

DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF THE SECRETARY
LEGAL AFFAIRS

Program Records Retention and Disposition Schedule

The Program 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

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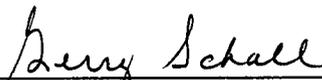
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention 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 electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

The

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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 This schedule is to remain in effect until superseded.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



Gerry Schall, Chief Records Officer
Department of Health and Human Services



Satana T. DeBerry
General Counsel



David J. Olson, Director
Division of Historical Resources

APPROVED



Carmen Hooker Odom, Secretary
Department of Health and Human Services



Lisbeth C. Evans, Secretary
Department of Cultural Resources

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

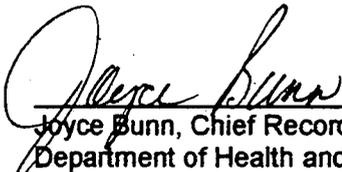
DEPARTMENT OF HEALTH AND HUMAN SERVICES

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

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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

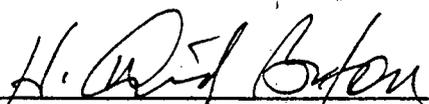


Joyce Bunn, Chief Records Officer
Department of Health and Human
Services

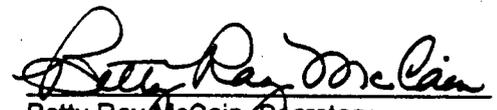


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



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



Betty Ray McCain, Secretary
Department of Cultural Resources

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
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ITEM 1600. RULEMAKING HEARINGS FILE.

Records concerning rulemaking hearings. File includes notices of hearings, correspondence, charts, tapes of the hearings, administrative standards for local agencies, drafts, memorandums, and comments.

DISPOSITION INSTRUCTIONS: Records transferred to Administrative Procedures Act (APA) Rules File (Item 16838).

ITEM 1601. DEPARTMENTAL DIRECTIVES FILE.

Records in paper and electronic formats used in establishing internal departmental policies. File includes department directives and repealed directives. (File maintenance and backup procedures are conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when reference value ends. Transfer paper records 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.

ITEM 1607. STATE LEGISLATION FILE.

Records concerning state legislation affecting the Department of Health and Human Services. File includes explanatory materials, draft bills, and ratified bills.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 1608. ADMINISTRATIVE HEARINGS FILE.

Records concerning administrative hearings. File includes reference copies of federal regulations regarding the hearings in the Department of Health and Human Services. Individual hearings files contain memorandums, tapes, and correspondence relating to hearings.

DISPOSITION INSTRUCTIONS: Records transferred to Administrative Procedures Act (APA) Rules File (Item 16838).

ITEM 16837. NORTH CAROLINA ADMINISTRATIVE CODE FILE.

Records concerning Department of Health and Human Services rules and regulations regarding programs affecting the general public.

DISPOSITION INSTRUCTIONS: Records transferred to Administrative Procedures Act (APA) Rules File (Item 16838).

ITEM 16838. ADMINISTRATIVE PROCEDURES ACT (APA) RULES FILE.

Records in paper and non-paper formats concerning departmental APA rules and regulations which have been adopted, amended, or appealed and are used by the section for reference purposes. File includes notice forms, approval letters, copies of legislative reports concerning review of administrative rules, individual hearings records, tapes of hearings, state administrative code, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 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.

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ITEM 16839. GENERAL ADMINISTRATIVE PROCEDURES ACT (APA) RULES FILE.

General APA correspondence, memorandums, and information concerning APA. File includes correspondence and memorandums with the State Budget Office and the Office of the Attorney General, hearings and rules filing correspondence, job descriptions, and information regarding legal subjects.

DISPOSITION INSTRUCTIONS: Transfer 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.

ITEM 16840. DIRECTIVES NOTEBOOKS FILE.

Records concerning all directives issued by the Department of Health and Human Services. Topics include advisory councils, appointments, budget and fiscal matters, contracts, delegation of authority, operations, organizations, personnel, planning and evaluation, public information, and reports.

DISPOSITION INSTRUCTIONS: Records transferred to Departmental Directives File (Item 1601).

ITEM 16842. SECTION ADMINISTRATIVE FILE.

Records in paper and electronic formats concerning personnel, supplies, and financial information of sections. File includes section reports and other information handled by the section. (File maintenance and backup procedures are conducted by the LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats after 3 years.

ITEM 16843. READING FILE.

Records in paper and electronic formats of correspondence written by the General Counsel. (File maintenance and backup procedures are conducted by the LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats after 3 years.

ITEM 16844. ADMINISTRATIVE RULES REVIEW COMMITTEE (ARRC) FILE.

