Title 10A Health and Human Services, Chapter 69, Confidentiality and Access to Client Records – all rules were either readopted or repealed effective Sept. 1, 2019.

Gray highlighting in the 'New' column represents something that has been altered from the old language. Omissions are not marked; it should be obvious on sight where a subsection is been deleted. The light peach-highlighted sections are ones where a section was repealed.

NC Register

1. March 1, 2019: volume 33, issue 17

Page 1762:

Reason for Proposed Action: Pursuant to G.S. 150B-21.3A, Periodic Review and Expiration of Existing Rules, all rules are reviewed at least every 10 years or they shall expire. The Social Services Commission met on February 7, 2019 and voted to publish for public comment on the readoption of Social Services rules relating to general administration, rulemaking, confidentiality and access to client records and education assistance. Rules in the chapters have either no changes or minor technical changes. In addition, Rule 10A NCAC 69 .0304 is proposed for amendment to update to include both pronouns in the sentence to him or her.

Pages 1764-65: List of proposed rules for Chapter 69. All sections except .0304 listed as "Readoption Without Substantive Changes." Section .0304 is shown amended to update the pronouns to "him or her" in two places.

2. June 3, 2019: volume 33, issue 23

Pages 2328-29: Log of permanent rule filings. All the Chapter 69 rules were listed as "Readopt without Changes."

3. September 16, 2019: volume 34, issue 6

Page 513: The Commission unanimously approved readopting all rules except: "The Commission objected to 10 NCAC 69 .0602, .0604, and .0605 as being unnecessary as these Rules reference contract terms."

Page 521: List of approved permanent rules. All sections of Chapter 69 listed except for the 3 mentioned above (.0602, .0604, and .0605).

Section	Title	Old	New	Reason for revision
.0101	Definitions	As used in this Subchapter, unless the context clearly requires otherwise, the following terms have the meanings specified:	As used in this Chapter, the following definitions shall apply:	"Readoption without substantive changes."
		(1) "Client" means any applicant for, or recipient of, public assistance or services, or someone who makes inquiries, is interviewed, or is or has been otherwise served to some extent by the agency. For purposes of this Subchapter, someone acting responsibly for the client in accordance with agency policy is subsumed under the definition of client.	(1) "Client" means any applicant for, or recipient of, public assistance or services, or someone who makes inquiries, is interviewed, or is or has been otherwise served to some extent by the agency. For purposes of this Chapter, someone acting on behalf of the client in accordance with their right to act on the client's behalf under a legal order, federal or State law is included under the definition of client.	
		(2) "Agency" means the state Division of Social Services and the county departments of social services, unless separately identified.	(2) "Agency" means the State Division of Social Services and the county departments of social services, unless separately identified.	
		(3) "Client information" or "client record" means any information, whether recorded or not and including information stored in computer data banks or computer files, relating to a client which was received in connection with the performance of any function of the agency.	(3) "Client information" or "client record" means any information received in connection with the performance of any function of the agency, including information stored in computer systems.	
		(4) "Director" means the head of the state Division of Social Services or the county departments of social services.	(4) "Director" means the head of the State Division of Social Services or the county departments of social services.	
		(5) "Delegated representative" means anyone designated by the director to carry out the responsibilities established by the rules in this Subchapter. Designation is implied when the assigned duties of an employee require access to confidential information.	(5) "Delegated representative" means anyone designated by the director to carry out the responsibilities established by the rules in this Chapter. Designation is implied when the assigned duties of an employee require access to confidential information.	
		(6) "Court order" means any oral order from a judge or a written document from a judicial official which directs explicitly the release of client information.	(6) "Court order" means any order from a judge or a written document from a judicial employee that directs the release of client information.	
		(7) "Service provider" means any public or private agency or individual from whom the agency purchases services, or authorizes the provision of services provided or purchased by other divisions of the Department of Human Resources.	(7) "Service provider" means any public or private entity or individual from whom the agency purchases services, or authorizes the provision of services provided or purchased by other divisions of the Department of Health and Human Services.	

