

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF FACILITY SERVICES  
HEALTH CARE PERSONNEL REGISTRY 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

HEALTH CARE PERSONNEL REGISTRY 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

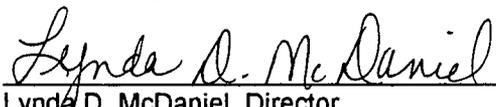
HEALTH CARE PERSONNEL REGISTRY SECTION

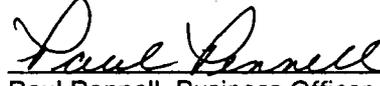
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

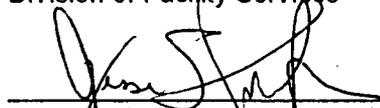
APPROVAL RECOMMENDED

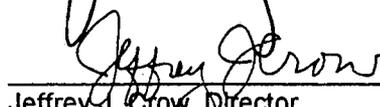
  
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Joyce Burn, Chief Records Officer  
Department of Health and Human Services

  
\_\_\_\_\_  
Robert J. Fitzgerald, Deputy Director  
Division of Facility Services

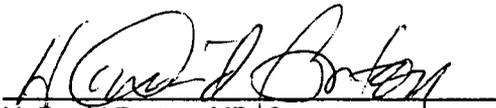
  
\_\_\_\_\_  
Lynda D. McDaniel, Director  
Division of Facility Services

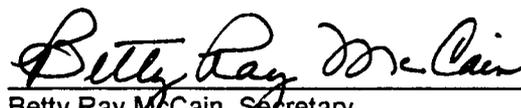
  
\_\_\_\_\_  
Paul Pennell, Business Officer and Records Officer  
Division of Facility Services

  
\_\_\_\_\_  
Jesse S. Goodman, Chief  
Health Care Personnel Registry Section

  
\_\_\_\_\_  
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

May 6, 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.

KLS

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF FACILITY SERVICES  
HEALTH CARE PERSONNEL REGISTRY SECTION  
NURSE AIDE TRAINING AND REGISTRY ADMINISTRATION

Amend the program records retention and disposition schedule approved May 6, 1998 by changing the disposition instructions for Items 32865, 41051, 46089, and 46090 as shown on substitute pages dated March 28, 2003.

APPROVAL RECOMMENDED



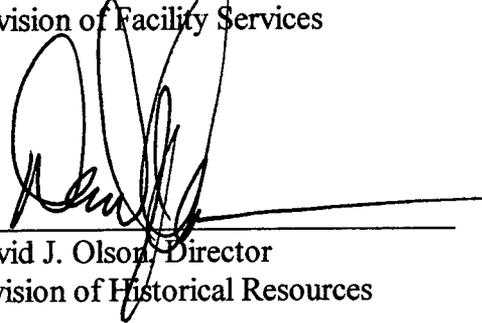
Anna Wasdell, Chief Records Officer  
Department of Health and Human Services



Paul D. Pennell, Records Officer  
Division of Facility Services

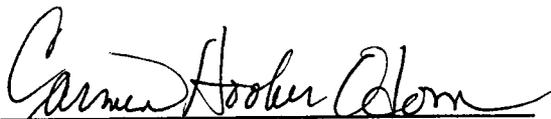


Robert Fitzgerald, Director  
Division of Facility Services



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

March 28, 2003

AWH

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF FACILITY SERVICES  
HEALTH CARE PERSONNEL REGISTRY SECTION  
HEALTH CARE PERSONNEL REGISTRY INVESTIGATIONS BRANCH

Amend the program records retention and disposition schedule approved May 6, 1998 by changing the disposition instructions for Items 41041, 41046, 46113, and 46114 as shown on substitute page dated September 18, 2002.

