



Department of Education and Early Development
 Division of Libraries, Archives & Museums
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STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 184 Schedule No: 06-184.1

DEPARTMENT OF HEALTH AND SOCIAL SERVICES
 OFFICE OF CHILDREN'S SERVICES
 184 - OFFICE OF CHILDREN'S SERVICES

The agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention and Disposition Schedule (GARRDS), unless those records have been listed on this schedule.

Unless otherwise noted, all records series are confidential per AS 40.25.120 and 7 AAC 36.020. Age of majority is 18 years of age per AS 25.20.010. This records schedule supersedes #60803.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.

| | | | |
|---------------------------|--------------------------------|---|---------|
| Division Director | Signature of Division Director | | Date |
| Christy Lawton | <i>Christy Lawton</i> | | 9/19/14 |
| Attorney General/Designee | Date | Commissioner of Administration/Designee | Date |
| <i>Alan Birnbaum</i> | 10/14/14 | <i>FOR</i> <i>[Signature]</i> | 9/26/14 |
| State Archivist | Date | Records Analyst | Date |
| <i>D. Dawson</i> | 10/6/14 | <i>Valerie Rose</i> | 9/24/14 |

| RRDS Continuation | | Agency I.D: 184 | Schedule No: 06-184.1 | Page 2 of 8 | |
|--|--------|-----------------|-----------------------|---|--|
| Item No - Record Series Title & Description | Format | Total Retention | Bus. Ess. | Remarks | |
| 001.1 - Adoption Applicant Files (Disapproved Adoption Study) | H | C+5 | | C = Until file is closed. | |
| 001.2 - Adoption Applicant Files (No Placement but Completion of Adoption Study) | H | C+5 | | C = Until file is closed. | |
| 001.3 - Adoption Applicant Files (Completed Adoption Study and Placement) | H | C+5 | | C = Until file is closed. | |
| 001.4 - Adoption Applicant Files (No Placement and No Adoption Study) | H | C+1 | | C = Until negative determination is made. | |
| 002.1 - Adoption Case Files (With Placement) (Originals) | H | C+2 | Y | <p>C = Until case is closed. Transfer to OCS State Office within two years of case closure.</p> <p>Files are then microfilmed and two copies of microfiche are produced (see items #002.2 and #002.3). Original hardcopy files may be destroyed after microfiche is certified true and correct.</p> | |
| 002.2 - Adoption Case Files (With Placement) (Master Microfiche) | M | C+100 | Y | <p>C = Until case is closed.</p> <p>The master microfiche is transferred to the records center operated by the Records and Information Management Service (RIMS), under the State Archives.</p> | |
| 002.3 - Adoption Case Files (With Placement) (Work Copy Microfiche) | M | C+100 | Y | <p>C = Until case is closed.</p> <p>Work copy microfiche is retained in the OCS State Office.</p> | |

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

| Retention Key | Format Key | Bus. Ess = Business Essential |
|--|---|--|
| A = Until Audit C = Cut-off event/date CY = Current Year CFY = Current Fiscal Year PA = Permanent (Transfer to State Archives) | H = Hardcopy E = Electronic D = Database M = Microform | 1. Are necessary for emergency response 2. Are necessary to resume or continue operations |
| PO = Permanent (Retain in agency office) S = Until Scanned T = Transfer TO = Term of Office | | |