.0102	Information From Other Agencies	If the agency receives information from another agency or individual, then such information shall be treated as any other information generated by the state Division of Social Services or the county departments of social services, and disclosure thereof will be governed by any condition imposed by the furnishing agency or individual.	If the agency receives information from another entity or individual, then the information shall be treated as client information and disclosure thereof shall be governed by the rules of this Chapter.	"Readoption without substantive changes." 33:17 N.C. Register, p. 1764.
.0201	Conflict of Laws	Whenever there is inconsistency between federal or state statutes or regulations specifically addressing confidentiality issues, the agency shall abide by the statute or regulation which provides more protection for the client.	Whenever there is inconsistency between federal regulations or state statutes addressing confidentiality issues, the agency shall abide by the federal regulation or state statute which provides more protection for the client. The agency shall make the determination as to which regulation or statute provides more protection for the client.	"Readoption without substantive changes." 33:17 N.C. Register, p. 1764.
.0202	Ownership of Records	(a) All client information contained in any records of the agency is the property of the agency, and employees of the agency shall protect and preserve such information from dissemination except as provided by the rules of this Subchapter.	(a) All client information is the property of the agency, and employees of the agency shall keep this information confidential, except as provided by the rules of this Chapter.	"Readoption without substantive changes." 33:17 N.C. Register, p. 1764.
		(b) Original client records may not be removed from the premises by individuals other than authorized staff of the agency, except by an order of the court. (c) The agency shall be allowed to destroy records in accordance with Record Retention Schedules promulgated by the Division of Archives and History, rules of the Division of Social Services, and state and federal statutes and regulations.	(b) Original client records shall not be removed from the premises by individuals other than agency staff authorized to access the client's records, except by a court order.	
.0203	Security of Records	(a) The agency shall provide a secure place with controlled access for the storage of records. Only employees, students, volunteers or other individuals who must access client information in order to carry out duties assigned or approved by the agency shall be authorized access to the storage area.	(a) The agency shall provide a secure place for the storage of client records. Only individuals who must access client information in order to carry out duties assigned or approved by the agency shall be authorized access to the storage area. For the purpose of this Chapter, secure means fixed, fastened or locked.	"Readoption without substantive changes." 33:17 N.C. Register, p. 1764.
		(b) Only authorized individuals may remove a record from the storage area and the authorizing individual shall be responsible for the security of the record until it is returned to the storage area.	(b) Only authorized individuals may remove a record from the storage area and the authorizing individual shall be responsible for the security of the record until it is returned to the storage area.	
		(c) The agency shall establish procedures to prevent accidental disclosure of client information from automated data processing systems.	(c) The agency shall establish procedures to prevent accidental disclosure of client information from automated data processing systems. (d) The director or his or her designee shall assure that all authorized individuals are informed of the	

			confidential nature of client information and shall disseminate written policy and provide training for all persons with access to client information.	
.0204	Assurance of Confidentiality	The director shall assure that all authorized individuals are informed of the confidential nature of client information and shall disseminate written policy to and provide training for all persons with access to client information.	REPEALED	[Note: moved, with changes, to .0203 as new subsection (d).] "Readoption without substantive changes."
.0205	Liability of Persons With Access to Client Information	(a) Individuals employed by the agency and governed by the State Personnel Act are subject to suspension, dismissal or disciplinary action for failure to comply with the rules of this Subchapter.	(a) Individuals employed by the agency and governed by the State Personnel Act are subject to suspension, dismissal, or disciplinary action for failure to comply with these Rules.	"Readoption without substantive changes."
		(b) Individuals other than employees, including volunteers and students who are agents of the Department of Health and Human Services who have access to client information and fail to comply with the rules in this Subchapter shall be denied access to confidential information and may be subject to dismissal or termination of relationship with the agency.	(b) Individuals other than employees, including agents of the Department of Health and Human Services who have access to client information, shall be liable in the same manner as employees.	
		(c) Individuals other than employees but including volunteers and students who are agents of the Department of Health and Human Services and who have access to client information shall be liable in the same manner as employees.		
.0301	Right of Access	Confidentiality of information about himself is the right of the client. Upon written or verbal request the client shall have access to review or obtain without charge a copy of the information in his records with the following exceptions:	(a) Confidentiality of information about himself or herself is the right of the client. Upon written or verbal request, the client shall be able to review or obtain without charge a copy of the information in his or her records with the following exceptions:	"Readoption without substantive changes."
		 (1) information that the agency is required to keep confidential by state or federal statutes or regulations. (2) confidential information originating from another agency as provided for in Rule .0102 of this Subchapter. 	(1) information that the agency is required to keep confidential by state or federal statutes, rules, or regulations; (2) confidential information originating from another agency as provided for in Rule .0102 of this Chapter; or	
		(3) information that would breach another individual's right to confidentiality.	(3) information that would breach another individual's right to confidentiality under State or federal statutes, rules, or regulations as determined by the agency.	
			(b) The agency shall provide access to the client's records within five business days after the receipt of the request.	

