

DEPARTMENT OF HUMAN RESOURCES
DIVISION OF AGING

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 of the

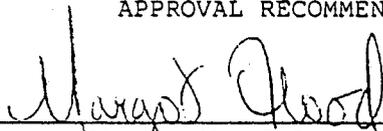
DIVISION OF AGING

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 N.C. 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. 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 machine readable records not listed in this schedule are not authorized to be destroyed.

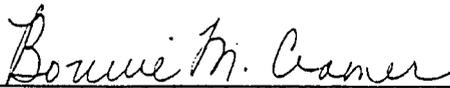
DIVISION OF AGING

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 This schedule is to remain in effect until superseded.

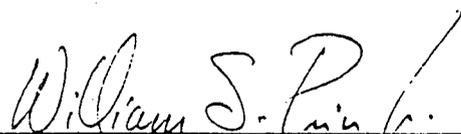
APPROVAL RECOMMENDED



Margot Flood, Chief Records Officer
Department of Human Resources

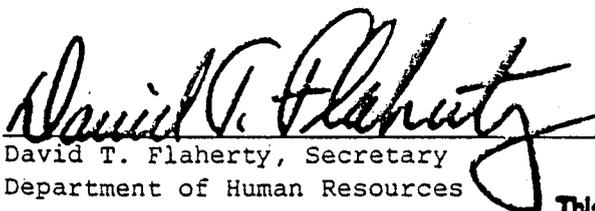


Bonnie M. Cramer, Director
Division of Aging

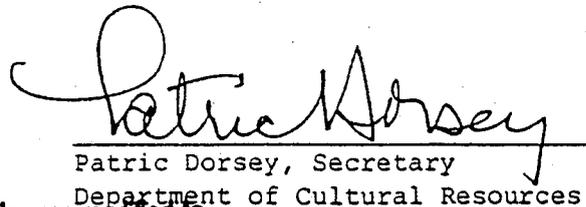


William S. Price, Jr., Director
Division of Archives and History

APPROVED



David T. Flaherty, Secretary
Department of Human Resources



Patric Dorsey, Secretary
Department of Cultural Resources

This schedule was modified to
comply with the provisions of the
General Schedule for State Agency Records,
effective October 1, 2000
Remaining items retain the
original date shown below.

September 9, 1992

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DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE

ORGANIZATIONAL NAME CHANGE

An organizational name change to this Program Records Retention and Disposition Schedule is hereby approved. The Program Records Retention and Disposition Schedule reflects an organizational change from **Division of Aging** to **Division of Aging and Adult Services**. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedule dated July 1, 1997. 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

Division of Aging and Adult Services

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 N.C. 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. 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.

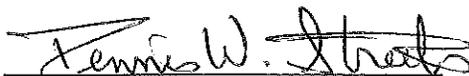
The Department of Health and Human Services and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Department of Health and Human Services agrees to comply with all policies,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

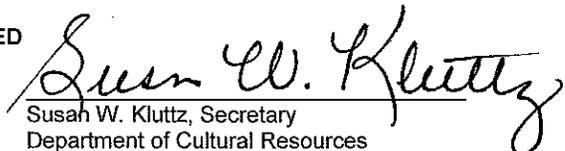

Monica Hughes
Chief Records Officer


Dennis Streets, Director
Division of Aging and Adult Services


Sarah E. Koonts, Director
Division of Archives and Records


Dr. Aldona Wos, Secretary
Department of Health and Human Services

APPROVED

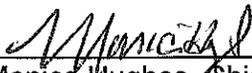

Susan W. Kluttz, Secretary
Department of Cultural Resources

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

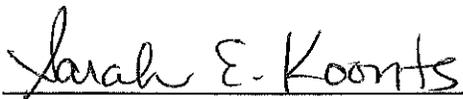
**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES
HOUSING AND HOMELESSNESS SECTION**

Amend the program records retention and disposition schedule approved July 1, 1997, by adding Item 50286. No other items on this schedule have been amended, added, or removed.

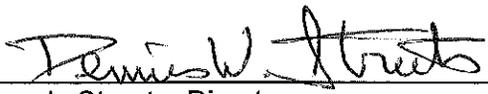
APPROVAL RECOMMENDED



Monica Hughes, Chief Records Officer
Department of State Treasurer



Sarah E. Koonts, Director
Division of Archives and Records

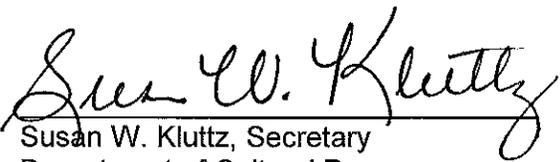


Dennis Streets, Director
Division of Aging and Adult Services

APPROVED



Dr. Aldona Wos, Secretary
Department of Health and Human Services



Susan W. Klutz, Secretary
Department of Cultural Resources

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES
ADMINISTRATIVE AND MANAGEMENT**

ITEM 1627. GOVERNOR'S ADVISORY COUNCIL ON AGING MINUTES FILE

Official minutes of meetings of the Governor's Advisory Council on Aging. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s) to be microfilmed for permanent storage in the security vault. Microfilmed paper records will be returned to agency. Transfer returned paper records to the State Records Center when reference value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage.

