

## 14. Public Assistance and Support Services

The function of Public Assistance and Support Services involves coordinating needs-related payments and providing a safety net for under-resourced populations, as overseen by the Department of Military and Veterans Affairs and the Department of Public Safety. These functions also encompass workforce development and vocational rehabilitation, which are overseen by the Department of Commerce, the Community Colleges System Office, the Department of Health and Human Services, and the Department of Public Instruction. Agencies document programs offered, eligibility, and services rendered.

NOTE: Separate records retention and disposition schedules govern the records of the North Carolina Community College System campuses and the UNC System institutions.

Many of the benefits provided by Public Assistance and Support Services programs are funded through grants; any records that document grant funding should be handled according to Grants Management under FINANCIAL MANAGEMENT. Hearings about denied claims that are resolved within another agency are under LEGAL. Appeals hearings resolved within the agency along with fraud investigations are under MONITORING AND COMPLIANCE.

Table of contents (A comprehensive listing of all record types is available on the Functional Schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 14.1 [Claims and Support Services](#)
  - 1411 [Applications](#)
  - 1412 [Case Records](#)
  - 1413 [Eye Disability Reports](#)
- 14.2 [Social Services](#)
  - 1421 [Adoption Case Records](#)
  - 1422 [Child Support Services Records](#)
  - 1423 [Interstate Foster Care Case Records](#)
- 14.3 [Unemployment Assistance and Workforce Development](#)
  - 1431 [Apprenticeship and On-the-Job Training Master Craftsman Program Records](#)
  - 1432 [Business Enterprise Program Records](#)
  - 1433 [Employer Workforce Records](#)
  - 1434 [Participant Case Records](#)
  - 1435 [Performance Measures](#)
  - 1436 [Unemployment Insurance \(UI\) Records](#)
  - 1437 [Workforce Strategic Plans](#)

Appendix: [Records That Will Transfer to the State Records Center](#)



Many Public Assistance and Support Services records, such as Business Enterprise Program Records (RC No. 1432.3) have retention periods that are triggered by the conclusion of assistance or services, so it is useful to organize records accordingly. There are some archival records on this schedule, such as Apprenticeship and On-the-Job Training Master Craftsman Program Records (RC No. 1431.A). Adoption records are both confidential and require permanent retention.





Many public assistance and support services records contain confidential information; therefore, the security of both paper and electronic records should be maintained at all times. For example, 34 CFR 361.38 specifies the confidentiality of personal information in the possession of the Division of Services for the Blind, and G.S. § 96-4(x) confers confidentiality on records held by the Division of Employment Security.

These Functional Schedules apply to records in all media, unless otherwise specified. The State Archives of North Carolina recommends that agencies develop a file plan that documents the owners of record copies, internal definitions of reference value, and record formats. (A sample is available on the records management tools page at <https://archives.ncdcr.gov/government/rm-tools>.) Information about the NC Public Records Act, confidentiality, destructions, audits and litigation actions, and electronic records can be found in the overview to the functional scheduling initiative. A key for the Functional Schedule along with definitions of important records management terms can be found in the glossary to this schedule.


**14.1 Claims and Support Services**

*DEFINED: Activities related to the management of needs-related services for disaster relief, social services, and veterans as well as support services and rehabilitation for qualified individuals.*

*SEE ALSO: See [Section 14.2](#) for specific records about adoptions, child support services, and foster care. See [Section 14.3](#) for records about vocational rehabilitation. Records that document grant funding should be handled according to Grants Management under FINANCIAL MANAGEMENT. Hearings about denied claims that are resolved within another agency are under LEGAL; appeals hearings held within the agency are under MONITORING AND COMPLIANCE, as are fraud investigations.*

