

 <p>STANISLAUS COUNTY COMMUNITY SERVICES AGENCY</p>	Developed by/Date: Dianna Haverson – 12/17/05 Rev by D. Haverson – 10/20/08 Rev by D. Tollefson – 5/29/12	Page: 1 of 8	Number: 7.14
	Reviewed by/Reviewed Date: Patty Dietrich – 5/31/12 Exec Team – 6/11/12	Replaces: 7.14 dated 11/23/08	Category: Administrative
Title: Records Retention		Approved:	

Policy
 Procedure
 Guideline

Purpose

This policy is a statement of the legal requirements for records retention and the identification of certain records, which require extended retention periods, specific to Public Assistance records and Social Services records, maintained by the Community Services Agency.

Definition

Reference: ACL 11-08 dated 1/31/2011

The California Department of Social Services (CDSS) Manual of Policies and Procedures (MPP) sets forth various retention periods for public assistance records. Generally, the regulations require that all public assistance (23-353), social service (10-119.2), and administrative claiming (25-815.38) records and their supporting documents be retained for three years from the date the State submits the last expenditure report to the Federal Department of Health and Human Services (DHSS).

The State has two years to submit final expenditure reports to the DHSS, therefore, records retention equates to five years after the service/accounting period. Additionally, records and their supporting documents must be retained as specified when there is an open federal or state audit or other direction is provided specific to litigation or legal mandates.

It is the responsibility of each Division and section to be familiar with the individual retention requirements of the records they oversee and to inform and authorize the disposal of those records, timely.

It is the responsibility of the Records Management Unit to dispose of records as soon as legally possible. This practice ensures efficient use of records storage space and minimizes exposure to audit scope/risk.

Procedure

This policy will describe the retention of Financial Services Records (Attachment A) and Case Records & Files (Attachment B). These attachments will be reviewed and updated each time CDSS issues a records retention All-County Letter. The current attachments provide instruction on records retention as defined in ACL 11-08, dated 1/31/2011.

Attachment A Financial Services Records

Purpose

To establish the Records Retention Policy for Social Services and Public Assistance fiscal records (non-case files), the County Expense Claim, Program Claims/Statistical Reports and Supporting documentation in accordance with ACL 11-08.

Definition

Reference: ACL 11-08 dated 1/31/2011

Financial Services records retention will comply with Federal/State Oversight Agency instructions, Manual of Policies and Procedures Division 25, and federal/state audit requirements for Public Assistance, Social Services programs. Additional legal requirements may exist for Grant or County Maintenance of audit trails. The General rule for Records Retention is five years retention from the service accounting period except for the following items:

- Open audits (affects F&O)
- Open court cases (affects F&O)
- Intentional Program Violation (IPV)
- Federal Sample
- ABCD 278L (affects F&O)
- F&O related items with special requests for longer retention to support policies, history, etc.

Procedure

A. Financial Services Records Retention per ACL 11-08 which continues to reference ACL 06-33:

1. FY's up to and through 6/2006
Destroy now. There are no open audits identified for Stanislaus County for fiscal records within this time period. Open audit periods are all within our five year retention and don't require an extension:
 - 10/01/07 – 09/30/08
 - 10/01/08 – 09/30/09
 - 01/01/08 – 07/01/10

These audit periods will be reviewed for update or closure in the next CDSS letter for records retention.

2. Finance and Operations review of open court cases of 8/9/2011 does not require special response due to:
 - Foster Care 4/2004 @C-IV, prior fiche
 - IHSS payment records are CMIPs; there are no special F&O responses to court cases beyond closed files retention
 - Child Care 4/2004 & C-IV, prior fiche
 - CalWORKs C-IV, all records are kept since Go Live and these are imaged
 - F&O related items proposal for implementation adhere to F&O five years period or end of audit
 - True for all FY up to 05/06 – destroy now

3. The following fiscal periods will be reviewed in accordance with the policy as follows:
 - a. 7/03 – 6/04 Review 7/2009 and destroy
 - b. 7/04 – 6/05 Review 7/2010 and destroy
 - c. 7/05 – 6/06 Review 7/2011 and destroy
 - d. 7/06 – 6/07 Review 7/2012
 - e. 7/07 – 6/08 *Review 7/2013*
 - f. 7/08 – 6/09 *Review 7/2014*
 - g. 7/09 – 6/10 *Review 7/2015*
 - h. 7/10 – 6/11 Review 7/2016
 - i. 7/11 – 6/12 Review 7/2017

