

DEPARTMENT OF ENVIRONMENT, HEALTH, AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

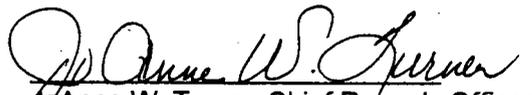
DIVISION OF FISCAL MANAGEMENT

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including machine readable records not listed in this schedule are not authorized to be destroyed.** The

DIVISION OF FISCAL MANAGEMENT

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Anne W. Turner, Chief Records Officer
Department of Environment, Health,
and Natural Resources


Dennis M. Grissom, Director
Division of Fiscal Management


William S. Price, Jr., Director
Division of Archives and History

APPROVED


Jonathan B. Howes, Secretary
Department of Environment, Health,
and Natural Resources


Betty Ray McCain, Secretary
Department of Cultural Resources

DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
SPECIAL ACCOUNTING SECTION
LOCAL HEALTH BRANCH

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

LOCAL HEALTH BRANCH

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. Public records including machine readable records not listed in this schedule are not authorized to be destroyed. The

LOCAL HEALTH BRANCH

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Lloyd E. Inman, Jr., Chief Records Officer
Department of Environment and Natural Resources


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED


Bill Homan, Secretary
Department of Environment and Natural Resources


Betty Ray McCain, Secretary
Department of Cultural Resources

December 8, 2000

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**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
ADMINISTRATION**

ITEM 17614. FEDERAL REIMBURSEMENT COST (FRC) REPORTS FILE.

Internal accounting records concerning control of federal grant money.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
GENERAL ACCOUNTING SECTION
ACCOUNTS PAYABLE BRANCH**

ITEM 2488. VOUCHERS AND INVOICES FILE.

Vouchers and supporting documentation for checks written by the department. File includes invoices, purchase orders, requisitions, and telephone bills. Names of payees, voucher numbers, amounts of payments, medical claims identification numbers, and other related data are entered into Data Processing Branch, Hero Accounting System Database (Electronic) File (Item 36402) and routinely updated.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records. Destroy records currently held in the State Records Center immediately.

ITEM 7983. SUPERFUND FILE.

Records concerning federal superfund money. File includes requisitions, purchase orders, and vouchers.

DISPOSITION INSTRUCTIONS: Follow federal retention and disposition instructions.

ITEM 7995. LUMP SUM PAYMENTS FILE.

Correspondence requesting approvals of lump sum payments.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
GENERAL ACCOUNTING SECTION
ACCOUNTS RECEIVABLE BRANCH**

ITEM 8318. RETURNED PERSONAL CHECKS FILE.

Returned personal checks caused by insufficient funds, closed accounts, or for other reasons concerning payments for insurance premiums and laboratory results, telephone call reimbursements, and other related expenses.

DISPOSITION INSTRUCTIONS: Transfer immediately to division where employee works.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
GENERAL ACCOUNTING SECTION
ASSISTANT SECTION CHIEF**

ITEM 7992. JOURNAL 10 ENTRIES FILE.

Journals used to post specific types of transactions as they occur each day. Journals include budget codes, voucher numbers, deposit numbers, and other related data which is entered into Data Processing Branch, Hero Accounting System Database (Electronic) File (Item 36402) and routinely updated.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
GENERAL ACCOUNTING SECTION
CAPITAL IMPROVEMENTS BRANCH**

ITEM 7991. CASH REQUISITIONS FILE.

Records concerning cash requisitions. File includes cash requisition forms and Journal 10 code sheets.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 17630. FUND ALLOTMENTS (PRINTOUTS) REPORTS FILE.

Computer printout reports (BD-702) detailing transfers from allotment accounts to disbursing accounts. Reports include amounts allotted for expenditures and amounts received for each quarter.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM 36401. FUND ALLOTMENTS FORMS FILE.

Completed forms concerning transfers from allotment accounts to disbursing accounts. Forms include amounts allotted for expenditures, amounts received for each quarter, budget codes, and other related data. Budget codes, amounts allotted, amount received, and other related data are entered into Data Processing Branch, Hero Accounting System Database (Electronic) File (Item 36402) and routinely updated.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
GENERAL ACCOUNTING SECTION
CONTRACTS ACCOUNTING BRANCH**

ITEM 7956. TITLE XIX MEDICAID FILE.

Correspondence concerning all Title XIX operations with the division.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 7962. TITLE XIX AND TITLE XX BILLING CLAIMS FILE.