Correspondence concerning legislative Administrative Procedures Act review. File includes memorandums, ARRC logs, and agendas.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16845. COMPLIANCE PLANS - TITLE VI - CIVIL RIGHTS ACT OF 1964 FILE.

Records concerning division compliance plans. File includes letters and general information concerning the act.

DISPOSITION INSTRUCTIONS: Transfer 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.

ITEM 16846. FEDERAL LEGISLATION FILE.

Records concerning federal legislation affecting the Department of Health and Human Services. File includes North Carolina or department position papers, letters to members of Congress, copies of bills, copies of committee reports, CONGRESSIONAL RECORD excerpts, explanatory materials, and public laws.

DISPOSITION INSTRUCTIONS: Records transferred to Intergovernmental Relations, Federal Legislation File (Item 16847).

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ITEM 16849. FEDERAL REGISTER AND INDEXES FILE.

Regulations, rules, and legal notices issued by federal agencies concerning the Department of Health and Human Services.

DISPOSITION INSTRUCTIONS: Records transferred to Intergovernmental Relations, Federal Register and Indexes File (Item 16848).

ITEM 16851. CODE OF FEDERAL REGULATIONS AND INDEXES FILE.

Codification of general and permanent rules published in the FEDERAL REGISTER.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 16852. COMMENTS ON FEDERAL REGULATIONS FILE.

Excerpts from FEDERAL REGISTER concerning departmental operations. File includes correspondence relating to comments and explanatory materials.

DISPOSITION INSTRUCTIONS: Records transferred to Intergovernmental Relations, Comments on Federal Regulations File (Item 16850).

ITEM 16853. HOUSE BILLS FILE.

State House of Representatives proposed and ratified bills affecting the Department of Health and Human Services.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 16854. SENATE BILLS FILE.

Senate proposed and ratified bills affecting the Department of Human Resources.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 16855. APPROPRIATIONS FILE.

Summaries of recommendations for appropriations.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 16857. DAILY BULLETIN FILE.

Record copies of the DAILY BULLETIN, a weekly summary and daily digest of actions of the North Carolina General Assembly. File includes daily and weekly bulletins published by the Institute of Government.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 16858. ATTORNEY GENERAL CERTIFICATION FORMS FILE.

Certifications by the Office of the Attorney General for rules and regulations. Topics include adoption, readoption, amendments, repeal of rules, and rules and regulations of the North Carolina Administrative Code. Series is used to certify correctness and filing with the Office of Attorney General.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 16860. CONGRESSIONAL RECORD AND INDEXES FILE.

Proceedings and debates of Congress.

DISPOSITION INSTRUCTIONS: Records transferred to Intergovernmental Relations, Congressional Record and Indexes File (Item 16856).

ITEM 16861. REVIEW REQUESTED BY THE GOVERNOR OF STATE REGULATIONS FILE.

Reviews of state regulations.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

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ITEM 16863. MISCELLANEOUS LAWS FILE.

Records concerning federal regulations and laws. File contains house bills, correspondence, federal regulations, and booklets.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 20160. LEGAL PROJECTS FILE.

Project records concerning federal legislation, reorganization, commissions, and divisions in the Department of Health and Human Services. File includes organizational charts by division and rewrites of regulations.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 20172. GENERAL LEGISLATION FILE.

Draft bills, memorandums, and legislation concerning various Department of Health and Human Services programs.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 20174. LAWSUITS FILE.

Records concerning lawsuits affecting the Department of Health and Human Services. File includes correspondence and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when lawsuit is closed out. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 20178. GOVERNOR'S REVIEW AND STUDY OF STATE REGULATIONS AND STATE-ADMINISTERED FEDERAL REGULATIONS FILE.

Records concerning review of regulations affecting the Department of Health and Human Services. File contains notebook of forms completed by each division, notebook of relative correspondence and information, forms summarizing problem regulations by divisions, and reports and forms filled out by each division conducting review.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 45958. CONTINUING LEGAL ISSUES FILE.

Records in paper and electronic formats concerning ongoing division legal issues. File includes correspondence. (File maintenance and backup procedures are conducted by the LAN administrator.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records 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.

ITEM 45959. DIVISION CORRESPONDENCE FILE.

Records in paper and electronic formats concerning correspondence from divisions within the Department of Health and Human Services. (File maintenance and backup procedures are conducted by the LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats after 3 years.

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ITEM 45960. CONTESTED CASE HEARINGS FILE.

Records concerning contested case hearings involving the department. File includes petitions, notices, prehearing statements, recommended decisions, and final decisions for the department. File also includes correspondence and notices from the Office of Administrative Hearings and divisions.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after the case is closed. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.