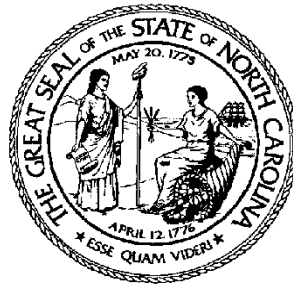


# RECORDS RETENTION AND DISPOSITION SCHEDULE

## COUNTY SOCIAL SERVICES AGENCIES



Issued By:



North Carolina Department of Natural and Cultural Resources  
Division of Archives and Records  
Government Records Section

January 1, 2016

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## **County Social Services Agencies Records Retention and Disposition Schedule**

The 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 do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. The county social services agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. 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 are not authorized to be destroyed.***

This county social services agency and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow these records to be destroyed when "*reference value ends.*" The county social services agency 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.*" If a county social services agency does not establish internal policies and retention periods, the county is not complying with the provisions of this retention schedule and is not authorized by the Department of Natural and Cultural Resources to destroy the records with the disposition instruction "*destroy when reference value ends.*"

The county social services agency and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires additional commitment and active management by the agency. The agency agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records.

It is further agreed that these records may not be destroyed prior to the time periods stated; however, for sufficient reason they may be retained for longer periods. This schedule is to remain in effect from the date of approval until it is reviewed and updated.

**APPROVAL RECOMMENDED**

  
Wayne E. Black, Director  
DHHS, Division of Social Services

  
Sarah Koonts, Director  
Division of Archives and Records

**APPROVED**

  
Richard O. Brajer, Secretary  
Department of Health and Human Services

  
Susan Kluttz, Secretary  
Department of Natural and Cultural  
Resources

**ACKNOWLEDGED (AGREED TO COMPLY)**

\_\_\_\_\_  
County Social Services Agency, Director

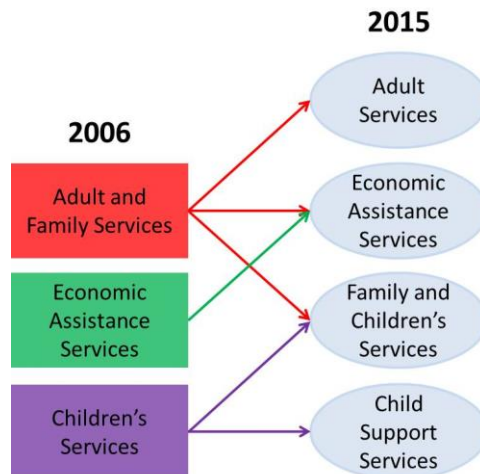
\_\_\_\_\_  
Chairman, Local County Board of Social  
Services, Consolidated Human Services  
Board, or Board of County Commissioners

\_\_\_\_\_  
County

\_\_\_\_\_, 2016

## EXECUTIVE SUMMARY

- ✓ According to G.S. § 121-5(b) and G.S. § 132-3, you may only destroy public records with the consent of the Department of Natural and Cultural Resources (DNCR). The State Archives of North Carolina is the division of DNCR charged with administering a records management program. This schedule is the primary way the State Archives of North Carolina gives its consent. Without approving this schedule, your agency is obligated to obtain the State Archives of North Carolina’s permission to destroy *any* record, no matter how insignificant.
- ✓ Each records series listed on this schedule has specific disposition instructions that will indicate how long the series must be kept in your office. In some cases, the disposition instructions are simply “Retain in office permanently,” which means that those records must be kept in your office forever. In other cases, the retention period may be “destroy in office when reference value ends.” An agency may have reference copies of materials, meaning “a copy of a record distributed to make recipients aware of the content but not directing the recipient to take any action on the matter” (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Your agency must establish and enforce internal policies by setting minimum retention periods for the records that the State Archives of North Carolina has scheduled with the disposition instructions, “destroy when reference value ends.”
- ✓ This schedule applies to the records of county departments of social services and the social services records of county consolidated health and human services agencies pursuant to Session Law 2012-126, which amended G.S. §153A-77 to allow for the consolidation of these agencies.
- ✓ Program Operational Records standards were updated to reflect the organization of county social services agencies, as depicted below. Please contact a Records Management Analyst if you would like a crosswalk between this schedule and the superseded 2006 schedule.



*Reorganization of Program Operational Records Standards*

- ✓ Records listed in Program Operational Records (Standards 6 through 10) and Budget, Fiscal, and Payroll Records (Standard 2) must be retained until released from all audits by the state Department of Health and Human Services (DHHS) Office of the Controller. The DHHS Office of the Controller provides this release through its North Carolina DHHS Records Retention and Disposition Schedule for Grants (DHHS Records Schedule for Grants), published semiannually on the DHHS Office of the Controller's website at <http://www.ncdhhs.gov/control/retention/retention.htm>. All financial and programmatic records, supporting documents, statistical records, and other records pertinent to a federal award must be retained in accordance with the DHHS Records Schedule for Grants.
- ✓ The DHHS Records Schedule for Grants lists, by federal funding source, the earliest date that records may be destroyed. To use the DHHS Records Schedule for Grants, you must know the federal funding sources that support the specific records in question. For each record, you must identify:
  - Which services are covered in the record;
  - The records retention and disposition instructions in this *County Social Services Agencies Records Retention and Disposition Schedule*;
  - How those programs are funded; and
  - If federally funded, whether the federal funding sources have been cleared for disposition by the DHHS Records Schedule for Grants.
- ✓ This *County Social Services Agencies Records Retention and Disposition Schedule* must be used in conjunction with the DHHS Records Schedule for Grants. Where there is a discrepancy between this schedule, the DHHS Records Schedule for Grants, any American Psychological Association rules, or any state or federal statutes or legal requirements, you must use the most restrictive, i.e., the longest, retention period.
- ✓ Records of programs and services fully or partially funded by Medicaid must be retained for a minimum of 10 years.
- ✓ NC FAST (North Carolina Families Accessing Services through Technology) is overseen by DHHS. NC FAST is intended to facilitate file access and encourage collaboration. According to the Office of NC FAST, the NC FAST Document Management System does not change the retention guidelines established by this schedule and the DHHS Records Schedule for Grants.
- ✓ E-mail is a record as defined by G.S. § 121-5 and G.S. § 132. It is the content of the e-mail that is critical when determining the retention period of a particular e-mail, including attachments, not the media in which the record was created. It is important for all agency employees and officials to determine the appropriate records series for specific e-mails and retain them according to the disposition instructions.

- ✓ The State Archives of North Carolina recommends that all agency employees and officials view the tutorials that are available online through the State Archives website in order to familiarize themselves with records management principles and practices. The State Archives of North Carolina's online tutorials include topics such as records management, utilizing the retention schedule, e-mail management, and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming services for the minutes of major decision-making boards and commissions. Once those records are filmed, we will store the silver negative (original) in our security vault. There is a nominal fee for filming and duplicating film. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.

## MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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### ***Q. What is this “records retention and disposition schedule”?***

- A.** This document is a tool for the employees of local government agencies across North Carolina to use when managing the records in their offices. It lists records commonly found in agency offices and gives an assessment of their value by indicating how long those records should be retained. This schedule is also an agreement between the North Carolina Department of Natural and Cultural Resources and the North Carolina Department of Health and Human Services (DHHS).

This schedule serves as the inventory and schedule that the State Archives of North Carolina is directed by G.S. § 121-5(c) and G.S. § 132-8 to provide. It supersedes all previous editions, including all amendments.

