

DEPARTMENT OF HUMAN RESOURCES
DIVISION OF SOCIAL SERVICES
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH

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

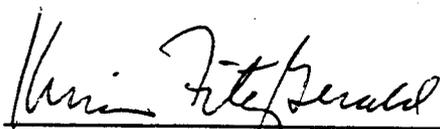
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH

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. The

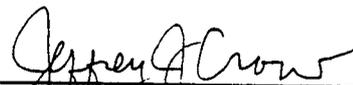
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH

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 This schedule is to remain in effect until superseded.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

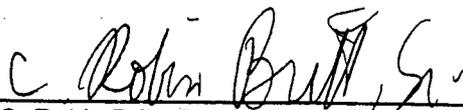


Kevin FitzGerald, Director
Division of Social Services

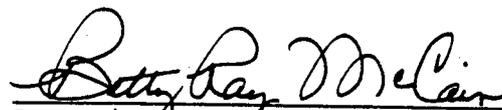


Jeffrey S. Crow, Director
Division of Archives and History

APPROVED



C. Robin Britt, Sr., Secretary
Department of Human Resources



Betty Ray McCain, Secretary
Department of Cultural Resources

December 2, 1996

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.

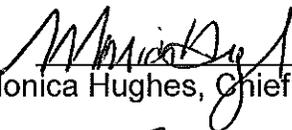
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DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES
ADULT AND FAMILY SERVICES SECTION – ADULT SERVICES BRANCH

Program Records Retention and Disposition Schedule

Amend the program records retention and disposition schedule approved December 2, 1996, by transferring items 2110, 7814, 7815, 7817, 7825, 7826, 7827, 39538, 7839, 7840, 7841, 7842, 39539, 7797, 7798, 7799, 7800, 39540, 7833, 7838, 39543, 7847, 7850, 39544 to the Division of Aging and Adult Services, as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

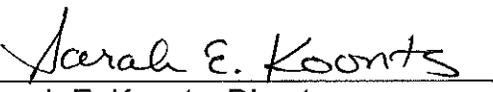
APPROVAL RECOMMENDED



Monica Hughes, Chief Records Officer



Wayne E. Black, Director
Division of Social Services

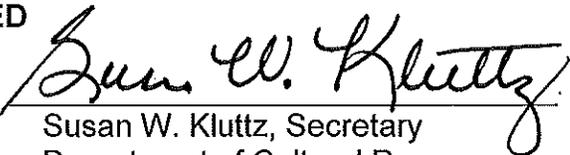


Sarah E. Koonts, Director
Division of Archives and Records



Aldona Z. Wos, Secretary
Department of Health & Human Services

APPROVED



Susan W. Kluttz, Secretary
Department of Cultural Resources

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH
ADMINISTRATION**

ITEM 2110. LETTERS AND MANUALS FILE

County Letters, Numbered County Letters, Dear Director Letters, and letters to operators written by the Adult and Family Services Section.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7814. ADMINISTRATIVE FILE

Correspondence and memorandums concerning the administration of the Adult and Family Services Section and programs. File includes information concerning Department of Human Resources, Title XX, Division of Social Services, and sections of the division.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7815. FEDERAL AND OTHER AGENCIES FILE

Correspondence and memorandums between the branch and other agencies. File includes reference copy of the State Plan.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7817. GUARDIANSHIP FILE

Official and reference copies of memorandums and correspondence concerning administration of the Guardianship Program. File includes workshop records, resource information, published materials of interest to the unit's staff, program records of Guardianship Services, Administrative Procedures Act, agreements, county letters, manual material, guardianship bond requests, authorizations, and reports.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7822. REFERENCE FILE

Speeches and information concerning the programs of the branch.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

ITEM 7825. ATTORNEY GENERAL'S OPINIONS FILE

Attorney General's opinions concerning programs of the Adult and Family Services Section.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7826. LAWS (FEDERAL AND STATE) FILE

Federal and state laws concerning the Adult and Family Services Section. File includes copies of ratified bills.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7827. SECONDARY OFFICE PROGRAMS FILE

Records created and accumulated in the performance of routine tasks and the administration of secondary office programs and responsibilities. File includes inter-office correspondence and other related records.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH
ADMINISTRATION**

ITEM 39538. ADMINISTRATION (ELECTRONIC) FILE

Machine readable records concerning the administration and management of the office. Electronic files on hard disks and diskettes include correspondence, budget information, minutes, reports, and other related records. (Paper copies of electronic files are located within records series in paper files.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH
ADULT DAY CARE PROGRAM**

ITEM 7839. ADMINISTRATIVE FILE

Correspondence and memorandums concerning the Adult Day Care Program. File includes inquiries regarding day care, committee information, Social Services Commission agenda items, State Adult Day Care Fund records, and reference copies of county letters.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Programs Services Section.

