	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

I. STATEMENT OF POLICY

In accordance with [La. R.S. 44:36](#) and [La. R.S. 44:411-412](#), the Department of Children and Family Services (DCFS) shall establish and maintain an active, continuing program for the economical and efficient management of the records of the Department.

This policy shall apply to all public records, including electronic mail (email), of the DCFS, as defined below, and to confidential records, as defined at [La. R.S. 46:56](#).

II. PROCEDURES

A. DCFS Staff Responsibilities

1. DCFS Secretary

The DCFS Secretary shall designate a records management officer by July 1 of each state fiscal year.

The Records Management Officer Designation Form ([SSARC 940](#)) shall be completed and submitted to the State Archivist with the Louisiana Secretary of State to provide notification of the individual selected.


Each appointing authority shall appoint a person to be the official custodian of records for their respective **Bureau/Division/Section/Regional Office/Parish Office**.

2. Records Management Officer

The records management officer is responsible for overseeing the records management program of the DCFS, including reviewing and updating the records retention schedule at least every five years. This individual also acts as liaison between the Office of the Secretary of State, Division of Archives, Records Management Section and DCFS on all matters related to records management.

3. Manager/Supervisor

Managers and supervisors are responsible for ensuring that each employee under his/her supervision is knowledgeable of this DCFS policy concerning the retention of records, and that the employee adheres to the Record Retention Schedule that is specific to his/her Bureau/Division/Section.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17


4. Employees

Each DCFS employee is responsible for adhering to the DCFS's Record Retention Schedule for all records that the employee maintains or utilizes in the performance of his/her job duties.

B. Record Retention

1. DCFS General Provisions

- a. Records must be preserved for the period or periods of time specified for such public records in the formal record retention schedules that have been developed by DCFS representatives and approved by the Division of Archives of the Office of the Secretary of State.
- b. In the absence of such approved retention schedules, DCFS records shall be retained for a minimum of three years from the date the record was made.
- c. Records shall not be destroyed in any case where litigation involving the record is pending, recovery activity is pending, or until the appropriate state and/or federal audits have been conducted when required.
- d. When it is necessary to maintain records due to pending litigation, notice of such retention shall be provided to the Division of Archives when requesting destruction of other records in the same record series.
- e. In the event that federal and state record retention requirements are different, the record must be preserved for the longer period of time.
- f. Records involving contracts of the DCFS shall be maintained for a period of ten years (L.S.A.-CC Art. 3499).
- g. All conditions must be met for preserving records and duplicating copies as required in [La. R.S. 44:36](#). Storage of files will be left to the discretion of the appointing authority for each Bureau/Division/Section. When choosing a location for storage, the appointing authority should consider economy, efficiency and accessibility of the record.
- h. Agencies must keep a file of which records are sent to the Division of Archives for storage. The file should be kept for the same duration of time as the actual records as stated in the Records Retention Schedules.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

Bureaus/Divisions/Sections should also keep a copy of the [SSARC 103 Record Transmittal and Receipt Form](#) that they submit to the Division of Archives. (Refer to [sample form SSARC 103](#) for assistance in completing the form.)

- i. Legally mandated expungement of Child Protection Services (CPS) records & retention of records with recovery action pending. The agency must retain audit logs for six years to provide support for after-the-fact investigations of security incidents and to meet regulatory and agency information retention requirements.

2. DCFS Section Specific Provisions

A. DCFS Human Resources Records


All DCFS employees' human resources records are considered public records, with the exception of information outlined below, or if made confidential under any law.

The DCFS Human Resources Section must maintain human resources files for each employee containing records relevant to their employment and service history.

A confidential Human Resources record is one that must be protected from public access, but is not one that should be withheld from another state agency where there is a business related reason for the inquiry. These records shall be maintained in a separate file that is not accessible to the public.

The following information is deemed **confidential** either by civil service rule, statute, or court decisions:

- Address and telephone number (when employee requests confidentiality)
- Bank information – **EXCEPTION:** When the employee's financial institution direct deposit information is required to be disclosed pursuant to any other provision of law, including such purposes as child support enforcement, health insurance, and retirement reporting, the financial institution direct deposit information of the employee shall be disclosed pursuant to such provision of law.
- Beneficiary information (retirement, insurance, etc.)
- College transcripts


	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

- Documentation of suspension pending investigation
- Grievance forms
- Hiring/Selection Request Forms
- Hospital records
- Immigration and Naturalization Form (I-9)
- Insurance claim forms
- Letters of counseling, warning or reprimand
- Life insurance applications
- Medical records
- Paycheck deductions
- Performance ratings to include the numerical score and comments
- Pre-discipline ("Loudermill") unless discipline results
- Reference checking forms
- Criminal background check
- Child Welfare State Central Registry check
- Requests for payment of insurance benefits
- Scores and notes of interview panel members
- Social Security Number **EXCEPTION:** When the employee's social security number is required to be disclosed pursuant to any other provision of law, including such purposes as child support enforcement, health insurance, and retirement reporting, the social security number of the employee shall be disclosed pursuant to such provision of law.
- Tax information

Note: **The Immigration and Naturalization Form (I-9), and Medical and Hospital Records must be maintained in locked files that are entirely separate from other documents.**

