## CONTENTS

**Approval** .................................................................................................................................................. i

**Front Matter**
- Executive Summary ................................................................................................................................. ii
- Managing Public Records in North Carolina ........................................................................................... vi
- Audits, Litigation, and Other Official Actions .......................................................................................... ix
- Transitory Records .................................................................................................................................... x
- Legend for Records Schedule .................................................................................................................. xii

### Records Retention and Disposition Schedule

| Standard 1: Administration and Management Records | ........................................................................ 1 |
| Standard 2: Budget, Fiscal, and Payroll Records | ........................................................................ 16 |
| Standard 3: Information Technology Records | ........................................................................ 26 |
| Standard 4: Legal Records | ........................................................................ 31 |
| Standard 5: Personnel Records | ........................................................................ 36 |
| Standard 6: Program Operational Records: Social Services Administration | ........................................................................ 54 |
| Standard 7: Program Operational Records: Adult Services | ........................................................................ 58 |
| Standard 8: Program Operational Records: Child Support Services | ........................................................................ 63 |
| Standard 9: Program Operational Records: Economic Assistance Services | ........................................................................ 64 |
| Standard 10: Program Operational Records: Family and Children’s Services | ........................................................................ 71 |
| Standard 11: Public Relations Records | ........................................................................ 78 |
| Standard 12: Risk Management Records | ........................................................................ 81 |

### Appendix

| Destruction of Public Records | ........................................................................ 85 |
| Electronic Records: E-mail, Born Digital Records, and Digital Imaging | ........................................................................ 86 |
| Microfilm | ........................................................................ 88 |
| Disaster Assistance | ........................................................................ 90 |
| Staff Training | ........................................................................ 91 |

#### Request Forms

- Request for Change in Records Schedule ................................................................................................. 92
- Request for Disposal of Unscheduled Records ........................................................................................ 93
- Request for Disposal of Original Records Duplicated by Electronic Means ............................................ 94

### Index

- ................................................................................................................................................................. 95
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 practically 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

__________________________ 2016

County
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.
✓ 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:

  o Which services are covered in the record;
  o The records retention and disposition instructions in this County Social Services Agencies Records Retention and Disposition Schedule;
  o How those programs are funded; and
  o 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

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.

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.

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.”

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.

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.

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).

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.

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.

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.
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.

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.

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.

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

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

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.”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

• 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.

保密符号：表示在此系列中的一或多个记录可能保密或可能包含保密信息。

Item # — 一个标识每个记录系列的数字，便于参考。

Series — “一组具有相同功能的相似记录”（来自Richard Pearce-Moses的A Glossary of Archival and Records Terminology）。此表中的系列是基于政府办公室的常见功能。

Records Series Title — 一个标识系列中记录的短时间识别，基于它们的共同功能。

Series Description — 一个描述该系列中的记录的更长时间的描述，通常包括在该系列中可以频繁找到的记录类型。此信息包含在Records Series Title下方。

Disposition Instructions — 指示一个系列必须保留的时间长度以及在那个时间之后该办公室应该如何处理那些记录。

Citation — 列出与记录系列相关的条例、法律和代码的引用。引用可以包括：

• 权威：治理记录的创建
• 保密：限制公众存取记录
• 保留：设置保留期

在本表中，引用此表中其他项目的是用粗体大写字母标记的。如果你将光标放在其中一个项目上，你会看到帮助工具，可以点击该点来跟随到该位置。

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/](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](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.
2016 COUNTY SOCIAL SERVICES AGENCIES RECORDS RETENTION AND DISPOSITION SCHEDULE

**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.*

---

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>AFFORDABLE CARE ACT (ACA) NAVIGATOR RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td></td>
<td>Includes official navigators and certified application counselors records, referrals to enrollment portal and hotline and other community assistance, and other related records.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 2.     | COMPLAINTS: ALL 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 |
|        | Includes complaints received from clients and citizens concerning specific service areas. | | |
| 3.     | CLIENT ACCOUNT FINANCIAL SERVICE RECORDS (TRUST ACCOUNTS) | 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 |
|        | 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. | | |

*¹ 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.

¹Records 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.
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.

1Records 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.

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
</table>
| 4.    | COMPUTER REPORTS AND PRINTOUTS | 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 _________________ | Confidentiality:  
G.S. § 108A-80 |
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
</table>
| 5.     | **FRAUD AND PROGRAM INTEGRITY CASE MANAGEMENT RECORDS**                              | a) **Medicaid**  
1. 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.  
2. 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 **LITIGATION CASE RECORDS**, page 35, item 13.

b) **Food and Nutrition Services and Work First Assistance**  
1. Retain in office Food and Nutrition Services records containing an intentional program violation (IPV) disqualification and/or an IPV claim permanently.
2. Retain in office hearing record of Work First Assistance fraud and intentional program violations permanently.
3. 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 **LITIGATION CASE RECORDS**, page 35, item 13. |

Confidentiality:  
G.S. § 108A-80  
10A NCAC 22F .0106  
Retention:  
10A NCAC 22F .0107  
DHHS Food and Nutrition Services Manual, FNS 135  
DHHS Work First Manual, 207(XVI) |

* 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.