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### ***Q. How do I get this schedule approved?***

- A.** Your County Board of Social Services, County Human Services Board, or County Board of Commissioners must acknowledge by signature that they agree to comply with this schedule for use in your county. That acknowledgement should be made in a regular meeting and recorded as an action in the minutes. It may be done as part of the consent agenda, by resolution, or other action.
- 

### ***Q. Am I required to have all of the records listed on this schedule?***

- A.** No, this is not a list of records you must have in your office.
- 

### ***Q. What is “reference value”?***

- A.** Items containing “reference value” in the disposition instructions are generally records that hold limited value, which is typically restricted to those documenting routine operations within the office. A minimum retention period should be established by the office for any items containing the phrase “destroy in office when reference value ends” in the disposition instructions.
- 

### ***Q. Do the standards correspond to the organizational structure of my agency?***

- A.** Records series are grouped into standards to make it easier for users to locate records and their disposition instructions. You may find that the groupings reflect the organizational structure of your agency, or you may find that records are located in various standards depending on the content of the record. The intent of the schedule’s organization is to provide an easy reference guide for the records created in your agency.
- 

### ***Q. What if I cannot find some of my records on this schedule?***

- A.** Sometimes the records are listed in a different standard than how you organize them in your office. Be sure to check the Index and utilize the search function on the PDF version of the schedule to facilitate the location of records series. If you still cannot locate your records on the schedule, contact a Records Management Analyst. We will work with you to amend this records schedule so that you may destroy records appropriately.
- 

### ***Q. What are public records?***

- A.** The *General Statutes of North Carolina*, Chapter 132, provides this definition of public records:
- “Public record” or “public records” shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of



government of the State or of any county, unit, special district or other political subdivision of government.

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**Q. *Is any person allowed to see my records?***

**A.** Yes, except as restricted by specific provisions in state or federal law. G.S. § 132-6 instructs:

“Every custodian of public records shall permit any record in the custodian’s custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. ... No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request.”

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**Q. *What about my confidential records?***

**A.** Not all government records are open to public inspection. Exceptions to the access requirements in G.S. § 132-6 and the definition of public records in G.S. § 132-1 are found throughout the General Statutes. You must be able to cite a specific provision in the General Statutes or federal law when you restrict or deny access to a particular record.

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**Q. *Am I required to make available to the public copies of drafts that have not been approved?***

**A.** Yes, even if a report, permit, or other record has not been finalized, it is still a public record subject to request. Any record that is not confidential by law must be provided when a request is received, whether it is “finished” or not.

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**Q. *What do I do with permanent records?***

**A.** Permanent records should be maintained in the office that created the records, forever. They must also have a preservation duplicate, which is either a paper or microfilm copy. See the Human-Readable Preservation Duplicates policy issued by the North Carolina Department of Cultural Resources (<http://archives.ncdcr.gov/Portals/26/PDF/guidelines/Humreadabledupspolicy.pdf>).

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**Q. *What is historical value?***

**A.** Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its citizens. Call a Records Management Analyst for further assistance in assessing historical value.

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**Q. *What if I do not have any records?***

**A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and e-mail, are public records. Even if your records are not the official or final version, your records are public records. Not all records have high historical, legal, or fiscal value, but they all must be destroyed in accordance with the provisions of the appropriate records schedule.

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**Q. *May I store our unused records in the basement, attic, shed, etc.?***

**A.** Public records are public property. Though we encourage agencies to find places to store records that do not take up too much valuable office space, the selected space should be dry, secure, and free from pests and mold. Your office must ensure that records stored away from your main office area are well protected from natural and man-made problems while remaining readily available to your staff and the public.

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**Q. *Our old records are stored in the attic, basement, or off-site building, etc. Are we required to provide public access to these records?***

- A.** Yes, as long as the records are not confidential by law. You should also be aware that confidentiality can expire.

---

**Q. *Aren't all of our old records at the State Archives of North Carolina?***

- A.** Probably not. The State Archives of North Carolina collects only very specific types of records from local government offices. Contact a Records Management Analyst for more information about which records are held or can be transferred to the State Archives of North Carolina for permanent preservation.

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**Q. *I found some really old records. What should I do with them?***

- A.** Call a Records Management Analyst. We will help you examine the records and assess their historical value.

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**Q. *Can I give my old records to the historical society or public library?***

- A.** Before you offer any record to a historical society, public library, or any other entity, you must contact a Records Management Analyst. Permanent records must be kept either in your offices or at the State Archives of North Carolina.

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**Q. *Whom can I call with questions?***

- A.** If you are located west of Statesville, call our Western Office in Asheville at (828) 296-7230 extension 224. If you are east of Statesville, all the way to the coast, call our Raleigh office at (919) 807-7350.

## AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS

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***Q. Why is there an asterisk in the disposition instructions of so many items on this schedule?***

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***A. No record involved in a pending or ongoing audit, legal, or other official action may be destroyed before that audit or action is resolved.***

A legal hold or litigation hold means that records that are the subject of the legal hold or litigation hold must be preserved and thus must not be destroyed until officially released from the hold. A legal hold or litigation hold is placed when either an official discovery order is served on the agency requesting the production of the records in question (for a litigation, regulatory investigation, audit, open records request, etc.) or litigation is pending and the agency is thus on notice to preserve all potentially relevant records. You must also ensure that for a claim or litigation that appears to be reasonably foreseeable or anticipated but not yet initiated, any records (in paper or electronic formats) relevant to such a claim or litigation are preserved and not destroyed until released by your General Counsel. The records in question must not be destroyed until the completion of the action and the resolution of all issues that arise from it regardless of the retention period set forth in this schedule.

We have used an asterisk (\*) in the disposition instructions to mark records series that are commonly audited, litigated, or may be subject to other official actions. However, any record has this potential. Records custodians are responsible for being aware of potential actions, and for preventing the destruction of any record that is, or may be reasonably expected to become, involved in an audit, legal, or other official action.

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See **AUDITS: PERFORMANCE**, page 2, item 7, and **AUDITS: FINANCIAL**, page 17, item 5.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the agency should inform records custodians when legal matters are concluded and records will no longer be needed. Following the conclusion of any legal action, the records may be destroyed if they have met the retention period in the schedule. Otherwise, they should be kept for the remaining time period.

## TRANSITORY RECORDS

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”<sup>1</sup>

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 approval from the Department of Natural and Cultural Resources.

The Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called “transitory records.” The following questions and answers discuss types of transitory records commonly created in state government. They may be disposed of according to the guidance below. However, all public employees should be familiar with the General Schedule for State Agency Records, their office’s Program Records Retention and Disposition Schedule, and any other applicable guidelines for their office. If any of these documents require a different retention period for these records, follow the longer of the two retention periods. When in doubt about whether a record is transitory, or whether it has special significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

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### ***Q. What do I do with routing slips, fax cover sheets, “while you were out” slips, memory aids, etc.?***

- A.** Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed.

Similarly, “while you were out” slips, memory aids, and other records requesting follow-up actions (including voicemails) have minimal value once the official action these records are supporting has been completed and documented. Unless they are listed on the General Schedule for State Agency Records or your office’s Program Records Retention and Disposition Schedule, these records may be destroyed or otherwise disposed of once the action has been resolved.

---

### ***Q. What about research materials, drafts, and other working papers used to create a final, official record?***

- A.** Drafts and working papers are materials, including notes and calculations, gathered or created to assist in the creation of another record. All drafts and working papers are public records subject to all provisions of General Statute § 132, but many of them have minimal value after the final version of the record has been approved, and may be destroyed after final approval, if they are no longer necessary to support the analysis or conclusions of the official record. Drafts and working documents which may be destroyed after final approval include:

- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and

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<sup>1</sup> *A Glossary of Archival and Records Terminology*, Richard Pearce-Moses (2005)

- Drafts and working papers for presentations, workshops, and other explanations of agency policy that is already formally documented.