The following information is deemed **public records** either by civil service rule or court decisions:

- Appointment affidavits (SF-13)
- Attendance and leave records (excluding confidential medical records)
- Birth and Death Certificates
- Certificate of eligibles, but not the grade/score of the individuals
- Copies of Civil Service Applications (SF-10), excluding Social Security Number and resumes
- Copy of current position description (SF-3)
- Driver's License (except the Social Security Number is confidential)
- Employee Notification Form (ZMD sheet)

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

- Employee's name and job title
- Formal disciplinary action letters
- Garnishment information
- Personnel Action Forms (SF-1), excluding Social Security Number
- Rates of pay and salary information
- Record of Appointments
- Record of changes in status or position (promotion, demotion, etc.)
- Records of completed training courses
- Records of internal investigations

Note: Confidential information contained in a public document must be “concealed” when the document is produced in response to a public record request.

DCFS Human Resources criminal record clearances in all case records shall be destroyed per the DCFS Retention of Departmental Records policy at the end of the applicable retention period. The records shall not be retained in any record sent to State Archives for microfilming.


B. DCFS Child Support Enforcement Records

1. Hard Copy Record Storage

Hard copy records that are stored in field offices may be transferred to the State Records Center for storage. The approved procedure is explained in the following paragraphs.

First, the Program Operations Manager (POM)/Family Support Parish Manager, designee, or appropriate District Attorney's (DA's) staff, should contact the State Records Center at (225) 922-1224 to request storage of records. The State Records Center may accept records for storage from Child Support Enforcement CSE) or contracted DA's Offices when they are listed on an approved Records Retention Schedule and are considered inactive (not from the current operational year).

Contracted DA's offices are required to operate under the Record Retention Schedule developed and approved for CSE [Refer to C-120-1](#). Proper packing and labeling information may be obtained from the [Louisiana State Archives Records Management Handbook](#) (page 18). The POM, designee, or appropriate DA staff may request access to, or check out, records by following procedures obtained from [Records Management Policy and Practices section 519](#).

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

All paper documents containing FTI or any file resulting from the processing must be recorded in a log with the following elements and be maintained for a minimum of 5 years or the applicable records control schedule, whichever is longer:

- taxpayer name
- tax year(s)
- type of information (e.g. revenue agent reports, Form1040, work papers)
- reason for the request
- date requested
- date received
- exact location of the FTI
- who has had access to the data and
- if disposed, the date and method of disposition


2. Hard Copy Record Destruction

Records may not be disposed of until the POM, designee, or appropriate DA's staff has submitted an *Authority to Dispose of Records Form* ([SSARC 930](#)) and received approval for destruction from the Records Management Section of the Secretary of State, State Archives Division.

Mail the completed [SSARC 930](#) to CSE Policy, P.O. Box 94065, Baton Rouge, LA 70804-9065. The signature of the POM, designee, or appropriate DA's staff is required. The form(s) will be submitted to the Records Management Officer in DCFS' Bureau of General Counsel, who will forward it to State Archives.

State Archives will return the Approval to Destroy directly to the Record Management Officer. Upon receipt of the Approval to Destroy, the Record Management Officer will forward a copy to the CSE Policy unit. CSE Policy unit will then forward a copy to the requesting office. Only after the request is reviewed and approved, may any records destruction take place. Once destruction is completed, prepare *The Certificate of Destruction* (SS ARC 933) and keep on file along with the [SSARC 930](#).

The DCFS Records Management Officer will notify the requesting office if any records series are not eligible for disposition.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

In order to complete the [SSARC 930](#):

Review and utilize the three Records Retention Schedules for the following:

[06-02-13 – Human Resources](#)

[06-02-30 – Administrative Material and Forms](#)

[06-02-39 – Child Support Enforcement Services](#)

The record series title from the appropriate Records Retention Schedule should be identified in number seven of the [SSARC 930](#) along with Series Title. Disposal requests should be submitted based on the individual retention schedule (example: place all Human Resources' requests on one form, all Child Support Enforcement requests on one form, etc.).


NOTE: The "FROM" line should read: Department of Children and Family Services/Child Support Enforcement. An authorized state agency employee must witness the disposal of FTI when using a contractor not authorized to access FTI in the agency's possession.

3. Electronic Record Storage

Storage of records by electronic means includes both the LASES system and email.

Once the information from the [SES 204](#) and [SES 206](#) is documented in its entirety into LASES, the form may be destroyed based on its usefulness. Documenting the information into LASES creates an electronic record and meets the criteria for Records Retention.

CSE must maintain email in a manner that complies with the approved retention schedule and the records management practices established for other media as required by law. Based on the DCFS record retention policy, most email should be considered *general correspondence* and maintained for 4 calendar years unless the content changes the retention schedule.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

Transitory information includes: unsolicited and junk emails not related to agency work; listserv and other email broadcast lists; reminders for meeting and events; and personal non-work related emails received by employees. There is no retention requirement for transitory messages and employees receiving them may delete them immediately without obtaining approval from the State Archives.