1Records 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td><strong>UNCLAIMED BODY CASE RECORDS</strong>&lt;br&gt;Includes disposition forms, identification records, and other related records.</td>
<td>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</td>
<td>Authority: G.S. § 130A-415(c)</td>
</tr>
<tr>
<td>7.</td>
<td><strong>WORKER DAILY REPORT OF SERVICES TO CLIENTS (DAY SHEETS)</strong>&lt;br&gt;Forms concerning employees' activities used to determine appropriate program charges.</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>8.</td>
<td><strong>WORKER DAILY TRANSPORTATION SCHEDULES</strong>&lt;br&gt;Schedules used by department drivers for transportation related to all programs.</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>9.</td>
<td><strong>YOUTH EMPLOYMENT CERTIFICATE RECORDS</strong>&lt;br&gt;Records concerning issuance of youth employment certificates. Includes waivers.</td>
<td>Destroy in office certificates and waivers issued by the agency when individual reaches 20 years of age.</td>
<td>Authority: G.S. § 95-25.5</td>
</tr>
</tbody>
</table>

* 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.

¹Records 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.

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
</table>
| 1.     | ADULT CARE FACILITY LICENSURE 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.     | ADULT CARE PLACEMENT PROGRAM 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 |

* 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.
1Records 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.</td>
<td>ADULT DAY CARE AND DAY HEALTH SERVICES CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Authority: 10A NCAC 06T  Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>4.</td>
<td>ADULT IN-HOME SERVICES CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Authority: DHHS Family Services Manual, Volume VII, Chapter VIII  Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>5.</td>
<td>ADULT PROTECTIVE SERVICES CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Authority: DHHS Adult Protective Services Manual  Confidentiality: G.S. § 108A-80  G.S. § 108A-116</td>
</tr>
</tbody>
</table>

* 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.
¹Records 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.</td>
<td>COMMUNITY ALTERNATIVES PROGRAM FOR DISABLED ADULTS (CAP/DA) CASE RECORDS Includes service plans, authorization forms, service orders, waiver supports, and other related records.</td>
<td>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.†</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>8.</td>
<td>GUARDIANSHIP AND REPRESENTATIVE PAYEE CASE MANAGEMENT RECORDS 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.</td>
<td>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.†</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>9.</td>
<td>GUARDIANSHIP CENTRAL REGISTRY Includes name of ward, guardian appointment date, guardianship type, bond, file reference numbers, and copy of guardianship order.</td>
<td>Destroy in office when reference value ends.† Agency Policy: Destroy in office after _________________</td>
<td>Authority: G.S. § 35A</td>
</tr>
</tbody>
</table>

* 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
</table>
| 10.    | GUARDIANSHIP MASTER INDEX | 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.    | GUARDIANSHIPS (TERMINATED) LISTING | 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.† | 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.
‡ 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.
### 2016 COUNTY SOCIAL SERVICES AGENCIES RECORDS RETENTION AND DISPOSITION SCHEDULE

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>13.</td>
<td>INFORMATION AND REFERRAL SERVICES RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>14.</td>
<td>NUTRITION SERVICES CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>15.</td>
<td>SPECIAL ASSISTANCE FOR ADULTS (STATE-COUNTY) CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>16.</td>
<td>SPECIAL ASSISTANCE SERVICES TO THE BLIND AND VISUALLY IMPAIRED RECORDS</td>
<td>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</td>
<td>Authority: G.S. § 111-35  Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>17.</td>
<td>TRANSPORTATION SERVICES CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
</tbody>
</table>

* 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.

¹Records 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.

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>CHILD SUPPORT SERVICES CASE MANAGEMENT RECORDS</td>
<td>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.</td>
<td>Confidentiality: G.S. § 108A-80 Retention: 45 CFR Part 74</td>
</tr>
</tbody>
</table>

* 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.
**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.

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>BURIAL AND CREMATION ASSISTANCE RECORDS</td>
<td>Destroy in office after 3 years.*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Includes records of programs for provision of burial or cremation assistance for indigent county residents.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 2.     | CHILD CARE (SUBSIDIZED) 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 | Authority: DHHS Subsidized Child Care Services Manual, Chapter 4  
Confidentiality: G.S. § 108A-80 |
|        | 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. |  |  |
| 3.     | CHILD CARE LICENSING 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 |  |
|        | Includes applications, licenses, facility inspection reports, and correspondence (including e-mail) that serve as documentation of compliance or non-compliance. |  |  |

* 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.

¹Records 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.</td>
<td>CHILD CARE RESOURCE AND REFERRAL NETWORK RECORDS</td>
<td>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.†</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td></td>
<td>Includes lists, rosters, indexes, computer databases, and printouts of licensed child care providers.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>CHILD CARE SERVICES WAITING LIST</td>
<td>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.†</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td>6.</td>
<td>CHILD CARE VENDOR/DAY CARE PROVIDER RECORDS</td>
<td>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.†</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td></td>
<td>Includes child care provider agreements, site visits, rate sheets, payment policies, and other related records.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>CRISIS INTERVENTION PROGRAM AND ENERGY ASSISTANCE CASE MANAGEMENT RECORDS</td>
<td>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.†</td>
<td>Confidentiality: G.S. § 108A-80 DHHS Energy Programs Manual, EP-115 Retention: DHHS Energy Programs Manual, EP-125 and EP-400</td>
</tr>
</tbody>
</table>
|       | 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.  

