RECORDS RETENTION AND DISPOSITION SCHEDULE

COUNTY SOCIAL SERVICES AGENCIES

Issued By:

State Archives of North Carolina
NATURAL AND CULTURAL RESOURCES

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

It is further agreed that these records may not be destroyed prior to the time periods stated; however for sufficient

EXECUTIVE SUMMARY

to G.S. § 121-5(b) and G.S. § 132-3, you may only destroy public records with the
f the Department of Natural and Cultural Resources (DNCR). The State Archives
arolina is the division of DNCR charged with administering a records
ent program. This schedule is the primary way the State Archives of North
ives its consent. Without approving this schedule your agency is obligated to

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✓ Records listed in Program Operational Records (Standards 6 thr[redacted]

- ✓ 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

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

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

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 requires

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 either furnish copies thereof upon payment of any fees as may be prescribed by law.

No person requesting to inspect and examine a [illegible]

Q. Our old records are stored in the attic, basement, or off-site building

AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS

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."[1]

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.

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

[1] *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

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.	**AFFORDABLE CARE ACT (ACA) NAVIGATOR RECORDS** 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.[1]	Confidentiality: G.S. § 108A-80
2.	**COMPLAINTS: ALL SERVICE AREAS** 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.	**CLIENT ACCOUNT FINANCIAL SERVICE RECORDS (TRUST ACCOUNTS)** 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.[1]	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.

[1]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.	**COMPUTER REPORTS AND PRINTOUTS** All reports and printouts created by systems that are administered by the state Department of Health and Human Services.	a) Transfer reports that concern one single individual to that individual's appropriate case file. b) Comply with disposition instructions printed on reports that concern multiple individuals or system function. c) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after administrative value ends.	Confidentiality: G.S. § 108A-80

ITEM #	STANDARD 7: PROGRAM OPERATIONAL RECORDS: ADULT SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	**GUARDIANSHIP MASTER INDEX** 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 administrative value ends.	Authority: G.S. § 35A Confidentiality: G.S. § 108A-80 Retention: DHHS Family Services Manual, Volume V, Chapter VIII
11.	**GUARDIANSHIPS (TERMINATED) LISTING** 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.	**HOUSING ASSISTANCE AND HOME IMPROVEMENT SERVICES 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.[1]	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.

*[1]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.	**INFORMATION AND REFERRAL SERVICES RECORDS** 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.[1]	Confidentiality: G.S. § 108A-80
14.	**NUTRITION SERVICES CASE MANAGEMENT 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.[1]	Confidentiality: G.S. § 108A-80
15.	**SPECIAL ASSISTANCE FOR ADULTS (STATE-COUNTY) CASE MANAGEMENT RECORDS** 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.[1]	Confidentiality: G.S. § 108A-80
16. †	**SPECIAL ASSISTANCE SERVICES TO THE BLIND AND VISUALLY IMPAIRED 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.[1]	Authority: G.S. § 111-35 Confidentiality: G.S. § 108A-80
17. †	**TRANSPORTATION SERVICES CASE MANAGEMENT RECORDS** 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.[1]	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.

[1] 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.

State Archives of North Carolina
NATURAL AND CULTURAL RESOURCES

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.

ITEM #	STANDARD 8: PROGRAM OPERATIONAL RECORDS: CHILD SUPPORT SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	**CHILD SUPPORT SERVICES CASE MANAGEMENT RECORDS** 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.	Destroy in office 3 years after case is closed.[1] *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 **LITIGATION CASE RECORDS**, page 35, item 13.*	Confidentiality: G.S. § 108A-80 Retention: 45 CFR Part 74

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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.*

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[1]*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.*

State Archives of North Carolina
NATURAL AND CULTURAL RESOURCES

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

State Archives of North Carolina
NATURAL AND CULTURAL RESOURCES

ITEM #	STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSISTANCE SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	**CHILD CARE RESOURCE AND REFERRAL NETWORK RECORDS** Includes lists, rosters, indexes, computer databases, and printouts of licensed child care providers.	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.[1]	
5.	**CHILD CARE SERVICES WAITING LISTS**	Records may be destroyed on a fiscal year basis when the office	Confidentiality:

ITEM #	STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSISTANCE SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	**MEDICAID: ADULT CASE MANAGEMENT RECORDS** Includes applications, eligibility and benefit records, recipient claims, and all related records concerning county assistance programs for aged, blind, and/or disabled individuals. **Active cases** must contain the following verifications in order to substantiate ongoing eligibility: 1. Application document of all persons in assistance unit. 2. Age verifications. 3. Citizenship/immigration status. 4. Kinship. 5. Blindness. 6. Disability determinations. 7. Residence. 8. Social Security Number. 9. Cooperation with child support requirements. 10. Income date for pass-along case. 11. Case profiling (for [illegible])	a) **Active cases** 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.[1] 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.[1] b) **Closed cases** 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.[1]	Confidentiality: G.S. § 108A-80 G.S. § 132-1.10(b)(5) DHHS Adult Medicaid Manual, Section MA-300 Retention: North Carolina DHHS Records Retention and Disposition Schedule for Grants