RC No.	Record Types	Disposition Instructions	Citation
1411.1 	<b>Applications</b> Claims forms submitted to request assistance and determine eligibility; includes evaluations and other related records for claims that are denied  <i>NOTE: Approved claims should be included with the Case Records.</i>	RETAIN UNTIL: Received  PLUS: 1 year  THEN: Destroy	<u>Confidentiality</u>  G.S. § 132-1.10 34 CFR 361.49
1412.3 	<b>Case Records (1 of 3)</b> Records concerning recipients of assistance and support services; includes applications, referrals, assessments, forms, contacts, service and rehabilitation plans, authorizations, evaluations, and other related records	RETAIN UNTIL: Closed  PLUS: 3 years  THEN: Destroy*	<u>Confidentiality</u>  G.S. § 132-1.10 34 CFR 361.49
1412.20 	<b>Case Records (2 of 3) – Department of Public Instruction</b> Records maintained by the Department of Public Instruction concerning recipients of early learning sensory support	RETAIN UNTIL: Closed  PLUS: 20 years <a href="#">Ω</a>  THEN: Destroy*	<u>Confidentiality</u>  20 USC 1439 42 USC 1320d
1412.< 	<b>Case Records (3 of 3) – Administrative Office of the Courts</b> Records concerning guardian ad litem cases overseen by the Administrative Office of the Courts; includes court pleadings, summaries or reports, medical, psychological, or substance abuse evaluations or reports, staff and volunteer case notes, and other related records	RETAIN UNTIL: Juvenile reaches age 21  THEN: Destroy*	<u>Confidentiality</u>  G.S. § 7B-601(c)

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.  
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.  
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Disposition Instructions	Citation
<b>1413.3</b> 	<b>Eye Disability Reports – Department of Health and Human Services</b> Certifications of income tax exemptions for North Carolina residents with eye disabilities, provided by the Department of Health and Human Services	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> 34 CFR 361.49

14.1

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.  
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.  
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.




## 14.2 Social Services

*DEFINED: Activities conducted by the Department of Health and Human Services (DHHS) to provide services to people with particular needs.*

*NOTE: Most individual cases for entitlement programs are handled by Departments of Social Services or Departments of Human Services at the county level. Their records are governed by a separate records retention and disposition schedule.*

*SEE ALSO: Records that document grant funding, such as Temporary Assistance for Needy Families (TANF), should be handled according to Grants Management under FINANCIAL MANAGEMENT. The financial records documenting child support services are also under FINANCIAL MANAGEMENT. For monitoring of programs, see MONITORING AND COMPLIANCE.*

14.2

RC No.	Record Types	Disposition Instructions	Citation
1421.A 	<b>Adoption Case Records – Department of Health and Human Services</b> Records concerning adoption cases overseen by the Department of Health and Human Services, including adult adoptions, dismissed adoptions, interstate adoptions, and the resource exchange program; includes petitions for adoption, affidavits, consent forms, final orders of adoption, narratives, and other related records; also includes any addenda received after final decrees	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 48-9-102 G.S. § 48-10-105
1422.3 	<b>Child Support Services Records – Department of Health and Human Services</b> Records concerning efforts by the Department of Health and Human Services to collect child support payments; includes locate requests, tax intercept authorizations, financial institution data matches, and other related records  SEE ALSO: Accounting (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Closed PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.1(b) G.S. § 132-1.2(2) G.S. § 132-1.10 G.S. § 153A-148.1 G.S. § 160A-208.1
1423.A 	<b>Interstate Foster Care Case Records – Department of Health and Human Services</b> Records concerning foster care placements governed by the Interstate Compact on the Placement of Children (ICPC) and maintained by the Department of Health and Human Services; includes forms, correspondence, and other related records	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 48-9-102 G.S. § 48-10-105

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

∞ See appendix for list of item numbers for records that should transfer to the State Archives.


Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

**14.3 Unemployment Assistance and Workforce Development**



*DEFINED: Activities helping people find jobs and assisting employers to find and retain a qualified workforce as well as activities carried out by the Department of Commerce to implement the State’s system of unemployment insurance.*

*NOTE: The records of colleges within the North Carolina Community College System are governed by a separate retention and disposition schedule.*





*SEE ALSO: If grant funding provides the mechanism for supporting workforce development, those records are under FINANCIAL MANAGEMENT. The records generated by the State Board of Education in administering vocational and technical education are under GOVERNANCE. For certifications of training programs and for fraud investigations, see MONITORING AND COMPLIANCE.*

