

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.**

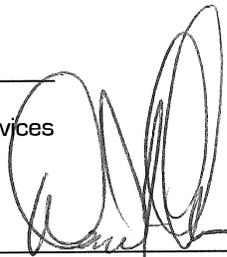
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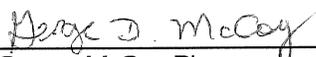
**DIVISION OF VOCATIONAL REHABILITATION**

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 This schedule is to remain in effect until superseded.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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**Street address:**  
215 N. Blount St.  
Raleigh, NC 27601-2823  
**Phone:** 919.733.3540

**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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**NC Division of Historical Resources**

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**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**

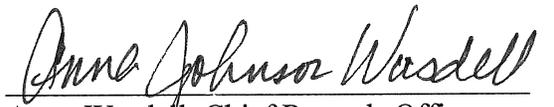
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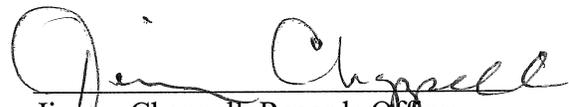
PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR PLANNING, EVALUATION AND TRAINING  
SERVICES  
CHIEF - CONTINUING EDUCATION AND STAFF DEVELOPMENT

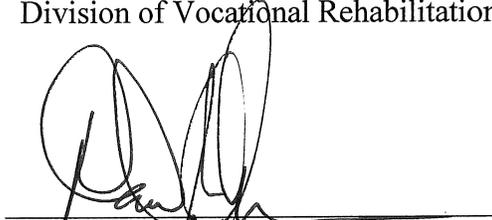
Amend the program records retention and disposition schedule approved July 1, 1997 by changing the disposition instructions for Item 7358 as shown on substitute page dated April 29, 2003.

APPROVAL RECOMMENDED

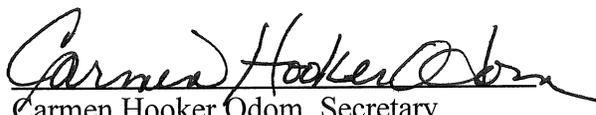
  
Anna Wasdell, Chief Records Officer  
Department of Health and Human Services

  
Jimmy Chappell, Records Officer  
Division of Vocational Rehabilitation

  
George McCoy, Director  
Division of Vocational Rehabilitation

  
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

April 29, 2003

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**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR PLANNING, EVALUATION AND TRAINING  
SERVICES  
ADMINISTRATION**

**ITEM 7327. DEPARTMENT OF HEALTH AND HUMAN SERVICES NUMBERED MEMORANDUMS FILE**

Numbered policy and procedure directives issued by the Secretary of the Department of Health and Human Services.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 7328. REHABILITATION SERVICES ADMINISTRATION NUMBERED MEMORANDUMS FILE**

Department of Education Rehabilitation Services Administration informational memorandums and program regulations.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 7329. ASSISTANT DIRECTOR'S GENERAL SUBJECT FILE**

Records concerning various subjects of interest to the assistant director. File includes correspondence and reports concerning program guidelines (state and federal) and program development.

DISPOSITION INSTRUCTIONS: Destroy in office state and federal guidelines when obsolete or superseded. Destroy in office remaining records when administrative value ends.

**ITEM 7330. ASSISTANT DIRECTOR'S ADMINISTRATION FILE**

Records in paper and electronic formats of assistant director's correspondence with all members of the Division of Vocational Rehabilitation state office staff. File includes informational copies of staff correspondence directed to assistant director's attention and reference copies of staff personnel records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.) (File maintenance and backup procedures conducted by Information Technology Services (ITS).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Destroy in office paper records of staff correspondence when administrative value ends. Transfer paper records of personnel records to the agency personnel office to be incorporated into official personnel file 1 year after employee terminates service.

**ITEM 45815. CORRESPONDENCE FOR SECTIONAL UNITS FILE**

Records in paper and electronic formats of correspondence received by assistant director from sectional units. (File maintenance and backup procedures conducted by Information Technology Services (ITS).)

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

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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SERVICES  
CHIEF - CONTINUING EDUCATION AND STAFF DEVELOPMENT**

**ITEM 7357. TRAINING ACCOUNTS LEDGERS FILE**

Records in paper and electronic formats of accounting ledgers concerning each type of staff training. (File maintenance and backup procedures conducted by LAN administrator.)