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	RUCTIONS	CITATION
	t listed in the description e date of submission of the ıe relevant fiscal year if no or program audit, or other record has been initiated 10 year period.[1] destroy in office records to the left 10 years after solution of issues 10 years from date of ed annual financial	Confidentiality: G.S. § 108A-80 G.S. § 132-1.10(b)(5) DHHS Family and Children's Medicaid Manual, Section MA-3500 Retention: North Carolina DHHS Records Retention and Disposition Schedule for Grants
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ITEM #	STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMI	
	RECORD SERIES TITLE	DISPOSITION INST
13. †	**MEDICAID: FAMILIES AND CHILDREN CASE MANAGEMENT RECORDS** Includes applications, eligibility and benefit records, recipient claims, and all related records concerning county assistance programs for families with children. **Active cases** must contain the following verifications in order to substantiate ongoing eligibility: 1. Application document of all persons in assistance unit. 2. Age verifications. 3. Citizenship/immigration status. 4. Kinship. 5. Blindness. 6. Disability determinations. 7. Residence. 8. Social Security Number. 9. Cooperation with child support requirements. 10. Income date for pass-along case. 11. Case profiles [Note: Only those case profiles containing information substantiating ongoing eligibility should be retained]. 12. Community Spouse Resource Assessment records. 13. Legal documents, such as wills, deeds, marriage certificates, death certificates, divorce decrees, separation papers, court documents, and any other legally binding agreements.	a) **Active cases** 1. Destroy in office records no to the left 10 years from th annual financial report of th litigation, claim, fiscal and/ official action involving the before the expiration of the 2. If action has been initiated, not listed in the description completion of action and re involved.[1] b) **Closed cases** 1. Destroy in office closed files submission of the final revis for the year in which the case was litigation, claim, fiscal and/or prog official action involving the record 2. If action has been initiated, destro 10 years after completion of actio issues involved.[1] *Retention Note: Records so indicated may b after the agency is notified by the Departme Human Services – Office of the Controller th released from all audits, reports, or other o Transfer records involved in litigation to LIT RECORDS, page 35, item 13.*

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s, page 35, item 13.

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS page ix.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value e

[1]Records may be destroyed only after office is notified by Department of Health and Human Services – Office of the all audits, reports, or other official actions. Transfer records involved in litigation to LITIGATION CASE RECORD

		Confidentiality: G.S. § 108A-80
RVICES CASE enefit records, ords.	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.[1]	Confidentiality: G.S. § 108A-80

		...notes, and other related records.
16.	SPECIAL ASSISTANCE (BEST HOME) S... RECORDS Includes applications, eligibility and b... recipient claims, and other related re...	

*or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION,***

...at it will establish and enforce internal policies setting minimum retention periods for the records that ...with the disposition instruction "destroy when reference value ends." Please use the space provided.
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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIO
	STANDARD 9: PROGRAM OPERATIONAL RECORDS: ECONOMIC ASSIS	
17.	**WORK FIRST ASSISTANCE (TANF) CASE MANAGEMENT RECORDS** 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.	a) **Active cases** 1. Destroy in office records not listed to the left 10 years from the date annual financial report of the relev litigation, claim, fiscal and/or prog official action involving the record before the expiration of the 10 yea 2. If action has been initiated, destro not listed in the description to the completion of action and resolutio involved.[1] b) **Closed cases** 1. Destroy in office closed files 10 yea submission of the final revised ann for the year in which the case was litigation, claim, fiscal and/or prog official action involving the record 2. If action has been initiated, destro 10 years after completion of action issues involved.[1] *Retention Note: Records so indicated may b after the agency is notified by the Departme Human Services – Office of the Controller th released from all audits, reports, or other of Transfer records involved in litigation to **LITI RECORDS**, page 35, item 13.*

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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.	**ADOPTION ASSISTANCE CASE RECORDS** 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.	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.[1]	Authority: Adoption Assistance and Child Welfare Act of 1980, P. L. 96-272 DHHS Child Welfare Funding Manual, Section 1600 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.

*[1]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.*

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ITEM #	STANDARD 10: PROGRAM OPERATIONAL RECORDS: FAMILY AND CHILDREN'S SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	**ADOPTION CASE RECORDS** 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.	Retain in office permanently. *Retention Note: Adoption case records may be microfilmed and destroyed by shredding after 7 years. See the **MICROFILM** 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).*	Authority: G.S. § 48-9-101 DHHS Family Support and Child Welfare Manual, Chapter VI, Section IV 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 Retention: 10A NCAC 70H .0409
3.	**ADOPTION CLEARINGHOUSE RECORDS** 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.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after administrative value ends.	

* 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.