.0302	Prompt Response to Request	The agency shall provide access as defined in Rule .0301 of this Subchapter as promptly as feasible but no more than five working days after receipt of the request.	REPEALED	[Note: moved, with changes, to .0301 as new subsection (b).] "Readoption without substantive changes."
.0303	Withholding Information From the Client	(a) When the director or a delegated representative determines on the basis of the exceptions in Rule .0301 of this Subchapter to withhold information from the client record, this reason shall be documented in the client record.	(a) When the director or a delegated representative determines on the basis of the exceptions in Rule .0301 of this Subchapter to withhold information from the client record, this reason shall be documented in the client record.	"Readoption without substantive changes."
		(b) The director or a delegated representative must inform the client that information is being withheld, and upon which of the exceptions specified in Rule .0301 of this Subchapter the decision to withhold the information is based. If confidential information originating from another agency is being withheld, the client shall be referred to that agency for access to the information.	(b) The director or a delegated representative must inform the client that information is being withheld, and upon which of the exceptions specified in Rule .0301 of this Subchapter the decision to withhold the information is based. If confidential information originating from another agency is being withheld, the client shall be referred to that agency for access to the information.	
		(c) When a delegated representative determines to withhold client information, the decision to withhold shall be reviewed by the supervisor of the person making the initial determination.	(c) When a delegated representative determines to withhold client information, the decision to withhold shall be reviewed by the supervisor of the person making the initial determination.	
.0304	Procedures for Review of Records	The director or his delegated representative shall be present when the client reviews the record. The director or his delegated representative must document in the client record the review of the record by the client.	(a) The director or his or her delegated representative shall be present when the client reviews the record. The director or his or her delegated representative must document in the client record the review of the record by the client.	Amendment to update to include both pronouns in the sentence to him or her.
			(b) A client may contest the accuracy, completeness, or relevancy of the information in his or her record. If the Division or county department of social services determines correction is required by federal statute or regulation to support receipt of State or federal participation, the correction of the contested information shall be accomplished by inserting it in the	
			record when the director or his or her designee concurs that such correction is justified. When the director or his or her designee does not concur, the client shall be allowed to enter a statement in the record. Deletion of the contested information is not permitted. If a designee decides not to correct contested information,	
			the decision not to correct shall be reviewed by the supervisor of the person making the initial decision. All corrections and statements shall be made a permanent	

.0305	Contested	A client may contest the accuracy, completeness or	part of the record and shall be disclosed to any recipient of the disputed information. (c) Upon written request from the client, his or her personal representative, including an attorney, may have access to review or obtain without charge, a copy of the information in his or her record. The client may permit the personal representative to have access to his or her entire record or may restrict access to certain portions of the record.	[Note: moved, with changes, to .0304 as new
.0303	Information	relevancy of the information in his record. A correction of the contested information, but not the deletion of the original information if it is required to support receipt of state or federal financial participation, shall be inserted in the record when the director or his delegated representative concurs that such correction is justified. When the director or his delegated representative does not concur, the client shall be allowed to enter a statement in the record. Such corrections and statements shall be made a permanent part of the record and shall be disclosed to any recipient of the disputed information. If a delegated representative decides not to correct contested information, the decision not to correct shall be reviewed by the supervisor of the person making the initial decision.		subsection (b).] "Readoption without substantive changes."
.0306	Review of Record by Personal Representatives	Upon written request from the client, his personal representative, including an attorney, may have access to review or obtain without charge, a copy of the information in his record. The client may permit the personal representative to have access to his entire record or may restrict access to certain portions of the record. Rules .0301 through .0305 of this Subchapter shall apply.	REPEALED	[Note: moved, with changes, to .0304 as new subsection (c).] "Readoption without substantive changes."
.0401	Procedure for Obtaining Consent for Release of Information	 (a) As a part of the application process for public assistance or services, the client shall be informed of the need for and give consent to the release of information necessary to verify statements to establish eligibility. (b) As a part of the application process for Aid to Families with Dependent children, and State or County Special Assistance for Adults, the client shall be informed of the requirement for listing of the public assistance recipient's name, address, and amount of the monthly grant in a public record open to public 	 (a) As a part of the application process for public assistance or services, the client shall be informed of the need for and give consent to the release of information necessary to verify statements to establish eligibility. (b) As a part of the application process for Work First Family Assistance, or State or County Special Assistance for Adults, the client shall be informed of the requirement for listing of the public assistance recipient's name, address, and amount of the monthly 	"Readoption without substantive changes."