Records created using an email system may be saved for their approved retention period by one of the following methods. Only the first two are currently available to most CSE employees:

1. Print message, then file in appropriate hard copy file.
2. Place in folder and save on personal network drive or C:drive.
3. Save to removable disk (including CD-ROM).
4. Transfer to an automated records management software application.
5. Managed at the server by an automated classification system.
6. It is the responsibility of the sender of email messages within the agency's email system and recipients of messages from outside the agency to retain the messages for the approved retention period.

C. DCFS Child Welfare Records


1. Microfilming

Adoption Records - Adoption Petition case records are sent to the state office for microfilming. A listing of the cases to include the name and TIPS number should accompany the records to assist in the microfilming process.

Non-Adoption Records - These records are designated in the administrative manual as case records which must be retained per the record retention schedule.


The following steps are required:

1. The state office records manager will notify each local office by Operations Memo when records to be microfilmed should be prepared for transfer.
2. The case records should be placed in boxes in numerical or alphabetical sequence.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

3. Form SSAR 103 should be completed for each box according to the directions on the form.
4. The outside of the box must be marked with the parish number and box number. For example: 05-1, 05-2, 05-3. The 05 represents the parish number while the numbers 1, 2, and 3 designate the box number. These numbers are used on Form SSAR 103 to identify the boxes.
5. Each box should contain a list of the case names for each case in that box.
6. The person designated to prepare the boxes for microfilming should contact State Archives to find out when the boxes can be transferred to the center for microfilming and the method of transfer. Notify the regional office records manager the boxes are prepared for transfer to the center for microfilming.
7. The regional office records manager will contact State Archives and notify the parish when the boxes can be transferred to the center for microfilming and the method of transfer.
8. The regional office records manager will communicate directly with the records manager in the Secretary of State's office on matters pertaining to microfilming.
9. The Secretary of State's Records Management Center will produce a master microfilm and one copy. The copy will be sent to the regional office records manager.
10. The regional office records manager will verify the microfilm copy of the record is in satisfactory condition and so notify the Records Management Center.
11. The Records Management Center will destroy the case file if notified that the microfilm is satisfactory. If not, steps 9 and 10 will be repeated until an approved copy is produced.
12. The microfilm copy for each case will be retained in secure storage in the regional office.

A copy of a case record which has been microfilmed can be obtained by contacting the regional office records manager. Should a microfilm copy become defective another can be obtained from the Records Management Center where the original is maintained.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

2. Electronic Record Storage

Child Welfare electronic records are stored in ACCESS, TIPS, LARE, Adoption Petition, FATS, SDM, and Document Imaging. Electronic records for all Child Welfare programs are retained indefinitely in all data systems except Document Imaging. Identifying information for CPS program records is expunged at the expiration of the record retention period. For statistical purposes, all other information within a CPS program record is retained indefinitely.

Electronic records stored within the Document Imaging system shall be retained until the individual or program record is identified for deletion per the record retention schedule. An electronic file shall be forwarded to the vendor identifying all individual and or program records to be deleted.

3. Other Program Related Records

a. Criminal Record Clearances

Criminal record clearances in all case records shall be destroyed per the DCFS Retention of Departmental Records policy at the end of the applicable retention period. The records shall not be retained in any record sent to State Archives for microfilming.


The record retention schedule shall be followed unless there is an outstanding litigation. No record is to be destroyed until litigation is resolved and no further appeals are available. In addition, if there is an investigation or recovery activity pending by the DCFS Fraud and Recovery unit, no record related to the investigation or pending recovery activity shall be destroyed until the matter is closed and the appropriate time period under the retention schedule has lapsed.

b. Card File

All cards in the 47 series should be retained per the retention schedule.

c. CT-1 File

Retain documents in the file per the retention schedule.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

d. Protective Service Alerts

Protective Service Alerts (PSA) not associated with a child welfare case are maintained per the records retention schedule. Any paper copies of Protective Service Alerts will be maintained for the period of time the PSA is maintained in ACESS. They are then destroyed. PSAs associated with DCFS cases are retained for the retention period for the associated DCFS case.

e. Child Protection Services Case Records

Child Protection Investigation case records include the ACESS electronic record for the intake case, the investigation case, and/or any paper case record. The period of record retention for a CPS case is determined by the report acceptance decision, the finding for the investigation, or the completion of an Alternative Response Family Assessment as follows:

1. Not Accepted Reports

Not accepted reports received on families and out-of-home settings with current or previous DCFS involvement are filed in the closed or active case file when there is a paper case record, or attached to the ACESS intake case when there is no paper case record.


When there is no active or closed record for the family or out-of-home provider, the report is maintained in the ACESS intake case

Not accepted reports are retained per the records retention schedule.

2. Child Protection Investigations

a. Invalid Preliminary Investigation and Invalid Findings

Invalid records are maintained per the records retention schedule.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

If there are subsequent CPS records and/or the case is transferred to another program for services, it is maintained as a separate record. It is not incorporated into the record for the subsequent program in order to maintain the confidentiality of this information in accordance with LA Children's Code, [Article 615 E.\(3\)](#).