Note: Counties using an electronic case management system are not required to maintain an additional paper case file. | | | |

* 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.

†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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.</td>
<td>EMERGENCY ASSISTANCE CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>FIRST STOP EMPLOYMENT ASSISTANCE CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td></td>
<td>Includes registrations and applications, and other related records.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 10.   | FOOD AND NUTRITION SERVICES CASE MANAGEMENT RECORDS                                 | 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.¹  
   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 |
|       | Includes applications, certification and issuance records, recipient claims, and other related records concerning participation in food assistance programs. |                                                                                                                                                                                                                        |          |
| 11.   | LOW INCOME ENERGY ASSISTANCE PROGRAM (LIEAP) 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  
|       | Includes applications, forms, and other related records.                           |                                                                                                                                                                                                                        |          |

* 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.

¹ 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.

¹Records 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
</table>
| 12.   | MEDICAID: ADULT CASE MANAGEMENT RECORDS | 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  
2. If action has been initiated, destroy records in office 10 years after completion of action and resolution of issues involved.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  
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 |

* 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.

¹Records 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>13.</td>
<td>MEDICAID: FAMILIES AND CHILDREN CASE MANAGEMENT RECORDS</td>
<td><strong>a) Active cases</strong>&lt;br&gt;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)&lt;br&gt;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)**&lt;br&gt;&lt;br&gt;<strong>b) Closed cases</strong>&lt;br&gt;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)&lt;br&gt;2. If action has been initiated, destroy records in office 10 years after completion of action and resolution of issues involved.(^1)</td>
<td>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</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
</table>
| 14.    | NORTH CAROLINA HEALTH CHOICE 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. | Authority: G.S. § 108A-70.25  
Confidentiality: G.S. § 108A-80 |
| 15.    | REFUGEE ASSISTANCE SERVICES CASE 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. | Authority: DHHS Refugee Assistance Manual, Chapter IV  
Confidentiality: G.S. § 108A-80 |
| 16.    | SPECIAL ASSISTANCE (REST HOME) SERVICES CASE 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. | 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.

¹Records 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
</table>
| 17.   | WORK FIRST ASSISTANCE (TANF) CASE MANAGEMENT RECORDS | 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.  
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.  

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.  
2. If action has been initiated, destroy records in office 10 years after completion of action and resolution of issues involved.  

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. | Authority: DHHS Work First Manual 104  
Confidentiality: G.S. § 108A-80  
Retention: DHHS Work First Manual 207(XVI) |

* 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.  
¹Records 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.

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>ADOPTION ASSISTANCE CASE RECORDS</td>
<td>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.</td>
<td>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</td>
</tr>
</tbody>
</table>

* 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.

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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td>ADOPTION CASE RECORDS</td>
<td>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).</td>
<td>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</td>
</tr>
</tbody>
</table>

* 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.
‡ 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.</td>
<td>ADULT AND FAMILY ADJUSTMENT SERVICES CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Authority: DHHS Family Services Manual, Volume VII, Chapter IV Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>AT-RISK CASE MANAGEMENT SERVICES RECORDS</td>
<td>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</td>
<td>Authority: DHHS Case Management Services for Adults and Children at Risk for Abuse, Neglect, or Exploitation, Chapter 7.0 Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td></td>
<td>Includes service plans, assessments, documentation of case managers’ activities, records of contacts, and other related records.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* 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.

¹Records 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td>CHILD FATALITY PREVENTION RECORDS</td>
<td>Destroy in office 3 years after date meeting was held.</td>
<td>Confidentiality: G.S. § 7B-1413</td>
</tr>
<tr>
<td></td>
<td>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. See also AGENDA AND MEETING PACKETS, page 1, item 2.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>CHILD PROTECTIVE SERVICES CASE RECORDS</td>
<td>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</td>
<td>Authority: 10A NCAC 70A .0112 DHHS Family Services Manual, Volume 1, Chapter VIII Confidentiality: G.S. § 108A-80 G.S. § 7B-302(a1) G.S. § 7B-2901</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>DELINQUENCY PREVENTION SERVICES RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
</tbody>
</table>

* 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.