inspection during the regular office hours of the grant in a public record open to public inspection during county auditor. the regular office hours of the county auditor. (c) No individual shall release any client information which is owned by the state Division of Social Services (c) No individual shall release any client information or the county departments of social services, or that is owned by the State Division of Social Services or request the release of information regarding the client the county departments of social services, or request from other agencies or individuals without obtaining a the release of information regarding the client from signed consent for release of information. Disclosure other agencies or individuals, without obtaining a without obtaining consent shall be in accordance with signed consent for release of information. The Section .0500 of this Subchapter. procedure for disclosure without obtaining consent shall be in accordance with Section .0500 of this Subchapter. (d) The consent for release of information shall be on a form provided by the agency or shall contain the following: (1) The name of the provider and the recipient of the information: (2) The extent of information to be released; (3) The name and dated signature of the client; (4) A statement that the consent is subject to revocation at any time except to the extent that action has been taken in reliance on the consent; and (5) The length of time the consent is valid. (e) The client may alter the form to contain other information, including: (1) A statement specifying the date, event, or condition upon which the consent may expire even if the client does not expressly revoke the consent; or (2) A specific purpose for the release. (f) The following persons may consent to the release of information: (1) The client; (2) The legal guardian if the client has been adjudicated incompetent; or (3) The county department of social services if the client is a minor and in the custody of the county department of social services.

(g) Prior to obtaining a consent for release of information, the director or delegated representative

.0402	Consent for Release of Information	(a) The consent for release of information shall be on a form provided by the state Division of Social Services or shall contain the following: (1) name of the provider and the recipient of the information; (2) the extent of information to be released; (3) the name and dated signature of the client; (4) a statement that the consent is subject to revocation at any time except to the extent that action has been taken in reliance on the consent; (5) length of time the consent is valid. (b) The client may alter the form to contain other information which may include but is not limited to: (1) a statement specifying the date, event or condition upon which the consent may expire even if the client does not expressly revoke the consent; (2) specific purpose for the release.	shall explain the meaning of informed consent. The client shall be told the following: (1) Contents to be released; (2) That the information is needed to verify eligibility; (3) That the client can give or withhold the consent and the consent is voluntary; and (4) That there are statutes, rules, and regulations protecting the confidentiality of the information. (h) Directors and their delegated representatives shall release client information in accordance with the Rules of this Section, court orders, and any applicable State statutes or federal regulations. (i) Whenever client information is disclosed, in accordance with rules of this Section, the director or delegated representative shall document the reason for the disclosure in the client record including placing a copy of the signed consent in the client record. REPEALED	[Note: moved, with minor changes, to .0401 as new subsections (d) and (e).] "Readoption without substantive changes."
.0403	Persons Who May Consent to the Release of Information	The following persons may consent to the release of information: (1) the client; (2) the legal guardian if the client has been adjudicated incompetent; (3) the county department of social services if the client is a minor and in the custody of the county department of social services.	REPEALED	[Note: moved, with a minor change, to .0401 as new subsection (f).] "Readoption without substantive changes."

