

DEPARTMENT OF HUMAN RESOURCES  
DIVISION OF VOCATIONAL REHABILITATION

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

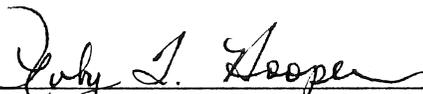
DIVISION OF VOCATIONAL REHABILITATION

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

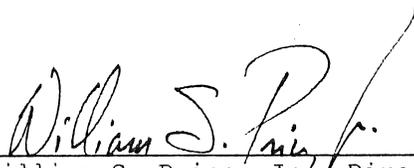
DIVISION OF VOCATIONAL REHABILITATION

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 This schedule is to remain in effect until superseded.

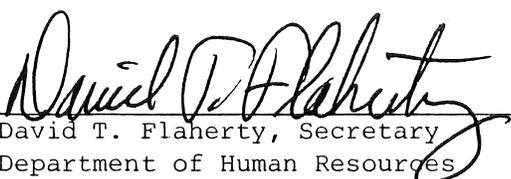
APPROVAL RECOMMENDED

  
\_\_\_\_\_  
Ruby T. Hooper, Chief Records Officer  
Department of Human Resources

  
\_\_\_\_\_  
Claude A. Myer, Director  
Division of Vocational Rehabilitation

  
\_\_\_\_\_  
William S. Price, Jr., Director  
Division of Archives and History

APPROVED

  
\_\_\_\_\_  
David T. Flaherty, Secretary  
Department of Human Resources

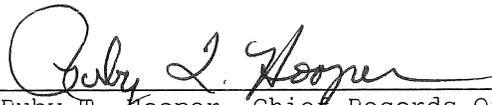
  
\_\_\_\_\_  
Patric Dorsey, Secretary  
Department of Cultural Resources

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

Department of Human Resources  
Division of Vocational Rehabilitation  
Administrative Services  
General Accounting and Payroll

Amend the records retention and disposition schedule approved August 28, 1989 by changing the disposition instructions of items 2215 and 2216 as shown on substitute page dated May 29, 1990.

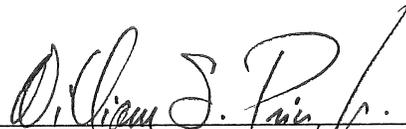
APPROVAL RECOMMENDED



Ruby T. Hooper, Chief Records Officer  
Department of Human Resources



Claude A. Myer, Director  
Division of Vocational Rehabilitation



William S. Price, Jr., Director  
Division of Archives and History

APPROVED



David T. Flaherty, Secretary  
Department of Human Resources



Patric Dorsey, Secretary  
Department of Cultural Resources

May 29, 1990

JH

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

Records Retention and Disposition Schedule

**Organizational Name Change**

An organizational name change to this Records Retention and Disposition Schedule is hereby approved. The Records Retention and Disposition Schedule reflects an organizational change from **Department of Human Resources to Department of Health and Human Services**. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedules of the Department of Human Resources. 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

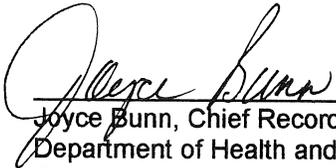
**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

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. Public records including machine readable records not listed in the schedule 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 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

  
\_\_\_\_\_  
Jeffrey J. Crow, Director  
Division of Archives and History

**APPROVED**

  
\_\_\_\_\_  
H. David Bruton, MD, Director  
Department of Health and Human  
Services

  
\_\_\_\_\_  
Betty Ray McCain, Secretary  
Department of Cultural Resources

DEPARTMENT HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION

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

**DIVISION OF VOCATIONAL REHABILITATION**

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.**

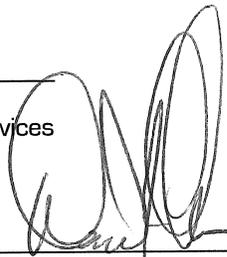
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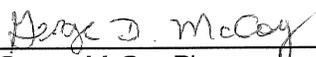
**DIVISION OF VOCATIONAL REHABILITATION**

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**

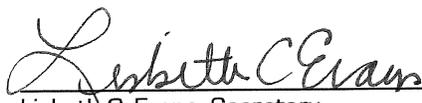
  
\_\_\_\_\_  
Gerry Schall, Chief Records Officer  
Department of Health and Human Services

  
\_\_\_\_\_  
David J. Olson, Director  
Division of Historical Resources

  
\_\_\_\_\_  
George McCoy, Director  
Division of Vocational Rehabilitation

**APPROVED**

  
\_\_\_\_\_  
Carmen Hooker Odom, Secretary  
Department of Health and Human Services

