

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF HEALTH SERVICE REGULATION
HEALTH CARE PERSONNEL EDUCATION AND CREDENTIALING SECTION**

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 Department of Natural and Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. 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.

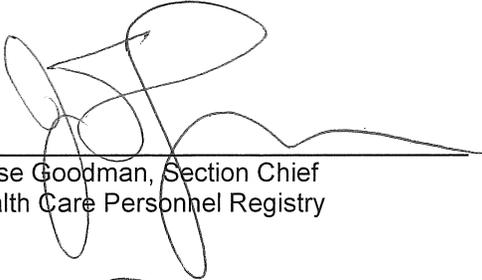
The Department of Health and Human Services and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*reference value ends.*" The Department of Health and Human Services hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Natural and Cultural Resources to destroy these records. For those record series scheduled to be microfilmed, the Department of Health and Human Services will be responsible for cost of microfilm production.

The Department of Health and Human Services and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Department of Health and Human Services agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records.

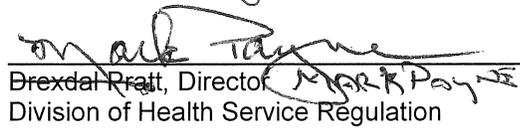
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated with specific retention periods in this program records 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 Department of Health and Human Services agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



Jesse Goodman, Section Chief
Health Care Personnel Registry


Drexel Pratt, Director
Division of Health Service Regulation
Sarah E. Koonts, Director
Division of Archives and Records

APPROVED


Rick Brajer, Secretary
Department of Health and Human Services
Susan W. Kluttz, Secretary
Department of Natural and Cultural
Resources

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ITEM 46090. INITIAL LISTING APPLICATIONS FILE

Records in concerning nurse aide applicants' and medication aide applicants' initial listing in the State Nurse Aide 1 Registry or the Medication Aide Registry. File includes names, addresses, Social Security numbers, approved training and competency evaluation program/testing information, application forms, and other related records. (Comply with G.S. § 132-1.10 regarding confidentiality of personal identifying information.)

DISPOSITION INSTRUCTIONS: Destroy in office paper records after 2 years. Retain electronic records in office permanently. Destroy records currently held at the State Records Center 2 years after date of record.

ITEM 41047. INTENT TO REMOVE NOTICES FILE

Undeliverable letters of intent to remove nurse aides and medication aides from registry listing.

DISPOSITION INSTRUCTIONS: Destroy in office after 30 days.

ITEM 48514. MEDICATION AIDE REGISTRY FILE

Records concerning medication aides listed in the Medication Aide Registry. File includes medication aides' names, addresses, Social Security numbers, names of supervisors, correspondence, and other related records. File also includes answer sheets and fiscal log sheets. (Comply with G.S. § 132-1.10 regarding confidentiality of personal identifying information.)

DISPOSITION INSTRUCTIONS: Destroy request forms and legal identification documents in office after 30 days. Destroy remaining paper records in office after 2 years. Retain electronic records in office permanently.

ITEM 32865. NURSE AIDE REGISTRY FILE

Records concerning nurse aides listed in the Nurse Aide Registry. File includes nurse aides' names, addresses, Social Security numbers, names of supervisors, scannable verification of employment (SVOE), correspondence, and other related records. (Comply with G.S. § 132-1.10 regarding confidentiality of personal identifying information.)

DISPOSITION INSTRUCTIONS: Destroy request forms and legal identification documents in office after 30 days. Destroy remaining paper records in office after 2 years. Retain electronic records in office permanently. Destroy records currently held at the State Records Center 2 years after date of record.

ITEM 41051. NURSE AIDE TRAINING AND COMPETENCY EVALUATION FILE

Records concerning nurse aide training and competency evaluation programs. File includes curricula, applications for approval, competency evaluations, registered nurses' certificate numbers, and other related records.

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

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The following items will be discontinued.**

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ITEM 41050. NURSE AIDE REGISTRY DATABASE (ELECTRONIC) FILE

Machine readable records concerning nurse aides that have met the requirements for Nurses Aide Registry listing. File includes names of nurse aides, addresses, social security numbers, dates of listing, records of actions taken by the section, and other related data. File also includes records on nurse aides training programs and competency evaluation programs regulated by the department. (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.) (Comply with applicable provisions of 5 USC Section 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Nurse Aide Registry File (Item 32865) and Nurse Aide Training and Competency Evaluation File (Item 41051).

ITEM 46089. NURSE AIDE TRAINING DATABASE (ELECTRONIC) FILE

Electronic records concerning nurse aide training and competency evaluation programs. Electronic file includes records concerning state approved nurse aide competency evaluators, program coordinators and instructors, approved or sanctioned clinical sites, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Item discontinued Function and records transferred to Nurse Aide Training and Competency Evaluation File (Item 41051).