[1]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
	ADULT AND FAMILY ADJUSTMENT SERVICES CASE MANAGEMENT RECORDS 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.	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.[1]	Authority: DHHS Family Services Manual, Volume VII, Chapter IV Confidentiality: G.S. § 108A-80
	AT-RISK CASE MANAGEMENT SERVICES RECORDS Includes service plans, assessments, documentation of case managers' activities, records of contacts, 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.[1]	Authority: DHHS Case Management Services for Adults and Children at Risk for Abuse, Neglect, or Exploitation, Chapter 7.0 Confidentiality: G.S. § 108A-80

*destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.*

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*rds 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 ll audits, reports, or other official actions. Transfer records involved in litigation to **LITIGATION CASE RECORDS**, page 35, item 13.*

	DISPOSITION INSTRUCTIONS	CITATION
of state ies of reports	Destroy in office 3 years after date meeting was held.	Confidentiality: G.S. § 7B-1413

ITEM #	RECORD SERIES TITLE
6.	**CHILD FATALITY PREVENTION RECORDS** Includes minutes of team meetings, agendas, attendance sheets, confidentiality forms, lists fatality cases, copies of death transcripts, cop medical examiner's reports, copies of autops

ity: AC 70A .0112 Family Services l, Volume 1,	10		records. See also **AGENDA AND MEETING PACKETS**, page 1, item 2.		
		7.	**CHILD PROTECTIVE SERVICES CASE RECORDS** Includes intake and screening documentation, risk assessments, demographic information, annual photographs, court records, reports and evaluations,	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.[1]	Autho 10A N DHHS Manua

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NATURAL AND CULTURAL RESOURCES

ITEM #	STANDARD 10: PROGRAM OPERATIONAL RECORDS: FAMILY AND CHILDREN'S SERVICES RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	**FAMILY PLANNING SERVICES CASE MANAGEMENT RECORDS** 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.[1]	Confidentiality: G.S. § 108A-80
10.	**FAMILY PRESERVATION AND PERMANENCY PLANNING SERVICES CASE MANAGEMENT RECORDS** 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.[1]	Authority: DHHS Child Welfare Services Manual, Chapter I Confidentiality: G.S. § 108A-80
11.	**FAMILY SERVICES CASE PLAN MANAGEMENT RECORDS** 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.[1]	Confidentiality: G.S. § 108A-80
12.	**FAMILY SUPPORT AND FAMILY RESOURCE CENTER PROGRAM RECORDS**	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	

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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.

*[1]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.	**FOSTER CARE AND CHILD PLACEMENT SERVICES CASE MANAGEMENT RECORDS** 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.	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.[1]	Authority: DHHS Family Support and Child Welfare Manual, Chapter IV, Section 1201 Confidentiality: G.S. § 7B-2901(b) G.S. § 108A-80
14.	**FOSTER CARE ASSISTANCE RECORDS** Includes records concerning financial assistance for children placed in foster homes and facilities.	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.[1]	Authority: G.S. § 108A-49 Confidentiality: G.S. § 7B-2901(b) G.S. § 108A-80
15.	**FOSTER HOME AND FACILITY LICENSURE RECORDS** Includes licensing and monitoring 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.[1]	Authority: G.S. § 131D-10.3 10A NCAC 70E .0701 through .0710 DHHS, *A Supplemental Guide to Foster Home Licensing*

** 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.

*[1]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.*

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E RECORDS: FAMILY AND CHILDREN'S SERVICES	
DISPOSITION INSTRUCTIONS	**CITATION**
lans in office permanently. in office remaining records when reference value Policy: Destroy in office after administrative value	Authority: 10A NCAC 70M .0304
rds within a case file may be destroyed on a fiscal nen the office is notified by Department of Health Services - Office of the Controller that the records from all audits, reports, or other official actions.[1]	Confidentiality: G.S. § 7B-2901(b) G.S. § 108A-80
se file may be destroyed on a fiscal s notified by Department of Health e of the Controller that the records , reports, or other official actions.[1]	Confidentiality: G.S. § 108A-80

ITEM #	STANDARD 10: PROGRAM OPERATIONA	
	RECORD SERIES TITLE	
16.	**FOSTER HOME AND FACILITY RECRUITMENT RECORDS** Includes multiethnic placement plans and related records created or accumulated as required by the Multiethnic Placement Act of 1994.	a) Retain p b) Destroy ends.† Agency ends.
17.	**INDEPENDENT LIVING SERVICES (NC LINKS) PROGRAM RECORDS** Includes assessments, plans, and other related records.	Specific reco year basis w and Human are released
18.	**SCHOOL SOCIAL WORK SERVICES CASE MANAGEMENT RECORDS** Includes case records of agency workers placed in local education agencies.	Specific records within a ca year basis when the office and Human Services - Offic are released from all audits

DESTRUCTION OF PUBLIC RECORDS

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:

- burned, unless prohibited by local ordinance;
- shredded, or torn so as to destroy the record content of the documents or material concerned;
- placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
- 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

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

DISASTER ASSISTANCE

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

STAFF TRAINING

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

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