

13. Monitoring and Compliance

The function of monitoring entails systematic, periodic reviews to ensure quality products, performance, and the accomplishment of objectives. Compliance ensures that people and organizations meet all obligations and comply with regulations, which may be accomplished through the promulgation and communication of policy guidance to outside entities regarding state and federal regulations.

NOTE: For the enforcement of criminal laws against individuals and organizations, see LAW ENFORCEMENT.

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Many monitoring records are iterative in nature, such as routine inspections (RC No. 1332). Similarly, most licenses and permits (RC No. 1325) have renewals scheduled at regular intervals. What differentiates these records from those in some other functions of State government is that they tend to be case files, or a collection of documents related to a particular licensee or entity. In some cases, the trigger for destruction begins with the expiration of a license, while in the case of lifetime licenses, the records can be destroyed upon the death of the licensee. Due to these intricacies, careful thought should be given to how the records are organized so that their appropriate disposition can be facilitated. For instance, case files for renewable licenses should probably be grouped by date of expiration and then filed alphabetically.


Many of these records contain personal identifying information about individuals or trade secrets of businesses, so great care should be taken to maintain the confidentiality of these records. Many of these confidentiality provisions are codified separately, so they are listed in the appendix. When these monitoring and compliance records contain information that could impact the greater public, they are designated as archival records; examples include environmental impact statements (RC No. 1323) and permits for radioactive waste and solid waste sites (RC No. 1325).

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.

13.1 Accountability and Oversight

DEFINED: Activities related to efforts to justify actions and decisions and to the supervision of other agencies, entities, or individuals. Includes compliance audits, operational audits, recordkeeping audits, skills audits, and quality assurance audits, which may be internal or external audits and may be conducted by the agency or by a third-party.

SEE ALSO: Research conducted for the purposes of internal usage or publication is under AGENCY MANAGEMENT. Administrative rules are under GOVERNANCE. Employee complaints regarding discrimination and equal opportunity (EO) violations are under HUMAN RESOURCES. Constituent service requests are under PUBLIC RELATIONS.


RC No.	Record Types	Disposition Instructions	Citation
1311.2-1 	<p>Assistance Records (1 of 3)</p> <p>Records documenting guidance regarding standards, protocols, and scope of practice provided by the agency to contractors and providers, intended to prevent compliance problems; also includes any variances granted</p> <p>SEE ALSO: Constituent Comments, Complaints, and Petitions (PUBLIC RELATIONS); Administrative Code (GOVERNANCE)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>See appendix</p>
1311.2-2	<p>Assistance Records (2 of 3)</p> <p>Requirements or directives promulgated by the agency for the conduct of a business or activity</p> <p>SEE ALSO: Constituent Comments, Complaints, and Petitions (PUBLIC RELATIONS); Administrative Code (GOVERNANCE)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	

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




∞ See appendix for list of item numbers for records that should transfer to the State Archives.

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	Disposition Instructions	Citation
1311.10	<p>Assistance Records (3 of 3) – Department of Insurance</p> <p>Records submitted by insurance companies providing notification to or requesting approval of the Department of Insurance for specific transactions; includes forms, correspondence, and other related records</p> <p>SEE ALSO: Constituent Comments, Complaints, and Petitions (PUBLIC RELATIONS); Administrative Code (GOVERNANCE)</p>	<p>RETAIN UNTIL: Resolution</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	
<p>1312.10</p> 	<p>Audit Planning Records – Office of the State Auditor</p> <p>Work papers directly pertaining to audits by the Office of the State Auditor</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality/Retention</u></p> <p>G.S. § 147-64.6(d)</p>
1313.A	<p>Audit Reports (1 of 6) – Office of the State Auditor</p> <p>Final reports, including conclusions or recommendations, created by the Office of the State Auditor in the conduct of financial, performance, investigative, or information system audits</p>	<p>PERMANENT (archival) ∞</p>	
1313.P	<p>Audit Reports (2 of 6)</p> <p>Final reports, including conclusions or recommendations, related to internal compliance or operational audits, hazardous material, or those that document a significant change in agency practices or have significant administrative value</p>	<p>PERMANENT (appraisal required) ∞</p>	
1313.10	<p>Audit Reports (3 of 6)</p> <p>Final reports, including conclusions or recommendations related to internal accounting systems and controls, administrative systems and controls, information technology systems and controls, skills, or those with limited administrative value</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 143-746</p> <p><u>Retention</u></p> <p>G.S. § 143-748</p>