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|---|--------|-----------------|-----------|---|
| 003 - Adoption and Guardianship Subsidy Fiscal Files | H | C+3 | | C = Closure of the subsidy file. State fiscal year applies. Official Record Copy is administered in the OCS State Office. |
| 004 - Adoption and Guardianship Non-Recurring Expense Files This records series includes one-time payments for non-recurring expenses for non-custody children (does not include subsidy payments). | H | C+3 | | C = Date of payment. These payments are not associated with a subsidy payment. |
| 005.1 - Child Abuse and Neglect Case Files (Closed Without Clear Substantiation) | H | C+75 | | C = Until age of majority. |
| 005.2 - Child Abuse and Neglect Case Files (Closed With Substantiation) The files relate to cases with no custody/supervision. | H | C+75 | | C = Until age of majority. |
| 005.3 - Child Abuse and Neglect Case Files (Closed - Invalid Report) | H | C+1 | | C = Until negative determination is made. |
| 006.1 - CPS Custody Case Files | H | C+75 | | C = Until age of majority. |
| 006.2 - CPS Non-Custody Supervision Case Files | H | C+75 | | C = Until age of majority. |
| 007 - CPS Logs This series includes intake assignments/transfers, Protective Services Reports, night intake, and intake closing. | H | C+1 | | C = End of the month the logs are associated with. |
| 008 - APSIN Activity Log This records series contains the activity log and documentation necessary to validate APSIN queries. | H | C+3 | | C = Date of query. APSIN = Alaska Public Safety Information Network. This records series is administered by the APSIN unit. |

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|--|--------|-----------------|-----------|---|
| 009 - Closed Child Care Client Files From Closed Residential Child Care Facilities This records series includes records from closed facilities that do not have a parent agency to maintain the client records. The closing facility will send their files to the nearest OCS Field Office for sorting by custody/non-custody. Non-custody client files are sent to the OCS State Office for processing. | H | C+7 | | C = Date of closure. |
| 010.1 - Eligibility Files (Title IV-E Foster Care) | H | C+5 | | C = Until end of eligibility. This records series is administered by the Office of Children's Services regional offices. For cases where a Title IV-E adoption or guardianship subsidy is started, the file is transferred to the OCS State Office when the Medicaid case is closed. |
| 010.2 - Eligibility Files (Title IV-E Adoption and Guardianship) | H | C+3 | | C = Until the subsidy is closed. This records series is retained in the applicable regional office until the case is closed. Upon case closure, files should be sent to the OCS State Office to be retained with the subsidy file. |
| 011.1 - Licensing Files (License Expired or Closed With Licensee Consent) This records series relates to facility files for child foster homes, child placement agencies, etc. | H | C+5 | | C = Date of last action in the case. |
| 011.2 - Licensing Files (License Revoked, Denied or Conditioned Without Licensee Consent) This records series relates to facility files for child foster homes, child placement agencies, etc. | H | C+25 | | C = Date of last action in the case. |
| 011.3 - Licensing Files (Inquiry/Withdrawn) This records series relates to inquiries (but no application) and withdrawn applications regarding facilities. | H | C+1 | | C = Date of file closure. |

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|---|--------|-----------------|-----------------------|---|
| Item No - Record Series Title & Description | Format | Total Retention | Bus. Ess. | Remarks |
| 012.1 - Interstate Compact on the Placement of Children (ICPC) Files - State Placement This series includes duplicate OCS State Office Placement Case Files retained in the OCS State Office, rather than the official record copy of the case file that is held in the applicable field office (see item #014). | H | C+6 MOS. | | C = Until case is closed. |
| 012.2 - Interstate Compact on the Placement of Children (ICPC) Files - Private Placement This series includes duplicate Private Residential Placement Case Files retained in the OCS State Office, rather than the official record copy of the case file that is held in the applicable field office (see item #014). | H | C | | C = Until case is closed. |
| 012.3 - ICPC Report of Contact Sheets (Except for Independent Adoptions) | H | C+75 | | C = Until age of majority. |
| 012.4 - ICPC Database | D | PO | | ICPC records are from the year 2000 through the present (includes private independent and agency interstate adoptions). This database is administered by the OCS State Office. |
| 012.5 - Private Residential Placement Spreadsheet | E | PO | | This spreadsheet is administered by the OCS State Office. |
| 013.1 - ICPC Independent (Non-Agency) Adoption Case Files (Originals) | H | C+2 | | C = Until case is closed. Files are then microfilmed and two copies of microfiche are produced (see items #013.2 and #013.3). Original hardcopy files may be destroyed after microfiche is certified true and correct. |

