

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF FACILITY SERVICES  
CONSTRUCTION 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

**CONSTRUCTION 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

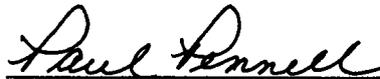
**CONSTRUCTION SECTION**

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 This schedule is to remain in effect until superseded.

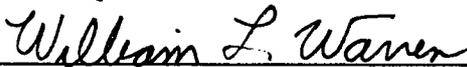
**APPROVAL RECOMMENDED**



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



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



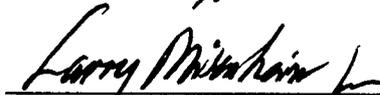
William L. Warren, Chief  
Construction Section



Robert J. Fitzgerald, Deputy Director  
Division of Facility Services



Lynda D. McDaniel, Director  
Division of Facility Services

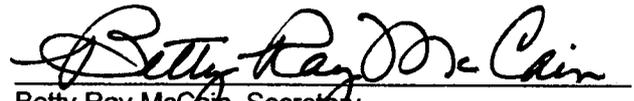


Jeffrey J. Crow, Director  
Division of Archives and History

**APPROVED**



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



Betty Ray McCain, Secretary  
Department of Cultural Resources

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF HEALTH SERVICE REGULATION  
CONSTRUCTION SECTION**

**ITEM 1718. HEALTH CARE FACILITIES FINANCE ACT CONSTRUCTION-COMPLETED FILE.**

Applications and agreements between owners and architects. File also includes review letters, construction bids, contracts, monthly construction progress reports, change orders, drawings for change orders, equipment records, liens, charters and bylaws, fund status progress reports, and other related records concerning bonds issued under the Health Care Facilities Finance Act. (Information entered into Correspondence Database (Electronic) File (Item 41204) and Projects Database (Electronic) File (Item 41205).)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 2 years after completion of project. Records will be held for agency in the State Records Center 8 additional years and then destroyed. Retain in office 2 major licensure inspection reports and documents stamped "Do Not Purge" permanently. Destroy records currently stored in the State Records Center 8 years from date transferred.

**ITEM 1719. BLUEPRINTS FILE.**

Records in paper and electronic formats of blueprints for hospitals, nursing homes, rest homes, family care homes, mental retardation facilities, mental health facilities, and child care facilities requiring architectural and engineering approval by the Division of Facility Services. (Portions of this series related to public buildings are considered confidential and agency shall comply with applicable provisions of G.S. 132-1.7 regarding the confidentiality of plans and drawings of infrastructure facilities.) Amended 03-21-07

DISPOSITION INSTRUCTIONS: Destroy in office paper records after 1 year if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office electronic records when administrative value ends. Destroy microfilm and aperture cards currently being stored in the State Records Center immediately. Retain the original copy of microfilm in the State Archives vault permanently.

**ITEM 1720. LICENSURE FILE.**

Records concerning the construction and life safety for hospitals, nursing homes, homes for the aged, state-owned facilities, and other related health care facilities. File includes correspondence received, licensure inspection reports, project reviews, correspondence, and other related records. (Information entered into Correspondence Database (Electronic) File (Item 41204) and Projects Database (Electronic) File (Item 41205).)

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center 2 years after completion of project. Records will be held for agency in the State Records Center 8 additional years and then destroyed. Retain in office 2 major licensure inspection reports and documents stamped "Do Not Purge" permanently.

**ITEM 1721. COUNTY FILE.**

Records concerning small group homes. File includes floor plans, correspondence received, review letters, and other related records. (Information entered into Correspondence Database (Electronic) File (Item 41204) and Projects Database (Electronic) File (Item 41205).)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 2 years after completion of project. Records will be held for agency in the State Records Center 8 additional years and then destroyed. Retain in office documents stamped "Do Not Purge" permanently.

**ITEM 1722. 101 LIFE SAFETY FOR MEDICARE/MEDICAID FILE.**

Inspection forms and correspondence concerning plant inspections for facilities seeking certification for Medicare or Medicaid. (Information entered into Projects Database (Electronic) File (Item 41205).)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF HEALTH SERVICE REGULATION  
CONSTRUCTION SECTION**

**ITEM 8041. MANAGEMENT BY OBJECTIVES (MBO) FILE.**

Reference copies of MBO and evaluation forms. File includes information on the measure of activities, such as the number of plans reviewed and number of inspections conducted for hospitals, nursing homes, jails and other facilities.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 8058. HEALTH CARE FACILITIES FINANCE ACT CONSTRUCTION-CURRENT FILE.**

Applications and agreements between owners and architects, change orders, charters and bylaws, construction bids, contracts, drawings for change orders, equipment records, liens, and monthly construction progress reports concerning bonds issued under the Health Care Facilities Finance Act. File also includes review letters, project fund status progress reports and other related records.

DISPOSITION INSTRUCTIONS: Transfer completed projects constructed under the Health Care Facilities Finance Act to Health Care Facilities Finance Act Construction-Completed File (Item 1718) when project completed.

**ITEM 8068. PROJECT INDEX FILE.**

Card file listing names of facilities, capacities, project numbers and other related data.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 8077. SPECIFICATIONS FILE.**

Specifications for hospitals, nursing homes, rest homes, family care homes, mental retardation facilities, child care facilities, and Hospital Finance Act projects requiring architectural and engineering approval by the Division of Facility Services.

DISPOSITION INSTRUCTIONS: Destroy in office when construction project approval process has been completed 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 8081. FEDERAL GOVERNMENT CORRESPONDENCE FILE.**

Correspondence written to and received from the federal government concerning inspections for Medicare and Medicaid certification.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 41204. CORRESPONDENCE DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning review of projects prepared by staff. Electronic files are the in-house origin of the Health Care Facilities Finance Act Construction-Completed File (Item 1718), Licensure File (Item 1720), and County File (Item 1721). They are duplicate files that can be searched quicker than hard copy files and may include review correspondence that has been transferred to the State Records Center. (Electronic database systems are connected via a local area network (LAN).) Electronic files on hard drives of the LAN are backed up routinely to magnetic tapes.

DISPOSITION INSTRUCTIONS: Erase in office when administrative value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF HEALTH SERVICE REGULATION  
CONSTRUCTION SECTION**

**ITEM 41205. PROJECTS DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning licensing of health care facilities. Electronic files include project numbers, dates of project receipts, facility name, project description, architect of origin, date final drawings reviewed, date facility physical plant was approved for licensure, and other related data. (Electronic database system is connected via a local area network (LAN).) Electronic files on hard drives of the LAN are backed up routinely to magnetic tapes.

DISPOSITION INSTRUCTIONS: Agency representative will update electronic file routinely.