

RECORD SCHEDULE FOR: Economic Services Division

This is an agency-specific record schedule that satisfies the requirements of 1 V.S.A. § 317a and, where mandated, 3 V.S.A. § 218. It is subject to annual certification and may be amended by mutual consent at any time. If not otherwise listed, all other agency records are addressed by general record schedules.

Public agencies are responsible for developing their own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. Records listed on the record schedule that need to be retained until OBSOLETE must be supported by an internal policy that clearly states a specific retention requirement that best meets the agency or department's administrative needs.

Transferring records to the State Records Center or State Archives requires a transfer agreement from the Vermont State Archives and Records Administration and additional documentation. See the ARCHIVES AND RECORDS MANAGEMENT HANDBOOK for related forms, definitions and additional procedures.

Steven Dale, Commissioner / Children and Families, Dept. for _____ *Date*

**SIGNATURES ON FILE.
APPROVED AND SIGNED BY
THE VERMONT STATE
ARCHIVIST ON: 5/6/2010**

Gregory Sanford, Vermont State Archivist _____ *Date*

1343.1022: Medical Assistance Client Files

Classification: Medical assistance (Coordinating)

Scope: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the determination of eligibility for, and the provision and coordination of medical assistance benefits.

Directive: Maintain applications, correspondence, notices, referrals, requests, registers, reports, worksheets, and decisions related to eligibility and benefits for 6 years from the end of the year in which they were created and then destroy.

Retain supporting material for 6 years after it no longer has value, and then destroy.

Retain authorizations and agreements for 6 years after they have expired or have been superseded. Then destroy.

Retain routine correspondence until it has no administrative value and then destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Agreements <i>ID: 1343.1022.5</i>	Use for all formal agreements made between beneficiaries and the department.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
Applications <i>ID: 1343.1022.8</i>	Use for applications for medical assistance benefits.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 6 Year(s) THEN: Destroy (Shred)
Authorizations <i>ID: 1343.1022.141</i>	Use for records that document formal authorizations, including releases, made by or on behalf of an applicant or recipient.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Superseded PLUS: 6 Year(s) THEN: Destroy (Shred)
Certificates <i>ID: 1343.1022.21</i>	Use for copies of identification cards issued to beneficiaries.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1343.1022.28</i>	Use for general correspondence of a routine nature.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1343.1022.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the provision or coordination of medical assistance benefits.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 6 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

Decisions <i>ID: 1343.1022.133</i>	Use for all decisions issued by the department related to the provision and coordination of medical assistance benefits. Includes eligibility decisions, denials, and waivers.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 6 Year(s) THEN: Destroy (Shred)
Notices, Legal <i>ID: 1343.1022.50</i>	Use for all notices and formal notifications issued or received by the department related to the provision and coordination of medical assistance benefits. Includes notice of changes in a client's status that may affect eligibility.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 6 Year(s) THEN: Destroy (Shred)
Registers <i>ID: 1343.1022.81</i>	Use for registers of applicants and recipients.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 6 Year(s) THEN: Destroy (Shred)
Requests <i>ID: 1343.1022.139</i>	Use for all formal requests, such as those for variances or waivers, made by or on behalf of a beneficiary.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 6 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1343.1022.36</i>	Use for all records and copies of records not specified elsewhere in this schedule that are collected or received by the department to support initial and continuing eligibility for medical assistance benefits, or that document benefits or services provided.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 6 Year(s) THEN: Destroy (Shred)
Worksheets <i>ID: 1343.1022.104</i>	Use for worksheets and checklists, including those used to calculate eligibility requirements.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 6 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

1374.1022: Financial Assistance Client Files

Classification: Financial assistance (Coordinating)

Scope: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the determination of eligibility for, and the provision and coordination of financial assistance to provide the necessities of life -- including food, clothing, shelter, fuel, and electricity -- when a need is found to exist.

Directive: Maintain case notes for the life of the individual and then destroy.

Maintain applications, correspondence, notices, referrals, requests, registers, reports, worksheets, and decisions related to eligibility and benefits for 3 years from the end of the year in which they were created and then destroy.

Retain supporting material for 3 years after it no longer has value, and then destroy.

Retain authorizations, agreements, and plans for 3 years after they are superseded or are no longer in effect. Then destroy.