  
\_\_\_\_\_  
Lisbeth C. Evans, Secretary  
Department of Cultural Resources

July 30, 2002

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## ABOUT RECORDS RETENTION AND DISPOSITION SCHEDULES IN NORTH CAROLINA STATE GOVERNMENT

Records may be destroyed *only* on the basis of both the program records schedule developed for your office and the *General Schedule for State Agency Records*. The consistent and routine implementation of the disposition instructions listed in these schedules provides the proper and legal foundation for the disposition of public records through destruction or transfer to the State Records Center. Your program records disposition schedule lists those program-specific records maintained in your office as reported to the Division of Historical Resources. It lists only those records that are unique to your office, whether they are to be destroyed in your office or transferred to the State Records Center. The General Schedule addresses records commonly found in agencies throughout state government, provides uniform descriptions and disposition instructions, and indicates minimum retention periods. Every schedule provides a brief description of each records group (following the item identification number) and instructions for their authorized disposition (following the words "DISPOSITION INSTRUCTIONS").

Authority for these disposition instructions is contained in Chapters 121 and 132 of the *General Statutes of North Carolina*. Compliance with the disposition instructions listed will help ensure conformity with these laws. Compliance will also help assure that records of continuing value are retained and those no longer of value are destroyed. Procedures to be followed in applying this schedule are explained in the N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section 500. Errors and omissions do not invalidate these schedules or render them obsolete. All provisions of these schedules remain in effect until they are officially superseded.

Supervisors or other responsible office personnel, acting through their Records Officers, are requested to notify the Government Records Branch whenever corrections, additions, or deletions in program records schedules should be made. Government Records Branch personnel will then amend that schedule in order to ensure that it remains complete and accurate.

The **official** published version of the *General Schedule* is available through the Government Records Branch's site on the World Wide Web ([www](http://www.ah.dcr.state.nc.us/sections/archives/rec/)), currently located at the following address: <http://www.ah.dcr.state.nc.us/sections/archives/rec/> (Please note that this address is subject to change over time.)

The Government Records Branch will provide, upon request, the following assistance to agencies in the maintenance and operation of records schedules: amendment or update of existing program schedules; supply and delivery of boxes, tape and labels for records listed on program schedules as scheduled to be transferred to the State Records Center; pickup of records to be transferred; reference service on records stored in the State Records Center; and advice and technical assistance in solving records management problems. There is currently no charge for these services.

For questions, please contact  
Albert W. Hargrove, Records Management Analyst  
[al.hargrove@ncmail.net](mailto:al.hargrove@ncmail.net)

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215 N. Blount St.  
Raleigh, NC 27601-2823  
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**Government Records Branch  
NC Division of Historical Resources**

**Mailing address:**  
4615 Mail Service Center  
Raleigh, NC 27699-4615  
**Fax:** 919.715.3627

**ELECTRONIC MAIL AS A PUBLIC RECORD**  
*Guidelines for Its Retention, Disposition, and Destruction*

The Division of Historical Resources assumes that every state agency or other political unit in the state of North Carolina sends and receives electronic mail ("e-mail") or will shortly have the capability of doing so. E-mail (unless it is personal in nature) contains information of value concerning, or evidence of, the administration, management, operations, activities, and business of an office. Like paper records---such as the memoranda, correspondence, reports, and the hundreds of other types of records received traditionally, for example, through interoffice or U.S. mail or other avenues---e-mail has administrative, legal, reference, and/or archival values. The content of electronic mail is a public record (according to G.S. 121-2 (8) and 132.1) and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources. This regulation, along with a current records retention and disposition schedule, is intended to provide for that guidance.

Accordingly, agencies and their offices which use e-mail should normally retain or destroy e-mail by following the provisions of either their own program-specific records retention and disposition schedule or the *General Schedule for State Agency Records*. Taken together, these two schedules will guide the filing of e-mail (whether in paper or electronic format) within existing records series, and the handling of it according to the disposition instructions assigned to each such records series. Because of the characteristics of the medium, however, electronic mail also possesses a dual identity. E-mail is also used to transmit and receive messages which may have reference or administrative value but which are simultaneously of an ephemeral, temporary, or transient nature. As such, e-mail of this kind functions in some ways like telephone calls or telephone messages. Such messages remain public records but may be treated as having a reference or administrative value which ends when the user no longer needs the information such a record contains. E-mail of ephemeral or rapidly diminishing value may be erased or destroyed when the user has determined that its reference value has ended.

