

DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF FACILITY SERVICES
CERTIFICATE OF NEED SECTION

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

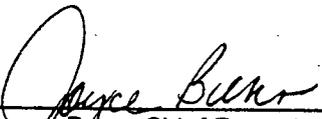
CERTIFICATE OF NEED SECTION

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

CERTIFICATE OF NEED SECTION

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 This schedule is to remain in effect until superseded.

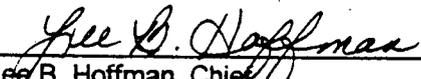
APPROVAL RECOMMENDED



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



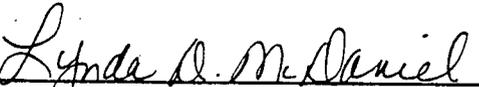
Paul Pennell, Business Officer and Records Officer
Division of Facility Services



Lee B. Hoffman, Chief
Certificate of Need Section



Robert J. Fitzgerald, Deputy Director
Division of Facility Services

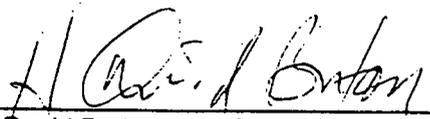


Lynda D. McDaniel, Director
Division of Facility Services

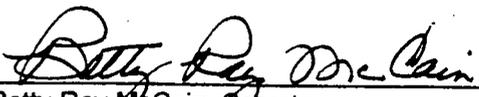


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



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



Betty Ray McCain, Secretary
Department of Cultural Resources

December 16, 1998

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.

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RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

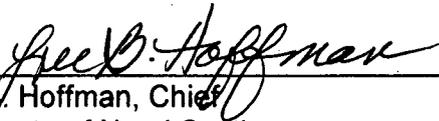
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF FACILITY SERVICES
CERTIFICATE OF NEED SECTION

Amend the records retention and disposition schedule approved December 16, 1998 by changing the description and disposition instructions for Items 1723, 7740, and 7742 as shown on substitute pages dated April 14, 2000.

APPROVAL RECOMMENDED



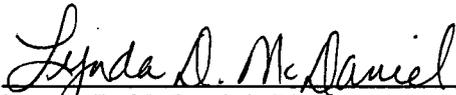
Paul Pennell, Business Officer and Records Officer
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Division of Facility Services

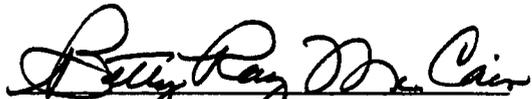


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



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



Betty Ray McCain, Secretary
Department of Cultural Resources

April 14, 2000

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**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF HEALTH SERVICE REGULATION
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ITEM 1723. PROJECT FILE.

Applications and related correspondence received from proponents requesting approval for development of a new institutional health service. File also includes preliminary working drafts of decision findings and conclusions, notes, and correspondence prepared by the section. (Identifying information entered into Certificate of Need Database (Electronic) File (7747).) (Comply with G.S. 132-1.2 regarding confidentiality of trade secrets.) Amended 4-14-00

DISPOSITION INSTRUCTIONS: Transfer decision letters with findings and conclusions to Decision Notebooks File (Item 7739) upon mailing of findings. Destroy in office preliminary working drafts of decision findings and conclusions, notes, and correspondence when superseded by subsequent drafts. Transfer applications and related correspondence for which decisions were appealed within 30 days of date of decision to Appealed Projects File (Item 41116). Transfer applications and related correspondence for approved projects for which decisions were not appealed within 30 days of date of decision to Approved Projects File (Item 41117). Transfer applications and related correspondence for disapproved or withdrawn projects for which decisions were not appealed within 30 days of date of decision to Denied and Withdrawn Projects File (Item 7743). Transfer records for approved projects currently stored in the State Records Center to the custody of the Archives 5 years from date received. Agency representative will destroy records for disapproved or withdrawn projects that are currently stored in the State Records Center as of the date this retention schedule is adopted.

ITEM 7737. SECTION CHIEF'S SUBJECT FILE.

Records concerning the administration and management of the section. File includes correspondence, memorandums, newsletters, and other related records. File also includes records concerning personnel administration, section procedures, and reference copies of department and division directives.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 7739. DECISION NOTEBOOKS FILE.

Reference copies of decision letters documenting findings and conclusions sent to the proponents indicating that a project has been approved or denied by the section.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 7740. GENERAL CORRESPONDENCE FILE.