Retain reference sources and routine correspondence until they have no administrative value and then destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Agreements <i>ID: 1374.1022.5</i>	Use for all formal agreements made between participants and the department.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Applications <i>ID: 1374.1022.8</i>	Use for all applications for financial assistance.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Authorizations <i>ID: 1374.1022.141</i>	Use for records that document formal authorizations, including releases, made by or on behalf of an applicant or recipient.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1374.1022.28</i>	Use for general correspondence related to the coordination or provision of financial assistance. Includes interagency correspondence and correspondence with the public of a routine nature.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1374.1022.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the provision or coordination of financial assistance.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

Decisions <i>ID: 1374.1022.133</i>	Use for all decisions related to the coordination and provision of financial assistance. Includes all eligibility decisions, deferments, and/or waivers.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Notes <i>ID: 1374.1022.60</i>	Use for all case notes and similar summaries that succinctly document all actions taken related to an applicant or beneficiary.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Life of Asset Ends PLUS: 0 Year(s) THEN: Destroy (Shred)
Notices, Legal <i>ID: 1374.1022.50</i>	Use for all notices and formal notifications issued or received by the department related to the provision and coordination of financial assistance. Includes notices of changes in a client's status that may affect eligibility.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Plans (reports) <i>ID: 1374.1022.69</i>	Use for all plans developed for individuals and families receiving financial assistance.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Destroy (Shred)
Reference sources <i>ID: 1374.1022.80</i>	Use for sources of information, such as publications, directories, and copies of other records, that are referenced as needed or provided to individuals as informational copies.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Referrals <i>ID: 1374.1022.153</i>	Use for formal referrals of individuals to other agencies or programs.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Registers <i>ID: 1374.1022.81</i>	Use for registers of program participants.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1374.1022.144</i>	Use for assessments, evaluations, and similar reports.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Requests <i>ID: 1374.1022.139</i>	Use for all formal requests, such as those for deferments or waivers, made by or on behalf of a client.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1374.1022.36</i>	Use for all records and copies of records not specified elsewhere in this schedule that are collected or received by the department to support initial and continuing eligibility for financial assistance, or that document assistance or services provided.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 3 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

Worksheets <i>ID: 1374.1022.104</i>	Use for all worksheets, checklists, and similar records used to determine eligibility or calculate financial assistance benefits.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
--	---	----------------------------------	--

1374.1100: Financial Assistance Complaint Files

Classification: Financial assistance (Investigating)

Scope: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the investigation of complaints related to financial assistance programs.

Directive: Maintain complaint records for 3 years from the date of resolution and then destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Complaints <i>ID: 1374.1100.24</i>	Use for complaints received related to financial assistance programs.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1374.1100.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to complaints involving financial assistance.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Decisions <i>ID: 1374.1100.133</i>	Use for records that document decisions related to the resolution of complaints.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1374.1100.144</i>	Use for reports and similar records documenting the findings at the conclusion of a complaint investigation.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1374.1100.36</i>	Use for supplemental records collected or received during the course of a complaint investigation.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

1374.1102: Financial Assistance Policy and Planning Records

Classification: Financial assistance (Administering)

Scope: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the development and administration of policy related to state- and federally-funded financial assistance programs designed to provide the necessities of life -- including food, clothing, shelter, fuel, and electricity -- when a need is found to exist. Does not include rulemaking pursuant to the Administrative Procedure Act.

Directive: Maintain for 3 years from their creation all plans, policies, reports, minutes, substantive correspondence, studies, and similar records that document the development and implementation of public assistance policy in the state. Transfer to archives.

Retain calendars, legal notices, and agendas for 1 year, and destroy. Retain drafts, routine correspondence, and reference materials until they no longer have administrative value and destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Agendas <i>ID: 1374.1102.4</i>	Use for meeting agenda. Minutes must accurately reflect agenda otherwise agenda should follow the retention for minutes.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
Agreements <i>ID: 1374.1102.5</i>	Use for formal agreements, such as interagency agreements and memoranda of understanding, concerning financial assistance policy and programs.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Archives
Calendars <i>ID: 1374.1102.19</i>	Use for schedules of meetings and related events.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
Correspondence (Routine) <i>ID: 1374.1102.28</i>	Use for general correspondence. Includes general internal and interagency correspondence and correspondence with the public on routine matters.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1374.1102.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to financial assistance policies and programs. Includes correspondence with the governor and Federal agencies.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