Working papers supporting certain financial, legal, and other mission-critical functions, however, may continue to have value even after the final, official copy has been approved. To retain these records appropriately, consult the General Schedule for State Agency Records or your office's Program Records Retention and Disposition Schedule.

---

***Q. What if I have forms designed and used solely to create, update, or modify records in an electronic medium?***

- A.** If these records are not required for audit or legal purposes, they may be destroyed in office after completion of data entry and after all verification and quality control procedures. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g. a signature or notary's seal), they should be retained according to the disposition instructions for the records series encompassing the forms' function.

See also the State Archives of North Carolina's guidance on digital signatures found at the following link: [http://archives.ncdcr.gov/Portals/26/PDF/guidelines/electronic\\_signature\\_policy.pdf](http://archives.ncdcr.gov/Portals/26/PDF/guidelines/electronic_signature_policy.pdf)

## LEGEND FOR RECORDS SCHEDULE

This records retention and disposition schedule applies to records in all media, unless otherwise specified.



– symbol designating that one or more records in this series may be confidential or may include confidential information.

**Item #** – an identifying number assigned to each records series for ease of reference.

**Series** – “a group of similar records that are . . . related as the result of being created, received, or used in the same activity.” (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Series in this schedule are based on common functions in government offices.

**Records Series Title** – a short identification of the records in a series, based on their common function.

**Series Description** – a longer description of the records in a series, often including the types of records that can frequently be found in that series. This information is included underneath the Records Series Title.

**Disposition Instructions** – instructions dictating the length of time a series must be retained and how the office should dispose of those records after that time.

**Citation** – a listing of references to statutes, laws, and codes related to the records series. Citations can include:

- Authority: governing the creation of records
- Confidentiality: limiting access to public records
- Retention: setting a retention period

Throughout this schedule, items that cross-reference other items within this schedule are indicated with bold, uppercase letters. If you hover your cursor over one of these items, you will see the hand tool that will enable you to click on the item to follow the link to that location.

**NOTICES OF PUBLIC MEETINGS**

Includes notices and regular meeting schedules.

See also **AFFIDAVITS OF PUBLICATION**, page 42, item 1.

Sample records series title and description with cross-reference included

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



As of March 1, 2019, all local government agencies in North Carolina will use the General Records Schedule for Local Government Agencies to find the appropriate disposition instructions for records that fall under these standards:




- Administration and Management Records
- Budget, Fiscal, and Payroll Records
- Geographic Information Systems Records
- Information Technology Records
- Legal Records
- Personnel Records
- Public Relations Records
- Risk Management Records
- Workforce Development Records

More information about this transition can be found on our blog at <https://ncrecords.wordpress.com/2019/01/14/new-retention-schedule-model-for-north-carolina-local-governments/>.

This new Local Government General Records Schedule can be found on our website at <https://archives.ncdcr.gov/government/retention-schedules/local-government-schedules> and supersedes the correlating standards that were a part of previously approved local government agency schedules, so we have deleted those standards from the published version of this schedule.

If you have any questions, please contact [a records management analyst](#) in the Government Records Section of the State Archives of North Carolina.

**STANDARD 6: PROGRAM OPERATIONAL RECORDS: SOCIAL SERVICES ADMINISTRATION**  
 Official records common to most service areas for programs administered by county social services agencies.  
*Records so indicated may be destroyed only after the agency is notified by the Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.*  
*Note: Administration, use, and retention of records concerning social service case management records should comply with applicable provisions of G.S. §108A-80 on the confidentiality of records.*

ITEM #	STANDARD 6: PROGRAM OPERATIONAL RECORDS: SOCIAL SERVICES ADMINISTRATION		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	<b>AFFORDABLE CARE ACT (ACA) NAVIGATOR RECORDS</b> Includes official navigators and certified application counselors records, referrals to enrollment portal and hotline and other community assistance, and other related records.	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
2. 	<b>COMPLAINTS: ALL SERVICE AREAS</b> Includes complaints received from clients and citizens concerning specific service areas.	a) Destroy in office records concerning unsubstantiated complaints after 1 year. b) Transfer records concerning substantiated complaints to appropriate service case management file.	Confidentiality: G.S. § 108A-80
3. 	<b>CLIENT ACCOUNT FINANCIAL SERVICE RECORDS (TRUST ACCOUNTS)</b> Includes copies of authorization and disbursement forms, cancelled checks, deposit slips, financial journals and ledgers, and other related records concerning client accounts managed by local social services agencies.	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80


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

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

<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.




ITEM #	STANDARD 6: PROGRAM OPERATIONAL RECORDS: SOCIAL SERVICES ADMINISTRATION		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4. 	<p><b>COMPUTER REPORTS AND PRINTOUTS</b> All reports and printouts created by systems that are administered by the state Department of Health and Human Services.</p>	<p>a) Transfer reports that concern one single individual to that individual's appropriate case file.</p> <p>b) Comply with disposition instructions printed on reports that concern multiple individuals or system function.</p> <p>c) Destroy in office remaining records when reference value ends.<sup>†</sup></p> <p>Agency Policy: Destroy in office after _____</p>	Confidentiality: G.S. § 108A-80

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

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



<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

STANDARD 6: PROGRAM OPERATIONAL RECORDS: SOCIAL SERVICES ADMINISTRATION			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5. 	<p><b>FRAUD AND PROGRAM INTEGRITY CASE MANAGEMENT RECORDS</b></p> <p>Includes detection and investigation records, notices and appeals, calculations of overpayment, conclusions and recommendations, and other related records.</p>	<p>a) <b>Medicaid</b></p> <ol style="list-style-type: none"> <li>Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions.<sup>1</sup></li> <li>If action has been initiated, destroy in office 10 years after completion of action and resolution of issues involved. Records involved in litigation should be transferred to <b>LITIGATION CASE RECORDS</b>, page 35, item 13.<sup>1</sup></li> </ol> <p>b) <b>Food and Nutrition Services and Work First Assistance</b></p> <ol style="list-style-type: none"> <li>Retain in office Food and Nutrition Services records containing an intentional program violation (IPV) disqualification and/or an IPV claim permanently.<sup>1</sup></li> <li>Retain in office hearing record of Work First Assistance fraud and intentional program violations permanently.<sup>1</sup></li> <li>If action has been initiated, retain in office records permanently after completion of action and resolution of issues involved. Records involved in litigation should be transferred to <b>LITIGATION CASE RECORDS</b>, page 35, item 13.<sup>1</sup></li> </ol>	<p>Confidentiality: G.S. § 108A-80 10A NCAC 22F .0106</p> <p>Retention: 10A NCAC 22F .0107 DHHS Food and Nutrition Services Manual, FNS 135 DHHS Work First Manual, 207(XVI)</p>

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

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

<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 6: PROGRAM OPERATIONAL RECORDS: SOCIAL SERVICES ADMINISTRATION		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>UNCLAIMED BODY CASE RECORDS</b> Includes disposition forms, identification records, and other related records.	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	Authority: G.S. § 130A-415(c)
7. 	<b>WORKER DAILY REPORT OF SERVICES TO CLIENTS (DAY SHEETS)</b> Forms concerning employees' activities used to determine appropriate program charges.	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
8. 	<b>WORKER DAILY TRANSPORTATION SCHEDULES</b> Schedules used by department drivers for transportation related to all programs.	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
9.	<b>YOUTH EMPLOYMENT CERTIFICATE RECORDS</b> Records concerning issuance of youth employment certificates. Includes waivers.	Destroy in office certificates and waivers issued by the agency when individual reaches 20 years of age.	Authority: G.S. § 95-25.5

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


<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

**STANDARD 7: PROGRAM OPERATIONAL RECORDS: ADULT SERVICES**

Official records concerning adult services programs administered by county social services agencies.

