

14. Public Assistance and Support Services

The function of Public Assistance and Support Services involves coordinating needs-related payments and providing a safety net for under-resourced populations, as overseen by the Department of Military and Veterans Affairs and the Department of Public Safety. These functions also encompass workforce development and vocational rehabilitation, which are overseen by the Department of Administration, the Department of Commerce, the Community Colleges System Office, the Department of Health and Human Services, and the Department of Public Instruction. Agencies document programs offered, eligibility, and services rendered.

NOTE: Separate records retention and disposition schedules govern the records of the North Carolina Community College System campuses and the UNC System institutions.

Many of the benefits provided by Public Assistance and Support Services programs are funded through grants; any records that document grant funding should be handled according to Grants Management under FINANCIAL MANAGEMENT. Hearings about denied claims that are resolved within another agency are under LEGAL. Fraud investigations are under MONITORING AND COMPLIANCE.

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Many public assistance and support services records, such as Business Enterprise Program Records (RC No. 1432.10) have retention periods that are triggered by the conclusion of assistance or services, so it is useful to organize records accordingly. There are some archival records included, such as On-the-Job Training Program Records (RC No. 1431). Adoption records are both confidential and require permanent retention.

Many public assistance and support services records contain confidential information; therefore, the security of both paper and electronic records should be maintained at all times. For example, 34 CFR 361.49 specifies the confidentiality of personal information in the possession of the Division of Services for the Blind, and G.S. § 96-4(x) confers confidentiality on records held by the Division of Employment Security.

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

∞ See appendix for list of item numbers for records that should transfer to the State Archives.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

14.1 Claims and Support Services

DEFINED: Activities related to the management of needs-related services for disaster relief, social services, and veterans as well as support services and rehabilitation for qualified individuals.

SEE ALSO: See Section 14.2 for specific records about adoptions, child support services and foster care. See Section 14.3 for records about vocational rehabilitation. Records that document grant funding should be handled according to Grants Management under FINANCIAL MANAGEMENT. Hearings about denied claims that are resolved within another agency are under LEGAL. Fraud investigations are under MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
1411.1 	Applications	claims forms submitted to request assistance and determine eligibility; includes evaluations and other related records for claims that are denied (NOTE: Approved claims should be included with the Case Records.)	RETAIN UNTIL: Received PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.10 34 CFR 361.49
1412.3 	Case Records	records concerning recipients of assistance and support services; includes applications, referrals, assessments, forms, contacts, service and rehabilitation plans, authorizations, evaluations, and other related records	RETAIN UNTIL: Closed PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.10 34 CFR 361.49
1412.< 	(continued on following page)	records concerning guardian ad litem cases overseen by the Administrative Office of the Courts; includes court pleadings, summaries or reports, medical, psychological, or substance abuse evaluations or reports, staff and volunteer case notes, and other related records	RETAIN UNTIL: Juvenile reaches age 21 THEN: Destroy*	<u>Confidentiality</u> G.S. § 7B-601(c)

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RC No.	Record Types	Description	Disposition Instructions	Citation
1412.20 	Case Records (cont.)	records maintained by the Department of Public Instruction concerning recipients of early learning sensory support	RETAIN UNTIL: Closed PLUS: 20 years THEN: Destroy*	<u>Confidentiality</u> 20 USC 1439 42 USC 1320d
1413.3 	Eye Disability Reports	certifications of income tax exemptions for North Carolina residents with eye disabilities, provided by the Department of Health and Human Services	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> 34 CFR 361.49

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14.2 Social Services

DEFINED: Activities conducted by the Department of Health and Human Services (DHHS) to provide services to people with particular needs.

NOTE: Most individual cases for entitlement programs are handled by Departments of Social Services or Departments of Human Services at the county level. Their records are governed by a separate records retention and disposition schedule.