¹Records 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.</td>
<td>FAMILY PLANNING SERVICES CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td></td>
<td>Includes records relating to the Medicaid Family Planning Program, problem pregnancy, and adolescent parenting services.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>FAMILY PRESERVATION AND PERMANENCY PLANNING SERVICES CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>FAMILY SERVICES CASE PLAN MANAGEMENT RECORDS</td>
<td>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</td>
<td>Confidentiality: G.S. § 108A-80</td>
</tr>
<tr>
<td></td>
<td>Includes safety assessments, family risk assessments, family assessments of strengths and needs, risk reassessments, reunification assessments, family services agreements, and other related records.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td>FAMILY SUPPORT AND FAMILY RESOURCE CENTER PROGRAM RECORDS</td>
<td>Destroy in office when reference value ends.†</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Agency Policy: Destroy in office after _____________________</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* 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.
¹Records 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.
<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>13.</td>
<td>FOSTER CARE AND CHILD PLACEMENT SERVICES CASE MANAGEMENT RECORDS</td>
<td>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</td>
<td>Authority: DHHS Family Support and Child Welfare Manual, Chapter IV, Section 1201. Confidentiality: G.S. § 7B-2901(b) G.S. § 108A-80.</td>
</tr>
<tr>
<td>14.</td>
<td>FOSTER CARE ASSISTANCE RECORDS</td>
<td>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</td>
<td>Authority: G.S. § 108A-49. Confidentiality: G.S. § 7B-2901(b) G.S. § 108A-80.</td>
</tr>
<tr>
<td>15.</td>
<td>FOSTER HOME AND FACILITY LICENSURE RECORDS</td>
<td>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</td>
<td>Authority: G.S. § 131D-10.3 10A NCAC 70E .0701 through .0710 DHHS, A Supplemental Guide to Foster Home Licensing.</td>
</tr>
</tbody>
</table>

*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.¹Records 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**

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>RECORD SERIES TITLE</th>
<th>DISPOSITION INSTRUCTIONS</th>
<th>CITATION</th>
</tr>
</thead>
</table>
| 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 plans in office permanently.  
b) Destroy in office remaining records when reference value ends.†  
Agency Policy: Destroy in office after ________________ | Authority: 10A NCAC 70M .0304 |
| 17.    | INDEPENDENT LIVING SERVICES (NC LINKS) PROGRAM RECORDS  
Includes assessments, plans, 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. § 7B-2901(b)  
G.S. § 108A-80 |
| 18.    | SCHOOL SOCIAL WORK SERVICES CASE MANAGEMENT RECORDS  
Includes case records of agency workers placed in local education agencies. | 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 |

* 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.
¹Records 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

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.

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.

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**

**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](http://archives.ncdcr.gov/ForGovernment/DigitalRecords/DigitalRecordsPoliciesandGuidelines.aspx#imaging)) 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.

**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.

**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.

**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](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?


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.
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

<table>
<thead>
<tr>
<th>Standard Number</th>
<th>Page</th>
<th>Item Number</th>
</tr>
</thead>
</table>

**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.

<table>
<thead>
<tr>
<th>RECORDS SERIES TITLE</th>
<th>DESCRIPTION</th>
<th>INCLUSIVE DATES</th>
<th>QUANTITY</th>
<th>MICROFILMED? (YES OR NO)</th>
<th>RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Requested by: ______________________________________, ____________________________, __________________________

Approved by: ______________________________________, ____________________________, __________________________

Concurred by: ______________________________________, ____________________________, __________________________
(except as indicated)

NC Division of Archives and Records

93
Request for Disposal of Original Records Duplicated by Electronic Means

If you have questions, call (919) 807-7350 and ask for a Records Management Analyst.

This form is used to request approval from the Department of Natural and Cultural Resources to dispose of non-permanent paper records which have been scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to a digital environment. This form does not apply to records which have been microfilmed or photocopied, or to records with a permanent retention.

<table>
<thead>
<tr>
<th>Agency Contact Name:</th>
<th>Date (MM-DD-YYYY):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phone (area code):</td>
<td>Email:</td>
</tr>
<tr>
<td>County/Municipality:</td>
<td>Office:</td>
</tr>
<tr>
<td>Mailing address:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Records Series Title</th>
<th>Description of Records</th>
<th>Inclusive Dates</th>
<th>Approx. Volume of Records</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>A group of records as listed in records retention schedule</td>
<td>Specific records as referred to in-office</td>
<td>(1987-1989; 2005-present)</td>
<td>(e.g. “1 file cabinet,” “5 boxes”)</td>
<td>As listed in records retention schedule</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Requested by: ____________________________.

Signature ____________________________.

Requestor ____________________________.

Date ____________________________.

Approved by: ____________________________.

Signature ____________________________.

Requestor’s Supervisor ____________________________.

Date ____________________________.

Concurred by: ____________________________.

Signature ____________________________.

Assistant Records Administrator ____________________________.

State Archives of North Carolina ____________________________.

