



North Carolina Department of Cultural Resources

Beverly Eaves Perdue, Governor
Linda A. Carlisle, Secretary

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

North Carolina Department of Cultural Resources

RECORDS MANAGEMENT FOR LOCAL HEALTH DEPARTMENTS

Statutes of Interest

- **G.S. 121: Archives and History Act**
 - Assigns the Department of Cultural Resources the duty of conducting a records management program “to give advice and assistance to the public officials and agencies in matters pertaining to the economical and efficient maintenance and preservation of public records”
 - Regulates the destruction of public records
- **G.S. 132: Public Records**
 - Defines public records
 - Describes the rights of the public to access public records
 - Regulates the destruction of public records
- **G.S. 8-45.1: Photographic Copies of Business and Public Records**
 - Describes the admissibility of photographic reproductions

The General Assembly’s General Statutes website <http://www.ncleg.net/gascripts/Statutes/StatutesTOC.pl>

Health Department Records Retention and Disposition Schedule

- Schedule was revised in September 7, 2007
 - Available on our website at: <http://www.ah.dcr.state.nc.us/records/local/default.htm>
 - New table format with a table of contents and index for quick reference
- 17 standards for Program Operational Records:
 - *Standard-8. Adult Health Records*
 - *Standard-9. All Health Department Programs*
 - *Standard-10. Animal Control Programs*
 - *Standard-11. Business Office and Patients’ Financial Records*
 - *Standard-12. Environmental Health Records*
 - *Standard-13. Epidemiology Records*
 - *Standard-14. Health Education Records*
 - *Standard-15. Home Health Records*
 - *Standard-16. Laboratory Records*
 - *Standard-17. Maternal and Child Health Records*
 - *Standard-18. Orthopedic Records*
 - *Standard-19. Patient Clinical Records*
 - *Standard-20. Pharmacy Records*

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Raleigh, N.C. 27699-4615

Telephone (919) 807-7350
Facsimile (919) 715-3627

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215 N. Blount Street
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- *Standard-21. Radiology Records*
- *Standard-22. School Health Records*
- *Standard-23. Vital Records*
- *Standard-24. Women, Infants, and Children (WIC) Records*

Significant Changes to Schedule

Additions:

- *Standard-7. Risk Management Records*
- *Audits: Performance*, item 6, *Standard-1. Administration and Management Records*
- *Audits: Financial*, item 5, *Standard-2. Budget, Fiscal and Payroll Records*
- *Standard-3. Information Technology (IT) Records* supersedes old Machine Readable and Electronic Records standard.
- HIPAA (Health Insurance Portability and Accountability Act) Security Implementation Records, item 5, *Standard-9. All Health Department Programs*
- *Standard-10. Animal Control Programs*
- *Standard-11. Business Office and Patients' Financial Records*
- *Immunization Consent Form*, item 3, *Standard-19. Patient Clinical Records*
- *Mammograms*, item 5, *Standard-19. Patient Clinical Records*
- *Standard-20. Pharmacy Records*
- *Standard-21. Radiology Records*
- *Standard-22. School Health Records* (Significant expansion of records series)

Amendments:

- All records series supported by grant funds have been increased to a 5 year retention period.
 - Records supporting the expenditure of federal funds passed through the Department of Health and Human Services may be destroyed on a fiscal year basis when written permission has been received from DHHS Office of the Controller. See the semi-annual "Dear Director" letter from the office:
 - <http://www.dhhs.state.nc.us/control/>
- *Blueprints and Specifications*, item 7, *Standard-1. Administration and Management Records* (Confidential)
- *Grants*, item 26, *Standard-1. Administration and Management Records* (Increased from 3 years to 5 years)
- *Payroll Deductions Records and Payroll and Earning Records*, items 37-38, *Standard-2. Budget, Fiscal and Payroll Records* (increased from 3 to 4 years)
- *Withholding Tax Records*, item 50, *Standard-2. Budget, Fiscal and Payroll Records* (Increased from 3 to 4 years)
- *Litigation Case Records*, item 11, *Standard-4. Legal Records* (Reduced from permanent to 5 years after final disposition of case)
- *Standard-5. Personnel Records* (Significant revision to this standard)
- *Personnel Records*, item 48, *Standard-5. Personnel Records* (Reduced from permanent to 30 years after date of separation)
- *Standard-12. Environmental Health Records* (Significant rework of records series descriptions)
- *Immunization Records*, item 2, *Standard-19. Patient Clinical Records* (Rewording of disposition instructions to include North Carolina Immunization Registry (NCIR) system)
- *X-Ray*, item 11, *Standard-19. Patient Clinical Records* (Rewording of disposition instructions to include pediatric patient records)