.0404	Informed Consent	Prior to obtaining a consent for release of information, the delegated representative shall explain the meaning of informed consent. The client shall be told the following: (1) contents to be released; (2) that there is a definite need for the information; (3) that the client can give or withhold the consent and the consent is voluntary; (4) that there are statutes and regulations protecting the confidentiality of the information.	REPEALED	[Note: moved, with changes, to .0401 as new subsection (g).] "Readoption without substantive changes."
.0405	Persons Designated to Release Client Information	Directors and their delegated representatives, as defined, may release client information in accordance with rules in Section .0400 of this Subchapter.	REPEALED	[Note: moved, with changes, to .0401 as new subsection (h).] "Readoption without substantive changes."
.0406	Documentation of Release	Whenever client information is released on the basis of a consent as defined in .0402 of this Subchapter, the director or delegated representative shall place a copy of the signed consent in the appropriate client record.	REPEALED	[Note: moved, with changes, to .0401 as new subsection (i).] "Readoption without substantive changes."
.0501	Disclosure Within the Agency	 (a) Client information from the public assistance record may be disclosed without the consent of the client under the following circumstances: (1) to other employees of the county department of social services for purposes of making referrals, supervision, consultation or determination of eligibility; (2) to other county departments of social services when the client moves to that county and requests public assistance; (3) between the county departments of social services and the state Division of Social Services for purposes of supervision and reporting. (b) Client information from the service record may be disclosed without the consent of the client under the following circumstances: 	 (a) Client information from the public assistance record may be disclosed without the consent of the client under the following circumstances: (1) to other employees of the county department of social services for purposes of making referrals, supervision, consultation or determination of eligibility; (2) to other county departments of social services when the client moves to that county and requests public assistance; or (3) between the county departments of social services and the State Division of Social Services for purposes of supervision and reporting. (b) Client information from the service record may be disclosed without client consent under the following circumstances: 	"Readoption without substantive changes."
		(1) to other employees of the county department of social services for purposes of making referrals, supervision, consultation or determination of eligibility;	(1) to other employees of the county department of social services for purposes of making referrals, supervision, consultation or determination of eligibility;	

		(2) to another county department of social services when that county department of social services is providing services to a client who is in the custody of the county department of social services; (3) to another county department of social services to the extent necessary to facilitate the provision of a service requested by referring county department of social services; (4) between the county department of social services and the state Division of Social Services for purposes of supervision and reporting.	(2) to another county department of social services when a different county department of social services is providing services to a client; (3) to another county department of social services to the extent necessary to facilitate the provision of a service requested by a referring county department of social services; or (4) between the county department of social services and the State Division of Social Services for purposes of supervision and reporting.	
.0502	Disclosure for the Purpose of Research	Client information may be disclosed without the consent of the client to individuals requesting approval to conduct studies of client records, provided such approval is requested in writing and the written request will specify and be approved on the basis of: (1) an explanation of how the findings of the study have potential for expanding knowledge and improving professional practices; (2) a description of how the study will be conducted and how the findings will be used; (3) a presentation of the individual's credentials in the area of investigation; (4) a description of how the individual will safeguard information; (5) an assurance that no report will contain the names of individuals or any other information that makes individuals identifiable.	Client information may be disclosed without client consent to individuals approved by the Department of Health and Human Services to conduct studies of client records. The request to conduct a study shall be in writing and be approved based upon: (1) an explanation of how the findings of the study may expand knowledge and improve professional practices; (2) a description of how the study will be conducted and how the findings will be used; (3) a description of the individual's credentials in the area of research; (4) a description of how the individual will safeguard information; and (5) a written assurance that no report will contain the names of individuals or any other information that makes individuals identifiable.	"Readoption without substantive changes."
.0503	Disclosure for Purposes of Accountability	Client information may be disclosed without the consent of the client to federal, state, or county employees for the purpose of monitoring, auditing, evaluating, or facilitating the administration of other state and federal programs, provided that the need for the disclosure of confidential information is justifiable for the purpose and that adequate safeguards are maintained to protect the information from redisclosure.	Client information may be disclosed without the consent of the client to federal, State, or county employees for the purpose of monitoring, auditing, evaluating, or to facilitate the administration of other State and federal programs, provided that the need for the disclosure of confidential information is justifiable for the purpose, as determined by the agency, and that safeguards, as described in 45 CFR 205.50, which is incorporated by reference with subsequent	"Readoption without substantive changes."