Date ____________________________.
INDEX

1
1099 FORMS. SEE WITHHOLDING TAX FILE

A
ABOLISHED POSITIONS, 36
ACA RECORDS, 54
ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE), 81
ACCOUNTS PAYABLE, 16
ACCOUNTS RECEIVABLE, 16
ACCOUNTS UNCOLLECTABLE, 16
ADMINISTRATION AND MANAGEMENT RECORDS, 1
ADMINISTRATIVE DIRECTIVES, REGULATIONS, AND RULES, 1
ADOPTION ASSISTANCE CASE RECORDS, 71
ADOPTION CASE RECORDS, 72
ADOPTION CLEARINGHOUSE RECORDS, 72
ADULT AND FAMILY ADJUSTMENT SERVICES CASE MANAGEMENT RECORDS, 73
ADULT CARE AND HEALTH SERVICES CASE MANAGEMENT RECORDS. SEE ADULT DAY CARE AND DAY HEALTH SERVICES CASE MANAGEMENT RECORDS
ADULT CARE FACILITY LICENSURE RECORDS, 58
ADULT CARE PLACEMENT PROGRAM RECORDS, 58
ADULT DAY CARE AND DAY HEALTH SERVICES CASE MANAGEMENT RECORDS, 59
ADULT IN-HOME SERVICES CASE MANAGEMENT RECORDS, 59
ADULT PROTECTIVE SERVICES CASE MANAGEMENT RECORDS, 59
ADULT SERVICES MASTER INDEX, 59
ADULT SERVICES RECORDS, 58
AFFIDAVITS OF PUBLICATION, 31
AFFORDABLE CARE ACT (ACA) NAVIGATOR RECORDS, 54
AGENCY PUBLICATIONS, 78
AGENDAS (MEETING), 1
ANNUAL BUDGET, 17
APPLICATIONS FOR APPOINTMENT, 1
APPLICATIONS FOR EMPLOYMENT, 36
APPOINTMENT REPORTS, 1
APPRENTICESHIP PROGRAM RECORDS, 37
APTITUDE & SKILLS TESTING RECORDS, 37
ASBESTOS MANAGEMENT PLAN, 81
ASBESTOS TRAINING, 37
ASSOCIATIONS AND ORGANIZATIONS, 2
AT-RISK CASE MANAGEMENT SERVICES RECORDS, 73
AUDIO & VIDEO RECORDINGS OF MEETINGS, 2
AUDIO-VISUAL RECORDINGS, 78
AUDIT SYSTEMS, 26
AUDITS
FINANCIAL, 17
PERFORMANCE, 2
AUTHORIZATION FORMS, 17

B
BANK STATEMENTS, 17
BENEFIT PLAN ENROLLMENT FORMS, EMPLOYEE, 46
BENEFITS RECORDS, 38
BENEFITS REIMBURSEMENT PLAN, 38
BIDS FOR DISPOSAL OF PROPERTY, 18
BIDS FOR PURCHASE, 18
BILLING AND CLAIMS, 18
BIOGRAPHICAL DATA, 7
BLOODBORNE PATHOGEN TRAINING, 38
BLUEPRINTS, 2
BONDS, 2
BUDGET REPORTS, 18
BUDGET REQUESTS AND WORKING PAPERS, 19
BUDGET, FISCAL, AND PAYROLL RECORDS, 16
BULLETINS, 3
BURIAL AND CREMATION ASSISTANCE RECORDS, 64

C
CALENDARS OF EVENTS AND APPOINTMENTS, 3
CALL CENTER RECORDINGS, 5
CANCELLED CHECKS, 19
CASH REPORTS, 19
CERTIFICATION AND QUALIFICATION RECORDS, EMPLOYEE, 39
CHARTER RECORDS, 3
CHECK REGISTERS, 19
CHECK STUBS, 19
CHILD CARE (SUSSIDIZED) CASE MANAGEMENT RECORDS, 64
CHILD CARE LICENSING RECORDS, 64
CHILD CARE RESOURCE AND REFERRAL NETWORK RECORDS, 65
CHILD CARE SERVICES WAITING LISTS, 65
CHILD CARE VENDOR/DAY CARE PROVIDER FILE, 65
CHILD FATALITY PREVENTION RECORDS, 74
CHILD PROTECTIVE SERVICES CASE RECORDS, 74
CHILD SUPPORT ENFORCEMENT CASE MANAGEMENT RECORDS. SEE CHILD SUPPORT SERVICES CASE MANAGEMENT RECORDS.
CHILD SUPPORT SERVICES CASE MANAGEMENT RECORDS, 63.
CHILD SUPPORT SERVICES RECORDS, 63.
CITIZEN COMPLAINTS, PETITIONS, AND SERVICE REQUESTS, 3.
CITIZEN SURVEYS, 3.
CIVIL RIGHTS CASE RECORDS, 31.
CIVIL RIGHTS RECORDS, 32.
CLAIMS FOR DAMAGES, 18.
CLIENT ACCOUNT FINANCIAL SERVICE RECORDS, 54.
COMMUNITY ALTERNATIVE PROGRAM CASE RECORDS. SEE COMMUNITY ALTERNATIVES PROGRAM FOR DISABLED ADULTS (CAP/DA) CASE RECORDS.
COMMUNITY ALTERNATIVES PROGRAM FOR DISABLED ADULTS (CAP/DA) CASE RECORDS, 60.
COMPLAINTS: ALL SERVICE AREAS, 54.
COMPREHENSIVE PLAN, 4.
COMPUTER AND NETWORK USAGE RECORDS, 26.
COMPUTER REPORTS AND PRINTOUTS, 55.
CONFERENCES AND WORKSHOPS, 4.
CONFLICTS OF COMMITMENT, 32.
CONFLICTS OF INTEREST, 32.
CONTRACT BUDGET REPORTS, 18.
CONTRACTS, LEASES, AND AGREEMENTS, 33.
CORRESPONDENCE, 4.
CORRESPONDENCE (LEGAL), 34.
CREDIT CARD ASSIGNMENTS, 19.
CREDIT CARD PAYMENTS, 19.
CREDIT CARD STATEMENTS, 17.
CRISIS INTERVENTION PROGRAM AND ENERGY ASSISTANCE CASE MANAGEMENT RECORDS, 65.
CUSTOMER CALL CENTER RECORDINGS, 5.