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

**ITEM 7359. COLLEGE AND UNIVERSITY IN-SERVICE TRAINING FILE**

Correspondence and reports concerning approval for in-service training and payment of authorized training fees for college and university courses taken by employees.

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

**ITEM 7360. REHABILITATION INSTITUTES SERVICE FILE**

Records in paper and electronic formats of staff correspondence and lists of participants receiving in-service training. (File maintenance and backup procedures conducted by Information Technology Services (ITS).)

DISPOSITION INSTRUCTIONS: Destroy in office electronic copy immediately after paper copy has been generated. Destroy in office paper records after 1 year.

**ITEM 7362. EMPLOYEES' TRAINING MANAGEMENT FILE**

Records concerning the planning and coordination of staff training. File includes federal guidelines, state plans, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 7363. MANAGEMENT TRAINING SPECIALIST'S SUBJECT FILE**

Records in paper and electronic formats of state plans, staff memorandums, and other records concerning state and national planning activities as well as agency policies and programs. File includes financial records and statistical reports. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office electronic copy immediately after paper copy has been generated. Destroy in office paper records of state plans when obsolete or superseded. Destroy in office paper records of financial records when released from all audits. Destroy in office paper records of statistical reports after 1 year. Destroy in office remaining paper records when administrative value ends.

**ITEM 7364. SPECIAL INSTITUTES PLANNING FILE**

Records in paper and electronic formats of correspondence with university officials, special consultants, and staff members concerning special training institutes. (File maintenance and backup procedures conducted by LAN administrator.)

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

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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ASSISTANT DIRECTOR FOR PLANNING, EVALUATION AND TRAINING  
SERVICES  
CHIEF, PLANNING AND EVALUATION SERVICES  
PLANNING, EVALUATION AND PROGRAM REVIEW**

**ITEM 7393. PLANNING AND SERVICES EVALUATION CHIEF'S GENERAL SUBJECT FILE**

Planning and Evaluation Services Chief's correspondence and reports from institutes, university consultants, members of the state vocational rehabilitation staff, and unit staff. File includes or concerns research and planning projects, requests for data, committee reports, and interoffice memorandums. (Comply with applicable provisions of 34 CFR 361.38 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 7394. INACTIVE SUBJECT FILE AND RESEARCH REFERENCE MATERIALS FILE**

Records in paper and electronic formats of Planning and Services Evaluation Chief's correspondence with universities' project directors and consultants concerning research projects. File includes reports and publications of associations, federal and state guidelines, statistical and budget reports, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 7395. PLANNING AND EVALUATION SERVICES CHIEF'S CORRESPONDENCE WITH STATE OFFICE STAFF MEMBERS FILE**

Chief, Planning and Evaluation Services correspondence with Division of Vocational Rehabilitation staff members.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 7396. PROGRAM REVIEWS FILE**

Correspondence, reports, and schedules concerning third-party program evaluation reviews.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 45810. CLIENT SATISFACTION SURVEY FILE**

Records in paper and electronic formats concerning satisfaction of division clients. File includes summary statistics of survey, master copy of survey, and instructional procedures. (File maintenance and backup procedures conducted by Information Technology Services (ITS).)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 45811. PROGRAM EVALUATION REPORT FILE**

Records in paper and electronic formats concerning program evaluation reviews which include third party programs. File includes correspondence, reports, and other related records. (File maintenance and backup procedures conducted by Information Technology Services (ITS).)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 45812. PROGRAM EVALUATION SPECIALISTS DATA AND REPORTS FILE**

Records in paper and electronic formats concerning current research projects. File includes correspondence, reports, project folders, statistical data, and other related records. (File maintenance and backup procedures conducted by Information Technology Services (ITS).)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 45813. PROGRAM PLANNING AND BUDGET (P/PB) FILE**

Records in paper and electronic formats concerning the biennium planning process with the Department of Health and Human Services and the Office of State Budget and Capital Improvement requests. File includes correspondence, instructions, forms, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

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CHIEF, PLANNING AND EVALUATION SERVICES  
PLANNING, EVALUATION AND PROGRAM REVIEW**

**ITEM 45835. SECTION CHIEF'S STATE/DEPARTMENT PLANNING FILE**

Records in paper and electronic formats concerning the biennium planning process with the Department of Health and Human Services and the Office of State Budget and Planning. File includes correspondence, instructions, and final copies of forms inclusive of expansion budget and capital improvement requests. (File maintenance and backup procedures conducted by LAN administrator.)