Medicaid reimbursement billing claims.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 7963. TITLE XIX AND TITLE XX CLAIMS AND PAYMENTS (PRINTOUTS) FILE.

Computer printouts concerning claims processed, paid, pending, and denied. Printouts include dates of claims, names and identification numbers of providers, amounts of claims, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
GENERAL ACCOUNTING SECTION
DATA PROCESSING BRANCH**

ITEM 7988. HERO ACCOUNTING SYSTEM MONTHLY UPDATES CONTROL FILE.

Monthly budget updates concerning departmental budgets maintained on the HERO accounting system.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM 8007. 1099-MEDICAL FORMS INFORMATION (PRINTOUTS) FILE.

Computer printouts detailing payments to vendors subject to receiving 1099-medical forms. Printouts include amounts of payments, tax identification numbers, dates of transactions, vendor identification numbers, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 year(s) and when released from all audits, whichever occurs later.

ITEM 8320. MISCELLANEOUS WAGES (1099) FORMS FILE.

Employer's copies of statements for miscellaneous wages.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 17612. HERO ACCOUNTING SYSTEM (PRINTOUTS) FILE.

Computer printouts concerning cumulative daily and/or monthly budget reports detailing all accounting transactions for the department. File also includes detail ledgers, summary ledgers, encumbrances information, validation and title records, budget reports, receipts registers, expenditure ledgers, voucher registers, and trial balance records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 17613. HERO ACCOUNTING SYSTEM (MICROFICHE) FILE.

Microfiche copies of information detailing all accounting transactions for the department. (Microfiche is provided by State Information Processing Services.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 6 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 35828. HERO ACCOUNTING SYSTEM INTERNAL PROOFING REGISTERS (PRINTOUTS) FILE.

Computer printouts generated daily concerning internal proofing registers of Hero Accounting System. Computer printouts include deposit registers, voucher registers, incumbrance registers, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office 1 month after 13th month financial statements are balanced.

ITEM 36402. HERO ACCOUNTING SYSTEM DATABASE (ELECTRONIC) FILE.

Machine readable records concerning all financial transactions of the department. Electronic file includes budget codes, amounts of 1099 medical payments, dates of transactions, amounts of deposits, names of payees, voucher numbers, deposit numbers, amounts budgeted and amounts paid, vendor identification numbers, and other related information. (Electronic file is maintained by State Information Processing Services.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
GENERAL ACCOUNTING SECTION
FINANCIAL STATEMENT/FIXED ASSET BRANCH**

ITEM 8319. 13TH MONTH FINANCIAL STATEMENTS FILE.

Records concerning 13th month financial statements. Statements include budget codes, amounts of expenditures, remaining balances, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 35829. VOIDED AND CANCELLED CHECKS FILE.

Voided and cancelled checks not processed by the Department of State Treasurer.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
GENERAL ACCOUNTING SECTION
PAYROLL/TIME REPORTING UNIT**

ITEM 7970. EMPLOYEE INFORMATION FILE.

Records concerning various payroll deductions, longevity pay, and dual employment. File includes completed short-term disability forms, personnel action forms, W-4 forms, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 6 years after termination of employment if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 8321. W-2 FORMS (TEMPORARY EMPLOYEES) FILE.

Employer's copies of withholding statements for temporary employees.

DISPOSITION INSTRUCTIONS: Retain in office permanently records dated prior to January 1993. Destroy in office records dated after January 1993 after 2 years and when released from all audits, whichever occurs later.

ITEM 17618. TEMPORARY EMPLOYEES EARNINGS FILE.

Records detailing salaries, taxes, and deductions for temporary employees of the department. File includes payroll transmittals and registers, insurance billings and deduction disbursement forms, and payroll accumulated year-to-date reports.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
PURCHASE OF MEDICAL CARE SERVICES SECTION
ADMINISTRATION**

ITEM 7927. ADMINISTRATIVE FILE.

Records concerning the administration of Purchase of Medical Care Services Section. File includes correspondence regarding section programs and the historical development of program policies. File also includes mission statements, reference copies of administrative codes, and personnel policies.

DISPOSITION INSTRUCTIONS: Transfer correspondence and mission statements to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy in office remaining records when superseded or obsolete.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
PURCHASE OF MEDICAL CARE SERVICES SECTION
AUTHORIZATIONS/CLAIMS BRANCH**

ITEM 7928. PRICING CLAIMS FILE.