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RC No.	Record Types	Disposition Instructions	Citation
1313.5 	Audit Reports (4 of 6) Work papers and other evidence and related supportive material directly pertaining to audits	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Confidentiality</u> G.S. § 143-748 G.S. § 147-64.6(d)
1313.6 	Audit Reports (5 of 6) – Department of Revenue Tax audits conducted by the Department of Revenue on the International Fuel Tax Association, Inc. (IFTA) and the International Registration Plan, Inc. (IRP)	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 105-259(b)
1313.4 	Audit Reports (6 of 6) – Department of Revenue Remaining tax audits conducted by the Department of Revenue	RETAIN UNTIL: Complete PLUS: 4 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 105-259(b)
1314.2	Consultant, Contractor, Provider, and Vendor Due Diligence Records (1 of 2) Records documenting the evaluation of consultants, contractors, providers, and vendors with whom the agency conducts business; includes financial stability, information security risk assessments, and other related records SEE ALSO: Contracts (LEGAL); Discrimination Complaint Investigations (LEGAL); Grants Management (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Contract expires PLUS: 2 years THEN: Destroy	
1314.1	Consultant, Contractor, Provider, and Vendor Due Diligence Records (2 of 2) Records documenting the vetting of contractors and vendors with whom the agency considers conducting business but does not award a contract SEE ALSO: Contracts (LEGAL); Discrimination Complaint Investigations (LEGAL); Grants Management (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	

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RC No.	Record Types	Disposition Instructions	Citation
1315.2	<p>Corrective Measures</p> <p>Records documenting agency actions to address concerns raised by an audit or complaint</p>	<p>RETAIN UNTIL: Effective</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	
1316.3	<p>Improper Conduct Investigations</p> <p>a) Records concerning investigations triggered by questions about ethics or conduct within an agency, such as whistleblower reports or allegations of fraud; includes complaints, reports, investigations, and other related records</p> <p>b) Ombudsman records regarding complaints against the agency, contractors, or providers; includes investigation reports, responses, and other related records</p> <p>SEE ALSO: Investigation and Hearing Records; Grievances (HUMAN RESOURCES); Ombudsmen (GOVERNANCE)</p>	<p>RETAIN UNTIL: Resolution</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
1317.S	<p>Rates and Standards (1 of 3)</p> <p>Records concerning tests conducted to establish official samples, weights and measures, and other standards; also includes rate setting documentation</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
1317.P	<p>Rates and Standards (2 of 3) – Department of Agriculture and Consumer Services</p> <p>Reports of calibration by the Department of Agriculture and Consumer Services indicating the value of the State's standard in relation to the corresponding national standard</p>	<p>PERMANENT</p>	

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RC No.	Record Types	Disposition Instructions	Citation
1317.20	<p>Rates and Standards (3 of 3) – Department of Insurance</p> <p>Records concerning quasi-judicial hearings and rulings by the Commissioner of Insurance regarding rate filings; includes official court records, dockets, pleadings, testimony, transcripts, and other related records</p>	<p>RETAIN UNTIL: Resolution</p> <p>PLUS: 20 years Ω</p> <p>THEN: Destroy*</p>	
<p>1318.T</p> 	<p>State Auditor Hotline (1 of 2) – Office of the State Auditor</p> <p>Investigations by the Office of the State Auditor that substantiate allegations received regarding improper governmental conduct, violation of State or federal law, or dangers posed to public health and safety</p>	<p>RETAIN UNTIL: Determination</p> <p>THEN: Transfer to Audit Reports</p> <p><i>NOTE: Pursuant to G.S. § 147-64.6B(b), when the Auditor believes that an allegation of improper governmental activity is outside the authority set forth in G.S. § 147-64.6, the Auditor shall refer the allegation to the appropriate State agency responsible for the enforcement or administration of the matter for investigation</i></p>	<p><u>Confidentiality</u></p> <p>G.S. § 147-64.6B(a)</p>
<p>1318.3</p> 	<p>State Auditor Hotline (2 of 2) – Office of the State Auditor</p> <p>Allegations of improper governmental activities that the Office of the State Auditor finds unsubstantiated</p>	<p>RETAIN UNTIL: Receipt</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 147-64.6B(a)</p> <p><u>Retention</u></p> <p>G.S. § 147-64.6B(c)</p>

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13.2 Authorizing and Licensing

DEFINED: Activities granting formal permission to carry on some business, operation, project, or activity. Includes accreditation, licenses, permits, registrations, and other authorizations.

