

INSTITUTIONS OF THE UNIVERSITY OF NORTH CAROLINA SYSTEM

University General Records Retention and Disposition Schedule

Amend the following items on the records retention and disposition schedule approved January 2018, as shown on the included schedule. All other items on this schedule remain in effect as previously approved.

- Annual Giving Fund Records (Standard 3, Item 3)
- Tax Forms (Standard 5, Item 20)
- Travel Reimbursements (Standard 5, Item 23)
- Research Data Sets (Standard 6, Item 8)
- Payroll (Standard 10, Item 33)
- Shift Premium Pay (Standard 10, Item 43)
- Time Sheets (Standard 10, Item 46)
- Workers' Compensation Program Administration (Standard 10, Item 50)
- Pre-College Program Records (Standard 13, Item 4)
- Student Counseling Records (Standard 16, Item 7)
- Student Immunization Records (Standard 16, Item 8)
- Student Mental Health Records (deleted from Standard 16)
- Student Counseling Records (deleted from Standard 17)
- Medical Center and School of Medicine Records (new Standard 18)

APPROVAL RECOMMENDED



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



William L. Roper, Interim President
University of North Carolina System



Susi H. Hamilton, Secretary
Department of Natural and Cultural Resources

ACKNOWLEDGED

University Records Officer/Archivist


University

STANDARD 3: DEVELOPMENT AND ALUMNI RECORDS

Official records created and accumulated regarding University financial development and advancement efforts and other interactions with alumni.

Note: Pursuant to G.S. § 116-30.20, UNC institutions may establish private, nonprofit corporations to support the institution. Although these associated entities and foundations can use these disposition instructions as a model of best practice for their records retention, they are not bound by public records law.

3

Series #	Records Series Title and Description	Disposition Instructions	Citation
3.1	ALUMNI ASSOCIATION RECORDS Records documenting the University's and individual units' alumni associations. Includes correspondence, publications, reports, and other related records.	Transfer to University Archives after 5 years for appraisal and final disposition.	
3.2	ALUMNI CONTACT INFORMATION Lists of names, addresses, phone numbers, and other contact information for University alumni.	Destroy in office when superseded or obsolete.	
3.3 	ANNUAL GIVING FUND RECORDS Records documenting fundraising efforts on behalf of the University's annual fund campaigns. Includes correspondence, acknowledgements, reports, financial records, brochures, and other related records. Also includes records related to one-time or recurring gifts to specific entities within the University.	a) Transfer reports and brochures to University Archives after 3 years for appraisal and final disposition. b) Destroy in office remaining records after 3 closed fiscal years.*	Confidentiality: G.S. § 132-1.10




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2018 UNC General Records Retention and Disposition Schedule (amended 2020)
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5


Series #	Records Series Title and Description	Disposition Instructions	Citation
5.17	RECONCILIATIONS Records documenting the flow of University funds. Includes statements, cancelled checks, cash receipts, deposit slips, credit/debit card receipts, and reports.	Destroy in office after 3 closed fiscal years.*	
5.18	REQUISITIONS Records documenting requests to acquire goods or services or transfer funds between accounts.	Destroy in office after 1 closed fiscal year.*	
5.19 	STUDENT ACCOUNTS Records concerning individual student accounts, including meal plans. Includes adjustments of tuition fees, refunds, damages, records of payments/credits, statements of charges, and other related records.	a) Destroy in office records concerning settled accounts after 3 closed fiscal years.* b) Destroy in office remaining records when account is settled or designated uncollectable.*	Confidentiality: G.S. § 132-1.10
5.20 	TAX FORMS Tax information returns generated by the University (e.g., 1098, 1099, W-2) to be reported to the Internal Revenue Service (IRS) and furnished to the other party to the transaction.	Destroy in office after 5 years after submitted to taxpayer/IRS.*	Confidentiality: G.S. § 132-1.10 Retention: 04 NCAC 24D .0501 IRS Publication 15
5.21	TAX RETURNS Tax returns filed by the University.	Destroy in office after 6 closed fiscal years.*	
5.22 	TICKET SALES RECORDS Records documenting the sale of tickets to campus events. Includes buyer personal and financial information and seat location.	Destroy in office after 3 closed fiscal years.*	Confidentiality: G.S. § 132-1.10

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Series #	Records Series Title and Description	Disposition Instructions	Citation
5.23 	TRAVEL REIMBURSEMENTS Records regarding University travel. Includes documentation of advance payments and reimbursements. <i>See also: Travel Requests (page 13, item 1.46)</i>	Destroy in office after 5 closed fiscal years.*	Confidentiality: G.S. § 132-1.10 Retention: 04 NCAC 24D .0501