However, if the information from the investigation is used as the basis for a later valid finding, it becomes a part of the record for the valid finding and is no longer maintained as a separate record. Once it becomes part of the record, it may be released in accordance with records for valid findings.

b. Intentional False Reports

Records for investigations determined to be intentional false reports are retained as separate records per the record retention schedule from the date of the invalid finding and determination of an intentional false report.


c. Client Non-Cooperation Findings

Retain record per the record retention schedule.

d. Inconclusive Findings

Retain as a separate record per the record retention schedule. When the case is transferred to another program for services, it is maintained as a separate record. It is not incorporated into the record for the subsequent program in order to maintain the confidentiality of this information in accordance with LA Children's Code, [Article 615 E.\(3\)](#). [Article 615 E.\(2\)](#) also mandates the confidentiality of records with inconclusive findings by the agency and the court when the information is used in a civil or criminal proceeding against the Department. The records are maintained in accordance with 1-715 D. 4, Pending Litigation.

If it is used to validate a subsequent investigation, it becomes part of the record for the investigation with the valid finding. Once it becomes part of that record, it may be released in accordance with records for valid findings.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

Retain records per the retention schedule.

- e. Unable to Locate

Retain record per the retention schedule.

- f. Valid Findings

Valid Non-Fatality Final Findings in Family Home – Retain record per the retention schedule.

Valid Non-Fatality Final Findings in Restrictive Care, Day Care Center and Family Child Day Care Home – Retain the records per the retention schedule.

Valid Final Findings in Family Foster Home with abuse/neglect of a foster child are retained per the retention schedule.

Valid Child Fatality Report – Retain record per the retention schedule.

- 3. Alternative Response Family Assessment


Assessment records are retained per the retention schedule.

- 4. Procedure with Correction/Expungement Court Orders for Child Welfare Cases

Refer to Section 4-218, [State Central Registry Correction and Expungement Orders](#), and for the procedure with court ordered correction/expungement of investigation findings.

The ACCESS correction/expungement is completed by State Office staff. When there are no local office paper records, no action is required in the local office.

However, when there is a paper case record, the local office is expected to proceed with correcting, sealing or destroying the record in accordance with the court order when advised by the State Office CPI Program Unit. The following steps should be taken:

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17


a. Correction Order

When the court has issued a correction order, the finding for the investigation is corrected from valid to invalid. The case record is maintained and retained per the retention schedule.

b. Expungement Order

When the court has issued an expungement order, the following procedure is followed as it relates to expungement:

- (i) If the record has been retained for three or more years plus one day, and the audits have been completed for the year of the investigation finding, an emergency request for authorization to dispose of records shall be submitted to the Record Retention Management Section of the Division of Archives in the Secretary of State's office based upon the court order which shall be attached. Once the disposal request is approved by the records Management Section, the records shall be destroyed as so ordered by the court.
- (ii) If the record has been retained for less than three years from the date of the investigation finding, it must be maintained as a sealed record in order to comply with state law and the requirements for federal and state audits. The case record shall be reviewed and all identifying information deleted from all case record material. The case record material, including any separate TIPS folder and any local office form/document, regarding the report and investigation shall be stored in a manila envelope.
- (iii) The ACCESS/TIPS case numbers for all clients and the effective date for the case record destruction shall be clearly marked on the outside of the envelope. Children's Code, [Article 616.1 E](#), specifies that the record may only be available for audits and shall not be used for any investigative purpose during the record retention period. Prior to destruction a request for authorization to dispose of records shall be submitted to the Records Management Section of the Division of Archives in the Secretary of State's office in accordance with the retention policy.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

- (iv) Local office staff shall then proceed as directed by the Regional Attorney for the preparation of the affidavit to the court that the case record has been corrected, sealed or destroyed as required in Children's Code [Article 616.1 D](#), or as specifically ordered. They are also responsible for proceeding with the Regional Attorney to file the State Office affidavit with the court.

5. Pending Litigation

When it is known that the case is one in which there is pending litigation, the case records information shall be maintained as a record that is clearly marked as a case in pending litigation. The records are maintained until the resolution of the litigation, including appeals, or the record retention period, whichever is longer.

f. Family Services Case Records

Family Services (FS) Cases (Initiated from a Valid Investigation) – Retain the record per the retention schedule.

Records of investigations with inconclusive, invalid or invalid preliminary investigation findings for families transferred to FS are maintained as separate records and are not incorporated into the FS case record.

Voluntary Family Services – Retain per the retention schedule.

Families in Need of Services – Retain the record per the retention schedule.


Alternative Response Family Assessment cases transferred to FS – Retain for the record retention period of the ARFA case.

Foster Care cases transferred to FS after a foster care placement – After FS closure, retain the FS case per the retention schedule.

g. Foster Care Case Records

Retain the records per the retention schedule, to include TIPS financial records and any records of Family Services provided to the family after a foster care placement.

Microfilm the case records and retain in microfiche form only after the case is closed for seven (7) calendar years.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

Records are to be maintained in the region in which the case was closed per the retention schedule.

An exception to regional storage of FC case records is as follows:

DCFS Gary W. case records, in microfiche form, are maintained in State Office, Division of Programs Foster Care Services. These records will be stored per the retention schedule.

h. Services to Parents Case Records

Retain physical records per the retention schedule to include children in foster care in the Adoption Program.

Microfilm the case records and retain in microfiche form only after the case is closed for seven (7) calendar years.