 *NOTE: In some cases, licensing records include Social Security numbers or other personal identifying information; in such cases, comply with G.S. § 132-1.10 and 5 USC 552a regarding the confidentiality of this information.*

*SEE ALSO: The coursework that is required to obtain or renew a professional or recreational license is included under EDUCATION. The accounting records for fees and payments to Recovery Funds are under FINANCIAL MANAGEMENT. Any accreditation records on this schedule are related to accreditation granted by the agency **to other entities**; accreditation records required for State agencies to carry out their work are included on the AGENCY MANAGEMENT schedule. Annual reports written by agencies are under AGENCY MANAGEMENT, while annual reports submitted to agencies by entities seeking to gain or maintain licensing are under Licenses and Permits. Permits to use State property are under ASSET MANAGEMENT. Disciplinary actions for agency personnel are under HUMAN RESOURCES.*




RC No.	Record Types	Disposition Instructions	Citation
1321.5	Bonds and Collateral Securities Guaranty bonds, surety bonds, and any other collateral securities required for licensing or performance of service	RETAIN UNTIL: Expiration or cancellation PLUS: 5 years THEN: Destroy	
1322.2	 Denied Licenses and Permits Records concerning individuals or entities whose initial application is denied; includes reports, decisions, correspondence, and other related records	RETAIN UNTIL: Expiration of application period PLUS: 2 years THEN: Destroy	<u>Confidentiality</u> See appendix
1323.P	Environmental Impact Statements (EIS) Records documenting the effects of proposed activities by a contractor or provider on the environment	PERMANENT (appraisal required) ∞	

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RC No.	Record Types	Disposition Instructions	Citation
1324.1	Incomplete or Withdrawn Applications (1 of 2) Applications that are not completed within the window of time provided by the agency or that are withdrawn from consideration	RETAIN UNTIL: Expiration of application period or withdrawal PLUS: 1 year THEN: Destroy	
1324.<	Incomplete or Withdrawn Applications (2 of 2) Applications begun in an online portal but never submitted	RETAIN UNTIL: Last activity PLUS: 90 days THEN: Destroy	
1325.3-1 	Licenses and Permits (1 of 12) Records concerning accreditations, licenses, registrations, and permits that must be renewed; includes applications, correspondence, examination score reports and continuing education credentials, reports, authorizations, audits, waivers, and other related records	RETAIN UNTIL: Expiration or renewal PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> See appendix
1325.R 	Licenses and Permits (2 of 12) Examinations and background checks related to renewable accreditations, licenses, registrations, and permits	RETAIN UNTIL: Reference value ends ± THEN: Destroy Agency Policy: _____	<u>Confidentiality</u> See appendix
1325.3-2 	Licenses and Permits (3 of 12) Records concerning one-time authorizations	RETAIN UNTIL: Expiration PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> See appendix

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RC No.	Record Types	Disposition Instructions	Citation
1325.1 	Licenses and Permits (4 of 12) Records concerning lifetime or perpetual authorizations	RETAIN UNTIL: Resignation from license, death of holder, or dissolution of entity PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> See appendix
1325.6	Licenses and Permits (5 of 12) Records concerning authorizations of capital improvement projects	RETAIN UNTIL: Completion of project PLUS: 6 years THEN: Destroy*	
1325.10 	Licenses and Permits (6 of 12) – Department of Transportation Source documentation collected by the Division of Motor Vehicles in order to issue Real ID cards	RETAIN UNTIL: Received PLUS: 10 years THEN: Destroy	<u>Retention</u> 6 CFR 37.31
1325.75 	Licenses and Permits (7 of 12) Records concerning lifetime professional licenses; also includes Certificate of Need documentation for healthcare facilities	RETAIN UNTIL: Received PLUS: 75 years Ω THEN: Destroy	<u>Confidentiality</u> See appendix
1325.A 	Licenses and Permits (8 of 12) Records concerning authorizations that impact the general public. Includes licenses and permits for radioactive materials and solid waste, as well as corporation charters	PERMANENT (archival) ∞	<u>Confidentiality</u> See appendix