ITEM 1629. GOVERNOR'S OFFICE FILE

Correspondence and other related records to and from the Governor's Office.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 1630. DIVISION OF AGING FILE

Correspondence, memorandums, and reports by the Assistant Secretary and Director concerning the administration of the Division of Aging.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 1631. AREA AGENCIES FILE

Records concerning regions, Title III, area plans, and revisions in programs. File includes correspondence between the Division of Aging and area agencies on aging.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 1632. ADMINISTRATIVE HEARINGS FILE

Correspondence, audio tapes, and other related records created and accumulated during contested administrative hearings.

DISPOSITION INSTRUCTIONS: Erase audio tapes in office when administrative value ends. Transfer remaining records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 1633. LEGISLATIVE (FEDERAL AND STATE) FILE

Correspondence between the Division of Aging and state legislators or congressmen concerning legislation affecting older people. File includes background information, copies of federal and state bills, and newsletters.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 1634. FEDERAL GOVERNMENT FILE

Correspondence between the Division of Aging, Administration on Aging, and federal agencies concerned with aging. File includes assessment reports and other related reports.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES
ADMINISTRATIVE AND MANAGEMENT**

ITEM 3605. DEPARTMENT OF HUMAN RESOURCES FILE

Departmental correspondence, public correspondence, directives, and other related records concerning the Division of Aging.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6130. COUNTIES FILE

Correspondence between the Division of Aging, County Councils on Aging, and county divisions of aging in North Carolina.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6131. GRANTS AND CONTRACTS FILE

Grants and contracts awarded to and by the Division of Aging.

DISPOSITION INSTRUCTIONS: Destroy in office grant records when released from all audits. Destroy in office contracts 3 years after termination.

ITEM 6134. CLEARINGHOUSE FILE

Applications and correspondence concerning federal funds for aging programs.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately when released from all audits.

ITEM 6135. OTHER STATES FILE

Correspondence between Division of Aging and individuals in other states.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 6136. COLLEGES AND UNIVERSITIES FILE

Correspondence and other related records concerning colleges and universities.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6142. SPECIAL PROJECTS FILE

Correspondence, memorandums, and other related records concerning special short-term projects.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 6146. PUBLIC RELATIONS FILE

Records concerning agency programs. File includes research information regarding legislative projects and various types of diseases. (File is used in drafting articles for public relations.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES
FISCAL SECTION**

ITEM 1645. SOCIAL SERVICES BLOCK GRANT (SSBG) FILE

Grant applications, notice of grant awards, budget information, financial reports, funding requests, disbursement records, and general grant correspondence concerning SSBG.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 1647. TITLE V FILE

Grant applications, notice of grant awards, budget information, financial reports, funding requests, disbursement records, and general grant correspondence concerning the Title V program.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 6191. FOSTER GRANDPARENT FILE

Grant applications, notice of grant awards, budget information, financial reports, funding requests, disbursement records, and general grant correspondence concerning the division's program for assigning older people to foster care.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 6193. UNITED STATES DEPARTMENT OF AGRICULTURE (USDA) NUTRITION FILE

USDA grant records concerning nutrition grants administered by the Division of Aging. File includes quarterly statistical reports regarding the number of meals served and commodities received.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 6203. INDEPENDENT AUDITS FILE

Independent audits received by the Division of Aging for service provider agencies and administrative units.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 6204. STATE AUDITS FILE

Department of State Auditor's audits of the Division of Aging fiscal operations.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 6209. FEDERAL REPORTS FILE

Federal reports completed by the Division of Aging for the Administration on Aging, Atlanta, Georgia. File includes federal cash transactions report, programs reports, financial status report, and miscellaneous reports requested by the Atlanta office.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 6210. FEDERAL FUND ALLOCATION FILE

Fee schedules concerning funding of aging grants developed by the Division of Aging.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES
HOUSING AND HOMELESSNESS SECTION**

ITEM 50286. STATE EMERGENCY SOLUTIONS GRANTS

Records concerning the Emergency Solutions Grants. Files include application for funding, correspondence (includes email), program progress reports, reimbursement reports and other related materials.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center three years after funding cycle ends. Records will be held for agency in the State Records Center for three additional years. Destroy emails and other electronic records in office six years after funding cycle ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES
PLANS AND POLICY SECTION**

ITEM 1636. STATE PLAN ON AGING FILE

Records concerning the Division of Aging State Plan. File includes working papers, amendments, correspondence, management plan, and public hearings information regarding the Older Americans Act.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 1640. REPORTS/RECORD KEEPING FILE

Quarterly reports development information, training literature, correspondence, and quarterly program performance reports received from the Administration on Aging. File includes reports submitted to Atlanta, Georgia office regarding aging. File also includes data and notes for reports submitted to other agencies.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 6162. ADMINISTRATIVE AND MANAGEMENT FILE