Records are to be maintained in the region in which the case was closed.

i. Adoption Case Records

Adoptive Child's Case Records are to be maintained as indicated in the records retention schedule.

Adoption Petition Case Records - The Adoption Petition record, after case closure, is sent to the State Office Adoption File Room to be sealed and maintained per the retention schedule.


Adoption Subsidy Case Records - Retain case records in the regional office per the retention schedule.

Records are then sent to State Archives to microfilm and maintained per the retention schedule.

j. Home Development Case Records

Retain records and criminal record clearances in the regional office for the period per the retention schedule after the home is closed.

Prior to sending the Home Development record to State Archives, staff should confirm that there are no criminal record clearances remaining in the

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

record. Records are to be shipped to the State Archives for microfilming and storage in the Records Center per the retention schedule.

For Further information, refer to Child Welfare policy in Chapter 9, Part 8, Section [9-825 of the DCFS Policy Management System](#).

There may be circumstances where some records are maintained indefinitely. This includes records containing information which would affect future certification of a family. Records to be maintained indefinitely are to be microfilmed post-closure and stored in the regional office per the retention schedule.

For any case involved in litigation, the case should not be microfilmed until all appeals have been exhausted, even if the retention period has been achieved. If all litigation is complete and the timeframe for retention in the regional office is complete, the records may be forwarded for microfilming and storage to the State Archives per the retention schedule.

k. Services to Other Agencies

Retain per the retention policy.

l. Interstate Compact on the Placement of Children

Retain per the retention schedule. Records are to be sent to State Archives after the case has been closed for two (2) calendar years, per the retention schedule.

m. Complaints/Inquiries


Retain per the retention schedule.

n. Voluntary Registry

Retain records per the retention schedule.

o. Quality Assurance

Quality Assurance/Child Protection Investigation Records
 Quality Assurance/ Family Service Records
 Quality Assurance/Case Compliance Records
 Quality Assurance/Foster Care-Adoption Records
 Retain QA instruments per the retention schedule on paper. The computerized data shall be kept per the retention schedule.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

p. Title IV-E

Title IV-E records shall be maintained per the retention schedule.

State Office eligibility records that contain Federal Benefit information are retained per the retention schedule.

State Office Eligibility records that contain Trust Fund information are retained per the retention schedule.

q. Office of Juvenile Justice (OJJ) Eligibility Records

Retain records per the retention schedule.

r. Parental Contribution Documentation

Retain documentation per the retention schedule.

s. Child Welfare State Central Registry

Refer to Chapter 4, Part 2, Section 4-210, [Central Registry Maintenance of Records](#), on the DCFS Policy Management System.

t. Random Moment Sampling

Retain per the retention schedule.


Destruction of case records is the same for all sections of DCFS per DCFS retention of departmental records policy.

u. State Central Registry Checks Completed at the Request of Child Welfare Agencies

Retain documentation per the retention schedule.

v. Guardianship Subsidy

Retain documentation per the retention schedule.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

D. Economic Stability Programs

Records may not be disposed of until the POM, or designee has submitted an *Authority to Dispose of Records Form* ([SSARC 930](#)) to the DCFS Records Management Officer (RMO) and received approval to destroy the case records as requested.

STEP RECORDS

Participant case files: Retain case record material, including case validation data per the record retention schedule. Retain all material currently used or pertaining to an active application or certified case. Retain all:

- Case record material relating to recovery action
- Medical reports that are still pertinent, regardless of age
- Fiscal records: Retain for four calendar years following the end of the fiscal year the payments were made. Fiscal year refers to the State's Fiscal Year (July 1 through June 30). Fiscal forms include all forms related to or supporting money payments of any kind.


ASSISTANCE PAYMENTS AND SNAP CASE RECORDS

Based on federal regulations, all program records must be per the record retention schedule.

For Economic Stability Retention purposes, program records must be retained per the record retention schedule,

Exceptions:

- Permanent documents such as birth certificates, baptismal certificates, acknowledgement of paternity, marriage certificates, divorce decrees, other judicial notifications, death certificates, and documents showing ownership, etc. shall be retained per the record retention schedule. Parishes should use extreme caution when destroying such documents.
- Do not destroy any case record material relating to a referral to the Fraud and Recovery Section such as Recovery Summary, (including all eligibility payment supporting data in the case record), form OFS 20CD or material that relates to a fraud investigation, litigation, claim negotiation, QC review or case review. Case record material relating to a recovery referral may only be destroyed if Fraud and Recovery advises the local office that all obligations have been repaid and/or all issues arising from it have been documented and resolved.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

- Retain any medical report that is still pertinent, regardless of its age. The 5 year limit applies if the information is no longer pertinent (such as medical information on a disabled father who dies).

Note: Case copies of manual forms OFS 18C are not considered control copies and shall be retained for a period of four calendar years.

Refer to Chapter 2, SIEVS Policy Manual, [C-120](#) for special procedures for destruction of documents containing Federal Tax Information.

CHILD CARE ASSISTANCE PROGRAM CASE RECORDS

Case record information must be maintained per the record retention schedule.

Provider Records

Maintain records for all providers, other than Class A Day Care Centers, per the record retention schedule.

REJECTED APPLICATIONS

Maintain case record information on rejected applications per the record retention schedule.