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RC No.	Record Types	Disposition Instructions	Citation
1325.P-1	<p>Licenses and Permits (9 of 12) – Department of Environmental Quality</p> <p>Records concerning oil or gas well drilling, completion, production, and plugging transferred by the permittee to the State Geologist</p>	PERMANENT	<p><u>Retention</u></p> <p>15A NCAC 05H .0202</p>
<p>1325.P-2</p> 	<p>Licenses and Permits (10 of 12) – Department of Commerce</p> <p>Records of articles of incorporation, bylaws, and charters for credit unions chartered in North Carolina as filed with the Department of Commerce</p>	PERMANENT	<p><u>Confidentiality</u></p> <p>G.S. § 54-109.105</p>
1325.50	<p>Licenses and Permits (11 of 12) – Department of Health and Human Services</p> <p>Records compiled by the Department of Health and Human Services concerning the use and removal of asbestos; includes National Emissions Standards for Hazardous Air Pollutants (NESHAP) permits as well as notifications, inspection reports, enforcement actions, and other related records</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 50 years Ω</p> <p>THEN: Destroy</p>	
1325.22	<p>Licenses and Permits (12 of 12) – Department of Health and Human Services</p> <p>Records compiled by the Department of Health and Human Services concerning certification for lead abatement and lead renovation work; includes permits, notifications, inspection reports, enforcement actions, and other related records</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 22 years Ω</p> <p>THEN: Destroy</p>	
1326.S	<p>Registries</p> <p>Listings of entities and individuals authorized to engage in a particular occupation or activity; includes applications, evaluations, and other related records necessary to generate the registry</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>See appendix</p>

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RC No.	Record Types	Disposition Instructions	Citation
1327.5-1	Registrations (1 of 4) – Department of Agriculture and Consumer Services Records concerning products, brands, etc., registered with the Department of Agriculture and Consumer Services	RETAIN UNTIL: Expiration/Cancellation PLUS: 5 years THEN: Destroy	
1327.5-2 	Registrations (2 of 4) – Department of Health and Human Services Records concerning manufacturers and other entities required to register with the Department of Health and Human Services	RETAIN UNTIL: Expiration/Cancellation PLUS: 5 years THEN: Destroy	<u>Authority/Confidentiality</u> G.S. § 130A-309.138
1327.5-3 	Registrations (3 of 4) – Department of Revenue Records concerning taxpayer registration with the Department of Revenue; includes applications, correspondence, and other related records	RETAIN UNTIL: Expiration/Cancellation PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 105-259(b)
1327.A	Registrations (4 of 4) – Department of the Secretary of State Records concerning registrations with the Department of the Secretary of State; includes trademarks, labels, and designs as well as an index of lobbyists, lobbyist principals, solicitors, and state and local government liaisons	PERMANENT (archival) ∞	
1328.50 	Revoked Licenses and Permits (1 of 2) Records concerning individuals or entities whose license, permit, or other authorization is revoked for cause; includes reports, decisions, correspondence, and other related records	RETAIN UNTIL: Revocation PLUS: 50 years THEN: Destroy	<u>Confidentiality</u> See appendix

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RC No.	Record Types	Disposition Instructions	Citation
<p>1328.1</p> 	<p>Revoked Licenses and Permits (2 of 2)</p> <p>Records concerning licenses or permits revoked due to clerical error; also includes records of revocations that are lifted due to an exoneration of the cause for revocation</p>	<p>RETAIN UNTIL: Revocation</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>See appendix</p>
<p>1329.S</p>	<p>Training Certifications</p> <p>Agency certifications of training opportunities to be provided by outside entities</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	


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13.3 Enforcement

DEFINED: Activities related to assuring adherence to rules and regulations.

SEE ALSO: Investigations by law enforcement officers are under LAW ENFORCEMENT. RISK MANAGEMENT includes health and safety inspections conducted by the Department of Insurance. Accounting records for penalties and assessments as well as monitoring records for grant recipients are under FINANCIAL MANAGEMENT. Administrative rules are under GOVERNANCE. Hearings conducted by the Office of Administrative Hearings, the NC Industrial Commission, and agencies governed by G.S. § 150B Article 3A are under LEGAL. Surveys from the general public are under PUBLIC RELATIONS, and surveys from employees are under HUMAN RESOURCES. Evaluations of Historically Underutilized Businesses are under ECONOMIC DEVELOPMENT. Records documenting the incidence of certain diseases are under HEALTHCARE. Cultural and Natural Resource Protection Records are under ASSET MANAGEMENT.

