

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES
SERVICE OPERATIONS SECTION
ADULT DAY CARE PROGRAM**

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE

The Program 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 of the

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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M. 0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

The Department of Health and Human Services and the Department of 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 them to be destroyed when "*administrative/reference value ends.*" The Department of Health and Human Services hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Cultural Resources to destroy these records. For those record series scheduled to be microfilmed, the Department of Health and Human Services will be responsible for cost of microfilm production.

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

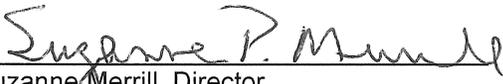
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated with specific retention periods in this program records schedule. Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.

The Department of Health and Human Services agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

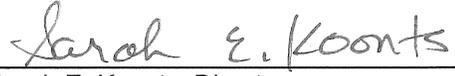
APPROVAL RECOMMENDED



B. Monica Hughes
Chief Records Officer



Suzanne Merrill, Director
Division of Aging and Adult Services



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Aldona Z. Wos, M.D., Secretary
Department of Health and Human Services



Susan W. Kluttz, Secretary
Department of Cultural Resources

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Amend the program records retention and disposition schedule approved December 10, 2014, by amending Item 7840, as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

APPROVAL RECOMMENDED


Suzanne Merrill, Director
Division of Aging and Adult Services


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED


Rick Brajer, Secretary
Department of Health and Human Services


Susan W. Klutz, Secretary
Department of Natural and Cultural
Resources

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ITEM 7840. ACTIVE ADULT DAY CARE PROGRAMS FILE

Records concerning certification of Adult Day Care, Adult Day Health, and Adult Day Care/Adult Day Health programs. File includes application packets for certification and re-certification consisting of program and personnel policies, required inspections, budgets, nursing licenses, certified employee medical statements, criminal background checks, and other related records. File also includes certificates and letters of certification from the Department of Health and Human Services to local programs, correspondence, complaint investigations, and notices of violations. (Comply with applicable provisions of G.S. § 130A-12 and 29 CFR § 1630.14 regarding confidentiality of medical records and with G.S. § 114-19.3 regarding confidentiality of criminal record checks.) Amended 09-16-2016

DISPOSITION INSTRUCTIONS: Scan in office paper records. Destroy in office after 10 days paper copies of scanned records. Transfer remaining paper records and electronic records to Inactive Adult Day Care Programs File (Item 7841) when program is designated inactive.

ITEM 50461. ADULT DAY CARE GRANTS FILE

Records concerning applications for grants from Adult Day Care. File includes applications for funding, grant narratives, budgets, plan descriptions, reviewer comments, award letters or non-award letters, final reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 6 years after termination of grant, if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office after 1 year rejected or withdrawn grant proposals.

ITEM 50462. ADULT DAY CARE MONITORING REPORTS FILE

Records concerning reports submitted by county Departments of Social Services and Departments of Health regarding Adult Day Care, Adult Day Health, and Adult Day Care/Adult Day Health providers. File includes forms reporting facilities, governance, programming, staffing, and other related care concerns.

DISPOSITION INSTRUCTIONS: Scan in office paper records. Destroy in office after 10 days paper copies of scanned records. Destroy in office electronic records and all remaining paper records after 2 years.

ITEM 7839. ADULT DAY CARE PROGRAM ADMINISTRATIVE FILE

Records concerning the administration and operation of the Adult Day Care Program. File includes reports; correspondence, including e-mail; committee-issued standards; Social Services Commission agenda items as applicable to Adult Day Care rules; administrative policy letters; and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 years.

ITEM 7841. INACTIVE ADULT DAY CARE PROGRAMS FILE

Records concerning consolidated, closed, and terminated adult day care programs. File includes initial certifications, re-certifications, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 6 years after termination of certification if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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ITEM 7842. PENDING ADULT DAY CARE PROGRAMS FILE

Records concerning pending programs that may or may not be implemented, are incomplete, or have been denied certification. File includes correspondence, including e-mail, initial certification applications, and other related records.

DISPOSITION INSTRUCTIONS: Transfer implemented program records to Active Adult Day Care Programs File (Item 7840). Destroy in office after 2 years incomplete applications and non-implemented program records.

The following item has been discontinued.

ITEM 39539. ADULT DAY CARE PROGRAM (ELECTRONIC) FILE

Electronic records concerning the administration and management of the office. File includes correspondence, budget information, minutes, reports, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Adult Day Care Program Administrative File (Item 7839).