Records so indicated may be destroyed only after the agency is notified by the Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

Note: Administration, use, and retention of records concerning social service case management records should comply with applicable provisions of G.S. §108A-80 on the confidentiality of records.





STANDARD 7: PROGRAM OPERATIONAL RECORDS: ADULT SERVICES			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ADULT CARE FACILITY LICENSURE RECORDS</b> Includes licensing and monitoring records, complaint investigation records, and other related records.	a) Destroy in office all fire and building safety, sanitation, admission, and discharge reports 1 year after expiration of annual license.*  b) Destroy in office staff monitoring records when reference value ends. Agency Policy: Destroy in office after _____  c) Destroy in office remaining records 3 years after termination of facility’s certification or license.*	Authority: 10A NCAC 13D and 13F G.S. § 131D
2.	 <b>ADULT CARE PLACEMENT PROGRAM RECORDS</b> Includes service plans, assessments, eligibility records, DHHS forms, narratives, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80

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

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

<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.




ITEM #	STANDARD 7: PROGRAM OPERATIONAL RECORDS: ADULT SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3. 	<b>ADULT DAY CARE AND DAY HEALTH SERVICES CASE MANAGEMENT RECORDS</b> Includes service records, forms, narratives, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Authority: 10A NCAC 06T  Confidentiality: G.S. § 108A-80
4. 	<b>ADULT IN-HOME SERVICES CASE MANAGEMENT RECORDS</b> Includes referral and eligibility documents, authorization forms, decision notices, assessments, service plans, contact sheets, quarterly reviews, referrals, day sheets, mileage records, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Authority: DHHS Family Services Manual, Volume VII, Chapter VIII  Confidentiality: G.S. § 108A-80
5. 	<b>ADULT PROTECTIVE SERVICES CASE MANAGEMENT RECORDS</b> Includes referral and eligibility records, department reports, petitions, court orders, evaluations, case decisions, notice documentation, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Authority: DHHS Adult Protective Services Manual  Confidentiality: G.S. § 108A-80 G.S. § 108A-116
6. 	<b>ADULT SERVICES MASTER INDEX</b> Cumulative index maintained to provide basic information on each client.	Destroy in office when reference value ends.†  Agency Policy: Destroy in office after _____	Confidentiality: G.S. § 108A-80

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




<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 7: PROGRAM OPERATIONAL RECORDS: ADULT SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7. 	<p><b>COMMUNITY ALTERNATIVES PROGRAM FOR DISABLED ADULTS (CAP/DA) CASE RECORDS</b></p> <p>Includes service plans, authorization forms, service orders, waiver supports, and other related records.</p>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
8. 	<p><b>GUARDIANSHIP AND REPRESENTATIVE PAYEE CASE MANAGEMENT RECORDS</b></p> <p>Includes referrals, assessments and reassessments, service plans, adjudication records, statements, correspondence (including e-mail), copies of status reports, medical and dental examination reports, financial records, court records, and other related records.</p>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80  Retention: DHHS Family Services Manual, Volume V, Chapter VIII
9. 	<p><b>GUARDIANSHIP CENTRAL REGISTRY</b></p> <p>Includes name of ward, guardian appointment date, guardianship type, bond, file reference numbers, and copy of guardianship order.</p>	<p>Destroy in office when reference value ends.†</p> <p>Agency Policy: Destroy in office after _____</p>	<p>Authority: G.S. § 35A</p> <p>Confidentiality: G.S. § 108A-80</p> <p>Retention: DHHS Guardianship Services Manual, Chapter VI</p>

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

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






<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 7: PROGRAM OPERATIONAL RECORDS: ADULT SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10. 	<b>GUARDIANSHIP MASTER INDEX</b> Includes name of ward, name of ward’s next of kin, agency file number, guardianship type, and information on guardianship of person and estate.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	Authority: G.S. § 35A  Confidentiality: G.S. § 108A-80  Retention: DHHS Family Services Manual, Volume V, Chapter VIII
11. 	<b>GUARDIANSHIPS (TERMINATED) LISTING</b> Includes list of guardianships that have been terminated with date and reason for termination.	Retain in office permanently.	Authority: G.S. § 35A  Confidentiality: G.S. § 108A-80  Retention: DHHS Family Services Manual, Volume V, Chapter VIII
12. 	<b>HOUSING ASSISTANCE AND HOME IMPROVEMENT SERVICES RECORDS</b>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80

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

<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 7: PROGRAM OPERATIONAL RECORDS: ADULT SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13. 	<b>INFORMATION AND REFERRAL SERVICES RECORDS</b> Includes crisis intake and other related records.	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
14. 	<b>NUTRITION SERVICES CASE MANAGEMENT RECORDS</b>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
15. 	<b>SPECIAL ASSISTANCE FOR ADULTS (STATE-COUNTY) CASE MANAGEMENT RECORDS</b> Includes applications, DHHS forms, eligibility determinations, fiscal records, redetermination of eligibility records, notices, hearings records, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
16. 	<b>SPECIAL ASSISTANCE SERVICES TO THE BLIND AND VISUALLY IMPAIRED RECORDS</b>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Authority: G.S. § 111-35  Confidentiality: G.S. § 108A-80
17. 	<b>TRANSPORTATION SERVICES CASE MANAGEMENT RECORDS</b> Includes transportation trip requests, DHHS forms, verifications, reimbursements, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80

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

<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.




**STANDARD 8: PROGRAM OPERATIONAL RECORDS: CHILD SUPPORT SERVICES**

Official records pertaining to child support services programs administered by county social services agencies.

*Records so indicated may be destroyed only after the agency is notified by the Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.*

*Note: Administration, use, and retention of records concerning social service case management records should comply with applicable provisions of G.S. §108A-80 on the confidentiality of records.*

STANDARD 8: PROGRAM OPERATIONAL RECORDS: CHILD SUPPORT SERVICES			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	<p><b>CHILD SUPPORT SERVICES CASE MANAGEMENT RECORDS</b></p> <p>Records concerning IV-D case files (cases consist of pending, active, terminated, and non-TANF). File includes information referred to agency by local social service offices, as well as intergovernmental requests, correspondence (including e-mail), client/non-custodial parent information, and other records used by the agency to establish and enforce child support.</p>	<p>Destroy in office 3 years after case is closed.<sup>1</sup></p> <p><i>Retention Note: Records so indicated may be destroyed only after the agency is notified by the Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to <b>LITIGATION CASE RECORDS</b>, page 35, item 13.</i></p>	<p>Confidentiality: G.S. § 108A-80</p> <p>Retention: 45 CFR Part 74</p>

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

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


<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

**STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSISTANCE SERVICES**

Official records pertaining to the economic assistance programs for individuals and families administered by county social services agencies.

Records so indicated may be destroyed only after the agency is notified by the Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.



Note: Administration, use, and retention of records concerning social service case management records should comply with applicable provisions of G.S. §108A-80 on the confidentiality of records.