13.3




RC No.	Record Types	Disposition Instructions	Citation
1331.6 	<p>Controlled Substances Reporting System – Department of Health and Human Services</p> <p>records accumulated by the Department of Health and Human Services concerning prescriptions for all Schedule II through V controlled substances</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 6 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 90-113.73</p> <p><u>Confidentiality</u></p> <p>G.S. § 90-113.74(a)</p> <p><u>Retention</u></p> <p>G.S. § 90-113.74(f)</p>
1332.A	<p>Evaluations and Inspections (1 of 2)</p> <p>Records of monitoring and inspections that have value for documenting patterns</p> <p>SEE ALSO: Inspections (RISK MANAGEMENT)</p>	<p>PERMANENT (archival) ∞</p>	

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RC No.	Record Types	Disposition Instructions	Citation
<p>1332.3</p> 	<p>Evaluations and Inspections (2 of 2)</p> <p>Records documenting routine, random, and requested evaluations and inspections; includes interviews, evidence, reports, examinations, notices of violations, audits, recommendations, correspondence, and other related records; also includes samples testing</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>See appendix</p>
<p>1333.3</p> 	<p>Investigation and Hearing Records (1 of 7)</p> <p>Records concerning complaints, fraud allegations, contestments, grievances, and inquiries against individuals and other entities; includes summaries, charges, reports, assessments and findings, hearing transcripts and evidence, decisions and sanctions, referrals, correspondence, and other related records</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>See appendix</p>
<p>1333.50</p> 	<p>Investigation and Hearing Records (2 of 7)</p> <p>Records concerning complaints against the conduct, character, or fitness of elected or appointed officials that are investigated by an external entity; includes statements, correspondence, recommendations, and other related records; also includes cases that result in discipline by the North Carolina State Bar Disciplinary Hearing Commission or by the courts or disbarment by the Council of the North Carolina State Bar</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 50 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>See appendix</p>

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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.


RC No.	Record Types	Disposition Instructions	Citation
 1333.10-1	<p>Investigation and Hearing Records (3 of 7) – State Treasurer</p> <p>Final fraud investigative reports and reports of other examinations, investigations, surveys, and reviews issued under the authority of the Director of the Retirement Systems Division at the Department of State Treasurer</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 128-28(s), (t) G.S. § 135-6(r), (s)</p> <p><u>Retention</u></p> <p>G.S. 128-28(s) G.S. 135-6(r)</p>
 1333.S	<p>Investigation and Hearing Records (4 of 7) – State Treasurer</p> <p>Work papers for fraud investigations by the Department of State Treasurer</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 128-28(s), (t) G.S. § 135-6(r), (s)</p> <p><u>Retention</u></p> <p>G.S. 128-28(s) G.S. 135-6(r)</p>
 1333.10-2	<p>Investigation and Hearing Records (5 of 7) – Department of Health and Human Services</p> <p>Preadmission screening resident review (PASRR) records generated by the Department of Health and Human Services; includes evaluation forms, testing materials, correspondence, and other related records; also includes hearings, provider appeals, and second level reviews</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 8-53 G.S. § 130A-12 45 CFR 164.502</p>

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

∞ See appendix for list of item numbers for records that should transfer to the State Archives.

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	Disposition Instructions	Citation
<p>1333.75</p> 	<p>Investigation and Hearing Records (6 of 7) – Utilities Commission</p> <p>Records concerning rate cases heard by the North Carolina Utilities Commission; includes applications, orders, transcripts, exhibits, complaints, and other related records</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 75 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.2</p>
<p>1333.A</p>	<p>Investigation and Hearing Records (7 of 7) – State Board of Elections</p> <p>Transcripts of hearing proceedings of the State Board of Elections</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>PERMANENT (archival) ∞</p>	
<p>1334.3</p>	<p>Monitoring Surveys and Reports</p> <p>a) Records concerning the monitoring of individuals, entities, and processes</p> <p>b) Records concerning the monitoring of environmental conditions; includes monitoring of air, land, water, and other natural resources</p> <p>SEE ALSO: Contractor, Provider, and Vendor Due Diligence Records (above); Grants Management (FINANCIAL MANAGEMENT); External Surveys (PUBLIC RELATIONS); Employee Suggestions and Surveys (HUMAN RESOURCES); Health Monitoring Programs (HEALTHCARE)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	

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

∞ See appendix for list of item numbers for records that should transfer to the State Archives.