Italics reflect open audits per ACL No. 11-08, see section A1

4. CDE Child Care Contract Audits:

<u>Fiscal Year</u>	<u>Audit Status</u>
a. 04/05	Closed – Destroy 7/2012
b. 05/06	Closed – Destroy 7/2013
c. 06/07	Open
d. 07/08	Open
e. 08/09	Open
f. 09/10	Open
g. 10/11	Open
h. 11/12	Open

- B. Documents available on-line, such as the County Budget Document, are no longer retained at CSA Beyond the standard five year retention described above, certain records will be retained for an extended period of time as follows:

PERMANENT

1. Realignment Revenue Documents
2. County Fiscal Letters (CFL's) through FY 96/97
(More current FYs available on-line)
3. Microfiche (automated check registers, etc.)
4. Write Off's (Collections)
5. Food benefit payrolls (not on microfiche)
6. Intentional Program Violation (IPV) disqualification records (must be retained through the life of the individual)
7. IHSS payroll records:

IHSS Payroll Time Sheets – The IHSS Payroll time sheets will be kept for five and one-half years in their original form. Per (PCSP or IPW cases-Conlan) court case, time sheets for period 06/97 – 11/06 shall be kept until further

notice. The California Department of Social Services (CDSS) has made the determination based on the need to meet the requirements of State law and State and Federal regulations. (Welfare and Institutions Code (WIC) Section 10851 (a), Manual of Policies and Procedures (MPP), Division 23-353, and 45 Code of Federal Regulation 74-20; Government Code, Section 14750 (a)(b) and (c)). (ACL-03-39, 8/21/03)

8. Audits, State Controller's Office, Single, CDE etc, all fiscal non-program
9. Community Services Facility/New Building documents, loan, amortization, etc. records (minimum 50 years from date of occupancy)

20 YEARS

1. Completed state fiscal studies/reports
2. Revenue claims, County Expense Claims without backup: originals, revisions and desk audited
3. Assistance claims without backup: original and desk audited
4. All statistical reports – Stan 88s, (June 88s only), CUMTOTs and other fiscal analysis (three years on hand)
5. Proposed County Administrative Budget (PCAB) or Cost Control Questionnaire (CCQ) – one per fiscal year (three years on hand)
6. Assistance claims and reports with back up will be kept 10 years unless an open audit exists.
7. Add mini-financial statement June last year
8. IHSS contract data (7/90 forward) @2010 regular claiming rules apply for retention

5 YEARS

1. Anything related to the County Expense Claim will be stored for five years and then returned to Accounting Services for review. The decision to destroy these documents or extend the retention date will be based on the status of Federal and State audit time frames.
2. Trust reconciliation, receivables, revenue statements, revenue ledgers, revenue JVs, etc.: Comply with standard five-year retention policy (see No. 1).
3. CWDA Committee information/task force material.
4. Budget binder – one per fiscal year.
5. Correspondence, review before destroyed. Former employees' correspondence files keep five years and then destroyed.
6. Hard copies of deposit permits.
7. Board agenda items and minutes keep five years and then destroy.
8. All vouchers and all A/P documents will be kept for five years unless an open audit or A/R exists. Items should be returned to Accounting Services after five years to be reviewed and labeled with an appropriate destruction date.

9. Cashier logs and receipt books will be kept for five years in support of deposit permits.
10. MSSP records will be kept for five years unless there is an open audit.
11. Contracts will follow the guidelines for the County Expense Claim, i.e.: three years following submission of the claim for reimbursement to the Department of Health and Human Services. This translates to storage for five years unless an open audit or A/R exists. Items should be returned to Accounting Services after five years to be reviewed and labeled with an appropriate destruction date.
12. California Department of Education (CDE): The funding terms and conditions incorporated into our CDE contracts states that all records must be maintained a minimum of five years. This translates to storage for five years unless an open audit or A/R exists. Items should be returned to Accounting Services after five years to be reviewed and labeled with an appropriate destruction date.
13. Leads minutes, keep five years, with the two most recent years in the Financial Services Resource room and the previous three years in storage; destroy after five years.
14. Exec minutes, keep five years, with the two most recent years in the Financial Services Resource room and the previous three years in storage; destroy after five years. Same applies for Exec Policy.
15. Strategic Plan, keep five years, with the two most recent years in the Financial Services Resource room and the previous three years in storage. Destroy after five years.
16. CSA Budget detail including accordions and Budget Team meeting minutes, keep three years current and two prior years, then destroy. (Note: one final binder is kept permanently for each year.)
17. FNS 209 - Food Stamp Quarterly report
18. CA 812 - Cash Quarterly Report
19. Tax Intercept
 - 1) Submissions lists
 - 2) Transmittals
 - 3) Records accepted
 - 4) Offset notice roster
20. Refund vouchers
21. IHSS Collections

NOTE: All boxes sent to storage are required to have a review/destroy date on them and the unit # of the responsible manager. NO EXCEPTIONS! All boxes are to be routed through Finance & Operations Confidential Assistant III, A0E, to be sure they are logged and the contents are listed for future reference.