ITEM #	STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSISTANCE SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>BURIAL AND CREMATION ASSISTANCE RECORDS</b> Includes records of programs for provision of burial or cremation assistance for indigent county residents.	Destroy in office after 3 years.*	
2.	 <b>CHILD CARE (SUBSIDIZED) CASE MANAGEMENT RECORDS</b> Includes provider enrollment records, client applications, eligibility forms, attendance records, enrollment records, case narratives, DHHS forms, referrals, and other related records pertaining to financial assistance programs.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Authority: DHHS Subsidized Child Care Services Manual, Chapter 4  Confidentiality: G.S. § 108A-80
3.	<b>CHILD CARE LICENSING RECORDS</b> Includes applications, licenses, facility inspection reports, and correspondence (including e-mail) that serve as documentation of compliance or non-compliance.	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	

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





<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSISTANCE SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p><b>CHILD CARE RESOURCE AND REFERRAL NETWORK RECORDS</b></p> <p>Includes lists, rosters, indexes, computer databases, and printouts of licensed child care providers.</p>	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	
5.	 <p><b>CHILD CARE SERVICES WAITING LISTS</b></p>	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
6.	<p><b>CHILD CARE VENDOR/DAY CARE PROVIDER RECORDS</b></p> <p>Includes child care provider agreements, site visits, rate sheets, payment policies, and other related records.</p>	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	
7.	 <p><b>CRISIS INTERVENTION PROGRAM AND ENERGY ASSISTANCE CASE MANAGEMENT RECORDS</b></p> <p>Includes verifications, eligibility information, benefit levels, signature pages, approval/denial notices, and other information related to Crisis Intervention Program and energy program partnerships with utilities.</p> <p><i>Note: Counties using an electronic case management system are not required to maintain an additional paper case file.</i></p>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80 DHHS Energy Programs Manual, EP-115  Retention: DHHS Energy Programs Manual, EP-125 and EP-400

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<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSISTANCE SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8. 	<b>EMERGENCY ASSISTANCE CASE MANAGEMENT RECORDS</b> Includes utility, rent, prescription, medical, housing, family planning, and similar services records. File includes applications, certification and issuance records, recipient claims, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
9. 	<b>FIRST STOP EMPLOYMENT ASSISTANCE CASE MANAGEMENT RECORDS</b> Includes registrations and applications, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
10. 	<b>FOOD AND NUTRITION SERVICES CASE MANAGEMENT RECORDS</b> Includes applications, certification and issuance records, recipient claims, and other related records concerning participation in food assistance programs.	a) Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>  b) Retain in office records containing an intentional program violation (IPV) disqualification and/or an IPV claim permanently.	Confidentiality: G.S. § 108A-80  Retention: DHHS Food and Nutrition Services Manual, FNS 135
11. 	<b>LOW INCOME ENERGY ASSISTANCE PROGRAM (LIEAP) CASE MANAGEMENT RECORDS</b> Includes applications, forms, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80  Retention: DHHS Energy Programs Manual, EP-125

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<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSISTANCE SERVICES			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	 <p><b>MEDICAID: ADULT CASE MANAGEMENT RECORDS</b> Includes applications, eligibility and benefit records, recipient claims, and all related records concerning county assistance programs for aged, blind, and/or disabled individuals. <b>Active cases</b> must contain the following verifications in order to substantiate ongoing eligibility:</p> <ol style="list-style-type: none"> <li>1. Application document of all persons in assistance unit.</li> <li>2. Age verifications.</li> <li>3. Citizenship/immigration status.</li> <li>4. Kinship.</li> <li>5. Blindness.</li> <li>6. Disability determinations.</li> <li>7. Residence.</li> <li>8. Social Security Number.</li> <li>9. Cooperation with child support requirements.</li> <li>10. Income date for pass-along case.</li> <li>11. Case profiles (Note: Only those case profiles containing information substantiating ongoing eligibility should be retained).</li> <li>12. Community Spouse Resource Assessment records.</li> <li>13. Legal documents, such as wills, deeds, marriage certificates, death certificates, divorce decrees, separation papers, court documents, and any other legally binding agreements.</li> </ol>	<p>a) <b>Active cases</b></p> <ol style="list-style-type: none"> <li>1. Destroy in office records not listed in the description to the left 10 years from the date of submission of the annual financial report of the relevant fiscal year if no litigation, claim, fiscal and/or program audit, or other official action involving the record has been initiated before the expiration of the 10 year period.<sup>1</sup></li> <li>2. If action has been initiated, destroy in office records not listed in the description to the left 10 years after completion of action and resolution of issues involved.<sup>1</sup></li> </ol> <p>b) <b>Closed cases</b></p> <ol style="list-style-type: none"> <li>1. Destroy in office closed files 10 years from date of submission of the final revised annual financial report for the year in which the case was closed if no litigation, claim, fiscal and/or program audit or other official action involving the record has been initiated.<sup>1</sup></li> <li>2. If action has been initiated, destroy records in office 10 years after completion of action and resolution of issues involved.<sup>1</sup></li> </ol> <p><i>Retention Note: Records so indicated may be destroyed only after the agency is notified by the Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to <b>LITIGATION CASE RECORDS</b>, page 35, item 13.</i></p>	<p>Confidentiality: G.S. § 108A-80 G.S. § 132-1.10(b)(5) DHHS Adult Medicaid Manual, Section MA-300</p> <p>Retention: North Carolina DHHS Records Retention and Disposition Schedule for Grants</p>

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

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




<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSISTANCE SERVICES			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	 <p><b>MEDICAID: FAMILIES AND CHILDREN CASE MANAGEMENT RECORDS</b> Includes applications, eligibility and benefit records, recipient claims, and all related records concerning county assistance programs for families with children. <b>Active cases</b> must contain the following verifications in order to substantiate ongoing eligibility:</p> <ol style="list-style-type: none"> <li>1. Application document of all persons in assistance unit.</li> <li>2. Age verifications.</li> <li>3. Citizenship/immigration status.</li> <li>4. Kinship.</li> <li>5. Blindness.</li> <li>6. Disability determinations.</li> <li>7. Residence.</li> <li>8. Social Security Number.</li> <li>9. Cooperation with child support requirements.</li> <li>10. Income date for pass-along case.</li> <li>11. Case profiles (Note: Only those case profiles containing information substantiating ongoing eligibility should be retained).</li> <li>12. Community Spouse Resource Assessment records.</li> <li>13. Legal documents, such as wills, deeds, marriage certificates, death certificates, divorce decrees, separation papers, court documents, and any other legally binding agreements.</li> </ol>	<p>a) <b>Active cases</b></p> <ol style="list-style-type: none"> <li>1. Destroy in office records not listed in the description to the left 10 years from the date of submission of the annual financial report of the relevant fiscal year if no litigation, claim, fiscal and/or program audit, or other official action involving the record has been initiated before the expiration of the 10 year period.<sup>1</sup></li> <li>2. If action has been initiated, destroy in office records not listed in the description to the left 10 years after completion of action and resolution of issues involved.<sup>1</sup></li> </ol> <p>b) <b>Closed cases</b></p> <ol style="list-style-type: none"> <li>1. Destroy in office closed files 10 years from date of submission of the final revised annual financial report for the year in which the case was closed if no litigation, claim, fiscal and/or program audit or other official action involving the record has been initiated.<sup>1</sup></li> <li>2. If action has been initiated, destroy records in office 10 years after completion of action and resolution of issues involved.<sup>1</sup></li> </ol> <p><i>Retention Note: Records so indicated may be destroyed only after the agency is notified by the Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to <b>LITIGATION CASE RECORDS</b>, page 35, item 13.</i></p>	<p>Confidentiality: G.S. § 108A-80 G.S. § 132-1.10(b)(5) DHHS Family and Children’s Medicaid Manual, Section MA-3500</p> <p>Retention: North Carolina DHHS Records Retention and Disposition Schedule for Grants</p>

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

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

<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.


ITEM #	STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSISTANCE SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14. 	<b>NORTH CAROLINA HEALTH CHOICE RECORDS</b> Includes applications, eligibility determinations, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Authority: G.S. § 108A-70.25  Confidentiality: G.S. § 108A-80
15. 	<b>REFUGEE ASSISTANCE SERVICES CASE RECORDS</b> Includes applications, eligibility and benefit records, recipient claims, quarterly reviews, case and progress notes, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Authority: DHHS Refugee Assistance Manual, Chapter IV  Confidentiality: G.S. § 108A-80
16. 	<b>SPECIAL ASSISTANCE (REST HOME) SERVICES CASE RECORDS</b> Includes applications, eligibility and benefit records, recipient claims, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80

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

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

<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.



STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSISTANCE SERVICES			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	 <p><b>WORK FIRST ASSISTANCE (TANF) CASE MANAGEMENT RECORDS</b> Includes applications, forms, case narratives, eligibility and benefit records, recipient claims, and other records pertaining to any distribution of Work First funds by the agency.</p>	<p>a) <b>Active cases</b></p> <ol style="list-style-type: none"> <li>1. Destroy in office records not listed in the description to the left 10 years from the date of submission of the annual financial report of the relevant fiscal year if no litigation, claim, fiscal and/or program audit, or other official action involving the record has been initiated before the expiration of the 10 year period.<sup>1</sup></li> <li>2. If action has been initiated, destroy in office records not listed in the description to the left 10 years after completion of action and resolution of issues involved.<sup>1</sup></li> </ol> <p>b) <b>Closed cases</b></p> <ol style="list-style-type: none"> <li>1. Destroy in office closed files 10 years from date of submission of the final revised annual financial report for the year in which the case was closed if no litigation, claim, fiscal and/or program audit or other official action involving the record has been initiated.<sup>1</sup></li> <li>2. If action has been initiated, destroy records in office 10 years after completion of action and resolution of issues involved.<sup>1</sup></li> </ol> <p><i>Retention Note: Records so indicated may be destroyed only after the agency is notified by the Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to <b>LITIGATION CASE RECORDS</b>, page 35, item 13.</i></p>	<p>Authority: DHHS Work First Manual 104</p> <p>Confidentiality: G.S. § 108A-80</p> <p>Retention: DHHS Work First Manual 207(XVI)</p>

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

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

<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.




**STANDARD 10: PROGRAM OPERATIONAL RECORDS: FAMILY AND CHILDREN’S SERVICES**

Official records pertaining to family support and child welfare services programs administered by county social services agencies.

Records so indicated may be destroyed only after the agency is notified by the Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.


Note: Administration, use, and retention of records concerning social service case management records should comply with applicable provisions of G.S. § 108A-80 on the confidentiality of records.

ITEM #	STANDARD 10: PROGRAM OPERATIONAL RECORDS: FAMILY AND CHILDREN’S SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	<p><b>ADOPTION ASSISTANCE CASE RECORDS</b></p> <p>Includes eligibility checklists, adoption assistance agreements, medical and psychological reports, copies of petition and decree, service client information change notices, forms, correspondence (including e-mail), and other related records concerning actions taken and services provided.</p>	<p>Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions.<sup>1</sup></p>	<p>Authority: Adoption Assistance and Child Welfare Act of 1980, P. L. 96-272 DHHS Child Welfare Funding Manual, Section 1600</p> <p>Confidentiality: G.S. § 108A-80</p>

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

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



<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 10: PROGRAM OPERATIONAL RECORDS: FAMILY AND CHILDREN'S SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2. 	<p><b>ADOPTION CASE RECORDS</b></p> <p>Includes for each child demographic information, prior placements, legal documents including birth certificates, court documents including original petitions, medical and psychological reports, educational records, photographs, intake studies, case plans and case review documents, dictation, legal adoption documents, summary of pre-placement studies, background information, forms, and other related records; includes for each adoptive home identifying information, application forms, medical reports for adoptive parents, marriage verifications, dictations, criminal record checks, home preplacement assessments, autobiographies, references, information sharing acknowledgments, correspondence (including e-mail) in chronological order, copies of adoption proceedings, forms, and other related records.</p>	<p>Retain in office permanently.</p> <p><i>Retention Note: Adoption case records may be microfilmed and destroyed by shredding after 7 years. See the <b>MICROFILM</b> section on page 88 for instructions on microfilming. Information that agency receives through checking of criminal history may be destroyed after 1 year when used for purposes authorized by G.S. § 48-3-309(f).</i></p>	<p>Authority: G.S. § 48-9-101 DHHS Family Support and Child Welfare Manual, Chapter VI, Section IV</p> <p>Confidentiality: G.S. § 48-9-102 G.S. § 48-9-103 through -105 G.S. § 48-9-309 G.S. § 48-10-105 DHHS Family Support and Child Welfare Manual, Chapter VI, Section IX</p> <p>Retention: 10A NCAC 70H .0409</p>
3.	<p><b>ADOPTION CLEARINGHOUSE RECORDS</b></p> <p>Records concerning the NC Kids Adoption and Foster Care Network and similar adoption listing services used by the agency. May include referrals, reports, correspondence (including e-mail), and other related records.</p>	<p>Destroy in office when reference value ends.†</p> <p>Agency Policy: Destroy in office after _____</p>	

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




<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 10: PROGRAM OPERATIONAL RECORDS: FAMILY AND CHILDREN'S SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4. 	<p><b>ADULT AND FAMILY ADJUSTMENT SERVICES CASE MANAGEMENT RECORDS</b></p> <p>Includes service plans, assessments, eligibility records, forms, narratives, and other records related to services designed to offer assistance to individuals and their family members in support of attempts to restructure or solidify the individual's environment.</p>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	<p>Authority: DHHS Family Services Manual, Volume VII, Chapter IV</p> <p>Confidentiality: G.S. § 108A-80</p>
5. 	<p><b>AT-RISK CASE MANAGEMENT SERVICES RECORDS</b></p> <p>Includes service plans, assessments, documentation of case managers' activities, records of contacts, and other related records.</p>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	<p>Authority: DHHS Case Management Services for Adults and Children at Risk for Abuse, Neglect, or Exploitation, Chapter 7.0</p> <p>Confidentiality: G.S. § 108A-80</p>

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




<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 10: PROGRAM OPERATIONAL RECORDS: FAMILY AND CHILDREN'S SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6. 	<p><b>CHILD FATALITY PREVENTION RECORDS</b></p> <p>Includes minutes of team meetings, agendas, attendance sheets, confidentiality forms, lists of state fatality cases, copies of death transcripts, copies of medical examiner's reports, copies of autopsy reports, correspondence (including e-mail), and other related records.</p> <p>See also <b>AGENDA AND MEETING PACKETS</b>, page 1, item 2.</p>	Destroy in office 3 years after date meeting was held.	Confidentiality: G.S. § 7B-1413
7. 	<p><b>CHILD PROTECTIVE SERVICES CASE RECORDS</b></p> <p>Includes intake and screening documentation, risk assessments, demographic information, annual photographs, court records, reports and evaluations, educational records, dictations, case decisions, in-home services documentation, child removal documentation, documentation concerning actions taken, investigations, services provided, and other related records regarding case management activities.</p>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	<p>Authority: 10A NCAC 70A .0112 DHHS Family Services Manual, Volume 1, Chapter VIII</p> <p>Confidentiality: G.S. § 108A-80 G.S. § 7B-302(a1) G.S. § 7B-2901</p>
8. 	<p><b>DELINQUENCY PREVENTION SERVICES RECORDS</b></p>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80

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

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



<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 10: PROGRAM OPERATIONAL RECORDS: FAMILY AND CHILDREN'S SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9. 	<b>FAMILY PLANNING SERVICES CASE MANAGEMENT RECORDS</b> Includes records relating to the Medicaid Family Planning Program, problem pregnancy, and adolescent parenting services.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
10. 	<b>FAMILY PRESERVATION AND PERMANENCY PLANNING SERVICES CASE MANAGEMENT RECORDS</b> Includes referrals, participant permission form, releases of information, family service plans, weekly progress notes, ongoing contact logs, services summaries, and other related records for non-intensive and intensive family preservation services.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Authority: DHHS Child Welfare Services Manual, Chapter I  Confidentiality: G.S. § 108A-80
11. 	<b>FAMILY SERVICES CASE PLAN MANAGEMENT RECORDS</b> Includes safety assessments, family risk assessments, family assessments of strengths and needs, risk reassessments, reunification assessments, family services agreements, and other related records.	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	Confidentiality: G.S. § 108A-80
12.	<b>FAMILY SUPPORT AND FAMILY RESOURCE CENTER PROGRAM RECORDS</b>	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	