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	Disposition Instructions	Citation
1335.1	<p>Unsubstantiated Complaints</p> <p>Includes complaints received about licensees and permittees that do not necessitate an investigation</p> <p>SEE ALSO: Investigation and Hearing Records (above); Constituent Comments, Complaints, and Petitions (PUBLIC RELATIONS)</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	

13.3

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 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

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.

Appendix

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.

1313.A Audit Reports: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Auditor, Office of the State	Financial Audit Reports	260
Auditor, Office of the State	Performance Audit Reports	9548

1313.P Audit Reports: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Nursing, North Carolina Board of	Audit Reports File	21055

1317.20 Rates and Standards: Transfer to the State Records Center 10 years after case closes. Records will be held for agency 10 additional years and then destroyed.

Agency	Series Title	Item Number
Insurance, Department of	Automobile Insurance Filing File	49383
Insurance, Department of	Homeowner Insurance Filing File	49384

1323.P Environmental Impact Statements: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Administration, Department of	State Environmental Review Clearinghouse Environmental Impact Statements	117
Natural and Cultural Resources, Department of	County Environmental Review File	1050
Natural and Cultural Resources, Department of	Environmental Review File	814

1325.75 Licenses and Permits: Transfer records to the State Records Center after 6 months. Records will be held for agency 75 additional years and then destroyed.

Agency	Series Title	Item Number
Dietetics/Nutrition, North Carolina Board of	License File	50375
Health and Human Services, Department of	Certificate of Need Approved Projects File	41117
Nursing, North Carolina Board of	Licensed Practical Nurses Individual Applications File	3334
Nursing, North Carolina Board of	Registered Nurses Individual Applications for Licensure File	3333
State Bar, North Carolina	Bar Member License File	20946

Appendix

1325.A Licenses and Permits: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Banks, Office of the Commissioner of	Bank Charters and Amendments File	336
Commerce, Department of	Credit Union Charters and Amendments File	365
Environmental Quality, Department of	Animal Waste Permit File	46012
Environmental Quality, Department of	Coastal Development Major Permits File	3191
Environmental Quality, Department of	Known and Potential Contaminated Sites	47905
Environmental Quality, Department of	Scrap Tires Sites Cleanup Program File	36379
Environmental Quality, Department of	Septage Land Application Site and Detention and Treatment Facility Permits File	36352
Environmental Quality, Department of	Solid Waste Facilities File	8102
Environmental Quality, Department of	Solid Waste Facilities Post-Closure File	36343
Environmental Quality, Department of	Solid Waste Non-Permitted File	8101
Environmental Quality, Department of	State Cleanup Funds Reimbursement File	34051
Health and Human Services, Department of	Active Radioactive Materials Licenses	7581
Health and Human Services, Department of	Decommissioned Radioactive Waste Sites	50366
Health and Human Services, Department of	Terminated Radioactive Materials Licenses	1750
Health and Human Services, Department of	Terminated Reciprocal Recognition File	35908
Secretary of State, Department of the	Business Entities Registry	15629
Secretary of State, Department of the	Withdrawn/Dissolved/Revoked Business Entities	2909

1325.50 Licenses and Permits: Transfer records to the State Records Center after 3 years. Records will be held for agency 47 additional years and then destroyed.

Agency	Series Title	Item Number
Health and Human Services, Department of	Asbestos Accreditations File	8314
Health and Human Services, Department of	Asbestos/National Emissions Standards for Hazardous Air Pollutants (NESHAP) Inspections and Enforcements File	17384
Health and Human Services, Department of	Asbestos Waste Shipment Records (WSR)	50865
Health and Human Services, Department of	Health Hazards Control Permits File	4060

1325.22 Licenses and Permits: Transfer records to the State Records Center after 3 years. Records will be held for agency 19 additional years and then destroyed.