APPROVAL RECOMMENDED



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



Paul Pennell, Records Officer  
Division of Facility Services



Robert Fitzgerald, Director  
Division of Facility Services

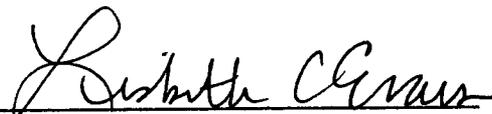


David J. Olson, Director  
Division of Historical Resources

APPROVED



Carmen Hooker Odom, Secretary  
Department of Health and Human Services



Lisbeth C. Evans, Secretary  
Department of Cultural Resources

September 18, 2002

AWH

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

**ITEM 41044. INACTIVE HEALTH CARE PERSONNEL INVESTIGATIONS DATABASE (ELECTRONIC) FILE.**

Electronic records concerning inactive unsubstantiated allegations after investigation excluding records involving juveniles. Electronic file includes facility identifying information, agency investigation reports, intake reports, completed screenings and investigations, interviews, and correspondence. File may also include patient medical data, names and addresses of individuals, and other related data. Data is entered into this database from Inactive Health Care Personnel Unsubstantiated Investigations File (Item 41046). (Comply with applicable provisions of G.S. 131E-105 regarding confidentiality of investigative records.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 4 years after record becomes inactive 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 41045. HEALTH CARE PERSONNEL REGISTRY DATABASE (ELECTRONIC) FILE.**

Electronic records concerning allegations that are unsubstantiated after investigation excluding records involving juveniles. Electronic file includes facility identifying information, agency investigative reports, intake reports, completed screenings and investigations, interviews, and correspondence. File may also include patient medical record data, names and addresses of individuals, and other related data. Data is entered into this database from Active Health Care Personnel Investigations File (Item 41041). (Comply with applicable provisions of G.S. 131E-105 regarding confidentiality of investigative records.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Transfer pending allegation records to Inactive Health Care Personnel Investigations Database (Electronic) File (Item 41044) when allegation becomes unsubstantiated and inactive. Destroy in office remaining records after 4 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 41047. INTENT TO REMOVE NOTICES**

Returned letters of intent to remove nurse  
DISPOSITION INSTRUCTIONS: Destroy

**SUPERSEDED  
January 6, 2016**

**ITEM 41048. JUVENILE HEALTH CARE PERSONNEL INVESTIGATIONS FILE.**

Records concerning investigations of juvenile health care personnel and/or patient. File includes agency investigation reports, intake reports, completed screening forms, investigation records, correspondence, and records related to actions involving contested cases filed against agency with Office of Administrative Hearings. File also includes patient medical records, conclusions, interviews, and allegations. (Comply with applicable provisions of G.S. 7A-544, and 7A-675 regarding confidentiality of juvenile records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 3 years after juvenile reaches 18 years of age. Records will be held in the State Records Center 5 additional years and then destroyed.

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

**ITEM 41050. NURSE AIDE REGISTRY DATABASE (ELECTRONIC) FILE.**

Machine readable  
Registry listing. File  
listing, records of a  
nurse aides training  
(Electronic databases  
drives of the LAN a  
USC Section 552a

**SUPERSEDED  
January 6, 2016**

ments for Nurses Aide  
y numbers, dates of  
so includes records on  
d by the department.  
(Electronic files on hard  
pplicable provisions of 5

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

**ITEM 41184. JUVENILE HEALTH CARE PERSONNEL INVESTIGATION DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning investigations of juvenile health care personnel and/or patient. Electronic file includes drafts of correspondence, investigation reports, intake reports, and other related records. (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 G.S. 7A-544 and 7A-675 regarding confidentiality of juvenile records.)

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

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF HEALTH SERVICE REGULATION  
HEALTH CARE PERSONNEL REGISTRY SECTION  
HEALTH CARE PERSONNEL REGISTRY INVESTIGATIONS BRANCH**

**ITEM 41041. ACTIVE HEALTH CARE PERSONNEL INVESTIGATIONS FILE.**

Records concerning active investigations of allegations against health care personnel. File includes agency investigation reports, intake records, completed screening forms, correspondence, and records of actions involving contested cases filed against agency with the Office of Administrative Hearings. File also includes patient medical records, allegations, interview records, and findings. Enter information when received into Health Care Personnel Registry Investigations Database (Electronic) File (Item 41044) and/or Health Care Personnel Registry Database (Electronic) File (Item 41045) as appropriate. (Comply with applicable provisions of G.S. 131E-105 regarding confidentiality of investigative records.) Amended 9-18-02

DISPOSITION INSTRUCTIONS: Transfer to Inactive Health Care Personnel Investigations File (Item 41046), Inactive Health Care Personnel Substantiated Investigations File (Item 46113), or Inactive Health Care Personnel Closed Cases File (Item 46114) when case is closed.