Managers are responsible for reviewing storage boxes annually. Once it is determined that further review is not necessary, managers will assign a destroy date. Records Management staff will observe destruction dates and report to A0E when boxes are ready for destruction.

Attachment B Case Records & Files

Purpose

To establish the Records Retention Policy for Case Records & Files.

Definition

The guidelines are established by the California Department of Social Services (CDSS), the California Department of Justice (CDOJ), and the California Department of Education (CDE).

Procedure

A. StanWORKs

The general statute in California (Welfare and Institutions Code Section 10851) requires that public social service records (aid and services) be maintained for three years from the last date of aid or services. It also provides that certain records in active cases may be destroyed after three years.

In 2004, when CSA converted to the California Statewide Automated Welfare Systems (SAWS) Consortium IV, we began digitizing all case files and made a decision that all digitized records would be maintained on a permanent basis in the program system.

These permanent records include CalWORKs, Medi-Cal, Food Stamps (Cal-Fresh), Welfare to Work, Foster Care and General Assistance.

B. Child Care (CC)

Child Care funding is administered by CDSS and CDE. The retention for all CC case file material is five and one-half years from the end of the Fiscal Year of the activity related to the individual material.

The Records Management Unit records the activity date of case files received from CC and performs an annual purge of CC files and thinning files using the above criteria of five and one-half years from the end of the Fiscal Year of the activity. These files are destroyed without further review.

C. Adoptions

All adoptions records are "Permanent Retention" and maintained by the Adult, Child & Family Services Division (AC&FSD) Adoptions Program Supervisor in a locked room on campus. Records Management staff does not have access to these records and does not record their whereabouts.

Step-Parent Adoption files are "Permanent Retention" and are archived at the offsite storage facility. The Adult, Child & Family Services Division Adoptions Program Supervisor is the only employee allowed personal access to these archives. Records Management staff does not access these records and does not record their whereabouts.

D. Adult Protective Services (APS)

All APS files are "Permanent Retention." Records Management holds the files in the Closed Files (CLF) area for five and one-half years before preparing them for transfer to offsite archive storage.

E. Child Protective Services

Social Workers (SW) determine the retention date for all types of general neglect referrals/cases and inconclusive/ unfounded physical abuse, sexual abuse, severe neglect, emotional abuse and sexual exploitation referrals/cases based on when the youngest child in the family group turns 18 years of age. The retention date is recorded by the SW on the front of each case file before forwarding the closed case file to CLF. Files are pulled on an annual basis, as per the recorded retention date. Child Welfare Services (CWS) staff reviews case file prior to destruction.

Effective January 1, 2012, substantiated cases of physical abuse, sexual abuse, severe neglect, emotional abuse and sexual exploitation are retained until the perpetrator in the case reaches the age of 100 years. The retention date is recorded by the SW on the front of each case file before forwarding the closed case file to CLF. Files are pulled on an annual basis, as per the recorded retention date. CWS staff reviews case file prior to destruction.

All cases in which the youth were in foster care are retained until the youth is 21 or by the above mentioned standards. CWS staff reviews case file prior to destruction.

F. Juvenile Court Files

The case files are maintained in numbered boxes in CLF and recorded in the "Closed Files Database" by case number and case name, as being filed in the numbered box. Annually, the Clerical Supervisor in CWS prepares a purge list of files for those juveniles whose youngest sibling has reached the age of 21 years of age. All sibling files in that family group are destroyed at that time.

G. In-Home Supportive Services (IHSS)

Under present California retention requirements, all IHSS files and supporting documents, such as provider time sheets, are considered "Permanent Retention" pending litigation. Records Management holds the files in CLF for five and one-half years before preparing them for transfer to offsite archive storage.

H. Special Investigations (SIU)

SIU files have a regular retention period of three and one-half years after the closing of the most recent referral. SIU staff determines the retention date of each file and records that information on the face of the file before forwarding the file to CLF. Records Management performs a monthly purge of SIU files using the above criteria of the recorded retention date as provided by SIU.

SIU files marked with "Collections" must attain a status of "Paid in Full" before a three and one-half year retention period is determined. This may be determined by SIU staff or CLF staff. Those files then become subject to the retention guidelines as described above.

SIU files marked with an Intentional Program Violation (IPV) sticker are considered "Permanent Retention" and remain in CLF indefinitely.