5

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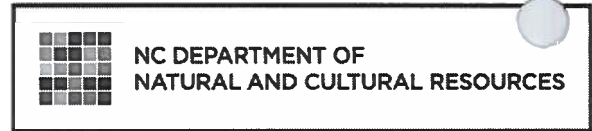
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Series #	Records Series Title and Description	Disposition Instructions	Citation
6.6	<p>INSTITUTIONAL REVIEW BOARD (IRB) STUDY RECORDS Records documenting the review of protocols for the use of human subjects. Includes applications for review, funding proposals, master protocols, consent documents, data collection and recruitment materials, evaluations, progress reports, monitoring reports, reportable event reports, reliance agreements, and other related records.</p> <p><i>See also: Institutional Review Board (IRB) Operations Records (page 33, item 6.5)</i></p>	<p>a) Destroy in office records concerning studies that were approved 3 years after completion date of the research study.* b) Destroy in office records concerning studies that were determined to be exempt or not human subject research 3 years after the determination, provided the research is complete.* c) Destroy in office records concerning external agreements 3 years after the completion date of the research study.* d) Destroy in office records concerning research that is disapproved 3 years after submission of the application.*</p>	
6.7	<p>LIVE TISSUE RESEARCH RECORDS Records documenting the use of live tissue in research. Includes manifests, disposition logs, reports, correspondence, and other related records.</p>	<p>Destroy in office 7 years after final disposition of tissue.</p>	
6.8	<p>RESEARCH DATA SETS Data sets used to produce reports by any unit in the University. Includes data sets used to produce compliance reports and/or other standard reports.</p>	<p>Retain in office permanently, unless otherwise specified by terms of contract.</p>	



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10

Series #	Records Series Title and Description	Disposition Instructions	Citation
10.31 	MILITARY LEAVE Records concerning approved requests for military leave provided under the Uniformed Services Employment and Reemployment Act (USERRA). <i>See also: Leave File (page 56, item 10.29)</i>	Destroy in office 3 years after employee returns or separates.	Authority: 5 CFR 1208
10.32	OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) RECORDS Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms. Includes ergonomic assessments for employees.	Destroy in office after 5 years.	Retention: 29 CFR 1904.33 29 CFR 1904.44
10.33	PAYROLL Records concerning salaries paid to employees (including employed apprentices or students, interns, contract employees, and temporary employees).	Destroy in office after 5 years.*	Authority: 29 CFR 516.30(a) Retention: 04 NCAC 24D .050129 CFR 516.5(a) 29 CFR 1627.3(a)
10.34 	PERFORMANCE EVALUATION AND MANAGEMENT Records documenting employees' goals and primary tasks. Includes work plans and performance evaluations.	a) Transfer administrative performance reviews for senior administrators and post-tenure review reports to individual Personnel File. b) Destroy in office remaining records after 3 years.	<i>Note: Only performance evaluations are confidential.</i>

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.41 	RETIREMENT BENEFITS Records documenting retirement systems, including employer-sponsored retirements plans (e.g., 401(k)), optional retirement plans, and deferred compensation plans.	a) Destroy in office descriptive information about retirement system 1 year after superseded or obsolete. b) Destroy in office records concerning payment of deferred compensation 3 years after payment. c) Destroy in office employer-sponsored retirement plan documents and amendments, trust records, annuity contracts, participants records, and other related records 7 years after payment of benefit. d) Transfer contract for optional retirement plan to carrier 13 months after employee separates from the University; destroy in office remaining 5 years after separation and/or withdrawal from the plan.	
10.42 	SEARCH COMMITTEE RECORDS Records pertaining to the evaluation of candidates for a position. Includes forms, interview notes, policies, reports, charges, rosters, minutes, ballots, correspondence, and other related records. <i>See also: Applications for Employment, page 50, item 10.4.</i>	a) Transfer pertinent materials of successful candidates to individual Personnel File immediately after official offer of employment is accepted. b) Destroy in office remaining records pertaining to successful candidates 3 years after the position is filled. c) Destroy in office application materials of unsuccessful candidates and all remaining records 3 years after the position is filled.*	
10.43 	SHIFT PREMIUM PAY Authorizations and other related records concerning employees receiving shift premium pay.	Destroy in office 5 years after payment.*	Retention: 04 NCAC 24D .0501