CLOSED CASES

Maintain information on closed cases that have had a provider payment per the record retention schedule.

E. DCFS Record Retention Schedules

Retention schedules that have been approved by the Division of Archives specific to DCFS agency sections/bureaus may be accessed below:

- [Executive Division \(ED\) \(formerly Office of the Secretary\)](#)
- [Bureau of Quality Assurance and Strategic Planning](#)
- [Civil Rights Bureau](#)
- [Licensing](#)
- [Human Resources Section](#)
- [Budget Section](#)
- Bureau of Communications and Governmental Affairs
- [Fiscal Services Administration Section](#)
- [Fiscal Services Financial Management Section](#)
- [Information Services Section](#)
- [Support Services Section](#)

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

- [Child Support Enforcement – In Hospital Paternity Program](#)
- [Child Welfare Section](#)
- [Economic Stability Administrative Material and Forms](#)
- [Economic Stability CART](#)
- [Economic Stability Disability Determinations Services](#)
- [Economic Stability Electronic Benefits Transfer Program](#)
- [Economic Stability Family Assistance Programs – Related Records](#)
- [Economic Stability – Fraud and Recovery](#)
- [Economic Stability – Head Start Collaboration](#)
- [Economic Stability Planning Section](#)
- [Economic Stability SIEVS](#)
- [Child Support Enforcement Section](#)
- [Economic Stability – PRES](#)
- [Economic Stability – Child Development and Early Learning](#)

F. Retention of Electronic Mail (E-Mail)

The DCFS Information Services Section possesses a finite amount of server space for email storage, the employee who is considered the custodian of an email is responsible for maintaining emails. The email may be maintained when directly related to the client and necessary for effective client services and may use one of the following methods:


- utilize an electronic archiving system;
- save the email and attachments to their individual hard drives;
- save the email and attachments to a Flash Drive. The Flash Drive must be encrypted for security purposes and cannot be removed from the employee's office; or
- print out and store hard copies of the email.

It is advisable to save the one email that contains an entire string of messages rather than each individual email pertaining to the same subject. It is acceptable for an employee to retain an email that he/she is copied on even though he/she is not the custodian of that email.

Except for listserv mailing services, distribution lists must be able to identify the sender and recipient of the message.

The primary purpose of electronic mail is to assist employees in fulfilling their duties and responsibilities. An e-mail message within the department's e-mail system is public record and the property of DCFS.

According to the [Louisiana State Archives Electronic Mail \(E-mail\) Retention Policy](#), "Electronic mail (e-mail) is not a record series for retention scheduling purposes. Rather, the retention of e-mail must be based on content, not on media type, artificial

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

duration (i.e. 90 days), or on storage limitations. An e-mail should be retained for the same duration as other records of similar content included in a given record series on the approved retention schedule” (Executive Division, Division of Management and Finance, Division of Operations, Division of Programs, and the Bureaus and Sections of each Division). “If an existing record series cannot be identified, a record series should be developed and included on the approved retention schedule.”

There is no retention requirement for transitory messages. Transitory information includes the following: unsolicited and junk e-mails not related to agency work, listserv and other e-mail broadcast lists that require subscription (including newspapers), reminders for meetings and events (i.e. cake in the conference room, staff meeting moved from 2:00 p.m. to 3:00 p.m.), and personal non-work related e-mails received by employees. These types of messages should be deleted immediately.

For DCFS purposes, the custodian of an email is either the original sender of an e-mail message within the agency's e-mail system; or the recipient of an e-mail message from outside the agency.


See DCFS Policy [5-07 Netiquette](#) for additional rules governing electronic mail.

G. Division of Archives Records Center

The Division of Archives, Records Management, and History maintains a Records Center to store agency records still under retention but which the agency does not need to maintain on site for the entire retention period. The Records Center may be contacted by phone at (225) 922-1224 to request storage of records. Refer to Part IV of [The Louisiana State Archives Records Management Handbook](#) for detailed procedures for storing records at the Records Center.

H. Disposal of Records

1. Records can be destroyed per [R.S. 44:36](#):
 - after they have met their legal minimum retention periods;
 - are no longer needed for any purpose; and
 - have been listed and authorized for destruction on a [SS ARC 930](#) Request for Authority to Dispose of Records Form provided by the Division of Archives, Records Management, and History. The Records Management Section and the Acquisitions Archivist must both sign any request for the disposal of records.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

2. Procedure for Requesting the Disposal of Agency Records


- The agency prepares a [SS ARC 930](#) , signs, dates, and submits the completed form to the DCFS Records Management Officer (RMO).
- The DCFS RMO submits the form to the Records Management Section (RMS) of the Division of Archives, Records Management and History.
- The RMS examines the form to determine if all items listed are accounted for on the agency's records retention schedule then reviews each record series listed to determine if those records have met their retention requirements.
- The RMS notifies the DCFS RMO if any record series are not eligible for disposition. The agency is then notified by the RMO of the records series determined ineligible for disposition.
- The RMS routes the [SS ARC 930](#) form to the Acquisitions Archivist to determine if any records possess historical value.
- If such records are identified, it is recommended to the DCFS RMO that these records be transferred to the custody of the Division of Archives, Records Management, and History.
- The [SS ARC 930](#) form must be signed by both the RMS and the Acquisitions Archivist and is either mailed or faxed to the DCFS RMO when disposition approval is granted.
- The DCFS RMO notifies the submitting agency of the records disposal approval.
- Bureaus/Divisions/Sections should destroy records within a regular time frame, whether it be annually, quarterly, or in some other scheduled manner.