Drafts <i>ID: 1374.1102.37</i>	Use for all preliminary or tentative versions of documents that were never put into practice or applied by the agency. If applied, schedule according to the draft's purported record type.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Minutes <i>ID: 1374.1102.59</i>	Use for records of what was said and done at public meetings, and/or for minutes documenting policy development. Includes supporting materials.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Archives
Notices, Legal <i>ID: 1374.1102.50</i>	Use for official written statements, notices, or announcements that are required by law.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
Plans (reports) <i>ID: 1374.1102.69</i>	Use for State plans and amendments; strategic plans; and similar planning documents related to the administration of financial assistance programs.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives
Policies <i>ID: 1374.1102.70</i>	Use for policies, standards, and guidelines related to financial assistance programs. Does not include rules adopted under the Administrative Procedure Act.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives
Press releases <i>ID: 1374.1102.72</i>	Use for official agency statements distributed to the press that relate to financial assistance programs or policies.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
Procedures <i>ID: 1374.1102.73</i>	Use for sets of substantive instructions or procedures that govern the administration of financial assistance programs. Does not include rules adopted pursuant to the Administrative Procedure Act.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives
Reference sources <i>ID: 1374.1102.80</i>	Use for sources of information, such as subject files, publications, and copies of other records, that are referenced as needed.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Reports <i>ID: 1374.1102.144</i>	Use for annual reports and similar reports documenting activities and accomplishments related to financial assistance programs and policies.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Archives
Statistics <i>ID: 1374.1102.90</i>	Use for both qualitative and quantitative statistics; data reports; and similar compilations that inform policy development.	Conditional Archival Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Confirm

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

Studies	Use for studies conducted by or for the department concerning financial assistance programs or policies.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives
---------	--	------------------------------------	---

1374.1105: Financial Assistance Quality Control Files

Classification: Financial assistance (Reviewing)

Scope: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the periodic review and assessment of financial assistance programs.

Directive: Retain quality control records for 3 years from the date of creation and then destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Correspondence (Routine) <i>ID: 1374.1105.28</i>	Use for general correspondence related to the review of financial assistance programs.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1374.1105.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the review of financial assistance programs.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Notes <i>ID: 1374.1105.60</i>	Use for case notes and interview notes made in relation to the review of financial assistance programs.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Plans (reports) <i>ID: 1374.1105.69</i>	Use for review plans and schedules.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Questionnaires <i>ID: 1374.1105.76</i>	Use for questionnaires, surveys, and similar records completed and submitted by program participants.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1374.1105.144</i>	Use for reports that document the findings of a review.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1374.1105.36</i>	Use for supplemental records collected or received during the review process.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Worksheets <i>ID: 1374.1105.104</i>	Use for all worksheets and forms used by the department to collect information during reviews.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

1388.1075: Financial Assistance Fraud: Penalties and Disqualifications

- Classification:** Financial assistance fraud (Disciplining)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the imposition of penalties, including disqualification, as a result of public assistance fraud.
- Directive:** Retain records that substantiate and document the imposition of penalties and disqualifications for fraud for the life of the individual involved. Then destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Agreements <i>ID: 1388.1075.5</i>	Use for waivers of hearings and disqualification consent agreements.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Life of Asset Ends PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1388.1075.28</i>	Use for general correspondence transmitted or received by the agency. Includes interagency correspondence and correspondence with the public of a routine nature.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1388.1075.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the imposition of penalties, including disqualification.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Life of Asset Ends PLUS: 0 Year(s) THEN: Destroy (Shred)
Decisions <i>ID: 1388.1075.133</i>	Use for all decisions and orders to impose penalties, including disqualification, for public assistance fraud.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Life of Asset Ends PLUS: 0 Year(s) THEN: Destroy (Shred)
Evidence <i>ID: 1388.1075.136</i>	Use for substantive documentation that supports the decision to impose penalties, including disqualification. Includes investigation records.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Life of Asset Ends PLUS: 0 Year(s) THEN: Destroy (Shred)
Notices, Legal <i>ID: 1388.1075.50</i>	Use for all legal notices related to penalties, including disqualifications.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Life of Asset Ends PLUS: 0 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1388.1075.144</i>	Use for reports submitted to FNS related to individuals penalized or disqualified.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Life of Asset Ends PLUS: 0 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

1388.1100: Financial Assistance Fraud Investigations

Classification: Financial assistance fraud (Investigating)

Scope: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the investigation of allegations of financial assistance fraud.

Directive: For investigations that require no further action be taken, retain records for 3 years after the conclusion of the investigation and then destroy.

For investigations that substantiate fraud, schedule investigative records as "Evidence" according to Schedule 1388.1075 "Financial Assistance Fraud: Penalties and Disqualifications."