ITEM 7840. ACTIVE PROGRAM FILE

Correspondence concerning certification of the Adult Day Care Program and contracts between the Department of Human Resources and the program. File includes county correspondence regarding day care and contract-monitoring reports.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Programs Services Section.

ITEM 7841. INACTIVE PROGRAM FILE

Records concerning inactive adult day-care programs. File includes correspondence, contract-monitoring reports, and other related records.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Programs Services Section.

ITEM 7842. PENDING PROGRAM FILE

Correspondence concerning pending programs that may or may not be implemented.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Programs Services Section.

ITEM 39539. ADULT DAY CARE PROGRAM (ELECTRONIC) FILE

Machine readable records concerning the administration and management of the office. Electronic files on hard disks and diskettes include correspondence, budget information, minutes, reports, and other related records. (Paper copies of electronic files are located within records series in paper files.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Programs Services Section.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH
CHIEF'S OFFICE**

ITEM 7797. PROGRAMS FILE

Records concerning each program in the Adult Family Services Section. File includes records which define duties and responsibilities of each program and other related records.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7798. CORRESPONDENCE FILE

Reference copies of correspondence with the director, assistant director, other sections of the division, and Attorney General's office. File includes copies of legal opinions and correspondence prepared for the director's signature concerning clients, individuals, and organizations.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7799. POLICY AND PROCEDURES (COUNTY LETTERS AND MANUALS) FILE

Administrative letters sent to county departments of social services. Letters concern administration of service programs and policies for social services programs.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7800. SOCIAL SERVICES COMMISSION FILE

Listing of sections' agenda items for commission meetings.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 39540. CHIEF'S OFFICE (ELECTRONIC) FILE

Machine readable records concerning the administration and management of the office. Electronic files on hard disks and diskettes include correspondence, budget information, minutes, reports, and other related records. (Paper copies of electronic files are located within records series in paper files.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH
COMMUNITY SERVICES BRANCH - REFUGEE ASSISTANCE UNIT**

ITEM 7197. REFUGEE PROGRAM FILE

Correspondence and other records concerning alien registration, refugee assistance grant, and program instructions from the Department of Health and Human Services. (Records transferred from Public Assistance Section, Assistance Payments Branch.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 7879. POLICY CLARIFICATIONS FILE

Office of Refugee Resettlement policy clarifications.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 7880. STATE REFUGEE PROGRAM ADVISORY COUNCIL FILE

Correspondence concerning the State Refugee Program Advisory Council. File includes letters of appointment of members, meeting announcements, council meeting minutes (essential agency record), and meeting agendas.

DISPOSITION INSTRUCTIONS: Transfer minutes to the State Records Center after 5 years to be microfilmed for permanent storage in the Archives vault. Paper records will be returned to agency after microfilming. Destroy microfilmed records in office when administrative value ends. Destroy in office remaining records when reference value ends.

ITEM 7881. COUNTY CORRESPONDENCE FILE

Correspondence from public agencies and private citizens concerning the refugee program.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 7882. QUARTERLY PERFORMANCE REPORTS FILE

Quarterly reports sent to Office of Refugee Resettlement concerning case load data on cash and medical assistance programs and social services for refugees. File includes North Carolina Division of Social Services Refugee Social Services Quarterly Report.

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 7883. ACTION TRANSMITTALS FILE

Office of Refugee Resettlement Action Transmittals which provide the state with refugee program requirements.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 39541. REFUGEE ASSISTANCE UNIT (ELECTRONIC) FILE

Machine readable records concerning the administration and management of the office. Electronic files on hard disks and diskettes include correspondence, budget information, minutes, reports, and other related records. (Paper copies of electronic files are located within records series in paper files.)