RC No.	Record Types	Disposition Instructions	Citation
1431.A	<p><b>Apprenticeship and On-the-Job Training Master Craftsman Program Records (1 of 2) – North Carolina Community College System Office</b></p> <p>Standards, registration forms, listings of work processes, and other related records for apprenticeship programs overseen by the North Carolina Community College System Office</p>	PERMANENT (archival) ∞	
1431.7	<p><b>Apprenticeship and On-the-Job Training Master Craftsman Program Records (2 of 2) – North Carolina Community College System Office</b></p> <p>Apprenticeship agreements enacted by the North Carolina Community College System Office along with compliance reviews and complaint investigations; also includes records concerning U.S. Department of Veterans Affairs (VA) programs</p>	<p>RETAIN UNTIL: Complete or canceled</p> <p>PLUS: 7 years Ω</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>29 CFR 30.18(b)</p>
1432.3	<p><b>Business Enterprise Program Records – Department of Health and Human Services</b></p> <p> Records accumulated by the Department of Health and Human Services concerning legally blind operators of food service and vending facilities; includes training, counseling, and management services records; also includes contracts, memoranda, inspection reports, authorizations, and other related records</p>	<p>RETAIN UNTIL: Inactive</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>34 CFR 361.38</p>





\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.  
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.  
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Disposition Instructions	Citation
1433.A	<p><b>Employer Workforce Records (1 of 6) – Department of Commerce</b></p> <p>Notifications received by the Department of Commerce from companies or businesses concerning plant closings and layoffs</p> <p>SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)</p>	PERMANENT (archival) ∞	<p><u>Authority</u></p> <p>20 CFR Part 639</p>
1433.5-1	<p> <b>Employer Workforce Records (2 of 6) – Department of Commerce</b></p> <p>Records compiled by the Department of Commerce concerning employers located within the jurisdiction of local or branch offices; includes contact information, agreements, job orders, reports, evaluations, correspondence, and other related records</p> <p>SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Inactive</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 96-4(x)</p> <p><u>Retention</u></p> <p>G.S. § 132-3(c)</p>
1433.5-2	<p> <b>Employer Workforce Records (3 of 6) – Department of Commerce</b></p> <p>Records concerning accounts maintained by the Department of Commerce for each employer reimbursing the Unemployment Insurance Fund; includes annual statements of all credits and charges</p> <p>SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 96-9.6(d)</p> <p><u>Confidentiality</u></p> <p>G.S. § 96-4(x)</p> <p><u>Retention</u></p> <p>G.S. § 132-3(c)</p>
1433.5-3	<p><b>Employer Workforce Records (4 of 6) – Department of Commerce</b></p> <p>Records submitted to the Department of Commerce documenting workforce needs that cannot be met within the citizen population and require foreign laborers</p> <p>SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.  
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.  
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Disposition Instructions	Citation
1433.4 	<b>Employer Workforce Records (5 of 6) – Department of Commerce</b> Records concerning federal tax credit authorizations for employers, as submitted to the Department of Commerce, that are deemed eligible SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Determination PLUS: 4 years <a href="#">Ω</a> THEN: Destroy	<u>Confidentiality</u> IRS Publication 1075 <u>Retention</u> DOL ETA handbook
1433.1 	<b>Employer Workforce Records (6 of 6) – Department of Commerce</b> Records concerning federal tax credit authorizations for employers, as submitted to the Department of Commerce, that are deemed ineligible SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Determination PLUS: 1 year THEN: Destroy*	<u>Confidentiality</u> IRS Publication 1075 <u>Retention</u> DOL ETA handbook
1434.3 	<b>Participant Case Records</b> Records concerning participants in vocational rehabilitation and workforce development programs	RETAIN UNTIL: Inactive PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> 34 CFR 361.38 <u>Retention</u> 20 CFR 683.150(h)(5)
1435.5 	<b>Performance Measures – Department of Commerce</b> Common follow-up information management system (CFS) designed by the Department of Commerce for tracking performance measures related to current and former participants in state job training, education, and placement programs	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Authority</u> G.S. § 96-32(a) <u>Confidentiality</u> G.S. § 96-32(a) G.S. § 96-33(b)