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Policies and Procedures:

- The records retention and disposition schedule must be approved by the Board of Health in an open session. The chair of the board and the director of the department should sign a copy of the page with the state officials' signatures. Mail a photocopy of the completed signature sheet to :
Government Records Branch
4615 Mail Service Center
Raleigh, NC 27699-4615
- **Permanent records**, as defined by the schedule, **must** have a preservation duplicate on paper or microfilm
- **Scanned records** may be destroyed after the county completes the Self-Warranty process, and has its electronic records policy and "Request for Disposal of Original Records Duplicated by Electronic Means" form approved by the Government Records Branch

PUBLISHED RESOURCES

Located on Government Records Branch website at <http://www.records.ncdcr.gov>

Local Records Management

- Managing Public Records for Local Government Agencies (online tutorial)

E-Mail

- E-Mail as a Public Record in North Carolina: Guidelines for its Retention and Disposition (August, 2002)
- E-Mail User Guidelines Checklist
- Managing Your Inbox: E-Mail as a Public Record (online tutorial)

Electronic Records

- Digital Imaging Systems Guidelines (August, 2003)
- Recommended Digital File Formats (March, 2007)
- Best Practices for Digital Preservation (April, 2008)
- Best Practices for File-Naming (May, 2008)
- NC Guidelines for Managing Public Records Produced by Information Technology Systems (April, 2000)
 - Addresses admissibility issues
 - Self-Warranty form is required for approved imaging systems
- Public Database Indexing Guidelines (April, 1996)
- Security Backup Files as Public Records In North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files (August, 2002)
- Web Site Guidelines (July, 2006)
- Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls (online tutorial)

Consultation and Assistance

- Records management analysts
 - Write records retention and disposition schedules for county and municipal offices
 - Answer questions about records schedules and general records management
 - Conduct workshops for local agencies, including management of public records, scanning, micrographics, management of electronic records, as well as custom workshops
 - Provide assistance on disaster planning and recovery issues

Records Management Analysts of the Local Records Program

BECKY MCGEE-LANKFORD	TOM VINCENT	VACANT	JEFF FUTCH
Brunswick Carteret Craven Duplin Jones Lenoir New Hanover Onslow Pamlico Pender Sampson	Beaufort Bertie Camden Chowan Currituck Dare Edgecombe Franklin Gates Granville Greene Halifax Hyde Johnston Martin Nash Northampton Pasquotank Perquimans Pitt Tyrrell Vance Wake Warren Washington Wayne Wilson	Alamance Anson Bladen Cabarrus Caswell Chatham Columbus Cumberland Davidson Davie Durham Forsyth Guilford Harnett Hertford Hoke Lee Montgomery Moore Orange Person Randolph Richmond Robeson Rockingham Rowan Scotland Stanly Stokes Surry Union Yadkin	Alexander Alleghany Ashe Avery Buncombe Burke Caldwell Catawba Cherokee Clay Cleveland Gaston Graham Haywood Henderson Iredell Jackson Lincoln Macon Madison McDowell Mecklenburg Mitchell Polk Rutherford Swain Transylvania Watauga Wilkes Yancey
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