an agency’s financial statements are fairly presented”
- Performance/Financial Related Audits that “provide independent and objective appraisals of agency management practices and operational results”
- Information Systems Audits that “evaluate risks relevant to information systems assets and assess controls in place to reduce or mitigate these risks”

Many state agencies also have an internal auditor’s office that is responsible for assessing whether agency employees, units, and business operations are in compliance with applicable federal and state laws and regulations, as well as agency policies and procedures. Some agencies are also responsible for auditing work of external organizations, including consultants and subrecipients. Agencies in receipt of funding from outside sources may be subject to audits to verify the appropriate expenditure of these funds. Audits may be performed on a routine recurring basis; they also may be prompted by concerns reported to the State Auditor’s Hotline.

Historical Value

The term historical value is used interchangeably with archival value. The Society of American Archivists *Glossary of Archival and Records Terminology* defines it as “the importance or usefulness of records that justifies their continued preservation because of the enduring administrative, legal, fiscal, or evidential information they contain.”³ Two criteria for determining historical value are inherent interest and extraordinary documentation:

- Inherent interest is created by non-routine events, by the involvement of famous parties, and by compelling contexts. For instance, foreclosure proceedings from the 1930s have high historical value because they date from the era of the Great Depression.
- Extraordinary documentation is found in records that shed light on political, public, or social history. For instance, the records from the replevin case that returned the Bill of Rights to North Carolina hold more historical value than most property case files because of the political history intertwined with this case.

¹ Society of American Archivists, *Dictionary of Archives Terminology*.

² <https://www.auditor.nc.gov/auditsreviews/types-audits>

³ *Dictionary of Archives Terminology*

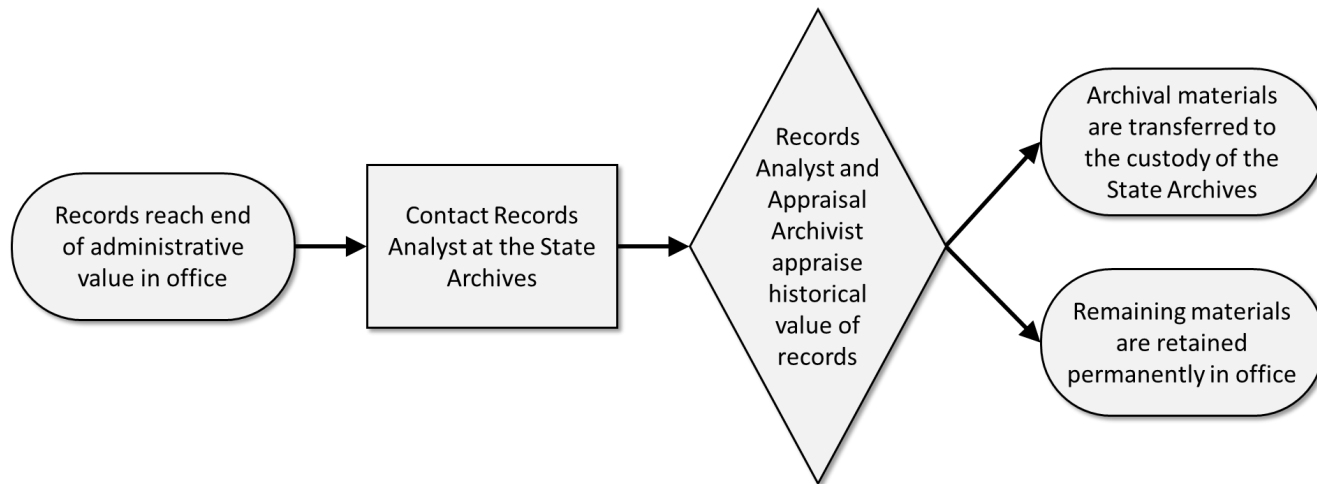
The State Archives of North Carolina (SANC) has further elaborated selection criteria that help distinguish records with archival value:

- Do they protect the rights and property of constituents and organizations?
- Do they have a long-term impact on constituents and organizations?
- Do they document the core functions of an agency?
- Do they document high-level decision-making that shapes an agency's policies or initiatives?
- Do they summarize an agency's activities?

Glossary

Records with historical value are identified with one of three designations in the Disposition Instructions:

- PERMANENT: These records will be retained in office permanently.
- PERMANENT (appraisal required): When these records no longer have administrative value in office, the agency will contact the Government Records Section so the records can be appraised by a records analyst and an appraisal archivist. These individuals will determine whether the records should be retained in office permanently or transferred to the custody of the State Archives of North Carolina.



- PERMANENT (archival): These records will transfer to the State Records Center so they can be transferred to the custody of the State Archives of North Carolina.

Record Copy

A record copy is defined as “the single copy of a document, often the original, that is designated as the official copy for reference and preservation.”⁴ The record copy is the one whose retention and disposition is mandated by these Functional Schedules; all additional copies are considered reference or access copies and can be destroyed when their usefulness expires. In some cases, postings to social media may be unofficial copies of information that is captured elsewhere as a record copy (e.g., a press release about an upcoming agency event that is copied to various social media platforms). Appropriately retaining record copies and disposing of reference copies requires agencies to designate clearly what position or office is required to maintain an official record for the duration of its designated retention period. To facilitate this process, SANC has provided a sample file plan for agency use (available on the state agency records management page at <https://archives.ncdcr.gov/government/rm-tools>). In identified cases where records overlap between state agencies, SANC has specified on the schedules which agency is considered the record owner.