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<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 10: PROGRAM OPERATIONAL RECORDS: FAMILY AND CHILDREN'S SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13. 	<p><b>FOSTER CARE AND CHILD PLACEMENT SERVICES CASE MANAGEMENT RECORDS</b></p> <p>Includes demographic information, annual pictures of child, placement history log, Out of Home Family Services Agreements, court documents, legal documents including a birth certificate, medical and psychological reports, educational records, written assessments, Interstate Compact documents, correspondence (including e-mail), dictation, eligibility forms, and other related records.</p>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	<p>Authority: DHHS Family Support and Child Welfare Manual, Chapter IV, Section 1201</p> <p>Confidentiality: G.S. § 7B-2901(b) G.S. § 108A-80</p>
14. 	<p><b>FOSTER CARE ASSISTANCE RECORDS</b></p> <p>Includes records concerning financial assistance for children placed in foster homes and facilities.</p>	Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions. <sup>1</sup>	<p>Authority: G.S. § 108A-49</p> <p>Confidentiality: G.S. § 7B-2901(b) G.S. § 108A-80</p>
15.	<p><b>FOSTER HOME AND FACILITY LICENSURE RECORDS</b></p> <p>Includes licensing and monitoring records.</p>	Records may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that specific records are released from all audits, reports, or other official actions. <sup>1</sup>	<p>Authority: G.S. § 131D-10.3 10A NCAC 70E .0701 through .0710 DHHS, <i>A Supplemental Guide to Foster Home Licensing</i></p>

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

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

<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

ITEM #	STANDARD 10: PROGRAM OPERATIONAL RECORDS: FAMILY AND CHILDREN'S SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<p><b>FOSTER HOME AND FACILITY RECRUITMENT RECORDS</b></p> <p>Includes multiethnic placement plans and related records created or accumulated as required by the Multiethnic Placement Act of 1994.</p>	<p>a) Retain plans in office permanently.</p> <p>b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after _____</p>	<p>Authority: 10A NCAC 70M .0304</p>
17.	 <p><b>INDEPENDENT LIVING SERVICES (NC LINKS) PROGRAM RECORDS</b></p> <p>Includes assessments, plans, and other related records.</p>	<p>Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions.<sup>1</sup></p>	<p>Confidentiality: G.S. § 7B-2901(b) G.S. § 108A-80</p>
18.	 <p><b>SCHOOL SOCIAL WORK SERVICES CASE MANAGEMENT RECORDS</b></p> <p>Includes case records of agency workers placed in local education agencies.</p>	<p>Specific records within a case file may be destroyed on a fiscal year basis when the office is notified by Department of Health and Human Services - Office of the Controller that the records are released from all audits, reports, or other official actions.<sup>1</sup></p>	<p>Confidentiality: G.S. § 108A-80</p>

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<sup>1</sup>Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the Controller that the records are released from all audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.

## DESTRUCTION OF PUBLIC RECORDS

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### ***Q. When can I destroy records?***

- A.** Each records series listed on this schedule has specific disposition instructions that indicate how long the series must be kept in your office. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever.
- 

### ***Q. How do I destroy records?***

- A.** After your agency has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- 1) burned, unless prohibited by local ordinance;
  - 2) shredded, or torn so as to destroy the record content of the documents or material concerned;
  - 3) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - 4) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.

The provision that electronic records are to be destroyed means that the data, metadata, and physical media are to be overwritten, deleted, and unlinked so that the data and metadata may not be practicably reconstructed.

The data, metadata, and physical media containing confidential records of any format are to be destroyed in such a manner that the information cannot be read or reconstructed under any means.

— N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Without your agency’s approval of this records schedule, no records may legally be destroyed.

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### ***Q. How can I destroy records if they are not listed on this schedule?***

- A.** Contact a Records Management Analyst. An analyst will discuss the nature of the records with you to determine if the records have historical value. If the records do have historical value, we will discuss the possibility of transferring the records to the State Archives of North Carolina to be preserved permanently.

If the records do not have historical value, we will ask you to complete a **REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS** (page 93) if the records are no longer being created. If the records are an active records series, an analyst will help you develop an amendment to this schedule so that you can destroy the records appropriately from this point forward.

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### ***Q. Am I required to tell anyone about the destructions?***

- A.** We recommend that you report on your records retention activities to your governing board on an annual basis. This report does not need to be detailed, but it is important that significant destructions be entered into the minutes of the Board.



## ELECTRONIC RECORDS: E-MAIL, BORN-DIGITAL RECORDS, AND DIGITAL IMAGING

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### ***Q. When can I delete my e-mail?***

**A.** E-mail is a public record as defined by G.S. § 121-5 and G.S. § 132. Electronic mail is as much a record as any paper record and must be treated in the same manner. **It is the content of each message that is important.** If a particular message would have been filed as a paper memo, it should still be filed (either in your e-mail program or in your regular directory structure), and it should be retained the same length of time as its paper counterparts. **It is inappropriate to destroy e-mail simply because storage limits have been reached.** Some examples of e-mail messages that are public records and therefore covered by this policy include:

- Policies or directives;
- Final drafts of reports and recommendations;
- Correspondence and memoranda related to official business;
- Work schedules and assignments;
- Meeting agendas or minutes
- Any document or message that initiates, facilitates, authorizes, or completes a business transaction; and
- Messages that create a precedent, such as issuing instructions and advice.

*From the Department of Cultural Resources E-Mail Policy (Revised July 2009),  
available at the State Archives of North Carolina website*

Other publications (available online at the [State Archives of North Carolina website](#)) that will be particularly helpful in managing your e-mail include tutorials on managing e-mail as a public record and on using Microsoft Exchange.

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### ***Q. May I print my e-mail to file it?***

**A.** We do not recommend printing e-mail for preservation purposes. Important metadata are lost when e-mail is printed.

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### ***Q. I use my personal e-mail account for work. No one can see my personal e-mail, right?***

**A.** The best practice is to avoid using personal resources, including private e-mail accounts, for public business. G.S. § 132-1 states that records “made or received pursuant to law or ordinance *in connection with the transaction of public business* by any agency of North Carolina government or its subdivisions” are public records (emphasis added). The fact that public records reside in a personal e-mail account is irrelevant.

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### ***Q. We have an imaging system. Are we required to keep the paper?***

**A.** You may scan any record, but you will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your agency must develop an electronic records policy and then submit a Request for Disposal of Original Records Duplicated by Electronic Means. You can find these templates in the Digital Imaging section of the State Archives of North Carolina website (<http://archives.ncdcr.gov/ForGovernment/DigitalRecords/DigitalRecordsPoliciesandGuidelines.aspx#imaging>). Contact a Records Management Analyst for further instructions on how to develop a compliant electronic records policy.

**Permanent records** must have a security preservation copy as defined by State Archives of North Carolina’s **Human-Readable Preservation Duplicate Policy** (G.S. § 132-8.2):

Preservation duplicates shall be durable, accurate, complete and clear, and such duplicates made by a photographic, photo static, microfilm, micro card, miniature photographic, or other process which accurately reproduces and forms a durable medium for so reproducing the original shall have the same force and effect for all purposes as the original record whether the original record is in existence or not. ... Such preservation duplicates shall be preserved in the place and manner of safekeeping prescribed by the Department of Cultural Resources.

**The preservation duplicate of permanent records must be either on paper or microfilm.**

**Non-permanent records** may be retained in any format. You will need to take precautions with electronic records that you must keep more than about 5 years. Computer systems do not have long life cycles. Each time you change computer systems, you must convert all records to the new system so that you can assure their preservation and provide access.