Interagency agreements, correspondence, Handicap 504 Regulations, state unit on aging information, state and federal regulations, and planning methodology/needs assessment records used in the administration of the Plans and Policy Section.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 6163. MODEL PROJECTS FILE

Grant applications concerning aging submitted by outside agencies and organizations.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 6164. HEALTH AND RECREATION/ADD HEALTH TO OUR YEARS (AHOY) FILE

Records concerning special projects on health and recreation, committees, and conferences. File includes correspondence, health education topics handouts, and brochures relating to research projects.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6166. LONG-TERM CARE/ADVOCACY FOR INSTITUTIONALIZED FILE

Records concerning complaints, responses, investigations of issues, conditions, nursing homes and domiciliary homes, Nursing Home Community Advisory Committees, Domiciliary Home Community Advisory Committees, state and federal regulations, interagency agreements, and associations. File includes quarterly and annual reports, grant applications, correspondence, and training materials.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately 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.

ITEM 6167. TITLE XX ADULT EDUCATION AND TRAINING FILE

Records concerning Division of Social Services programs. Programs include or concern chore/homemaker services, long-term care, family-support systems, programs for churches, and special programs. File includes correspondence and resource materials.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately 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.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES
PLANS AND POLICY SECTION**

ITEM 6170. PROGRAM DEVELOPMENT FILE

Correspondence, research notes, conference notes, funding source records, and rules and regulations concerning the development of programs. File also includes information regarding agencies, organizations, programs, projects, and ideas for programs.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 6171. ACTION FILE

ACTION and grant records concerning Division of Aging Foster Grandparent Program. File also includes correspondence and other related records regarding Retired Seniors Volunteer Program, Foster Grandparents, Seniors Companion Program, and program manuals and regulations.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 6172. STATISTICS FILE

Statistical data, charts, and tables developed from U.S. Census data. File also includes correspondence, information requests, and resources information.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6173. VOLUNTEERISM FILE

Correspondence, program descriptions, and research records concerning the volunteer program. File also includes committee information regarding volunteers qualifications, surveys, job descriptions, policies and procedures, manuals, and special projects data.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 34106. NORTH CAROLINA AGING SERVICES PLAN FILE

Records concerning the N.C. Aging Services Plan. File includes correspondence, working papers, management plans, and public hearing records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES
PROGRAM SERVICES SECTION**

ITEM 4036. TITLE V FILE

Records concerning the Title V Program. File includes correspondence, monthly and quarterly progress reports, national contractors' records, clients' intake/termination forms, training brochures, fact sheets, Title V data reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 6152. TITLE III FILE

Records concerning area agency quarterly workshops and other training functions. File includes correspondence area agency plans, quarterly reports from area agencies, and reports regarding special areas such as nutrition, transportation, social services, energy, retirement, and housing.

DISPOSITION INSTRUCTIONS: Transfer records of administrative value to Federal Report File (Item 6209) in the Fiscal Section when administrative value ends. Destroy in office remaining records when reference value ends.

ITEM 6153. INTERAGENCY CONTACTS FILE

Correspondence and other related records to and from sections within the division.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6156. RELIGIOUS ORGANIZATIONS FILE

Correspondence and other related records concerning dissemination of information and liaison activities.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 6157. SENIOR CENTERS FILE

Correspondence concerning senior centers. File also includes planning workshop brochures, building evaluation reports, design drawings, construction drawings, specifications, programmatic resource records, and directory data.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6158. HANDICAPPED ACCESSIBILITY (504) FILE

Correspondence, construction drawings, specifications, and publications concerning the handicapped.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 34107. HEALTH AND FAMILY SERVICES FILE

Correspondence and other related records concerning health and family services programs. Programs include Congregate Nutrition, Home Delivered Meals, Caregivers and Alzheimer's Services, Health and Health Promotion Clergy Education, Interfaith, and Volunteer and Intergenerational Program Services.

DISPOSITION INSTRUCTIONS: Transfer records of administrative value to Federal Report File (Item 6209) in the Fiscal Section when administrative value ends. Destroy in office remaining records when reference value ends.

ITEM 34108. HOME AND COMMUNITY-BASED SERVICES FILE

Correspondence and other related records concerning in-home aide services programs. Programs include Chore, Homemaker-Home Health Aide, Respite Care, Care Management Information and Referral, Home Health, Adult Day Care, Home Improvement, and Housing.

DISPOSITION INSTRUCTIONS: Transfer records of administrative value to Federal Report File (Item 6209) in the Fiscal Section when administrative value ends. Destroy in office remaining records when reference value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF AGING AND ADULT SERVICES
PROGRAM SERVICES SECTION**

ITEM 34109. LONG-TERM CARE OMBUDSMAN FILE

Records concerning ombudsman protection service. File includes complaints, responses, investigation reports, budget reports, and reports regarding nursing homes and domiciliary homes. File also includes correspondence regarding requests for grants and long-term care.

DISPOSITION INSTRUCTIONS: Transfer records of administrative value to Federal Report File (Item 6209) in the Fiscal Section when administrative value ends. Destroy in office remaining records when released from all audits.