DISPOSITION INSTRUCTIONS: Copy electronic file from hard disk to diskette. Transfer security copy to an off-site location for backup storage. Erase in office hard disks and diskettes when administrative value ends and (if applicable) when released from all audits, whichever occurs later. Dispose of paper copies only in accordance with corresponding records series disposition instruction in this schedule. If series is unlisted or unscheduled, destruction is not authorized.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH
COMMUNITY SERVICES BRANCH - SUPPORTIVE SERVICES UNIT**

ITEM 7810. INACTIVE STATE MATERNITY HOME FILE

Records concerning state maternity homes that are no longer active. File includes a listing of maternity homes, clients' medical records, and other related records. (Comply with provisions of G.S. 130A-12 regarding confidentiality of medical records in the possession of the Department of Human Resources.)

DISPOSITION INSTRUCTIONS: Destroy in office when released from federal audit.

ITEM 7829. SERVICES FILE

Correspondence and memorandums concerning each service administered by the Supportive Services Unit. File includes agreements, contracts, standards, county letters, Title XX records, and other information concerning the services.

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of agreement/contract 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 7831. STATE ABORTION FUND FILE

Logs, computer printouts, reports, storage software, and encumbrance packets concerning the administration of the State Abortion Fund. Logs contain identifying information on authorizations where prior approval is required. Computer printouts and storage software contain statistical and demographic information and individual client characteristics. Reports contain statistical and demographic information. Encumbrance packets contain individual client characteristics and information on providers and procedures. (Portions of file may be confidential in accordance with G.S. 14-45.1.)

DISPOSITION INSTRUCTIONS: Transfer reports to the State Records Center after 5 years. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy in office remaining records after 5 years if released from all audits. Delete "voids" from storage software after close of fiscal biennium.

ITEM 7832. ACTIVE STATE MATERNITY HOME FILE

Client records, logs, computer printouts, and reports concerning the State Maternity Home Fund. Client records include applications, notices of action, correspondence, and related information. Log includes the date the application is received, name of referral agency, name of maternity home, period of placement, amount committed from State Funds and contributions, and comments. Computer printout duplicates log entries. File also includes reference copies of memorandums, Administrative Procedures Act, county letters, manuals, and other related records. (Comply with provisions of G.S. 130A-12 regarding confidentiality of medical records in the possession of the Department of Human Resources.)

DISPOSITION INSTRUCTIONS: Transfer to Inactive State Maternity Home File (Item 7810) when case becomes inactive.

ITEM 39542. SUPPORTIVE SERVICES UNIT (ELECTRONIC) FILE

Machine readable records concerning the administration and management of the office. Electronic files on hard disks and diskettes include correspondence, budget information, minutes, reports, and other related records. (Paper copies of electronic files are located within records series in paper files.)

DISPOSITION INSTRUCTIONS: Copy electronic file from hard disk to diskette. Transfer security copy to an off-site location for backup storage. Erase in office hard disks and diskettes when administrative value ends and (if applicable) when released from all audits, whichever occurs later. Dispose of paper copies only in accordance with corresponding records series disposition instruction in this schedule. If series is unlisted or unclassified, destruction is not authorized.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH
IN-HOME SERVICES UNIT**

ITEM 7833. GENERAL ADMINISTRATIVE FILE

Correspondence and memorandums concerning the administration of the In-Home Services Unit. File includes or concerns control letters, Department of Human Resources directives, employee exchange program, federal registers, and other related records.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7838. PROGRAMS FILE

Correspondence and memorandums concerning each program administered by the In-Home Services Unit. File includes Attorney General's opinions, Administrative Procedures Act, commission agenda items, County and Dear Director Letters, manual material, and other information regarding the program.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 39543. IN-HOME SERVICES (ELECTRONIC) FILE

Machine readable records concerning the administration and management of the office. Electronic files on hard disks and diskettes include correspondence, budget information, minutes, reports, and other related records. (Paper copies of electronic files are located within records series in paper files.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES
ADULT AND FAMILY SERVICES SECTION - ADULT SERVICES BRANCH
PROTECTIVE SERVICES FOR ADULTS**

ITEM 7847. ADMINISTRATIVE FILE

Memorandums and correspondence used in the administration of the Protective Services for Adults Program.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 7850. PROGRAMS FILE

Correspondence and memorandums concerning the administration of the Protective Services for Adults Program. File includes Administrative Procedures Act, agreements, county letters, manual material, reports, and other related records.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.

ITEM 39544. PROTECTIVE SERVICES FOR ADULTS (ELECTRONIC) FILE

Machine readable records concerning the administration and management of the office. Electronic files on hard disks and diskettes include correspondence, budget information, minutes, reports, and other related records. (Paper copies of electronic files are located with records series in paper files.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Aging and Adult Services, Adult Services Section.