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| 013.2 - ICPC Independent (Non-Agency) Adoption Case Files (Master Microfiche) | M | C+100 | | C = Until case is closed. The master microfiche is transferred to the records center operated by the Records and Information Management Service (RIMS), under the State Archives. |
| 013.3 - ICPC Independent (Non-Agency) Adoption Case Files (Work Copy Microfiche) | M | C+100 | | C = Until case is closed. Work copy microfiche is retained in the OCS State Office. |
| 014 - ICPC-IN (Field Office Case Files) The series includes the field office agency case files for children placed in Alaska by another state. | H | C+75 | | C = Until age of majority. Official Record Copy. These files are administered in the OCS field office that supervises the placement. ICPC = Interstate Compact on the Placement of Children. |
| 015.1 - IV-E Fiscal Files (Foster Care Client Files) | H | CFY+3 | | Official Record Copy is administered in the OCS State Office. |
| 015.2 - IV-E Fiscal Files (IV-E Residential Child Care Facility Cost Reports) This records series also includes adjustments, such as a change in collocation code for a client. | H | CFY+3 | | Official Record Copy is administered in the OCS State Office. |
| 016 - PFD Client Files | H | C+5 | | C = Until age of majority or the date the file is closed, whichever is later. A file is closed when all funds in the client's account have been paid out. Official Record Copy is administered in the OCS State Office. |

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| Item No - Record Series Title & Description | Format | Total Retention | Bus. Ess. | Remarks |
| 017.1 - Private Adoption Files with Court Ordered Home Studies (Dismissed) These files relate to adoptions dismissed due to negative assessment and recommendation. | H | C+3 | | C = Until study is complete and case is closed. |
| 017.2 - Private Adoption Files with Court Ordered Home Studies (Granted) These files relate to adoptions that have been granted. | H | C+3 | | C = Until adoption is granted and case is closed. |
| 018 - Provider Payment Records Series includes provider payment files [out-of-state foster home, Residential Child Care Facility (RCCF), Residential Psychiatric Treatment Center (RPTC), and in-state assisted living license files], overpayment files, rate adjustments, and AKSAS batch interface file log. | H | CFY+6 | | Official Record Copy is administered in the OCS State Office. |
| 019 - Random Moment in Time Study This series includes both input sheets and quarterly analysis. | H | C+4 | | Official Record Copy is administered in the OCS State Office. |
| 020 - Residential Child Care Facility (RCCF) Files This series includes attendance records and Title IV-E claiming records for children placed in residential child care facilities where OCS is paying for the care (includes both children in custody and not in custody). Records may be completed by the facility and submitted to the OCS State Office. | H | C+7 | | Official Record Copy is administered in the OCS State Office. |
| 021 - Trust Account Bank Statements and Records for Minors in Custody | H | C+8 | | C = Until age of majority and/or release of funds, whichever is later. Official Record Copy is administered in the OCS State Office. |

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|---|--|----------------|--|
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| <p>022 - ORCA Database ORCA is the system of record for state custody of abused or neglected children. It is used to document reports of child abuse or neglect, to process payments made to providers, to determine financial eligibility of children in care, to track adoptions and guardianships, and to report child abuse and neglect data. Data is entered into ORCA by OCS staff located statewide.</p> <p>ORCA also includes data from OCS' previous management information system, Prober.</p> | D | PO | | Outputs of the database include dynamic reports, static reports and interfaces. |
| <p>023 - Benefits Received on Behalf of Children in Custody and Out-of-Home Placement This series includes benefits such as Social Security [Supplemental Security Income (SSI)], retirement, disability insurance, or Adult Public Assistance (APA).</p> | H | C+8 | | C = Until age of majority. |

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