D

DAILY DETAIL REPORTS, 18.
DAY SHEETS, 57.
DEBIT CARD PAYMENTS, 19.
DELINQUENCY PREVENTION SERVICES RECORDS, 74.
DEPOSIT SLIPS, 20.
DEPOSITS, 20.
DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER), 20.
DIGITIZATION AND SCANNING RECORDS, 26.
DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS, 20.
DIRECTIVES, 1.
DIRECTORY, ROSTERS OR INDICES, EMPLOYEE, 39.
DISABILITY SALARY CONTINUATION CLAIMS, 39.

DISASTER AND EMERGENCY MANAGEMENT PLANS, 82.
DISASTER PREPAREDNESS AND RECOVERY PLANS (INFORMATION TECHNOLOGY), 27.
DISASTER RECOVERY, 82.
DISCIPLINARY ACTIONS, 40.
DISCRIMINATION COMPLAINTS, 33.
DONATIONS AND SOLICITATIONS, 20.
DRUG AND ALCOHOL PREVENTION PROGRAMS, 41.
DUAL EMPLOYMENT, 42.

E

ECONOMIC ASSISTANCE SERVICES RECORDS, 64.
EDUCATIONAL ASSISTANCE, EMPLOYEE, 42.
EDUCATIONAL LEAVE AND REIMBURSEMENT, 42.
EDUCATIONAL RECORDS, EMPLOYEE, 51.
ELECTRONIC RECORDS POLICIES AND PROCEDURES, 27.
ELIGIBILITY RECORDS, EMPLOYEE, 42.
EMERGENCY ASSISTANCE CASE MANAGEMENT RECORDS, 66.
EMERGENCY EQUIPMENT RECORDS, 82.
EMPLOYMENT SELECTION RECORDS, 43.
EQUIPMENT INVENTORIES, 12.
EQUIPMENT MAINTENANCE, REPAIR, AND INSPECTION RECORDS, 5.
EQUIPMENT REFERENCE RECORDS, 5.
EQUIPMENT USAGE RECORDS, 5.
EXIT INTERVIEW RECORDS, EMPLOYEE, 43.
EXPENDITURE REPORTS, 18.

F

FACILITY ACCESSIBILITY, 32.
FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS, 6.
FACILITY SERVICE AND MAINTENANCE AGREEMENTS, 33.
FACILITY USAGE RECORDS, 5.
FAMILY AND CHILDREN’S SERVICES RECORDS, 71.
FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS, 43.
FAMILY PLANNING SERVICES CASE MANAGEMENT RECORDS, 75.
FAMILY PRESERVATION AND PERMANENCY PLANNING SERVICES CASE MANAGEMENT RECORDS, 75.
FAMILY SERVICES CASE PLAN MANAGEMENT RECORDS, 75.
FAMILY SUPPORT AND FAMILY RESOURCE CENTER PROGRAM RECORDS, 75.
FINANCIAL JOURNALS AND LEDGERS, 20.
FIRE EXTINGUISHER RECORDS, 82.
FIRE, HEALTH, AND SAFETY RECORDS, 82
FIRST STOP EMPLOYMENT ASSISTANCE CASE MANAGEMENT RECORDS, 66
FIXED ASSETS, 12
FOOD AND NUTRITION SERVICES CASE MANAGEMENT RECORDS, 66
FOOD ASSISTANCE CASE MANAGEMENT RECORDS.
SEE FOOD AND NUTRITION SERVICES CASE MANAGEMENT RECORDS
FORMS AND TEMPLATES, 6
FOSTER CARE AND CHILD PLACEMENT SERVICES CASE MANAGEMENT RECORDS, 76
FOSTER CARE ASSISTANCE RECORDS, 76
FOSTER HOME AND FACILITY LICENSURE RECORDS, 76
FOSTER HOME AND FACILITY RECRUITMENT RECORDS, 77
FRAUD AND PROGRAM INTEGRITY CASE MANAGEMENT RECORDS, 56
FUEL OIL STORAGE TANK RECORDS, 83
FUND DRIVE AND EVENT RECORDS, 6

G
GENERAL FUND REPORTS. SEE DETAIL REPORT FILE GENERAL LEDGER. SEE DETAIL REPORT FILE
GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS, 21
GRANT CONTRACT APPEALS CASES, 6
GRANT PROPOSALS, 7
GRANTS, 7
FINANCIAL, 21
GRIEVANCES, 44
GUARDIANSHIP AND REPRESENTATIVE PAYEE CASE MANAGEMENT RECORDS, 60
GUARDIANSHIP CENTRAL REGISTRY, 60
GUARDIANSHIP MASTER INDEX, 61
GUARDIANSHIPS (TERMINATED) LISTING, 61

H
HAZARDOUS MATERIALS TRAINING RECORDS, 44
HEALTH CERTIFICATES, EMPLOYEE, 44
HISTORY RECORDS (AGENCY AND EMPLOYEES, 7
HOUSING ASSISTANCE AND HOME IMPROVEMENT SERVICES RECORDS, 61