SEE ALSO: Records that document grant funding, such as Temporary Assistance for Needy Families (TANF), should be handled according to Grants Management under FINANCIAL MANAGEMENT. The financial records documenting child support services are also under FINANCIAL MANAGEMENT. For monitoring of programs, see MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
1421.A 	Adoption Case Records	records concerning adoption cases overseen by DHHS, including adult adoptions, dismissed adoptions, interstate adoptions, and the resource exchange program; includes petitions for adoption, affidavits, consent forms, final orders of adoption, narratives, and other related records; also includes any addenda received after final decrees	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 48-10-105 G.S. § 48-25
1422.3 	Child Support Services Records SEE ALSO: Accounting	records concerning efforts by DHHS to collect child support payments; includes locate requests, tax intercept authorizations, financial institution data matches, and other related records	RETAIN UNTIL: Closed PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.1(b) G.S. § 132-1.2(2) G.S. § 132-1.10 G.S. § 153A-148.1 G.S. § 160A-208.1
1423.A 	Interstate Foster Care Case Records	records concerning foster care placements governed by the Interstate Compact on the Placement of Children (ICPC); includes forms, correspondence, and other related records	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 48-10-105 G.S. § 48-25

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14.3 Unemployment Assistance and Workforce Development

DEFINED: Activities helping people find jobs and assisting employers to find and retain a qualified workforce as well as activities carried out by the Department of Commerce to implement the State’s system of unemployment insurance.

NOTE: The records of colleges within the North Carolina Community College System are governed by a separate retention and disposition schedule.

SEE ALSO: If grant funding provides the mechanism for supporting workforce development, those records are under FINANCIAL MANAGEMENT. The records generated by the State Board of Education in administering vocational and technical education are under GOVERNANCE. For certifications of training programs and for fraud investigations, see MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
1431.7	Apprenticeship and On-the-Job Training Master Craftsman Program Records	apprenticeship agreements enacted by the Department of Commerce; also includes records concerning U.S. Department of Veterans Affairs (VA) programs	RETAIN UNTIL: Complete or canceled PLUS: 7 years Ω THEN: Destroy	
1431.A		standards, registration forms, listings of work processes, and other related records for apprenticeship programs overseen by the Department of Commerce	PERMANENT (archival) ∞	
1432.10 	Business Enterprise Program Records	records accumulated by the Department of Health and Human Services concerning legally blind operators of food service and vending facilities; includes training, counseling, and management services records; also includes contracts, memoranda, inspection reports, authorizations, and other related records	RETAIN UNTIL: Inactive PLUS: 10 years Ω THEN: Destroy	<u>Confidentiality</u> 34 CFR 361.49

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RC No.	Record Types	Description	Disposition Instructions	Citation
1433.5 	Employer Workforce Records	records compiled by the Department of Commerce concerning employers located within the jurisdiction of local or branch offices; includes contact information, agreements, job orders, reports, evaluations, correspondence, and other related records	RETAIN UNTIL: Inactive PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 96-4(x) <u>Retention</u> G.S. § 132-3(c)
1433.5 		records concerning accounts maintained by the Department of Commerce for each employer reimbursing the Unemployment Insurance Fund; includes annual statements of all credits and charges	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Authority</u> G.S. § 96-9.6(d) <u>Confidentiality</u> G.S. § 96-4(x) <u>Retention</u> G.S. § 132-3(c)
1433.5		records submitted to the Department of Commerce documenting workforce needs that cannot be met within the citizen population and require alien laborers	RETAIN UNTIL: Received PLUS: 5 years THEN: Destroy	
1433.5 		records concerning federal tax credit authorizations for employers, as submitted to the Department of Commerce	RETAIN UNTIL: Complete PLUS: 5 years Ω THEN: Destroy	<u>Confidentiality</u> IRS Publication 1075
1433.A		notifications received by the Department of Commerce from companies or businesses concerning plant closings and layoffs	PERMANENT (archival) ∞	<u>Authority</u> 20 CFR Part 639
1434.5 	Participant Case Records	records concerning participants in vocational rehabilitation and workforce development programs	RETAIN UNTIL: Inactive PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> 34 CFR 361.38