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ADMINISTRATION OF HEALTHCARE FACILITIES			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.11 	PERFORMANCE IMPROVEMENT AND QUALITY ASSURANCE RECORDS Records documenting incident analyses and reports. Includes medication error reports, occurrence reports, performance improvements plans, data collection logs, compliance investigations, and other related records.	a) Destroy in office collected data after 3 years. b) Destroy in office remaining records after 10 years.	Confidentiality: G.S. § 122C-191(e)
18.12	PRECEPTOR RECORDS Records documenting the preceptor program. Includes contracts, financial records, and other related records.	Destroy in office after 3 years.*	
18.13	PROVIDER ENROLLMENT FORMS Records documenting certifications and revalidations for individuals and/or facilities with the Centers for Medicare and Medicaid Services.	Destroy in office when superseded or obsolete.	
18.14	REGISTERS AND LOGBOOKS Records documenting patient registration, medical record number, and date(s) of admission. Includes master patient index, birth registers, and death registers.	Retain in office permanently.	

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ADMINISTRATION OF HEALTHCARE FACILITIES			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.15	SCHEDULING RECORDS Records documenting schedules for medical personnel including physicians, residents, fellows, interns, medical aides, nursing, staff, and other support personnel who provide medical treatment. Also includes lists of patients seen or scheduled to be seen by medical personnel and labs.	a) Destroy in office patient lists when superseded or obsolete. b) Destroy in office remaining records after 5 years.	
18.16	STERILIZATION RECORDS Records concerning mechanical, chemical, and biological sterilization and disinfection. Includes monitor notebooks and sterilizer logs and tests.	Destroy in office after 3 years.	

BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.17	ADJUSTED PATIENT ACCOUNTS Records documenting adjustments to patients' bills and insurance claims.	Destroy in office after 10 years.	
18.18	INSURANCE CLAIMS REPORTS Records related to claim forms and correspondence submitted to insurance companies. Also includes reports summarizing unpaid insurance claims and appeals of payor's denial of claim and other related records.	Destroy in office after 10 years.	

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BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.19	MEDICAID AND MEDICARE RECORDS Records documenting payments to healthcare providers and indicating the accounts to which they are posted. Includes disbursement reports and bad debt Medicare logs. Also includes Medicare cost reports.	Destroy in office after 10 years.	Retention: 42 CFR 422.504(d)
18.20	PATIENT FINANCIAL RECORDS Records documenting paid balances and refunds for patients receiving insurance benefits. Also includes payment vouchers.	a) Destroy in office records related to Medicaid and Medicare benefits after 10 years. b) Destroy in office remaining records after 3 years.	Retention: 42 CFR 422.504(d)

CLINICAL RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.21	CLINICAL OBSERVATION RECORDS Records documenting observational privileges in a clinical setting. Includes background checks, health surveys and immunizations, agreements, and other related records.	Destroy in office 10 years after end of observation.	
18.22	DENTAL RECORDS Records documenting inpatient and outpatient dental treatments. Includes tests and diagnoses, treatment plans, prescriptions, and other related records.	Destroy in office 10 years after the last encounter with the patient.	Retention: 21 NCAC 16T .0101

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CLINICAL RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.23	ENCOUNTER FORMS Forms, including triage logs, used to summarize contacts between department staff and clients.	Destroy in office after 3 years.*	
18.24	PATIENT MEDICAL RECORDS Records related to inpatient and outpatient clinical visits. Includes admission records, physical examination and laboratory reports, medical treatment notes, discharge plans and summaries, patient transfer certifications, radiology and diagnostic imaging records, medication administration records, living wills, authorizations to release patient information, communicable disease reports, consent to test forms, and other related records.	a) Destroy in office records of adult patients 11 years after the last encounter with the patient. b) Destroy in office records of minor patients when the patient reaches age 30 (and has not received any service in the previous 11 years).	Retention: 10A NCAC 13B .3903(a)
18.25	SCREENING AND REFERRAL RECORDS Records documenting screenings, consultations, and referrals.	a) If individual receives clinical services transfer records to Patient Medical Records (page 96, item 18.24) as applicable. b) Destroy in office when superseded or obsolete referrals to the facility by outside providers. c) Destroy in office remaining records after 5 years.	
18.26	TRANSCRIPTION LOGS Records detailing transcription activities for physicians' notes.	Destroy in office after 6 months.	