Agency	Series Title	Item Number
Health and Human Services, Department of	Lead Abatement Firm Records	50866
Health and Human Services, Department of	Lead Abatement Individual Records	50867
Health and Human Services, Department of	Lead Enforcement Actions	50868
Health and Human Services, Department of	Lead Permits	50869
Health and Human Services, Department of	Lead Renovation Firm Records	50870
Health and Human Services, Department of	Lead Renovation Individual Records	50871

1327.A Registrations: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Secretary of State, Department of the	Inactive Mark Certifications	2889
Secretary of State, Department of the	Lobbying Compliance Registration Index File	41954



1332.A Long-Term Inspections: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Environmental Quality, Department of	Air Quality Enforcement Actions File	17370
Environmental Quality, Department of	Air Quality Self-Monitoring File	17382
Environmental Quality, Department of	Annual, Quarterly, and Monthly Groundwater Monitoring Reports File	49583
Environmental Quality, Department of	Annual, Quarterly, and Monthly Non-Discharge Reports File	35674
Environmental Quality, Department of	Groundwater Pollution Incidents File	25681
Environmental Quality, Department of	Groundwater Research Station File	49408
Environmental Quality, Department of	Injection Well Permits File	17398
Environmental Quality, Department of	Mining, Sedimentation, and Dam Safety Enforcement Actions File	4099
Environmental Quality, Department of	Oil and Hazardous Waste Materials Spills Investigation File	17594
Environmental Quality, Department of	Ozone Precursor Hydrocarbon Data File	40555
Environmental Quality, Department of	Prevention of Significant Deterioration and Self-Monitoring Ambient Monitoring File	17360
Environmental Quality, Department of	Regional Offices Air Quality File – Mooresville	17117
Environmental Quality, Department of	Regional Offices Air Quality File – Washington	24948
Environmental Quality, Department of	Regional Offices Air Quality File – Fayetteville	24975
Environmental Quality, Department of	Regional Offices Air Quality File – Wilmington	25321
Environmental Quality, Department of	Regional Offices Air Quality File – Asheville	25441
Environmental Quality, Department of	Regional Offices Air Quality File – Winston-Salem	25479
Environmental Quality, Department of	Water Quality Enforcement Actions File	33931
Environmental Quality, Department of	Well Abandonment File	47425
Environmental Quality, Department of	Well Records File	2644
Labor, Department of	Boiler Safety Bureau Accidents File	27213
Labor, Department of	Growers File	31458
Labor, Department of	Imperial Foods Hamlet Fire Records	35332
Labor, Department of	Occupational Safety and Health Inspections Cases File	46018

1333.50 Investigation and Hearing Records: Transfer to the State Records Center after 5 years. Records will be held for agency 45 additional years and then destroyed.

Agency	Series Title	Item Number
Ethics Commission, North Carolina State	Ethics Commission Rulings File	21538
Judicial Standards Commission, North Carolina	Dismissed After Formal Investigation File	50546
Judicial Standards Commission, North Carolina	Dismissed Without Formal Investigation File	50545
State Bar, North Carolina	Staff Attorney Working Disciplinary File	48087
State Bar, North Carolina	State Bar Disciplinary Hearing Commission File	20948

1333.10 Investigation and Hearing Records: Transfer to the State Records Center after 2 years. Records will be held for agency 8 additional years and then destroyed.

Agency	Series Title	Item Number
Health and Human Services, Department of	Division of Medical Assistance Hearing Appeals File	48347
Health and Human Services, Department of	Preadmission Screening Annual Review Mental Health File	43506

1333.75 Investigation and Hearing Records: Transfer to the State Records Center 2 years after closing. Records will be held for agency 73 additional years and then destroyed.

Agency	Series Title	Item Number
Utilities Commission, North Carolina	Confidential Dockets File	12696
Utilities Commission, North Carolina	Inactive Dockets (Other) File	12669
Utilities Commission, North Carolina	Inactive Dockets (Rate Cases) File	560

1333.A Investigation and Hearing Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Elections, North Carolina State Board of	Transcripts of Hearings File	3278

Confidentiality Provisions for Specific Agencies

Please note: The listing of a confidentiality citation does not indicate that all information within the particular record type is confidential. Please read the relevant statutes and consult your General Counsel for any necessary clarification.