---

***Q. Computer storage is cheap. Can I just keep my computer records permanently?***

- A.** The best practice is to destroy all records that have met their retention requirements, regardless of format.

---

***Q. What are the guidelines regarding the creation and handling of electronic public records?***

- A.** There are numerous documents available on the State Archives of North Carolina website (<http://archives.ncdcr.gov/ForGovernment/DigitalRecords/DigitalRecordsPoliciesandGuidelines.aspx>). Topics covered include shared storage, cloud computing, eDiscovery, trustworthy digital public records, digital signatures, e-mail, social media, text messages, websites, digital imaging, metadata, file formats, database indexing, and security backups.

Note that for e-mail, voicemail, text messages, and social media, they should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, voicemail, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 1 year (see **LEAVE RECORDS**, page 45, item 24).

## MICROFILM

---

### ***Q. Why do you still use microfilm?***

**A.** Microfilm is a legally acceptable replacement for original records, as outlined in G.S. § 8-45.1 and § 153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass, and there is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection. The State Archives of North Carolina provides a publication, *Micrographics: Technical and Legal Procedures*, on our website. It explains the four groups of national standards for the production of archival quality microfilm:

- manufacture of raw film
- filming methods
- processing (developing) film
- storage methods

That publication also provides sample forms, targets, and procedures that you or your vendor can use in producing film of your records.

---

### ***Q. What film services do you provide?***

**A.** The Department of Natural and Cultural Resources provides microfilming services for minutes of major decision-making boards and commissions. We will also film records of adoptions for Social Services agencies. Once those records are filmed, we will store the silver negative (original) in our security vault. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.

---

### ***Q. How do I get my minutes filmed?***

**A.** We have two processes to film minutes. First, you can send photocopies of your approved minutes to us in the mail. Simply include a copy of the **Certification of the Preparation of Minutes for Microfilming** form (available online at the [State Archives of North Carolina website](#)) with each shipment. For more detailed instructions, contact a Records Management Analyst.

Alternatively, you can bring us your original books. We will film them and return them to you. This process is most useful when you have more minutes to film than you are willing to photocopy. It is important to remember that a representative of your office or ours must transport the original books in person so that the custody of the records is maintained. You should not mail or ship your original minutes. Call a Records Management Analyst to make arrangements for an appointment for your books to be filmed. We will make every effort to expedite the filming so that your books will be returned to you as quickly as possible.

---

### ***Q. What if I need my books while they are being filmed?***

**A.** Call the Raleigh Office at (919) 807-7350, and ask for the Records Management Analyst in charge of microfilm coordination.

---

### ***Q. Can I send you my minutes electronically?***

**A.** We are working on standards and procedures for an electronic transfer system for minutes. Please contact the Records Management Analyst in charge of microfilm coordination for more information.

---

### ***Q. I have some old minutes that are not signed. Can they still be filmed?***

**A.** If the only copy you have available is unsigned, and you use it as the official copy, we will film it.

---

***Q. What if my books are destroyed after they have been filmed?***

- A.** Call a Records Management Analyst who will help you make arrangements to purchase copies of the microfilm from our office. You can then send those reels to a vendor who can either make new printed books or scan the film to create a digital copy.

## DISASTER ASSISTANCE

---

### ***Q. What should I do in case of fire or flood?***

- A.** Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 807-7353 for the Head of the Government Records Section or (919) 807-7339 for the State Archivist. If you're in the western part of the state, call our Asheville Office at (828) 296-7230 extension 224. On nights and weekends, call your local emergency management office.

***DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.***

Damaged records are extremely fragile and require careful handling. Our staff are trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle larger disasters.

---

### ***Q. What help do you give in case of an emergency?***

- A.** We will do everything we can to visit you at the earliest opportunity in order to provide hands-on assistance. We can assist you in appraising the records that have been damaged so that precious resources (and especially time) are not spent on records with lesser value. We can provide lists of professional recovery vendors that you can contact to preserve your essential and permanent records.
- 

### ***Q. What can I do to prepare for an emergency?***

- A.** We provide training on disaster preparation that includes a discussion of the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, call a Records Management Analyst.
- 

### ***Q. What are essential records?***

- A.** Essential records are records that are necessary for continuity of operations in the event of a disaster. There are two common categories of records that are considered essential:
- **Emergency operating records** – including emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records
  - **Legal and financial rights records** – these protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, Social Security records, payroll records, retirement records, and insurance records. These records were formerly defined as “rights-and-interests” records.

Essential records should be stored in safe, secure locations as well as duplicated and stored off-site, if possible.

## STAFF TRAINING

---

***Q. What types of workshops or training do you offer?***

- A.** We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact a Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:
- Managing public records in North Carolina
  - Scanning/digital imaging
  - Disaster preparedness and recovery
  - Confidentiality
  - Organizing paper and digital files
  - E-mail

---

***Q. Will you design a workshop especially for our office?***

- A.** Yes, we will. Let a Records Management Analyst know what type of training you need.

---

***Q. Are workshops only offered in Raleigh?***

- A.** No, we will come to your offices to present the workshops you need. We have no minimum audience requirement. We will also do presentations for professional associations, regional consortiums, and the public.

---

***Q. Is there a fee for workshops?***

- A.** Not at this time.

---

***Q. Are the workshops available in an online format?***

- A.** Not at this time. However, there are several online tutorials available on the State Archives of North Carolina website, including managing public records, e-mail, electronic records, and scanning.



### REQUEST FOR CHANGE IN RECORDS SCHEDULE

**TO** Assistant Records Administrator  
Division of Archives and Records  
Government Records Section  
4615 Mail Service Center  
Raleigh, NC 27699-4615

**FROM** Name \_\_\_\_\_  
County \_\_\_\_\_  
Agency or department \_\_\_\_\_  
Mailing address \_\_\_\_\_  
Phone or email \_\_\_\_\_

#### INSTRUCTIONS

Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Submit the signed original, and keep a copy for your file. A proposed amendment will be prepared and submitted to the appropriate state and local officials for their approval and signature. Copies of the signed amendment will be sent to you for insertion in your copy of the schedule.

#### CHANGE REQUESTED

- Add a new item
  - Delete an existing item
  - Change a retention period
- Standard Number \_\_\_\_\_ Page \_\_\_\_\_ Item Number \_\_\_\_\_  
Standard Number \_\_\_\_\_ Page \_\_\_\_\_ Item Number \_\_\_\_\_

#### TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

**INCLUSIVE DATES OF RECORDS** \_\_\_\_\_ **APPROXIMATE VOLUME OF RECORDS** \_\_\_\_\_

#### DESCRIPTION OF RECORDS

#### PROPOSED RETENTION PERIOD

Requested by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Signature Title Date

Physical Address:  
215 N Blount Street  
Raleigh, N.C. 27601

State Courier 51-81-20  
Facsimile (919) 715-3627  
records@ncdcr.gov



### REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

**TO** Assistant Records Administrator  
N.C. Division of Archives and Records  
Government Records Section  
4615 Mail Service Center  
Raleigh, NC 27699-4615

**FROM** Name \_\_\_\_\_  
County \_\_\_\_\_  
Agency or department \_\_\_\_\_  
Phone number \_\_\_\_\_

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of records listed below. These records have no further use or value for official or administrative purposes.

RECORDS SERIES TITLE	DESCRIPTION	INCLUSIVE DATES	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

Requested by: \_\_\_\_\_  
Signature Title Date

Approved by: \_\_\_\_\_  
Signature Head of Governing Board Date

Concurred by: \_\_\_\_\_  
(except as indicated) Signature Assistant Records Administrator  
NC Division of Archives and Records Date





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