I
I-9 FORMS, 42
IMAGING RECORDS. SEE DIGITIZATION AND SCANNING RECORDS
INDEPENDENT LIVING SERVICES (NC LINKS)
PROGRAM RECORDS, 77
INDICES, 7
INFORMATION AND REFERRAL SERVICES RECORDS, 62
INFORMATION TECHNOLOGY (IT) RECORDS, 26
INFORMATION TECHNOLOGY ASSISTANCE RECORDS, 27
INSPECTION RECORDS, EQUIPMENT AND VEHICLE, 5
INSPECTION RECORDS, FACILITY, 6
INSURANCE POLICIES, 34
INTERAGENCY PROGRAMS, 8
INTERNSHIP PROGRAM, 44
INVESTMENTS, 21
INVITATIONS, 8
INVOICES, 21
ITINERARIES, 8

L
LAND OWNERSHIP RECORDS, 34
LEAVE RECORDS, 45
LEGAL OPINIONS, 34
LEGAL RECORDS, 31
LEGAL REVIEW RECORDS, 34
LEGISLATION AND REGULATORY RECORDS, 8
LGERS MONTHLY REPORTS, 21
LIEAP CASE MANAGEMENT RECORDS, 66
LITIGATION CASE RECORDS, 35
LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS, 22
LONGEVITY PAY, 22
LOSS CONTROL INSPECTION REPORTS, 83
LOST, STOLEN, OR DAMAGED PROPERTY REPORTS, 83
LOW INCOME ENERGY ASSISTANCE PROGRAM (LIEAP) CASE MANAGEMENT RECORDS, 66

M
MAIL, 8
MAILING AND DISTRIBUTION RECORDS, 8
MAINTENANCE RECORDS, EQUIPMENT AND VEHICLE, 5
MAINTENANCE RECORDS, FACILITY, 6
MANAGEMENT STUDIES, 13
MATERIAL SAFETY DATA SHEETS, 83
MEDIA FILE, 78
MEDICAID: ADULT CASE MANAGEMENT RECORDS, 67
MEDICAID: FAMILIES AND CHILDREN CASE MANAGEMENT RECORDS, 68
MEDICAL RECORDS, EMPLOYEE, 45
MEETING PACKETS, 1
MEMORANDA, 4
MILITARY LEAVE, 46
MINUTES (STAFF MEETINGS), 9
MINUTES OF PUBLIC BODIES, 9

NC LINKS PROGRAM RECORDS. SEE INDEPENDENT LIVING SERVICES (NC LINKS) PROGRAM RECORDS
NETWORK AND SYSTEM SECURITY RECORDS, 27
NETWORK DIAGRAMS, 28
NEWSPAPER CLIPPINGS, 7
NORTH CAROLINA HEALTH CHOICE RECORDS, 69
NOTICES OF PUBLIC MEETINGS, 10
NUTRITION SERVICES CASE MANAGEMENT RECORDS, 62

OATHS OF OFFICE, 35
OCCUPATIONAL SAFETY & HEALTH ADMINISTRATION (OSHA), 84
OFFICE SECURITY RECORDS, 10
ORDINANCE DEVELOPMENT RECORDS, 10
ORDINANCES, 10
OSHA, 84

PARKING, 11
PAYROLL AND EARNINGS RECORDS, 22
PAYROLL DEDUCTION RECORDS, 23
PENSION PLAN ENROLLMENT FORMS, EMPLOYEE, 46
PERFORMANCE REVIEWS, EMPLOYEE, 46
PERSONNEL ACTION NOTICES, 46
PERSONNEL RECORDS, 36
PERSONNEL RECORDS (OFFICIAL COPY), 47
PERSONNEL RECORDS (REFERENCE COPY), 47
PEST CONTROL, 11
PETITIONS (CITIZEN), 3
PETTY CASH, 19
POLICIES AND PROCEDURES, 11
POLICIES AND PROCEDURES (PERSONNEL), 48
POLYGRAPH RECORDS, EMPLOYEE, 48
POPULAR ANNUAL FINANCE REPORT, 78
POSITION CLASSIFICATION, 48
POSITION CONTROL, 48
POSITION DESCRIPTIONS, 48
POSITION HISTORY, 48
POSITION REQUISITION AND ANALYSIS RECORDS, 49
PRICE QUOTATIONS, 11
PROCLAMATIONS AND ORDERS, 11

PROJECT DOCUMENTATION (INFORMATION TECHNOLOGY), 28
PROJECTS, 12
PROPERTY INVENTORIES, 12
PUBLIC HEARINGS, 12
PUBLIC RECORDS REQUESTS, 12
PUBLIC RELATIONS RECORDS, 78
PUBLICATIONS RECEIVED, 12
PUBLICITY RECORDS, 79
PURCHASE ORDERS, 23