The RMS will indicate on the [SS ARC 930](#) form whether a special method of destruction is needed for certain records. Confidential records, for example, must be incinerated, shredded, or macerated to protect sensitive information.

The Division of Archives, Records Management, and History has an industrial shredder it uses to destroy confidential records. This service is provided free for those records stored in the Records Center. A minimal per-pound fee is charged for all other records to be shredded. Accordingly, Bureaus/Divisions/Sections should note on their records retention schedules which records series contain confidential information.

3. Shredding Procedures and Guidelines for DCFS Offices Statewide

DCFS has a statewide coordinated, on-site document destruction service for its offices located throughout the State of Louisiana, effective December 2012, and

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

thereafter. The DCFS section which will be shredding the documents must wait until it receives a copy of written authorization from the Division of Archives, Records Management, to dispose of records (SS ARC 930) before initiating the document destruction procedures below. Once documents are destroyed a Certificate of Destruction (SSARC 933) is to be completed and maintained in the local office.

A. Shredding Company and State Office Contacts

1. *** Tiger Shredding**
6307 Quinn Dr.
Baton Rouge, LA, 70817 **

Company Contact: *** Josh Goodson**
225-303-0125
[**jgoodson@tigershredding.la.com ****](mailto:jgoodson@tigershredding.la.com)

2. DCFS State Office Contacts


If questions or concerns arise with the above service provider that the local DCFS office is unable to resolve directly with the provider, that office is to then contact *** the ** DCFS Administrative Services Director directly at (225) 342-1875. ****

B. Procedures for Monthly Shredding Services

Due to the sensitive nature of information held by the Department of Children and Family Services (DCFS); and to meet state and federal guidelines regarding proper destruction of confidential information, it is necessary that certain documents relating to services provided by DCFS be shredded via contracted services.

1. Equipment to Be Provided Each Office Location

- a. *** Tiger Shredding **** company will place at minimum, one sixty-four (64) gallon lockable container designed to support on-site shredding services inside each of the DCFS offices statewide.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17


- b. DCFS reserves the right to increase or decrease the number of containers at each site. Therefore, based on the volume of information to be destroyed, multiple shred containers may be housed at certain locations.
- c. *** Tiger Shredding **** shall provide each office with two keys, per lockable container. Any additional replacement key(s) requested by the department would be paid at vendors cost.
- d. DCFS Office Point of Contact

Each office must maintain a ***Point of Contact*** for the *** Tiger Shredding **** company and provide them with the employee's telephone number and e-mail address. This enables services to run efficiently and effectively at the local office levels. If at any time the Point of Contact for an office changes, the office is responsible for providing the updated information to the *** Tiger Shredding **** company's representative identified in Section 1 Shredding company information above.

- The Point of Contact is to be available on the day(s) of the month that the shredding company comes out to service the bin(s) each month, or identify a person to be available for the onsite shredding.
- This staff person is responsible for maintaining the keys to the locked bin(s).
- Each office is to ensure that the Certificates of Destruction are kept in a designated file for record keeping and available upon request by State Office.

2. Information to Be Shred

- a. All state and departmental guidelines are to be applied relative to information that is identified to be shred. Prior to destroying any records, approval **must** be received from the Secretary of State Archives Division and the procedures of the Department **must** be followed.
- b. The information identified for shredding is to be placed in the lockable container(s). The containers

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

are to be kept locked when not in use. The key to the locked bin(s) is maintained in each office by the ***Point of Contact***.


- c. Removal of staples, paper clips or other binding is not required, and can be placed into bin(s) as is.
- d. Items approved for shredding also includes computer disks, tapes and other storage media.

3. On-Site Shredding Mandatory Guidelines

- a. *** Tiger Shredding **** employees shall be in uniform upon arrival to each office. DCFS requires that the documents be shredded on-site and witnessed by a DCFS employee (usually Point of Contact) at each respective office.
- b. No information contained in the bins shall leave a DCFS office without being shredded first.
- c. The *** Tiger Shredding **** company must provide each office with a ***Certificate of Destruction*** that is to be **signed** by the witnessing DCFS employee (usually Point of Contact) and *** Tiger Shredding **** employee at the time of completion of each shredding job.
- d. Each DCFS office shall maintain a file for the Certificates of Destruction and provided to State Office at any time upon request.

4. How Often Bin(s) Is To Be Serviced

- a. The *** Tiger Shredding **** company is required to service each DCFS office a minimum of once monthly on a pre-determined schedule supplied by the office.
- b. Each DCFS office, reserves the right to increase or decrease the scheduled shredding, as needed, but should be serviced no less than once a month.
- c. The *** Tiger Shredding **** company is required to have the first shredding job completed within 30 days after the container(s) are delivered and monthly thereafter for each DCFS office location.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

5. Larger Than Normal Shredding Jobs

As the department undertakes various initiatives, there may be times when the shredding jobs will be of a very large volume. Therefore, trying to place all the shredding that needs to be completed in bins would not be practical or feasible. In these instances, the office is to contact * the DCFS ** Director of Administrative Services in State Office, directly at (225) 342-1875 ***.