Correspondence created and received by the section that is not related to a project file. File also includes preliminary working drafts of notes prepared by the section. Amended 4-14-00

DISPOSITION INSTRUCTIONS: Destroy in office preliminary working drafts of notes and correspondence when superseded by subsequent drafts. Destroy in office remaining records after 1 year.

ITEM 7741. LETTERS OF INTENT FILE.

Correspondence received from proponents advising the section of their intent to undertake a project that possibly may be reviewed under the Certificate of Need Program.

DISPOSITION INSTRUCTIONS: Transfer to Project File (Item 1723) upon receipt of application. Destroy in office any letters of intent for which no application is received within 6 months of the date of the letter.

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ITEM 7742. NO REVIEW AND EXEMPTION FILE.

Requests for determination that a project is exempt from or not subject to Certificate of Need review. File also includes copies of responses to the requests, preliminary working drafts of notes, replacement equipment exemptions, and correspondence prepared by the section. Amended 4-14-00

DISPOSITION INSTRUCTIONS: Destroy in office preliminary working drafts of notes and correspondence when superseded by subsequent drafts. Destroy in office replacement equipment exemptions when administrative value ends. If an appeal has been filed and a project identification number has been assigned, transfer replacement equipment exemptions 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 after 5 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.

ITEM 7743. DENIED AND WITHDRAWN PROJECTS FILE.

Applications for development of new institutional health services that were denied or withdrawn. File also includes related correspondence, reference materials, and staff notes.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 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 7744. SPECIAL INFORMATION FILE.

Correspondence, criteria, studies, and standards concerning special information.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 7746. PROJECT INDEX FILE.

Index cards listing proponents who applied for new institutional health services. Cards list county names, applicants' names, description of projects, date application received, and project identification number.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 7747. CERTIFICATE OF NEED DATABASE (ELECTRONIC) FILE.

Machine readable records concerning proponents who applied for new institutional health services. Electronic file includes names of applicants, types of projects, project descriptions, capital expenditures, and other related data.

DISPOSITION INSTRUCTIONS: Retain electronic database file in office permanently. Agency representative will update electronic database file routinely.

ITEM 7748. COMPUTER PRINTOUT FILE.

Computer-produced data detailing information about old applications on an old database.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

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ITEM 7749. MONTHLY REPORTS FILE.

Reports produced monthly by the Certificate of Need Section. File includes Application Decision Reports, Nursing Home Reports, and Intermediate Care Facilities for Mentally Retarded Reports. Monthly reports list applicants, types of projects, project descriptions, public hearing dates, public hearing locations, capital expenditures, decisions, appeals, and other related data.

DISPOSITION INSTRUCTIONS: Transfer 10 or more copies (as required) of each publication to the State Documents Clearinghouse, North Carolina State Library, when received from printer, in accordance with G.S.125-11.7/11.8. Destroy in office remaining copies and related records when reference value ends.

ITEM 7751. APPLICATION FEES FILE.

Records concerning fees received and collected from proponents applying for new institutional health services. File includes copies of application logs, fee logs, checks, and other related records.

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

ITEM 41115. ADMINISTRATIVE RULES FILE.

Records concerning the development of administrative rules. File includes research materials, public comments, completed submission for permanent rule forms, completed notice of text and hearing forms, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after the administrative rule is repealed or superseded.

ITEM 41116. APPEALED PROJECTS FILE.

Approved or disapproved applications for new institutional health services for which the decision was appealed. File also includes correspondence, decision letters documenting findings and conclusions, petitions for appeal, resolution of appeals, and other related records.

DISPOSITION INSTRUCTIONS: Transfer records to Approved Projects File (Item 41117) or Denied and Withdrawn Projects File (Item 7743) after completion of action and resolution of issues involved.

ITEM 41117. APPROVED PROJECTS FILE.

Applications approved for new institutional health services. File also includes correspondence, copies of decision letters documenting findings and conclusions, and other related records.

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center after 5 years of receipt of application and after project is determined to be complete. Records will be held in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 41123. PUBLIC HEARING TAPES FILE.

Tape recordings of public hearings conducted by the Certificate of Need Section personnel during review of applications.

DISPOSITION INSTRUCTIONS: Destroy tapes in office 40 days after decision rendered on the referenced applications, if no appeal has been filed regarding any of the applications referenced on the tapes. If appeal filed, transfer pertinent tapes to Appealed Projects File (Item 41116).