

DEPARTMENT OF PUBLIC SAFETY

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.

This schedule encompasses the following changes:

- A. The consolidation of the program records retention and disposition schedules for the former Departments of Correction, Crime Control and Public Safety, and Juvenile Justice and Delinquency Prevention.
- B. The removal of all items which were discontinued or whose functions and records were transferred prior to January 1, 2012. These items are listed on the *Items Deleted* attachment.

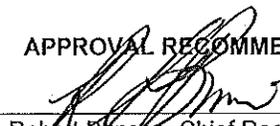
The Department of Public Safety and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative business and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. As part of its program operations the Department of Public Safety agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.

E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any e-mail messages requiring retention longer than 10 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

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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


Robert Blinson, Chief Records Officer
Department of Public Safety


William M. Polk, Special Counsel
Department of Public Safety


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED


Reuben F. Young, Secretary
Department of Public Safety


Linda A. Carlisle, Secretary
Department of Cultural Resources

DEPARTMENT OF CORRECTION
DIVISION OF PRISONS
HEALTH SERVICES

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

HEALTH 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



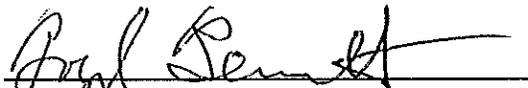
Robert Brinson, Chief Records Officer
Department of Correction



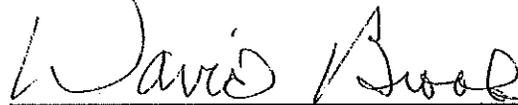
Vickie Smith, RHIA-Medical Record Manager
Health Services



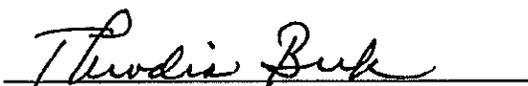
Dr. Paula Smith, Director
Health Services



Boyd Bennett, Director
Division of Prisons



David Brook, Acting Director
Division of Historical Resources



Theodis Beck, Secretary
Department of Correction

APPROVED



Lisbeth C. Evans, Secretary
Department of Cultural Resources

January 30, 2004

This schedule was modified as part of the creation of the Department of Public Safety. Items discontinued or items whose functions and records have transferred have been deleted. Remaining items are effective January 1, 2012.

LDR

**DEPARTMENT OF PUBLIC SAFETY
CORRECTION - DIVISION OF PRISONS
HEALTH SERVICES**

ITEM 679. INPATIENT HEALTH RECORDS FILE.

Records concerning inpatient medical/surgical documents of inmates treated at Central Prison Hospital and McCain Hospital. File includes medical referral forms, medical discharge summaries, medical clinic notes and records, physician's notes and orders, dental reports, treatment records, medication administration records, medical history reports, laboratory and x-ray reports, specialty consultations and other related medical data. (Comply with applicable provisions of G.S. 148-74, 148-76, and Gopal v. Bounds (1972) regarding confidentiality of individual inmate records.)

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center 6 years after inmate's release or parole. Records will be held for agency in the State Records Center 10 additional years and then destroyed.

ITEM 4049. OUTPATIENT HEALTH RECORDS FILE.

Records concerning outpatient medical and mental health records of inmates from geographic units. File includes mental health referral forms, mental health discharge summaries, mental health clinic notes and records, physicians notes and orders, dental reports, treatment records, medication administration records, medical history reports, laboratory and x-ray reports, and other related records. (Comply with applicable provisions of G.S. 130A-12 and 130A-374 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 10 additional years and then destroyed.

ITEM 10070. MONTHLY DOCTOR'S REPORTS FILE.

Record copies of monthly report submitted by each doctor listing inmates evaluated daily by each specialist.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 10071. MONTHLY CLINIC REPORT FILE.

Record copies of a monthly report listing total number of inmates evaluated daily and other statistical data.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 10072. CENTRAL PRISON HOSPITAL CLINIC ROSTER FILE.

Record copies of daily record of all inmates seen and evaluated in the outpatient clinic.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 10073. MENTAL HEALTH FACILITY DAILY REPORT FILE.

Record copies of the daily report for the mental health facility.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 10074. INCIDENT REPORT FILE.

Records copies of information used to document incidents by identifying individuals involved and statements of facts.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 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 10075. INMATE ELECTROENCEPHALOGRAM RECORDING FILE.

Record copies of electroencephalogram (EEG) readings on inmates. (Comply with applicable provisions of G.S. 148-74, 148-76, and Gopal v. Bounds (1972) regarding confidentiality of individual inmate records.)

DISPOSITION INSTRUCTIONS: Records transferred to Outpatient Health Records File (Item 4049) upon completion of tests.

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ITEM 10083. INMATE INFECTION CONTROL FILE.

Record copies of information on the control of Tuberculosis, Influenza, Hepatitis B, Hepatitis C, HIV, Nosocomial Infection, and other infection control records. (Comply with applicable provisions of G.S. 148-74, 148-76, and Gobal v. Bounds (1972) regarding confidentiality of individual inmate records.)

DISPOSITION INSTRUCTIONS: Records transferred to Outpatient Health Records File (Item 4049) upon completion of tests.

ITEM 47048. INPATIENT/RESIDENTIAL MENTAL HEALTH RECORDS FILE.

Records concerning treatment of inmates at inpatient and residential mental health facilities. File includes mental health referral forms, diagnostic tests, social history, consultations, treatment team plans, admission notes, transfer notes, physician notes, nurses' notes and discharge summaries. Mental Health records dated prior to 1997 can be found in Item 679, Inpatient Health Records File. (Comply with applicable provisions of G.S. 148-74, 148-76, and Gobal v. Bounds (1972) regarding confidentiality of individual inmate records.)

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center 6 years after inmate's release, parole, discharge or treatment date. Records will be held for agency in the State Records Center 10 additional years and then destroyed.

ITEM 47049. RAW PSYCHOLOGICAL TEST DATA FILE.

Records documenting the IQ testing of each inmate upon entry into the Department of Correction system. File includes raw psychological test data and IQ testing pamphlets. (Comply with applicable provisions of G.S. 148-74, 148-76, and Gobal v. Bounds (1972) regarding confidentiality of individual inmate records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years. Records will be held for agency in the State Records Center for 14 additional years and then destroyed.

ITEM 47050. EMPLOYEE INFECTION CONTROL FILE.

Record copies of information on employees who have been exposed to and require treatment for Tuberculosis, Influenza, Hepatitis B, Hepatitis C, HIV, Nosocomial Infection, and other infection control records. (Comply with applicable provisions of G.S. 130A-143, and 130A-374 regarding confidentiality of medial records. Comply with applicable provisions of G.S. 126-22, 126-3, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 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.