

DEPARTMENT OF STATE TREASURER
HEALTH AND WELLNESS TRUST FUND

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.

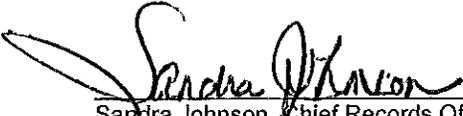
The Department of State Treasurer and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further 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 State Treasurer agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.

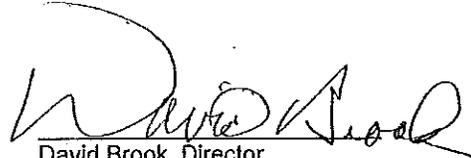
E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any E-mail messages requiring retention longer than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

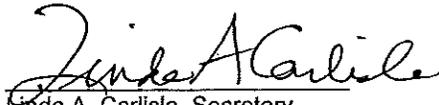
APPROVAL RECOMMENDED


Sandra Johnson, Chief Records Officer
Department of State Treasurer


David Brook, Director
Division of Historical Resources

APPROVED


Janet Cowell, State Treasurer
Department of State Treasurer


Linda A. Carlisle, Secretary
Department of Cultural Resources

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ITEM 49117. HEALTH AND WELLNESS TRUST FUND COMMISSION FILE.

Records in paper and electronic formats, including e-mail, concerning the Health and Wellness Trust Fund Commission. File includes correspondence, letters of appointment, reports, statements of economic interest, and other related records. (Comply with applicable provisions of 5 USC 552A regarding records maintained on individuals and applicable provisions of G.S. 132-1.2(2) and 132-1.10 regarding confidentiality of account numbers, social security numbers and other personal data.)

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center immediately upon closure of the commission. Records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives. Transfer electronic records immediately to the State Records Center for immediate transfer to the custody of the Archives. Contact the Electronic Records Branch prior to the transfer of electronic records.

ITEM 49118. HEALTH AND WELLNESS TRUST FUND COMMISSION MINUTES FILE.

Records in paper and electronic formats, including e-mail, concerning minutes of the Health and Wellness Trust Fund Commission. File includes agendas, approved commission minutes, correspondence, meeting minutes, reports, and other related records. (Comply with applicable provisions of 5 USC 552A regarding records maintained on individuals and applicable provisions of G.S. 132-1.2(2) and 132-1.10 regarding confidentiality of account numbers, social security numbers and other personal data.)

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center immediately upon closure of the commission. Records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives. Transfer electronic records immediately to the State Records Center for immediate transfer to the custody of the Archives. Contact the Electronic Records Branch prior to the transfer of electronic records.

ITEM 49119. EXECUTIVE DIRECTOR'S FILE.

Records in paper and electronic formats, including e-mail, concerning the Executive Director of the Health and Wellness Trust Fund. File includes correspondence, meeting minutes, reports, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center immediately upon closure of the commission. Records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives. Transfer electronic records immediately to the State Records Center for immediate transfer to the custody of the Archives. Contact the Electronic Records Branch prior to the transfer of electronic records.

ITEM 49120. EVALUATION OFFICER'S FILE.

Records concerning in paper and electronic formats, including e-mail, concerning the Evaluation Officer and oversight of program activities of the Health and Wellness Trust Fund. File includes correspondence, meeting minutes, reports, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center immediately upon closure of the commission. Records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives. Transfer electronic records immediately to the State Records Center for immediate transfer to the custody of the Archives. Contact the Electronic Records Branch prior to the transfer of electronic records.

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ITEM 49121. OPERATIONS DIRECTOR'S FILE.

Records concerning in paper and electronic formats, including e-mail, concerning the operations director and activities of the Health and Wellness Trust Fund staff. File includes correspondence, meeting minutes, reports, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center immediately upon closure of the commission. Records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives. Transfer electronic records immediately to the State Records Center for immediate transfer to the custody of the Archives. Contact the Electronic Records Branch prior to the transfer of electronic records.

ITEM 49122. PERSONNEL FILE.

Records concerning commission personnel. File includes applications, resumes, offer letters, job descriptions, personnel action forms, change of address forms, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer records to Department of State Treasurer, Treasurer's Office, Department Personnel File (Item 16234).

ITEM 49815. PRESS FILE.

Records in paper and electronic formats, including e-mail, concerning the Social Marketing and Communications Director of the Health and Wellness Trust Fund. File includes correspondence, press releases, reports, speeches, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center immediately upon closure of the commission. Records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives. Transfer electronic records immediately to the State Records Center for immediate transfer to the custody of the Archives. Contact the Electronic Records Branch prior to the transfer of electronic records.

ITEM 49816. FINANCE DIRECTOR'S FILE.

Records in paper and electronic formats, including e-mail, concerning the Finance Director and the fiscal activities of the Health and Wellness Trust Fund. File includes correspondence, fiscal statements, grant-related records, invoices, meeting minutes, reports, and other related records. (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of fiscal records.)