Provider claims forms approved by county health departments and forwarded to the Office of the Controller for pricing. Form includes information regarding school health programs, prenatal clinics, delivery funds, child medical evaluations, children's special health services clinics, and medical examiner programs. (Originals are returned to the counties for payment and copies are maintained in the office. Comply with provisions of G.S. 130A-12 regarding confidentiality of medical records in the possession of the Department of Environment, Health, and Natural Resources or local health departments.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 8004. NET PAYMENTS TO HOSPITALS (PRINTOUTS) FILE.

Computer printouts concerning net payments to hospitals summarized by vendor number and fund, object, Responsibility Cost Center, and program. (File is utilized to record retroactive settlement payment and refunds.)

DISPOSITION INSTRUCTIONS: Destroy in office after 10 year(s) and when released from all audits, whichever occurs later.

ITEM 8005. CARRY FORWARD PRINTOUTS AND OTHER DATA FILE.

Authorization/liquidation system printouts concerning obligations for Crippled Children and Cancer. Categories include cancellations, liquidations, and outstanding.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) and when released from all audits, whichever occurs later.

ITEM 8008. CRIPPLED CHILDREN MEDICAL CLINIC INFORMATION SHEETS FILE.

Medical clinic information forms concerning clinics under the Crippled Children Program. Forms include names of providers, descriptions of services rendered, dates of service, and other related data. (Comply with provisions of G.S. 130A-12 regarding confidentiality of medical records in the possession of the Department of Environment, Health, and Natural Resources or local health departments.)

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 36404. CLAIMS BUDGET SYSTEM DATABASE (ELECTRONIC) FILE.

Machine readable records concerning claims submitted to the section. Electronic file includes voucher identification numbers, descriptions of services rendered, amounts of transactions, dates of service, and other related data. (Electronic file is maintained by the State Center for Health and Environmental Statistics, Data Processing Section.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 36405. ENCUMBRANCES PRINTOUTS (REFERENCE) FILE.

Computer printouts concerning medical authorization requests and program encumbrances. Printouts include patients' names and birthdates, counties of residence, and other related data. (Comply with provisions of G.S. 130A-12 regarding confidentiality of medical records in the possession of the Department of Environment, Health, and Natural Resources or local health departments.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
SPECIAL ACCOUNTING SECTION
ASSISTANT CHIEF'S OFFICE**

ITEM 7954. FEDERAL GRANTS AND PROJECTS REFERENCE FILE.

Reference materials, grant awards, and correspondence concerning various Federal grants and projects.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 7955. REFERENCE AND CORRESPONDENCE FILE.

Reference materials, program correspondence, special analysis records, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
SPECIAL ACCOUNTING SECTION
CLAIMS PROCESSING BRANCH**

ITEM 7959. INDIRECT COST REPORTS FILE.

Correspondence and calculations concerning the annual indirect cost rate.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 7960. CONSOLIDATED CONTRACT COMPUTER FILE.

Monthly computer printouts concerning the consolidated contract system.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 7961. LOCAL COST ANALYSIS FILE.

Computer printouts concerning local cost analysis.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 7964. LOCAL HEALTH DEPARTMENT TIME STUDY FORMS FILE.

Individual time study forms concerning the 1978, 1979, 1980, and 1981 time study.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 7968. SALARIES BUDGETED AND EXPENDED INFORMATION FILE.

Records concerning budgeted salary schedules, budgets computed by percentage of State/Federal support by fund, legislative and increment worksheets, Personnel Management Information System position listings, paid salary schedules, and temporary employees ledgers.

DISPOSITION INSTRUCTIONS: Destroy in office after 15 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 7972. COST REPORTING FILE.

Working papers, cost reports, and cost settlement data concerning Lenox Baker Hospital and McCain Hospital.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 8003. SPECIAL AND FEDERAL PROJECT FILE.

Original grant or agreement between the State Health Director and contractor/grantor. File includes correspondence concerning the project.

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of agreements or contracts.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ADMINISTRATION
DIVISION OF FISCAL MANAGEMENT
SPECIAL ACCOUNTING SECTION
COST ACCOUNTING/FEDERAL AID BRANCH**

ITEM 7973. REFERENCE AND CORRESPONDENCE FILE.

Reference materials, program correspondence, and special analysis information prepared by special and general request.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 7974. FEDERAL FINANCIAL STATUS REPORT FILE.

Financial status reports and all supporting documentation used to prepare the reports. (Report is prepared annually for 2 grantees.)

DISPOSITION INSTRUCTIONS: Destroy in office after 10 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 7976. CONTRACTS CONTROL/REFERENCE FILE.

Contract control sheets, contract analysis, and related information. File includes numbering schemes and related schedules used to establish and maintain contract records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of contract.