Agencies and offices need, however, to pay particular attention to the sometimes complex requirements for the retention of e-mail for longer periods of time, i.e. e-mail of more than transient value. E-mail in this category may be retained in electronic or paper form (the latter may in some cases be the only means of providing for archival retention, for example through microfilming of paper copies), but must be retained for as long as the period specified in a valid records schedule. If retained in paper form, the copies must retain transmission and receipt data. If electronic mail is retained in electronic form, office administrators need to insure that their electronic environment (client server, mainframe computer in or outside their agency, or office personal computer) assures the retention of e-mail for the required period of time. Office administrators may need to contact relevant personnel at ITS (Information Technology Services), at their own agency computer systems unit, or any other personnel who operate computer units or systems immediately or remotely, to insure that such systems process e-mail in accordance with records retention schedules and provide for backups, disaster recovery, physical and electronic security, and the general integrity of the system, its components, and the records it generates and maintains. Office administrators may also need to assure that office filing systems adequately provide for the proper classification of electronic files (including e-mail) in the same manner as currently provided for paper-based files.

All state employees who use e-mail should regularly and consistently retain and delete e-mail in accord with the program records retention and disposition schedule for their offices, the *General Schedule for State Agency Records*, and other instructions, as provided above. Retention of e-mail or any other records, whether in electronic or paper format, for longer than provided in a valid records retention and disposition schedule leads to inefficiency and waste and may subject the affected unit to legal vulnerabilities.

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215 N. Blount St.  
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**Government Records Branch**  
**NC Division of Historical Resources**

**Mailing address:**  
4615 Mail Service Center  
Raleigh, NC 27699-4615  
**Fax:** 919.715.3627

**PUBLIC RECORDS WITH SHORT-TERM VALUE**  
*Guidelines for Their Retention and Disposition*

According to North Carolina General Statutes 121 and 132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristic, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with an approved program records retention and disposition schedule and the *General Schedule for State Agency Records*, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- Facsimile cover sheets containing only transmittal ("to" and "from") information, or information that does not add significance to the transmitted material.
- Routing slips or other records that transmit attachments.
- Reservations and confirmations.
- Personal messages (including electronic mail) not related to official business.
- Preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records.
- Documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business.
- Records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives.

The records described above may be destroyed or otherwise disposed of when their reference value ends.

This guideline is not intended to serve as authorization to destroy or otherwise dispose of unscheduled records. This guideline is intended to complement the use of both an approved records retention and disposition schedule for the creating agency or unit, and the *General Schedule for State Agency Records*, not replace or supersede either. Should a creating agency or unit lack an approved program records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including electronic mail), which are not so authorized by the *General Schedule*. Such offices should contact the Government Records Branch of the Division of Historical Resources for assistance in creating a schedule.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific program records retention and disposition schedules and applicable guidelines for their office, the *General Schedule for State Agency Records*, as well as the public records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

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**Government Records Branch**  
**NC Division of Historical Resources**

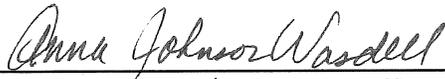
**Mailing address:**  
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Raleigh, NC 27699-4615  
**Fax:** 919.715.3627

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR FISCAL SERVICES  
GENERAL ACCOUNTING AND PAYROLL**

Amend the program records retention and disposition schedule approved July 30, 2002 by changing the disposition instructions for Items 7412 and 7416 as shown on substitute page dated October 14, 2003.

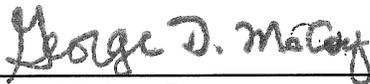
**APPROVAL RECOMMENDED**



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



Jimmy Chappell, Records Officer  
Division of Vocational Rehabilitation



George McCoy, Director  
Division of Vocational Rehabilitation



Jeffrey J. Crow, Deputy Secretary  
Office of Archives and History

**APPROVED**



Carmen Hooker Odom, Secretary  
Department of Health and Human Services



Lisbeth C. Evans, Secretary  
Department of Cultural Resources

October 14, 2003

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**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR FISCAL SERVICES  
ADMINISTRATION**

**ITEM 7402. GRANT AWARD NOTIFICATIONS FILE**

Records in paper and electronic formats concerning correspondence and reports sent to the Department of Education concerning requests, approvals, transfers, deposits, and expenditure of federal funds.

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats after 6 years.