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

**ITEM 45836. VOCATIONAL REHABILITATION STATE COUNCIL FILE**

Records in paper and electronic formats concerning the activities of the council. File includes correspondence, quarterly minutes, by-laws, membership and member appointment information, annual reports, orientation manuals for members, and meeting agendas. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 45861. REHABILITATION SERVICES ADMINISTRATION (RSA) ANNUAL PROGRAM MONITORING GUIDE AND REVIEW RESPONSES FILE**

Records concerning annual monitoring guide to be completed by the division. File includes RSA response to the division's annual monitoring reviews and agency's response.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 45862. VOCATIONAL REHABILITATION STATE COUNCIL FILE**

Records concerning Vocational Rehabilitation State Council activity. File includes correspondence, quarterly minutes, by-laws, membership and member appointment information, annual reports, orientation manuals for members, agendas, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 45863. PLANNING CHIEF'S DEPARTMENT OF HEALTH AND HUMAN SERVICES PLANNING FILE**

Records concerning biennium planning process with the Department of Health and Human Services and Office of State Budget and Planning. File includes correspondence, instructions, forms, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 45867. PROGRAM PLANNING AND BUDGET (P/PB) FILE**

Records concerning biennium planning process with Department of Health and Human Services and Office of State Budget. File includes capital improvement requests, correspondence, instructions, and forms.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 years.

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CHIEF, PLANNING AND EVALUATION SERVICES  
PLANNING, EVALUATION AND PROGRAM REVIEW**

**ITEM 46032. VOCATIONAL REHABILITATION COUNCIL MINUTES FILE**

Records in paper and electronic formats concerning minutes of the quarterly meetings of the Vocational Rehabilitation Council.

DISPOSITION INSTRUCTIONS: Destroy in office electronic copy immediately after paper copy has been generated. Transfer a paper duplicate copy of the official signed minutes to an off-site storage location after each meeting for security storage. Arrange for delivery of paper records of original minutes to the State Records Center after 1 year to be microfilmed. (Agency personnel should contact the Imaging Unit, Collection Management Branch, to arrange for transfer of original minutes for microfilming.) Paper records will be destroyed in the State Records Center after microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault. Destroy duplicate copies in the off-site location after the original records have been microfilmed.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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CHIEF, PLANNING AND EVALUATION SERVICES  
PLANNING, EVALUATION AND PROGRAM REVIEW/PROGRAM EVALUATION  
AND POLICY ADVISOR**

**ITEM 7399. PROGRAM EVALUATION SPECIALIST'S AND PROGRAM AUDITORS' GENERAL SUBJECT FILE**

Records in paper and electronic formats concerning current research projects. File includes correspondence, project folders, progress reports, program reviews, research reports, summary statistics of client satisfaction survey, and master copy of survey and instructions/procedures. (Comply with applicable provisions of 34 CFR 361.38 regarding confidentiality of records.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when reference value ends. Destroy in office paper records of correspondence with directors of research institutes and Division of Vocational Rehabilitation staff members when project is completed. Destroy in office paper records of project folders when report is published. Destroy in office paper records of statistical data, progress reports, and program reviews when administrative value ends. Retain in office paper records of research reports permanently. Destroy in office remaining paper records when reference value ends.

**ITEM 45834. REHABILITATION SERVICES ADMINISTRATION (RSA) ANNUAL MONITORING GUIDE AND REVIEW RESPONSES FILE**

Records in paper and electronic formats concerning the annual monitoring guide completed by division. File also includes RSA response to division's annual monitoring review along with agency's response. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats after 5 years.

**ITEM 45864. CLIENT SATISFACTION SURVEY FILE**

Records concerning client satisfaction survey. File includes summary statistics of survey, master copy of survey, and instructional procedures.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

**ITEM 45865. PROGRAM EVALUATION REPORT FILE**

Records concerning program evaluation reviews. File includes correspondence, reports, schedules, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 45866. PROGRAM EVALUATION SPECIALISTS' DATA AND REPORTS FILE**

Records in paper and electronic formats concerning current research projects. File includes correspondence, reports, project folders, and statistical data.

DISPOSITION INSTRUCTIONS: Destroy in office electronic copy immediately after paper copy has been generated. Destroy in office paper records of correspondence when project is completed. Destroy in office remaining paper records when report is published.