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.  
∞ See appendix for list of item numbers for records that should transfer to the State Archives.  
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Disposition Instructions	Citation
1436.5-1 	<b>Unemployment Insurance (UI) Records (1 of 4) – Department of Commerce</b> Records compiled by the Department of Commerce concerning claims for UI benefits; includes claim forms, wage transcripts, work histories, eligibility reviews, and other related records for valid claims	RETAIN UNTIL: Inactive PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 96-4(x) 20 CFR Part 603  <u>Retention</u> G.S. § 132-3(c)
1436.5-2 	<b>Unemployment Insurance (UI) Records (2 of 4) – Department of Commerce</b> UI claim forms that are rejected by the Department of Commerce	RETAIN UNTIL: Received PLUS: 5 years THEN: Destroy	
1436.5-3 	<b>Unemployment Insurance (UI) Records (3 of 4) – Department of Commerce</b> Interstate and intrastate unemployment insurance claims for federal employees filed with the Department of Commerce; also includes claims by former military personnel	RETAIN UNTIL: Inactive PLUS: 5 years THEN: Destroy	<u>Retention</u> IRS Publication 1075
1436.3 	<b>Unemployment Insurance (UI) Records (4 of 4) – Department of Commerce</b> Reports filed with the U.S. Department of Labor concerning Department of Commerce administrative decisions involving UI claims	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
1437.T	<b>Workforce Strategic Plans (1 of 2) – Department of Commerce</b> Single unified strategic plan developed by the Department of Commerce for core programs for preparing an educated and skilled workforce and meeting the workforce needs of employers	Transfer final report to the State Publications Clearinghouse, State Library of North Carolina	<u>Authority</u> G.S. § 125-11.5 through 11.10
1437.5	<b>Workforce Strategic Plans (2 of 2) – Department of Commerce</b> Working papers and other materials collected by the Department of Commerce in producing the state unified plan	RETAIN UNTIL: Completion of report PLUS: 5 years THEN: Destroy	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.  
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.  
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

## Records That Will Transfer to the State Records Center

The RC No. listed beside each Record Type is found on the Functional Schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Appendix

An index or box inventory should accompany any records that transfer to the State Records Center for temporary storage or for eventual transfer to the custody of the Archives.

**1412.20 Case Records:** Transfer to the State Records Center 5 years after designated inactive. Records will be held for agency 15 additional years and then destroyed.

Agency	Series Title	Item Number
Public Instruction, Department of	Early Learning Sensory Support Records File	45366

**1421.A Adoption Case Records:** Transfer to the State Records Center 1 year after case is closed for microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to custody of the Archives. Paper records will be destroyed in the State Records Center after microfilming. A duplicate copy of the microfilm will be purchased and retained permanently by the agency.

Agency	Series Title	Item Number
Health and Human Services, Department of	Adoptions Addenda File	50327
Health and Human Services, Department of	Adult Adoptions Case File	2087
Health and Human Services, Department of	Dismissed Adoption Case File	2089
Health and Human Services, Department of	Indexed Adoption Case File	2090
Health and Human Services, Department of	Interstate Adoption Case File <sup>^</sup>	2088

<sup>^</sup> No duplicate reel of microfilm is required for these records.

**1423.A Interstate Foster Care Case Records:** Transfer to the State Records Center 1 year after case is closed for microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to custody of the Archives. Paper records will be destroyed in the State Records Center after microfilming.

Agency	Series Title	Item Number
Health and Human Services, Department of	Interstate Foster Care File	2086

**1431.A Apprenticeship and On-the-Job Training Master Craftsman Program Records:** Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Community College System, North Carolina	Cancelled Programs File	2450

**1431.7 Apprenticeship and On-the-Job Training Master Craftsman Program Records:** Transfer to the State Records Center after 2 years. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Community College System, North Carolina	Cancelled Apprenticeship Agreements File	21224
Community College System, North Carolina	Completed Apprenticeship Agreements File	21225
Community College System, North Carolina	Veterans Affairs Program File	49072
Community College System, North Carolina	Veterans Affairs Reporting File	49073

**1433.A Employer Workforce Records:** Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Commerce, Department of	Worker Adjustment Retraining Notification (WARN) Act File	27114

**1433.4 Employer Workforce Records:** Transfer to the State Records Center after 2 years. Records will be held for agency 2 additional years and then destroyed.

Agency	Series Title	Item Number
Commerce, Department of	Work Opportunity Tax Credit/Welfare to Work (WOTC/WtW) File	431