Administrative Services will work with the local office and the shredding company to set up special arrangements to get the large shredding project completed. Also ensuring confidentiality of departmental information is maintained and that the large shredding project is completed timely and billed appropriately.


6. Payment Procedures for Services Rendered

Payments to the shredding company will be made directly by state office. Field offices are not responsible for paying the service provider and should not be requested to do so.

7. Unsatisfactory Service Provision by Provider

In the event that there are problems with the delivery of services, each office should first attempt to resolve them directly with * Tiger Shredding ** company representative identified in Section I. However, if this fails, the office is then to contact * the DCFS ** Administrative Services * Director **, directly at (225) 342-1875 ***. State Office will request specific documentation of the situation and contact the service provider, as applicable, to resolve the issue.

- a. If the * Tiger Shredding ** company fails to deliver services and make regular monthly scheduled servicing of bin(s) as specified, the office should document this and also contact the service provider directly to resolve. If not resolved, then contact * the DCFS ** Administrative Services * Director *** in State Office directly *** for further guidance.
- b. State Office will make the determination, based on information reported by the DCFS offices, if the service provider is not meeting agreed upon services and resolving

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

any reported issues in a timely manner. As applicable, State Office will determine if services are unsatisfactory such that it may be cause for cancellation. In such instances, contract will be cancelled upon written notice from DCFS State Office to the service provider thirty (30) days before discontinuance of services. All DCFS offices statewide would be notified.

I. Questions

Any questions relative to the records retention schedules, retention times for specific records, or disposition of records should be addressed to the DCFS Bureau of General Counsel.


III. FORMS AND INSTRUCTIONS

- [SSARC 103 \(Word/Adobe\)/Sample](#) (LA Secretary of State Form – Record Transmittal and Receipt Form)
- [SSARC 930 Instructions](#) (LA Secretary of State Form – Request for Authority to Dispose of Records)
- [SS ARC 932](#) (LA Secretary of State Form - Records Retention Schedule)
- [SSARC 933/Sample](#) (LA Secretary of State Form – Certificate of Destruction)
- [SSARC 940](#) (LA Secretary of State Form – Records Officer Designation Form)
- [SSARC 970](#) (LA State Archives Form – Imaging Exception Application Form)
- [SSARC 970I](#) (LA State Archives Form Instructions – Imaging Exception Application Instructions)
- [Records Box Storage Instructions](#)

IV. REFERENCES

Definitions

Public Records - all books, records, writings, accounts, letters and letter books, maps, drawings, photographs, cards, tapes, recordings, memoranda, and papers, and all copies, duplicates, photographs, including microfilm, or other reproductions thereof, or any other documentary materials, regardless of physical form or characteristics, including information contained in electronic data processing equipment, having been used, being in use, or prepared, possessed, or retained for use in the conduct, transaction, or performance of any business, transaction, work, duty, or function which was conducted, transacted, or performed by or under the authority of the constitution or laws of the state, or by or under the authority of any ordinance, regulation, mandate, or order of any public body or concerning the receipt or payment of any money received or paid by or under the authority of the constitution or the laws of the state.

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

Records Management - the systematic application of management techniques to the creation, utilization, maintenance, retention, preservation, and disposal of records for the purpose of reducing costs and improving efficiency of records keeping. This includes management of filing and microfilming equipment and supplies; filing and information retrieval systems; files, correspondence, reports, and forms management; historical documentation; micrographics; retention programming; and vital records protection.

Records Management Officer – the individual designated by the DCFS Secretary to act as liaison between the Office of the Secretary of State, Division of Archives and the Department of Children and Family Services on all matters related to records management.

Records Retention Schedule ([SS ARC 932](#)) – a listing of agency records by series title specifying the time period for which they must be retained, to be signed by the DCFS Secretary and approved by the State Archivist of the Office of the Secretary of State, or his designee. The [Records Retention Schedule Form Update](#) provides a description and explanation of the form. Refer to [Sample form SS ARC 932](#) for assistance in completing the form.


Record Series - a group of related or similar records, regardless of medium, which may be filed together as a unit, used in a similar manner, and typically are evaluated as a unit for determining retention periods.

Louisiana State Laws

- [La. R.S. 44:36](#)
- [La R.S. 44:37](#)
- [La R.S. 44:38](#)
- [La R.S. 44:39](#)
- [La. R.S. 44:411](#)
- [La. R.S. 46:2417](#)

Federal Laws

- 45 CFR 74:53
- Public Law 96-272
- Public Law 105-89
- IRC Section 6103 (p) (4) (F)

	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	6/Legal
	Section No./Name	6-02/Retention of Departmental Records
	Document No./Name	6-02/Retention of Departmental Records
	Effective Date	2/6/17

Other Sources

- [Chapter 9 of Division of Archives Administrative Rules](#)
- [Louisiana State Archives Records Management Handbook](#)
- Louisiana Children's Code Article
- [IRS Publication 1075 Standards](#)
- [Louisiana Secretary of State Records Services](#)