**ITEM 41046. INACTIVE HEALTH CARE PERSONNEL UNSUBSTANTIATED INVESTIGATIONS FILE.**

Records concerning inactive unsubstantiated investigations involving unlicensed health care personnel. File includes agency investigation reports, intake reports, completed screening forms, correspondence, and other related records. File also includes patient medical records, allegations, interviews, findings, and other related records. Data entered into Health Care Personnel Registry Database (Electronic) File (Item 41044) and/or Health Care Personnel Registry Database (Electronic) File (Item 41045) as appropriate. (Comply with applicable provisions of G.S. 131E-105 regarding confidentiality of investigative records.) Amended 9-18-02

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 1 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

**ITEM 46113. INACTIVE HEALTH CARE PERSONNEL SUBSTANTIATED INVESTIGATIONS FILE.**

Records concerning substantiated investigations of unlicensed health care personnel. File includes agency investigation reports, intake reports, completed screening forms, correspondence, and other related records. File also includes patient medical records, allegations, interviews, findings, and other related records. Data entered into Health Care Personnel Registry Investigations Database (Electronic) File (Item 41044) and/or Health Care Personnel Registry Database (Electronic) File (Item 41045) as appropriate. (Comply with applicable provisions of G.S. 131E-105 regarding confidentiality of investigative records.) Amended 9-18-02

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 destroyed.

**ITEM 46114. INACTIVE HEALTH CARE PERSONNEL CLOSED CASES FILE.**

Records concerning cases closed without investigation of unlicensed health care personnel. File includes agency investigation reports, intake reports, completed screening forms, correspondence, and other related records. File also includes patient medical records, allegations, interviews, findings, and other related records. Data entered into Health Care Personnel Registry Investigations Database (Electronic) File (Item 41044) and/or Health Care Personnel Registry Database (Electronic) File (Item 41045) as appropriate. (Comply with applicable provisions of G.S. 131E-105 regarding confidentiality of investigative records.) Amended 9-18-02

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends 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.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF HEALTH SERVICE REGULATION  
HEALTH CARE PERSONNEL REGISTRY SECTION  
NURSE AIDE TRAINING AND REGISTRY ADMINISTRATION**

**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 supervising nurse aides, verification for employment, correspondence, letters of reference, and other related records. Nurse aides' names, addresses, social security numbers, school attended, and other related data entered into Nurse Aide Database (Electronic) File (Item 41050) when received. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.) Amended 3-28-03

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 1 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

**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. Information entered into Nurse Aide Training Database (Electronic) File (Item 46089) when received. Amended 3-28-03

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**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.) Amended 3-28-03

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends. Update in office electronic file periodically.

**ITEM 46090. INITIAL LISTING APPLICATIONS FILE.**

Records in paper and electronic formats concerning nurse aide applicants' initial listing in the State Nurse Aide 1 Registry. File includes nurse aides' names, addresses, social security numbers, approved training and competency evaluation program information, application forms, and other related data entered into Nurse Aide Registry Database (Electronic) File (Item 41050) when received. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.) (File maintenance and backup procedures conducted by LAN administrator.) Amended 3-28-03

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when reference value ends. Transfer paper records to the State Records Center after 2 years. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

**The records retention and disposition schedule that follows shows the new descriptions and disposition instructions for the items listed on the previous pages as superseded.**

**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

**HEALTH CARE PERSONNEL EDUCATION AND CREDENTIALING 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 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.

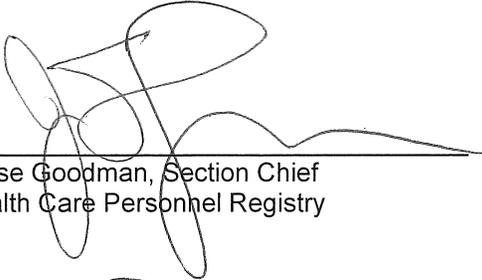
The Department of Health and Human Services and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed 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.

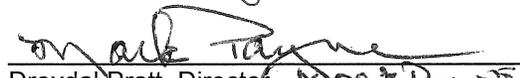
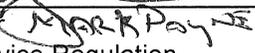
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated 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

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

**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.

**This space left intentionally blank.  
The following items will be discontinued.**

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

**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).