

DEPARTMENT OF HUMAN RESOURCES  
DIVISION OF MEDICAL ASSISTANCE

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

DIVISION OF MEDICAL ASSISTANCE

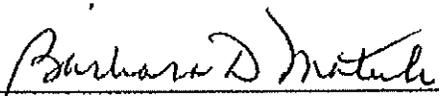
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention 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.

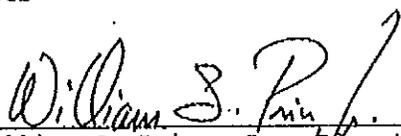
DIVISION OF MEDICAL ASSISTANCE

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 This schedule is to remain in effect until superseded.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

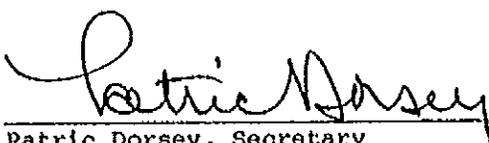
  
Margo Flood, Chief Records Officer  
Department of Human Resources

  
Barbara D. Matula, Director  
Division of Medical Assistance

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

APPROVED

  
David T. Flaherty, Secretary  
Department of Human Resources

  
Patric Dorsey, Secretary  
Department of Cultural Resources

This schedule was modified to  
comply with the provisions of the  
General Schedule for State Agency Records,  
effective October 1, 2000  
Remaining items retain the  
original date shown below.

March 24, 1992

JH

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Records Retention and Disposition Schedule

Organizational Name Change

An organizational name change to this Records Retention and Disposition Schedule is hereby approved. The Records Retention and Disposition Schedule reflects an organizational change from Department of Human Resources to Department of Health and Human Services. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedules of the Department of Human Resources. 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

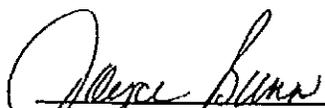
DEPARTMENT OF HEALTH AND HUMAN SERVICES

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. Public records including machine readable records not listed in the schedule are not authorized to be destroyed. The

DEPARTMENT OF HEALTH AND HUMAN SERVICES

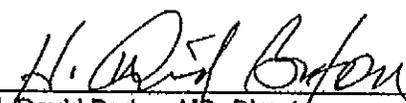
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

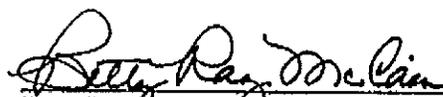
APPROVAL RECOMMENDED

  
\_\_\_\_\_  
Joyce Bunn, Chief Records Officer  
Department of Health and Human  
Services

  
\_\_\_\_\_  
Jeffrey J. Crow, Director  
Division of Archives and History

: APPROVED

  
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H. David Bruton, MD, Director  
Department of Health and Human  
Services

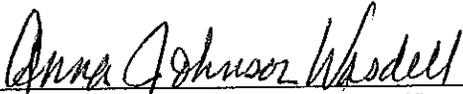
  
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Betty Ray McCain, Secretary  
Department of Cultural Resources

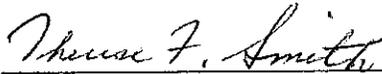
PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

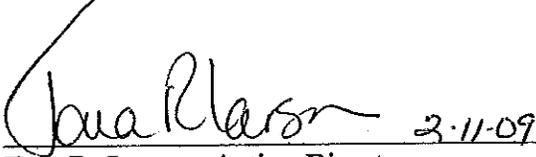
DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF MEDICAL ASSISTANCE  
BUDGET AND MANAGEMENT

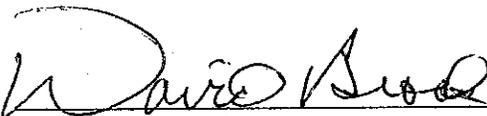
Amend the program records retention and disposition schedule by adding Item 48400 as shown on substitute page dated February 13, 2009.

APPROVAL RECOMMENDED

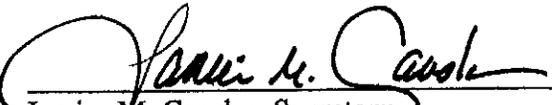
  
Anna Wasdell, Chief Records Officer  
Department of Health and Human Services

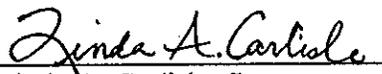
  
Terri Smith, Records Officer  
Division of Medical Assistance

 2-11-09  
Tara R. Larson, Acting Director  
Division of Medical Assistance

  
David Brook, Director  
Division of Historical Resources

APPROVED

  
Lanier M. Cansler, Secretary  
Department of Health and Human Services

  
Linda A. Carlisle, Secretary  
Department of Cultural Resources

February 13, 2009

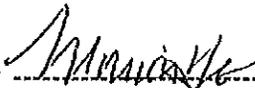
AWH

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

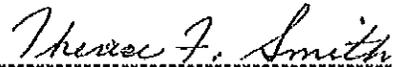
**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF MEDICAL ASSISTANCE  
BUDGET AND MANAGEMENT**

Amend the program records retention and disposition schedule approved February 13, 2009 by the changing the disposition instructions for the following item 48400 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

**APPROVAL RECOMMENDED**



Monica Hughes, Chief Records Officer  
Department of Health and Human Services



Terri Smith, Records Officer  
Division of Medical Assistance

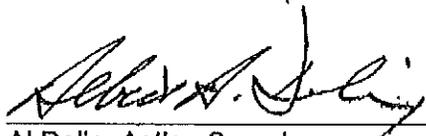


Craig L. Gray, Director  
Division of Medical Assistance

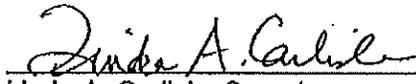


Sarah Koons, Director  
Division of Archives and Records

**APPROVED**



Al Della, Acting Secretary  
Department of Health and Human Services



Linda A. Carlisle, Secretary  
Department of Cultural Resources

May 3, 2012

AWH

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF MEDICAL ASSISTANCE  
BUDGET AND MANAGEMENT

**ITEM 48400. SPECIALIZED THERAPY PRIOR APPROVAL FILE.**

Records in paper and electronic formats, including e-mail, concerning prior authorizations for specialized therapy services from the Carolinas Center for Medical Excellence. File includes patient health records, appeals, Office of Administrative Hearings records, correspondence, and other related records. (Comply with applicable provisions of 42 USC 1320d-2(d) (2) and G.S. 122C-52 and G.S. 122C-56 regarding the confidentiality and safeguarding of records covered by the Health Information Portability and Accountability Act (HIPAA).) Amended 5-03-2012

**DISPOSITION INSTRUCTIONS:** Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records after 6 years 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.