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CHIEF, PLANNING AND EVALUATION SERVICES  
RULES AND POLICY DEVELOPMENT COORDINATOR**

**ITEM 7398. FAIR HEARINGS FILE**

Records concerning fair hearings granted clients appealing decisions on their cases. File includes reference copies of fair hearing decisions sent to Vocational Rehabilitation State Council as required by law. (Comply with provisions of 34 CFR 361.38 regarding the confidentiality of clients' records in the possession of Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 9024. ADMINISTRATIVE PROCEDURES ACT (APA) FILE**

Records in paper and electronic formats concerning each public rule-making hearing held by the division director. File includes correspondence and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when administrative value ends. Transfer paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 9025. RULES AND CERTIFICATION FORMS SUBMITTED TO THE OFFICE OF ADMINISTRATION HEARINGS FILE**

Reference copies of certification forms submitted to the Office of Administration Hearings for adoptions, amendments, or to repeal rules in the North Carolina Administrative Code.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**ITEM 9026. DIVISION RULES IN THE NORTH CAROLINA ADMINISTRATIVE CODE RECEIVED FROM THE OFFICE OF ADMINISTRATIVE HEARINGS FILE**

Computer generated records of division rules received from the Office of Administrative Hearings.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**ITEM 9027. HISTORY FOR DIVISION RULES FILE**

Resource information concerning division rules in the North Carolina Administrative Code. File includes or concerns drafts of rules, internal comments and instructions, and other information used in the development of the rules.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 9028. REPORTS AND STUDIES RELATED TO THE ADMINISTRATIVE PROCEDURES ACT (APA) AND DIVISION RULES FILE**

Studies and reports concerning the APA and division rules usually prepared at the direction of the General Assembly, Department of Health and Human Services, or the division director.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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CHIEF, PLANNING AND EVALUATION SERVICES  
RULES AND POLICY DEVELOPMENT COORDINATOR**

**ITEM 9029. STATE PLAN FOR VOCATIONAL REHABILITATION SERVICES UNDER TITLE I OF THE REHABILITATION ACT OF 1973 AS AMENDED FILE**

Records in paper and electronic formats concerning each public hearing held or conducted to allow the public an opportunity to comment on the State Plan. File includes correspondence, hearing notes, agendas, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records to the State Records Center after 9 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 9030. APPROVED STATE PLAN, SUPPLEMENTS, AND AMENDMENTS (1973 AS AMENDED) FILE**

Records in paper and electronic formats concerning state plans, supplements, and amendments approved by the Rehabilitation Services Administration. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office electronic copy immediately after paper copy has been generated. Transfer paper records to the State Records Center after 9 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 9031. HISTORY DOCUMENTATION FOR STATE PLANS, SUPPLEMENTS, AND AGREEMENTS FILE**

Records in paper and electronic formats concerning resource information of state plans, supplements, or amendments. File includes drafts, instructions, internal comments, and other related information used in the development of state plans, supplements, or amendments. (File maintenance and backup procedures conducted by LAN administrator.)

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

**ITEM 9032. RULES AND POLICY DEVELOPMENT FILE**

Records in paper and electronic formats concerning training sessions conducted on the Administrative Procedures Act. File includes correspondence and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

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

**ITEM 45817. APPOINTMENTS TO VOCATIONAL REHABILITATION COUNCIL FILE**

Records in paper and electronic formats concerning correspondence recommending appointments to the Vocational Rehabilitation Council. File also includes letters of appointment issued by appointing authority. (File maintenance and backup procedures conducted by LAN administrator.)

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

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR PLANNING, EVALUATION AND TRAINING  
SERVICES  
CHIEF, PLANNING AND EVALUATION SERVICES  
RULES AND POLICY DEVELOPMENT COORDINATOR**

**ITEM 45818. APPEALS HEARING AND MEDIATION ARRANGEMENTS FILE**

Records in paper and electronic formats concerning applications and approval of impartial hearing officers. File includes reference copies of contracts with hearing officers, court reporters, and mediators. File also includes list of hearing officers, background information, and correspondence.

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

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
ASSISTANT DIRECTOR FOR PLANNING, EVALUATION AND TRAINING  
SERVICES  
CHIEF, PLANNING AND EVALUATION SERVICES  
STATISTICIAN**

**ITEM 7474. MONTHLY NUMERICAL LISTING OF VOCATIONAL REHABILITATION CLIENTS  
(REPORT VR411) FILE**

Microfiche computer tabulations concerning clients' referrals and active and closed cases. File includes final issue and other related records. (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 final issue when administrative value ends. Destroy in office remaining records after 1 year.