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			amendments and editions and available free of charge at https://www.ecfr.gov/, are maintained to protect the information from re-disclosure.	
.0504	Disclosure Pursuant to Other Laws	Client information may be disclosed without the consent of the client for purposes of complying with other state and federal statutes and regulations.	(a) Client information may be disclosed without the consent of the client for purposes of complying with the rules of this Section, court orders, and any applicable State and federal regulations.	"Readoption without substantive changes."
			(b) When information is released without the client's consent, the client shall be informed of the disclosure in writing to explain what information was released, how it was released, and how to contact the privacy official. The writing informing the client of the disclosure shall be documented in the record.	
.0505	Disclosure Pursuant to a Court Order	Client information may be disclosed without the consent of the client in response to a court order, as defined.	REPEALED	[Note: incorporated into .0504 as part of subsection (a).] "Readoption without substantive changes."
.0506	Notice to Client	When information is released without the client's consent, the client shall be informed to the extent possible, of the disclosure. The method of informing the client of the disclosure shall be documented in the appropriate record.	REPEALED	[Note: moved, with changes, to .0504, as new subsection (b).] "Readoption without substantive changes."
.0507	Documentation of Disclosure	Whenever client information is disclosed in accordance with Section .0500 of this Subchapter, the director or delegated representative shall ensure that documentation of the disclosure is placed in the appropriate client record.	REPEALED	[Note: incorporated into .0504 as part of subsection (b).] "Readoption without substantive changes."
.0508	Persons Designated to Disclose Information	Directors and their delegated representatives, as defined, may disclose client information in accordance with Section .0500 of this Subchapter.	REPEALED	"Readoption without substantive changes."
.0601	Information Needs of Service Providers	(a) Agencies may disclose client information to other service providers, as defined, only to the extent necessary to determine the service requirements and to meet the needs of the client, and to the extent necessary to provide eligibility information for reporting purposes.	Agencies may disclose client information to service providers only to the extent necessary to determine the service requirements, and to provide eligibility information for reporting purposes.	"Readoption without substantive changes."
		(b) The client shall be informed and consent to the disclosure of this information in accordance with the rules of this Subchapter.		
.0602	Contract Restriction	As a part of every contract for the purchase of services, the service provider will agree to restrict the use or disclosure of information obtained in connection with the administration of the state's	As a part of every contract for the purchase of services, the service provider will agree to restrict the use or disclosure of information obtained in connection with the administration of the state's programs for the	"Readoption without substantive changes."

.0603		programs for the provision of services concerning clients to purposes directly connected with the administration of the service program.	provision of services concerning clients to purposes directly connected with the administration of the service program.	"Desired the best of a short "
.5005	Assurance of Confidentiality	(a) The county department of social services shall disseminate written policy and assure that all private agency and individual service providers from whom they purchase services are informed of the confidential nature of client information.	(a) The State Division of Social Services shall provide written notification to county departments of social services, private agencies, and individual service providers of the confidential nature of client information as set forth in the Rules of this Chapter and the applicable State and federal laws.	"Readoption without substantive changes."
		(b) Public agency service providers shall abide by written policy promulgated by their cognizant state agency, if any. If written policy has not been issued, Paragraph (a) of this Rule shall apply. (c) The Department of Human Resources shall disseminate written policy and assure that all service providers from whom the county departments of social services authorize the provision of services to clients understand the confidential nature of client information.	(b) The county departments of social services shall provide written notification to private agencies and individual service providers of the confidential nature of client information as set forth in the rules of this Chapter and the applicable State and federal laws, when written notification has not been provided by the State Division of Social Services.	
.0604	Ownership of Records	(a) All client information contained in records of the service provider is the property of the service provider, and the service provider and employees of the service provider shall protect and preserve such information in accordance with the terms of their contract.	(a) All client information contained in records of the service provider is the property of the service provider, and the service provider and employees of the service provider shall protect and preserve such information in accordance with the terms of their contract.	"Readoption without substantive changes."
		(b) Any information furnished by the county department of social services shall be protected from re-disclosure.	(b) Any information furnished by the county department of social services shall be protected from re-disclosure.	
.0605	Liability of Service Providers	Failure to comply with the rules in Section .0600 of this Subchapter shall constitute a breach of contract and shall be grounds to terminate the contract.	Failure to comply with the rules in Section .0600 of this Subchapter shall constitute a breach of contract and shall be grounds to terminate the contract.	"Readoption without substantive changes."