RECEIPTS, 17
RECONCILIATIONS (FINANCIAL), 17
RECORDS BACKUPS, SYSTEM MAINTENANCE RECORDS, 29
RECORDS MANAGEMENT, 12
RECRUITMENT RECORDS, 49
REFERENCE (READING) FILE, 13
REFUGEE ASSISTANCE SERVICES CASE RECORDS, 69
REFUND REPORTS, 23
REGULATIONS, 1
REGULATORY RECORDS (EXTERNAL), 8
REPAIR RECORDS, EQUIPMENT AND VEHICLE, 5
REPAIR RECORDS, FACILITY, 6
REPORTS AND STUDIES (INTERNAL), 13
REQUEST FOR CHANGE IN RECORDS SCHEDULE, 92
REQUEST FOR DISPOSAL OF ORIGINAL RECORDS DUPLICATED BY ELECTRONIC MEANS, 94
REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS FORM, 93
REQUESTS FOR INFORMATION, 14
REQUESTS FOR PROPOSALS, 14
REQUISITIONS, 23
RESOLUTION DEVELOPMENT RECORDS, 10
RESOLUTIONS, 14
RESPIRATOR PROGRAM RECORDS, 82
RETIREMENT RECORDS, EMPLOYEE, 49
RETURNED CHECKS, 24
RISK MANAGEMENT RECORDS, 81
RULES, 1

SALES INFORMATION, 24
SCANNING RECORDS, 26
SCHOOL SOCIAL WORK SERVICES CASE MANAGEMENT RECORDS, 77
SECONDARY EMPLOYMENT, 49
SECURITY RECORDS, EMPLOYEE, 82
SECURITY VIDEO RECORDINGS, 10
SELF-INSURER CERTIFICATIONS, 84
SERVICE AWARDS AND COMMENDATIONS, 50
SERVICE REQUESTS (CITIZEN), 3
SOCIAL MEDIA, 79, 87
SOCIAL SERVICES ADMINISTRATION RECORDS, 54
SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS, 28
SPACE NEED STUDIES, 13
SPECIAL ASSISTANCE (REST HOME) SERVICES CASE RECORDS, 69
SPECIAL ASSISTANCE FOR ADULTS (STATE-COUNTY) CASE MANAGEMENT RECORDS, 62
SPECIAL ASSISTANCE SERVICES TO THE BLIND AND VISUALLY IMPAIRED RECORDS, 62
SPECIAL EVENT RECORDS, 6
SPECIAL EVENTS, 79
SPECIFICATIONS (ARCHITECTURAL), 2
SPEECHES, 79
STOLEN PROPERTY REPORTS, 83
SUGGESTIONS, EMPLOYEE, 50
SURPLUS PROPERTY, 14
SURVEYS, EMPLOYEE, 50
SYSTEM ACCESS RECORDS (INFORMATION TECHNOLOGY), 28
SYSTEM DOCUMENTATION RECORDS, 29
SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE, 29
SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS, 29

T
TEMPORARY EMPLOYEE RECORDS, 50
TERMINATED GUARDIANSHIPS. SEE GUARDIANSHIPS (TERMINATED) LISTING
TEXT MESSAGES, 87
TIME SHEETS, CARDS, AND ATTENDANCE RECORDS, 24
TRAINING RECORDS, EMPLOYEE, 51
TRANSPORTATION SCHEDULES. SEE WORKER DAILY TRANSPORTATION SCHEDULES
TRANSPORTATION SERVICES CASE MANAGEMENT RECORDS, 62
TRAVEL REIMBURSEMENTS, 24
TRAVEL REQUESTS, 15
TRUST ACCOUNTS. SEE CLIENT ACCOUNT FINANCIAL SERVICE RECORDS (TRUST ACCOUNTS)
T SERS MONTHLY REPORTS, 21

U
UNCLAIMED BODY CASE RECORDS, 57
UNEMPLOYMENT COMPENSATION CLAIMS, 51
UNEMPLOYMENT COMPENSATION REPORTS, 51
UNEMPLOYMENT INSURANCE, 51
UTILITY USAGE LOGS AND BILLS, 24

V
VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS, 5
VEHICLE MILEAGE LOG, 5
VEHICLE REFERENCE RECORDS, 5
VEHICLE REGISTRATION CARDS, 15
VEHICLE TITLES, 35
VEHICLE USAGE RECORDS, 5
VENDORS, 25
VERIFICATION OF EMPLOYMENT RECORDS, 52
VOICEMAIL, 87
VOLUNTEER RECORDS, 52
VOUCHERS, 19

W
W-2 FORMS. SEE WITHHOLDING TAX FILE
W-4 FORMS. SEE WITHHOLDING TAX FILE
WARRANTIES, 5
WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE, 30
WEBSITE (ELECTRONIC), 80
WITHHOLDING TAX FILE, 25
WORK FIRST ASSISTANCE (TANF) CASE MANAGEMENT RECORDS, 70
WORK ORDERS, 15
WORK SCHEDULES AND ASSIGNMENT RECORDS, EMPLOYEE, 52
WORKER DAILY REPORT OF SERVICES TO CLIENTS (DAY SHEETS), 57
WORKER DAILY TRANSPORTATION SCHEDULES, 57
WORKERS' COMPENSATION PROGRAM ADMINISTRATION, 52
WORKERS' COMPENSATION PROGRAM CLAIMS, 53
WORKERS PERMITS. SEE YOUTH EMPLOYMENT CERTIFICATE RECORDS
WORKSHOPS, 4

Y
YOUTH EMPLOYMENT CERTIFICATE RECORDS, 57

99