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Complaints <i>ID: 1388.1100.24</i>	Use for complaints and referrals related to fraud allegations.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1388.1100.28</i>	Use for general correspondence transmitted or received by the agency. Includes interagency correspondence and correspondence with the public of a routine nature.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1388.1100.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the investigation of fraud.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1388.1100.144</i>	Use for reports and similar records which document the findings of a fraud investigation.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1388.1100.36</i>	Use for records collected and received during an investigation which support decisions and conclusions.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

1390.1130: Financial Assistance Recoveries

- Classification:** Financial assistance overpayment (Remediating)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the recoupment of financial assistance overpayments.
- Directive:** For collection activities that are completed, retain records for 3 years after case closure and then destroy.

For unsuccessful recoveries, retain records for 10 years from the date collection is initiated and then destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Agreements <i>ID: 1390.1130.5</i>	Use for payment plans and similar agreements.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Certificates <i>ID: 1390.1130.21</i>	Use for certifications that the debt owed is past-due and legally enforceable.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Claims <i>ID: 1390.1130.170</i>	Use for referrals of a debt for collection or offset. Includes claim forms, the results of data matches, and any significant supporting material that substantiate the debt.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1390.1130.28</i>	Use for general correspondence.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1390.1130.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the recovery of overpayments. Includes requests and responses to requests for administrative reviews.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Notices, Legal <i>ID: 1390.1130.50</i>	Use for all legal notices related to the recovery of overpayments.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1390.1130.36</i>	Use for supplemental records documenting recovery activities, including copies of receipts and other financial records.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division.

1391.1088: Fuel Assistance Provider Records

- Classification:** Home heating fuel assistance suppliers (Supervising)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the general oversight and supervision of suppliers providing fuel to beneficiaries enrolled in the home heating fuel assistance program.
- Directive:** Retain records for 3 years after the end of the year in which they were created. Destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Agreements <i>ID: 1391.1088.5</i>	Use for certification agreements.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1391.1088.28</i>	Use for general correspondence.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1391.1088.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to fuel suppliers.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1391.1088.144</i>	Use for all reports and similar statements provided by suppliers to the office which document program activities.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)

See attached APPENDIX for legal references.

LEGAL RESOURCES

APPENDIX TO THE RECORD SCHEDULE FOR: Economic Services Division

1343.1022: Medical Assistance Client Files

> 13 170 CVR 200 (Department for Children and Families All Programs)	<i>Review for Exemption:</i> Yes
> 13 170 CVR 410 (Department for Children and Families Medicaid Program)	<i>Review for Exemption:</i> No
> 13 170 CVR 420 (Department for Children and Families Medicaid, Aged, Blind, and Disabled)	<i>Review for Exemption:</i> No
> 13 170 CVR 430 (Department for Children and Families Medicaid, Families and Children)	<i>Review for Exemption:</i> No
> 13 170 CVR 440 (Department for Children and Families Spend-down, Patient Share, and Resource Transfer)	<i>Review for Exemption:</i> No
> 13 170 CVR 510 (Department for Children and Families Refugee Medical Assistance)	<i>Review for Exemption:</i> No
> 13 170 CVR 520 (Department for Children and Families Dr. Dynasaur)	<i>Review for Exemption:</i> No
> 13 170 CVR 530 (Department for Children and Families Vermont Health Access Plan)	<i>Review for Exemption:</i> No
> 13 170 CVR 540 (Department for Children and Families VPHARM)	<i>Review for Exemption:</i> No
> 13 170 CVR 550 (Department for Children and Families VHAP - Pharmacy)	<i>Review for Exemption:</i> No
> 13 170 CVR 560 (Department for Children and Families VSCRIPT)	<i>Review for Exemption:</i> No
> 13 170 CVR 570 (Department for Children and Families Healthy Vermonters)	<i>Review for Exemption:</i> No
> 13 170 CVR 580 (Department for Children and Families HIV/AIDS)	<i>Review for Exemption:</i> No
> 13 170 CVR 590 (Department for Children and Families Premium Assistance)	<i>Review for Exemption:</i> No
> 18 V.S.A. § 202 (Clinical care of cancer patients; state aid)	<i>Review for Exemption:</i> Yes
> 33 V.S.A. § 111 ([Social welfare] records, restrictions, penalties)	<i>Review for Exemption:</i> Yes
> 33 V.S.A. § 1908 (Medicaid; payer of last resort; release of information)	<i>Review for Exemption:</i> No
> 33 V.S.A. § 1974 (Employer-sponsored insurance; premium assistance)	<i>Review for Exemption:</i> No
> 33 V.S.A. § 1985 (Administration [of Catamount Health])	<i>Review for Exemption:</i> No