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center immediately upon closure of the commission. Destroy grant related records after 5 year(s) after closure of grant/contract 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. Remaining paper records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives. Transfer electronic records immediately to the State Records Center for immediate transfer to the custody of the Archives. Contact the Electronic Records Branch prior to the transfer of electronic records.

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ITEM 49817. ELIMINATING HEALTH DISPARITIES INITIATIVE PROJECT FILE.

Records in paper and electronic formats, including e-mail, concerning Eliminating Health Disparities Initiative Project of the Health and Wellness Trust Fund. File includes correspondence, fiscal statements, grant-related records, invoices, meeting minutes, reports, and other related records. (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of fiscal records.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer paper records to the State Records Center immediately upon closure of the commission. Destroy grant related records after 5 year(s) after closure of grant/contract 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. Remaining paper records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives.

ITEM 49818. PRESCRIPTION ASSISTANCE PROGRAM PROJECT FILE.

Records in paper and electronic formats, including e-mail, concerning Prescription Assistance Project of the Health and Wellness Trust Fund. File includes correspondence, fiscal statements, grant-related records, invoices, meeting minutes, reports, and other related records. (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of fiscal records.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer paper records to the State Records Center immediately upon closure of the commission. Destroy grant related records after 5 year(s) after closure of grant/contract 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. Remaining paper records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives.

ITEM 49819. SPECIAL PROJECTS FILE.

Records in paper and electronic formats, including e-mail, concerning special projects of the Health and Wellness Trust Fund. File includes correspondence, fiscal statements, grant-related records, invoices, meeting minutes, reports, and other related records. (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of fiscal records.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer paper records to the State Records Center immediately upon closure of the commission. Destroy grant related records after 5 year(s) after closure of grant/contract 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. Remaining paper records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives.

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ITEM 49820. ACTIVE TOBACCO PREVENTION AND CESSATION INITIATIVES PROJECT FILE.

Records in paper and electronic formats, including e-mail, concerning active grant and project files pertaining to Tobacco Prevention and Cessation Initiatives Project of the Health and Wellness Trust Fund. These projects concern Tobacco Use Prevention and Cessation Initiatives (TUPC) and other tobacco-related projects administered by the HWTF. File includes correspondence, fiscal statements, grant-related records, invoices, meeting minutes, reports, and other related records. (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of fiscal records.)

DISPOSITION INSTRUCTIONS: Function and records transfer to the N.C. Department of Health and Human Resources, Division of Public Health upon closure of the Health and Wellness Trust Fund.

ITEM 49821. CLOSED TOBACCO PREVENTION AND CESSATION INITIATIVES PROJECT FILE.

Records in paper and electronic formats, including e-mail, concerning closed grant and project files pertaining to Tobacco Prevention and Cessation Initiatives Project of the Health and Wellness Trust Fund. These projects concern Tobacco Use Prevention and Cessation Initiatives (TUPC) and other tobacco-related projects administered by the HWTF. File includes correspondence, fiscal statements, grant-related records, invoices, meeting minutes, reports, and other related records. (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of fiscal records.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer paper records to the State Records Center immediately upon closure of the commission. Transfer closed grant related records to the State Records Center. Destroy grant related records after 5 year(s) after closure of grant/contract 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. Remaining paper records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives.

ITEM 49822. ACTIVE CHILDHOOD OBESITY PROJECT FILE.

Records in paper and electronic formats, including e-mail, of active grant and project files pertaining to Childhood Obesity Project of the Health and Wellness Trust Fund Commission (HWTF). These projects concern Childhood Obesity Project and other obesity-related projects administered by the HWTF. File includes correspondence, fiscal statements, grant-related records, invoices, meeting minutes, reports, and other related records. (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of fiscal records.)

DISPOSITION INSTRUCTIONS: Function and records transfer to the N.C. Department of Health and Human Resources, Division of Public Health upon closure of the Health and Wellness Trust Fund.

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ITEM 49823. CLOSED CHILDHOOD OBESITY PROJECT FILE.

Records in paper and electronic formats, including e-mail, of closed grant and project files pertaining to Childhood Obesity Project of the Health and Wellness Trust Fund Commission (HWTF). These projects concern Childhood Obesity Project and other obesity-related projects administered by the HWTF. File includes correspondence, fiscal statements, grant-related records, invoices, meeting minutes, reports, and other related records. (Comply with applicable provisions of G.S. 105-241; G.S. 105-259; G.S. 105-262; NCAC T17-C1-S1C.0503; G.S. 105-129; G.S. 105-228.5; G.S. 132-1.1; IRS 1075, Exhibit 3; and Internal Revenue Code, Section 6103 concerning confidentiality of fiscal records.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer paper records to the State Records Center immediately upon closure of the Health and Wellness Trust Fund. Transfer closed grant related records to the State Records Center. Destroy grant related records after 5 year(s) after closure of grant/contract 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. Remaining paper records will be held for agency in the State Records Center 3 additional years and then transferred to the custody of the Archives.