Record Custody

The agency that creates or receives a record is the legal custodian of that record and responsible for fulfilling any retention requirements and public records requests. If an agency transfers records to the State Records Center for temporary storage prior to destruction, those records remain in the legal custody of the originating agency. Any records requests must be authorized by the originating agency, and ultimate destruction must also be authorized by that agency. If an agency transfers archival records to the State Records Center, once those records have been accessioned by the State Archives, their legal custody transfers to the State Archives. From that point forward, all records requests should be channeled through the State Archives. In a few instances, records transfer to the State Records Center to be held in permanent security storage (indicated by a © on the Functional Schedule); in these cases, the records remain in the legal custody of the originating agency.

Reference Value

The disposition instruction to destroy in office when reference value ends is usually applied to records that were not created by the recipient. Reference files include materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency; subject files containing informational copies of records organized by areas of interest; and reference copies of records where another individual or agency is responsible for maintaining the record copy. The agency is given the discretion to determine how long these records should be retained before destruction, and this decision should be documented in a file plan or other policy so that all members of the agency can be consistent in their handling of these records.

⁴ Ibid.

Transitory Records

North Carolina has a broad definition of public records. However, 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.” They may be disposed of according to the guidance below. However, all public employees should be familiar with the *Functional Schedule for North Carolina State Agencies* and any other applicable guidelines for their office. If there is a required retention period for these records, that requirement must be followed. 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.

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 and calendar invites) have minimal value once the official action these records are supporting has been completed and documented. These records may be destroyed or otherwise disposed of once the action has been resolved.

Drafts and working papers, including notes and calculations, are materials 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 that 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
- Drafts and working papers for presentations, workshops, and other explanations of agency policy that is already formally documented.

Forms used solely to create, update, or modify records in an electronic medium may be destroyed in office after completion of data entry and after all verification and quality control procedures, as long as these records are not required for audit or legal purposes. 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.

Key



– symbol designating that records in this series may be confidential or may include confidential information

RC No. – a unique identifying number assigned to each record type for ease of reference

Function No.	Sub-function No.	Record Type No.	Retention Abbreviation
15	4	5	A

The example above indicates the numbering scheme for Speeches (1545.A):

- Public Relations is the 15th function
- Marketing and Publicity is the 4th sub-function under Public Relations
- Speeches are the 5th record type under Marketing and Publicity
- Retention abbreviations provide a quick method of identifying the retention requirement for a particular record:

A	transfer to the State Archives
P	retain in office permanently or contact the State Archives for appraisal
R	destroy in office when reference value ends (<i>NOTE: Agencies shall establish internal policies to ensure consistency in retention and destructions.</i>)
S	destroy in office when superseded or obsolete
T	transfer completed record to another record series
<	retention period shorter than 1 year
	any numerical designation indicates the number of years the record should be retained. A number followed by a + indicates a retention period that extends less than 12 months beyond the specified number of years

Record Types – groupings of records that are “created, received, or used in the same activity.”¹

Description – a description of the records, often including the types of records that can be frequently found in that series

¹ Society of American Archivists, *Dictionary of Archives Terminology*.

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 (either by destruction or transfer to the State Archives). For any records that will transfer to the State Records Center, either for temporary storage or for transfer to the State Archives, consult the Appendix for the item number that is necessary to track these records. **Note:** No destruction of records may take place if litigation or audits are pending or reasonably anticipated.

Key

This border on the right and left of the Description and Disposition Instruction cells indicates a record that belongs to a particular agency, as identified in the Description. If other agencies possess copies of this record, they are reference copies that can be discarded when their reference value ends.

The Disposition Instructions include a number of triggers that begin the retention period:

- *Adoption of plan:* With a record such as a strategic plan, the retention period begins as soon as the plan is adopted by the governing body.
- *Closed:* With a record such as an investigation, the retention period begins once the case is closed.
- *Complete:* With a record such as a report, the retention period begins once the report has been finalized.
- *Execution of plan:* With a record such as a business plan, the retention period begins once the plan has been carried out.
- *Reference value ends:* Once the content of a record is no longer useful or significant, it can be destroyed. This disposition is usually applied to records that were not created by the agency.
- *Service ends:* With a record relating to an elected or appointed office, the retention period begins once the term of service ends.
- *Superseded or Obsolete:* With any record that is produced in versions, an older version can be destroyed when the new version is received.

Several symbols are used within the disposition instructions:

- ∞ archival records that should transfer to the State Archives for permanent retention
- Ω records that transfer to the State Records Center for temporary storage before destruction
- © records that transfer to the State Records Center for permanent security storage

Citation – a listing of references to statutes, laws, and codes related to the records series. Citations can include Authorities (governing the creation of records), Confidentiality (limiting access to public records), and Retention (setting a retention period).

- CFR = citation from the Code of Federal Regulations
- G.S. = citation from the North Carolina General Statutes
- NCAC = citation from the North Carolina Administrative Code
- USC = citation from the United States Code