**ITEM 7470. WEEKLY VOUCHER REGISTERS FILE**

Weekly computerized voucher registers concerning payments and summaries of facility expenditures for State Disbursing Account #232.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 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 7473. MONTHLY ALPHABETICAL LISTING OF VOCATIONAL REHABILITATION CLIENTS (REPORT VR413) FILE**

Microfiche computer tabulations concerning clients' referrals and active and closed cases. (Comply with applicable provisions of 34 CFR 361.38 regarding confidentiality of clients' records in the possession of Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 7475. MONTHLY CLIENTS' MASTER LISTINGS (REPORT VCMB375) FILE**

Microfiche concerning clients. Information concerns the four state regions, unit offices, caseloads within regions, and Operations Management System case type. (Comply with applicable provisions of 34 CFR 361.38 regarding confidentiality of clients' records in the possession of Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 7479. WEEKLY DISTRICT AND COUNSELORS' LISTING (REPORT VC010) FILE**

Computer listing detailing district, caseload, counselor, Operations Management System (OMS) Program type, and region code information. File includes state office mail room box numbers for distribution of various reports. Data entered into Client Automation and Tracking System (CATS) Database (Electronic) File, Item 46093 when received. (File is utilized weekly to update new/inactive/vacant caseloads, counselor assignment, transfer or separation, and changes in OMS case type assignment.)

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately.

**ITEM 7480. NEW REFERRALS FOR THE WEEK (REPORT VC040) FILE**

Computer lists concerning all new clients' referrals (Form R-1A) processed during the week by district, caseload, and counselor codes. (Comply with applicable provisions of 34 CFR 361.38 regarding confidentiality of clients' records in the possession of Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately.

**ITEM 7481. STATISTICAL REPORTS FILE**

Computer generated reports used to furnish data for federal and state reporting requirements.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 7482. ALPHABETICAL COUNSELOR CODE CARD FILE**

Alphabetical identification cards concerning each counselor.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR FISCAL SERVICES  
ADMINISTRATION**

**ITEM 7483. NUMERICAL COUNSELORS' CODE CARDS FILE**

Numerical identification cards concerning each counselor.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 7484. MONTHLY DUPLICATED CASES BY SOCIAL SECURITY NUMBER (REPORT VC395) FILE**

Computer generated records of tabulations of social security numbers used to identify duplication of services. (Comply with applicable provisions of 5 USC Sec. 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately.

**ITEM 7485. MONTHLY SUMMARY OF OHD-RSA-30 LETTERS (REPORT VC410, LISTING BY CASELOAD; CODE VC430, LISTING BY VOCATIONAL REHABILITATION NUMBER BY REGION) FILE**

Computer generated records concerning all non-rehabilitated cases closed for reason code 2 (handicap too severe or unfavorable medical prognosis). (Comply with applicable provisions of 34 CFR 361.38 regarding confidentiality of clients' records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 7486. BIWEEKLY VENDOR MASTER LIST (REPORT VA020) FILE**

Computer generated records concerning listing of vendors. File includes vendors' names, addresses, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 7487. WEEKLY VENDOR MASTER FILE MAINTENANCE (REPORT VA010) FILE**

Computer generated records listing all changes/corrections concerning vendors. File also lists all new vendors entered for the week.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 45847. SUBROGATION FILE**

Records concerning client reimbursements to agency for services incurred due to Workers' Compensation and personal injury claims. (Comply with applicable provisions of 34 CFR 361.38 regarding confidentiality of clients' records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 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 45848. REFUND AND CANCELLATION DEPOSIT FILE**

Records concerning refunds and cancellation of deposits. File includes daily deposits to agency regarding reimbursements for overpayments to vendors.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 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.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR FISCAL SERVICES  
ADMINISTRATION**

**ITEM 45853. SOCIAL SECURITY RECOUPMENT FILE**

Records concerning reimbursements to the division for expenditures on clients eligible for Social Security Income (SSI) or Social Security Disability Income (SSDI). File includes client social security claim forms, division expenditures, correspondence, statements of earnings, employment wage histories, and inquiries into social security claims. (Comply with applicable provisions of 34 CFR 361.38 regarding confidentiality of client records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 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.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR FISCAL SERVICES  
GENERAL ACCOUNTING AND PAYROLL**

**ITEM 2217. CERTIFICATES OF DEPOSIT FILE**

Certificates of deposit and related papers.

DISPOSITION INSTRUCTIONS: Transfer audit copies after released from all audits to the State Records Center. Records will be held for agency in the State Records Center 3 additional years and then destroyed. Destroy in office reference copies after 1 year.