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RC No.	Record Types	Description	Disposition Instructions	Citation
1435.5 	Performance Measures	common follow-up information management system (CFS) designed by the Department of Commerce for tracking performance measures related to current and former participants in State job training, education, and placement programs	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Authority</u> G.S. § 96-32(a) <u>Confidentiality</u> G.S. § 96-32(a) G.S. § 96-33(b)
1436.5 	Unemployment Insurance (UI) Records	records compiled by the Department of Commerce concerning claims for UI benefits; includes claim forms, wage transcripts, work histories, eligibility reviews, and other related records for valid claims	RETAIN UNTIL: Inactive PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 96-4(x) 20 CFR Part 603 <u>Retention</u> G.S. § 132-3(c)
		UI claim forms that are rejected by the Department of Commerce	RETAIN UNTIL: Received PLUS: 5 years THEN: Destroy	
1436.3 		reports filed with the U.S. Department of Labor concerning Department of Commerce administrative decisions involving UI claims	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
1436.6 		interstate and intrastate unemployment insurance claims for federal employees filed with the Department of Commerce; also includes claims by former military personnel	RETAIN UNTIL: Inactive PLUS: 6 years THEN: Destroy	<u>Retention</u> IRS Publication 1075
1437.5	Workforce Strategic Plans	single unified strategic plan developed by the Department of Commerce for core programs for preparing an educated and skilled workforce and meeting the workforce needs of employers	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	

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Records That Will Transfer to the State Records Center

Appendix

1412.20 Case Records: Transfer to the State Records Center 5 years after designated inactive. Records will be held for agency 15 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Public Instruction	Early Learning Sensory Support Records File	45366

1421.A Adoption Case Records: Transfer to the State Records Center 1 year after case is closed. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to custody of the Archives. Paper records will be destroyed in the State Records Center after microfilming.

Agency	Series Title	Item Number
Department of Health and Human Services	Adoptions Addenda File	50327
	Adult Adoptions Case File	2087
	Dismissed Adoption Case File	2089
	Indexed Adoption Case File	2090
	Interstate Adoption Case File	2088

1423.A Interstate Foster Care Case Records: Transfer to the State Records Center 1 year after case is closed. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to custody of the Archives. Paper records will be destroyed in the State Records Center after microfilming.

Agency	Series Title	Item Number
Department of Health and Human Services	Interstate Foster Care File	2086

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

 Indicates records are electronic and will transfer immediately to the custody of the State Archives

1431.7 Apprenticeship Program Records: Transfer to the State Records Center after 2 years. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Commerce	Cancelled Apprenticeship Agreements File	21224
	Completed Apprenticeship Agreements File	21225
	Veteran Affairs Program File	49072
	Veteran Affairs Reporting File	49073

1431.A Apprenticeship Program Records: Transfer to the State Records Center 2 years after program is cancelled. Records will be held for agency 5 additional years and then transferred to the custody of the Archives.

Agency	Series Title	Item Number
Department of Commerce	Cancelled Programs File	2450

1432.10 Business Enterprise Program Records: Transfer to the State Records Center after 5 years. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Health and Human Services	Closed Stands File	1680

1433.5 Employer Workforce Records: Transfer to the State Records Center after 2 years. Records will be held for agency 3 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Commerce	Work Opportunity Tax Credit/Welfare to Work (WOTC/WtW) File	431

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

 Indicates records are electronic and will transfer immediately to the custody of the State Archives



1433.A Employer Workforce Records: Transfer to the State Records Center after 3 years. Records will be held for agency 5 additional years and then transferred to the custody of the Archives.

Appendix

Agency	Series Title	Item Number
Department of Commerce	Worker Adjustment Retraining Notification (WARN) Act File	27114

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 Indicates records are electronic and will transfer immediately to the custody of the State Archives