

DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF FACILITY SERVICES
MENTAL HEALTH LICENSURE AND CERTIFICATION

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 This schedule is to remain in effect until superseded.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



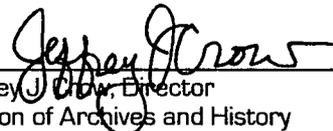
Paul D. Pennell, Chief Records Officer
Division of Facility Services



Jeff Horton, Chief
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Section



Robert J. Fitzgerald, Director
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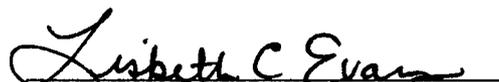


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



Carmen Hooker Buell, Secretary
Department of Health and Human Services



Lisbeth C. Evans, Secretary
Department of Cultural Resources

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF HEALTH SERVICE REGULATION
MENTAL HEALTH LICENSURE AND CERTIFICATION**

ITEM 3493. CLOSED MENTAL HEALTH FACILITIES FILE.

Applications for mental health facilities that have closed. File also includes licensing records and correspondence.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 7683. MENTAL HEALTH LICENSED FACILITIES FILE.

Initial license applications and renewal records for mental health facilities. File also includes inspection reports, licensing letters, floor plans, program descriptions, photographs, correspondence, memorandums, and other related records. (Information entered into Mental Health Licensed Facilities Database (Electronic) File (Item 41081).)

DISPOSITION INSTRUCTIONS: Transfer records for facilities that have closed to Closed Mental Health Facilities File (Item 3493) when facility closes. Transfer remaining records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 7686. PENDING MENTAL HEALTH FACILITIES FILE.

Records concerning facilities applying for licensing. File includes applications and correspondence.

DISPOSITION INSTRUCTIONS: Transfer applications to Mental Health Licensed Facilities File (Item 7683) when licensed. Destroy in office remaining records after 1 year.

ITEM 41081. MENTAL HEALTH LICENSED FACILITIES DATABASE (ELECTRONIC) FILE.

Electronic records concerning Mental Health Licensed Facilities. Electronic file includes applications, inspection reports, licensing letters, program descriptions, memorandums, and other related data. (File maintenance and backup procedures are conducted by agency LAN administrator.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 45731. MENTAL HEALTH HOSPITALS FILE.

Records concerning mental health hospitals and hospital units. File includes Health Care Facility Administration (HCFA) forms, survey reports, surveyors' notes, complaint investigation reports, documentation regarding facility and patients, recertification survey material, state applications for licensing, correspondence, and other related records. (Comply with Chapter 42, 401.126 of the Code of Federal Regulations (CFR) regarding confidentiality of health status of individual Medicaid recipients.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to the State Records Center after completion of action and resolution of issues involved. Records will be held in the State Records Center 3 additional years and then destroyed.

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ITEM 45732. INTERMEDIATE CARE FACILITIES-MENTAL RETARDATION (ICF/MR) FILE.

Records concerning intermediate care facilities for the mentally retarded. File includes Health Care Facility Administration (HCFA) forms, survey reports, correspondence, complaints, medication worksheets, surveyors' notes, disclosures of ownership, and other related records. (Comply with Chapter 42, 401.126 of the Code of Federal Regulations (CFR) regarding confidentiality of health status of individual Medicaid recipients.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to the State Records Center after completion of action and resolution of issues involved. Records will be held in the State Records Center 3 additional years and then destroyed.