**ITEM 7404. ASSISTANT DIRECTOR FOR FISCAL SERVICES' FEDERAL GRANTS REFERENCE FILE**

Records in paper and electronic formats concerning grants. File includes reports regarding expenditures of federal funds for Vocational Rehabilitation programs.

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats when grants are terminated and released from all audits.

**ITEM 7405. ASSISTANT DIRECTOR FOR FISCAL SERVICES APPROVED BUDGET WORKING FILE**

Records in paper and electronic formats concerning Assistant Director for Fiscal Services correspondence with the Department of Administration concerning approval of biennial budgets.

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats after 4 years.

**ITEM 7406. ASSISTANT DIRECTOR FOR FISCAL SERVICES THIRD-PARTY AGREEMENTS REFERENCE FILE**

Reference copies of records in paper and electronic formats concerning division agreements with other state agencies and rehabilitation facilities concerning program objectives, staffing needs, funding arrangements, office equipment, and other contract provisions.

DISPOSITION INSTRUCTIONS: Destroy in office electronic copy after paper copy has been generated. Destroy in office paper records 5 years after termination of agreements 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 7408. FEDERAL ANNUAL REPORTS FILE**

Records in paper and electronic formats concerning Financial Reports with all attached working papers concerning Division of Vocational Rehabilitation programs submitted to the Department of Education.

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats when administrative value ends.

**ITEM 7409. FISCAL CORRESPONDENCE FILE**

Records in paper and electronic formats concerning Assistant Director for Fiscal Services fiscal correspondence with the Department of Health and Human Services and other state agencies.

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats when administrative value ends.

**ITEM 7410. SALES AND USE TAX REPORTS FILE**

Sales and use tax reports submitted monthly to the Department of Revenue.

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

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR FISCAL SERVICES  
GENERAL ACCOUNTING AND PAYROLL**

**ITEM 7412. STOP PAYMENT NOTICE FILE**

Notices of stop payments sent to the Department of State Treasurer's office. Amended 10-14-03

DISPOSITION INSTRUCTIONS: Function and records transferred to the Office of the Controller, General Accounting and Financial Management.

**ITEM 7416. CANCELLED CHECKS FILE**

Cancelled checks concerning disbursing account #232. Amended 10-14-03

DISPOSITION INSTRUCTIONS: Function and records transferred to the Office of the Controller, General Accounting and Financial Management.

**ITEM 7417. REQUISITIONS FOR FUNDS FILE**

Requisitions for funds submitted weekly to the State Disbursing Office to request that funds be deposited with the Department of State Treasurer's office.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 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 7418. BUDGET AND ENCUMBRANCE REPORTS (CASE SERVICES) FILE**

Records in paper and electronic formats concerning budget and encumbrance reports prepared weekly. Data entered into Client Automation and Tracking System (CATS) Database (Electronic) File, Item 46093 when received.

DISPOSITION INSTRUCTIONS: Destroy in office electronic copy immediately after paper copy has been generated. Destroy in office paper 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 7419. ANNUAL CERTIFIED BD701 GENERAL LEDGER REPORT FILE**

Records in paper and electronic formats of ledgers concerning all expenditures and revenues.

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats when released from all audits.

**ITEM 7423. THIRD-PARTY EXPENDITURE REPORTS FILE**

Records in paper and electronic formats concerning unit's monthly billing reports sent to third parties agreeing to share unit facility program operating expenses.

DISPOSITION INSTRUCTIONS: Destroy in office electronic copy immediately after paper copy has been generated. Destroy in office paper records after 3 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 7424. MONTHLY PAYROLL REGISTER FILE**

Records in paper and electronic formats concerning reference copies of employees' payroll checks.

DISPOSITION INSTRUCTIONS: Destroy in office electronic copy immediately after paper copy has been generated. Destroy in office paper records when released from all audits.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR FISCAL SERVICES  
GENERAL ACCOUNTING AND PAYROLL**

**ITEM 7426. PAYROLL DEDUCTIONS AND CHANGE TRANSMITTAL FILE**

Records in paper and electronic formats concerning payroll deductions change transmittal records listing all changes reported to the Central Payroll Section and corrected in the monthly payroll.

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when reference value ends. Destroy in office paper 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 7427. PAYROLL DEDUCTIONS DISBURSEMENT RECORDS FILE**

Records in paper and electronic formats concerning deductions disbursements prepared by State Disbursing Office, Central Payroll Section for employees enrolled in medical insurance plans.

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when reference value ends. Destroy in office paper records after 6 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 7428. INSURANCE STATEMENTS FILE**

Insurance companies' invoices and supporting records used to verify payment of employees' premiums.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 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.