18

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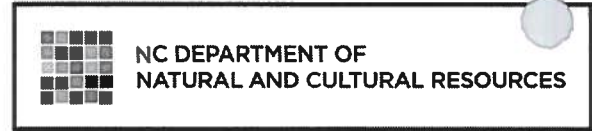
IMAGING, LABORATORY, AND PATHOLOGY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.27	ACCESSION RECORDS Records documenting chain of custody of laboratory samples.	Destroy in office after 2 years.	
18.28	ANALYTIC SYSTEMS RECORDS Records documenting analytic systems activities. Includes worksheets, specimen logs, and instrument printouts.	Destroy in office after 2 years.	Retention: 42 CFR 493.1105(a)(3)
18.29	AUTOPSY RECORDS Records documenting post-mortem examinations conducted to determine the cause, mechanism, and manner of a person's death. Includes test logs and results, images, final reports, and other related records.	a) Retain in office permanently forensic autopsy records. b) Destroy in office after 10 years clinical autopsy records.	

18

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IMAGING, LABORATORY, AND PATHOLOGY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.30 	BLOOD BANK RECORDS Records used to monitor the process by which blood products are made available and used. Includes donor information and informed consent forms; records concerning the storage, distribution, and visual inspection of blood products; compatibility testing; component preparation; therapeutic bleedings; and immunizations. Also includes blood collection and processing results, interpretations of tests, labeling, emergency release of blood, and equipment calibration and performance checks. Also includes transfusion reaction reports and complaints, investigations, errors and accident records, difficulties in blood typing reports, exposures to transmissible diseases, supplies and reagents, and final disposition reports of blood products.	a) Retain in office permanently records concerning blood products with no expiration date. b) Destroy in office after the death of the donor records used to identify unsuitable donors so that their blood products will not be distributed. c) Destroy in office remaining records no less than 10 years after the records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever occurs later.	Authority: 21 CFR 606.160 21 CFR 606.165 21 CFR 606.170 Confidentiality: G.S. § 131E-97 Retention: 21 CFR 606.160(d)
18.31 	BODY DONATION RECORDS Records documenting the administration of the body donation program. Includes registration forms, records of accepted donations, copies of death certificates, and other related records. <i>See also: Policies and Procedures (page 8, item 1.25)</i>	a) Destroy in office 5 years after final disposition of body records of registered and received donations. b) Destroy in office after 75 years records of registered but never received donations.	Confidentiality: 5 USC 552a

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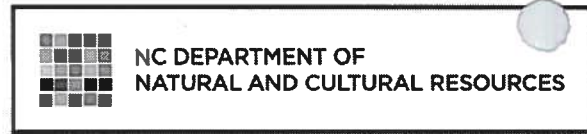
IMAGING, LABORATORY, AND PATHOLOGY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.32	<p>CYTOLOGY RECORDS Records documenting the exam of a single cell type. Includes slides.</p> <p><i>See also: Patient Medical Records for individual test reports (page 96, item 18.24)</i></p>	<p>a) Destroy in office after 10 years fine needle aspiration slides.</p> <p>b) Destroy in office after 5 years stained slides (including both negative/unsatisfactory and positive/suspicious samples).</p>	
18.33	<p>DIAGNOSTIC IMAGING AND TESTING RECORDS Includes graphs, images, tracings, video, and other formats produced by diagnostic equipment.</p> <p><i>See also: Patient Medical Records for individual test reports (page 96, item 18.24)</i></p>	<p>a) Destroy in office mammogram images 5 years after date of mammogram or 10 years after patient's last mammogram performed at the facility, whichever is longer.</p> <p>b) Destroy in office records of adult patients 5 years after date of test or assessment.</p> <p>c) Destroy in office records of minor patients 5 years after the patient reaches age 18.</p>	Retention: 42 CFR 263b(f)(1)(G)
18.34	<p>LABORATORY EQUIPMENT MAINTENANCE RECORDS</p> <p><i>See also: Maintenance, Repair, and Inspection for non-laboratory equipment (page 24, item 4.13)</i></p>	<p>a) Destroy in office after 2 years records relating to routine maintenance.</p> <p>b) Destroy in office after the final disposition of the instrument or equipment records relating to major repairs or parts replacement.</p>	
18.35	<p>LABORATORY REGISTER Includes logs, screening forms, test requisitions, and test authorizations.</p>	<p>a) Retain in office permanently log of laboratory tests performed for clinical care.</p> <p>b) Destroy in office after 5 years newborn screening collection forms.</p> <p>c) Destroy in office remaining records after 2 years.</p>	Retention: 42 CFR 493.1105(a)(1)