Appendix

1311: Assistance Records

Agency	Citation
State Bar, North Carolina	27 NCAC 01D.0103(b) G.S. § 132-1.1(a)

13.2 Authorizing and Licensing

- **1322: Denied License and Permits**
- **1324: Incomplete or Withdrawn Applications**
- **1325: Licenses and Permits**
- **1328: Revoked Licenses and Permits**

Agency	Citation
Agriculture and Consumer Services, Department of	G.S. § 106-579.11
Banks, North Carolina Office of the Commissioner of	G.S. § 53-208.59 G.S. § 53-244.050(i) G.S. § 53-334(b) G.S. § 53-348(c) G.S. § 54B-63 G.S. § 53C-2-7(b) G.S. § 53C-10-103(c) G.S. § 53C-10-202(d) G.S. § 54C-60 04 NCAC 16G .0106 04 NCAC 16I .0803
Cemetery Commission, North Carolina	G.S. § 65-54.1
Environmental Quality, Department of	G.S. § 113-170.3 G.S. § 143B-289.52(h)
Health and Human Services, Department of	G.S. § 130A-304
Occupational Licensing Boards	G.S. § 93B-8 G.S. § 93B-14



Agency	Citation
Public Safety, Department of	G.S. § 74C-8(g) G.S. § 74C-8.1
Secretary of State, Department of the	G.S. § 10B-7(b) G.S. § 10B-106(d)
State Bar, North Carolina	G.S. § 84-24 27 NCAC 01D .1720
Transportation, Department of	G.S. § 20-7(b2) G.S. § 20-7(e) G.S. § 20-17.1(e) 5 USC § 552a

Appendix

1332: Evaluations and Inspections

Agency	Citation
Banks, North Carolina Office of the Commissioner of	G.S. § 53-144 G.S. § 53-161 G.S. § 53-184 G.S. § 53-208.55 G.S. § 53-208.59 G.S. § 53-224.24 G.S. § 53-244.115 G.S. § 53-320 G.S. § 53-326 G.S. § 53-367 G.S. § 53-375 G.S. § 53-402 G.S. § 53C-2-7(b) G.S. § 53C-4-12(b) G.S. § 53C-8-4 G.S. § 53C-8-5 G.S. § 54B-56 G.S. § 54C-54



Agency	Citation
Environmental Quality, Department of	G.S. § 143-215.3C G.S. § 143-215.80
Health and Human Services, Department of	G.S. § 130A-12 G.S. § 130A-15(b)

1333: Investigation Records (NOTE: Records from hearings are open to inspection unless they are held under seal.)

Agency	Citation
Banks, North Carolina Office of the Commissioner of	G.S. § 53-186 G.S. § 53-208.55 G.S. § 53-244.115 G.S. § 53-244.120 G.S. § 53-253 G.S. § 53-361(b) G.S. § 53-364(b) G.S. § 53C-2-1(c) G.S. § 53C-2-7(b) G.S. § 53C-8-8 G.S. § 53C-9-301(b) 04 NCAC 03B .0227(c)
Cemetery Commission, North Carolina	G.S. § 65-54.1
Environmental Quality, Department of	G.S. § 143-215.9D G.S. § 143-215.80
General Contractors, North Carolina State Licensing Board for	G.S. § 87-15.3
Health and Human Services, Department of	G.S. § 8-53 G.S. § 122C-52 G.S. § 130A-12 G.S. § 130A-15(b) G.S. § 130A-33.60 45 CFR 164.502
Judicial Standards Commission, North Carolina	G.S. § 7A-377



Agency	Citation
Refrigeration Examiners, State Board of	G.S. § 87-59(e)
Secretary of State, Department of the	G.S. § 55-1-33 G.S. § 55A-1-33 G.S. § 57D-1-33 G.S. § 78A-45(b1) G.S. § 78A-50(c) G.S. § 78C-26(b1) G.S. § 78C -31(c) G.S. § 78D-21
State Bar, North Carolina	G.S. § 84-32.1 G.S. § 132-1.1 G.S. § 132-1.4(a) G.S. § 132-1.9 G.S. § 143-318.10(e) G.S. § 143-318.11(a)(3) G.S. § 143-318.18(6) 27 NCAC 01B .0133

Appendix

Authority Provisions for Specific Agencies

1326: Registries

Agency	Citation
Health and Human Services, Department of	42 CFR 483.156