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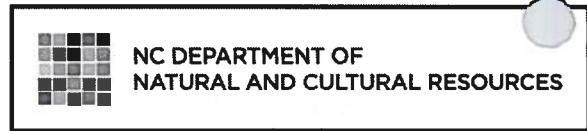
IMAGING, LABORATORY, AND PATHOLOGY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.36	<p>PATHOLOGY RECORDS Includes paraffin blocks, slides, wet tissue, and other samples used for testing.</p> <p><i>See also: Patient Medical Records for individual test reports (page 96, item 18.24)</i></p>	<p>a) Destroy in office wet tissue samples 2 weeks after final report.</p> <p>b) Destroy in office remaining records after 10 years.</p>	
18.37	<p>PROFICIENCY TESTING RECORDS Records used to attest the handling, preparation, processing, examination, and reporting of results of all proficiency testing. Includes testing report forms, records documenting testing failures and corrective actions, and other related records.</p>	Destroy in office after 2 years.	Retention: 42 CFR 493.1105(a)(4)
18.38	<p>QUALITY CONTROL PROCEDURES Includes routine surveys and maintenance records, instrument calibrations, instrument/reagent correlations studies, quality control tests, silver recovery records, and other related records. Also includes method validation and performance verification studies.</p>	<p>a) Destroy in office method validation and performance verification studies 2 years after the test system is discontinued.</p> <p>b) Destroy in office remaining records after 2 years.</p>	Retention: 42 CFR 493.1105(a)(3) 42 CFR 493.1105(a)(5)
18.39	<p>TEST PROCEDURES Records documenting standard operating procedures and policies related to lab testing.</p>	Destroy in office 2 years after discontinued.	Retention: 42 CFR 493.1105(a)(2)

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PHARMACY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.40	ADVERSE DRUG REACTION REPORTS Reports to the Food and Drug Administration describing adverse drug reactions.	Destroy in office after 3 years.	
18.41	DRUG DISPOSAL RECORDS Records documenting the disposal or final disposition of all outdated, improperly labeled, adulterated, damaged, or unwanted controlled and non-controlled substances, or drug containers with worn, illegible, or missing labels.	Destroy in office after 3 years.	
18.42	DRUG DISTRIBUTION RECORDS Records listing who filled and/or checked a medication at time of issuing or dispensing, and other related information.	Destroy in office after 3 years.	Retention: 21 NCAC 46 .1414(j)(1)
18.43	DRUG INVENTORIES Inventories of controlled and non-controlled substances. Includes inventory reports, ancillary drug cabinet inventories, annual and biennial inventories, perpetual inventories, and other related records used to account for medication compounding and dispensing by pharmacies and locations outside the pharmacy. Also includes auxiliary medication inventories as well as inventories of drugs destroyed, their amounts, and when destroyed.	Destroy in office after 3 years.*	Retention: 21 NCAC 46 .1414(j)(6)



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PHARMACY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.44	MEDICATION STORAGE AND ENVIRONMENT INSPECTION REPORTS Records documenting routine inspection of medication storage areas. Also includes intravenous hood performance reports.	Destroy in office after 3 years.	
18.45	 PATIENT MEDICATION PROFILES Records documenting all prescribed medications for each patient. Also includes records involving the interpretation and evaluation of a patient's drug therapy or other pharmaceutical care services (e.g., on-site drug and medication reviews).	a) Destroy in office records of adult patients after 10 years. b) Destroy in office records of minor patients 10 years after the patient reaches age 18.	Authority: 21 NCAC 46 .1414(a)(3) Confidentiality: G.S. § 90-113.74
18.46	 PRESCRIPTION ORDERS Records documenting prescription orders for controlled and non-controlled substances or other medication or devices that are not recorded in the patient's medical record. <i>See also: Patient Medical Records (page 96, item 18.24)</i>	Destroy in office after 3 years.	Authority: G.S. § 90-85.30 G.S. § 90-85.35 Confidentiality: G.S. § 90-85.36 Retention: G.S. § 90-85.26 21 NCAC 46 .2302

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PHARMACY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.47 	SCHEDULE II, III, IV, AND V NARCOTICS RECORDS Ordering, receiving, and usage records for controlled substances.	Destroy in office after 3 years.*	Authority: G.S. § 90-90 through 90-93 G.S. § 90-107 G.S. § 90-113.71 Confidentiality: G.S. § 90-85.36(c) G.S. § 90-113-74 Retention: 21 NCAC 46 .1414(j)(6) 42 CFR 423.505

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8

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS, page vi.

± See signature page. The University hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that the Department of Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.