> 42 CFR 431.17 (Maintenance of [Medicaid] records)	<i>Review for Exemption:</i> No
> 42 CFR 431.304 (Publicizing safeguarding requirements)	<i>Review for Exemption:</i> No
> 42 CFR 431.305 (Types of information to be safeguarded)	<i>Review for Exemption:</i> Yes
> 42 CFR 435.907 (Written [Medicaid] application)	<i>Review for Exemption:</i> No
> 42 CFR 435.912 (Notice of agency's decision concerning eligibility)	<i>Review for Exemption:</i> No
> 42 CFR 435.913 ([Medicaid] Case documentation)	<i>Review for Exemption:</i> No
> 42 CFR 435.916 (Periodic redeterminations of Medicaid eligibility)	<i>Review for Exemption:</i> No
> 42 CFR 435.919 (Timely and adequate notice concerning adverse actions [related to Medicaid eligibility])	<i>Review for Exemption:</i> No
> 42 CFR 435.960 (Standardized formats for furnishing and obtaining information to verifying income and eligibility)	<i>Review for Exemption:</i> No
> 45 CFR 164.508 (Uses and disclosures for which an authorization is required [under HIPAA Privacy Rule])	<i>Review for Exemption:</i> Yes
> 45 CFR 164.520 (Notice of privacy practices for protected health information)	<i>Review for Exemption:</i> Yes
> 45 CFR 164.524 (Access of individuals to protected health information)	<i>Review for Exemption:</i> Yes
> 45 CFR 164.530 (Administrative requirements [under the HIPAA Privacy Rule])	<i>Review for Exemption:</i> Yes
> 45 CFR 400.93 (Opportunity [for refugees] to apply for medical assistance)	<i>Review for Exemption:</i> No

1374.1022: Financial Assistance Client Files

> 13 170 CVR 005 (Department for Children and Families Food Stamp Program)	<i>Review for Exemption:</i> No
> 13 170 CVR 200 (Department for Children and Families All Programs)	<i>Review for Exemption:</i> Yes
> 13 170 CVR 210 (Department for Children and Families Reach First Program)	<i>Review for Exemption:</i> No
> 13 170 CVR 220 (Department for Children and Families Reach Up)	<i>Review for Exemption:</i> No
> 13 170 CVR 230 (Department for Children and Families Reach Up Services)	<i>Review for Exemption:</i> No
> 13 170 CVR 240 (Department for Children and Families Postsecondary Education)	<i>Review for Exemption:</i> No
> 13 170 CVR 250 (Department for Children and Families Reach Ahead)	<i>Review for Exemption:</i> No
> 13 170 CVR 260 (Department for Children and Families General Assistance)	<i>Review for Exemption:</i> No

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division. Agencies are responsible for reviewing their legal requirements on an annual basis.

- > 13 170 CVR 270 (Department for Children and Families Aid to the Aged, Blind, or Disabled) *Review for Exemption:* No
- > 13 170 CVR 280 (Department for Children and Families Emergency Assistance) *Review for Exemption:* No
- > 13 170 CVR 290 (Department for Children and Families Fuel [Assistance]) *Review for Exemption:* No
- > 13 170 CVR 300 (Department for Children and Families Refugee Cash Assistance) *Review for Exemption:* No
- > 33 V.S.A. § 1003 (Eligibility [for Reach First]) *Review for Exemption:* No
- > 33 V.S.A. § 1004 (Reach first payment) *Review for Exemption:* No
- > 33 V.S.A. § 1006 (Case management; family development plans; coordinated services) *Review for Exemption:* No
- > 33 V.S.A. § 1011 (Transition to other programs) *Review for Exemption:* No
- > 33 V.S.A. § 1103 (Eligibility and benefit levels [for Reach Up]) *Review for Exemption:* No
- > 33 V.S.A. § 1104 (Abandonment or desertion; reporting) *Review for Exemption:* No
- > 33 V.S.A. § 1106 (Required services to participating [Reach Up] families) *Review for Exemption:* No
- > 33 V.S.A. § 1107 (Case management; family development plans; coordinated services) *Review for Exemption:* No
- > 33 V.S.A. § 111 ([Social welfare] records, restrictions, penalties) *Review for Exemption:* Yes
- > 33 V.S.A. § 1113 (Work requirements [for Reach Up]) *Review for Exemption:* No
- > 33 V.S.A. § 1116 ([Reach Up] Sanctions) *Review for Exemption:* No
- > 33 V.S.A. § 112 (Banks and agencies to furnish information) *Review for Exemption:* No
- > 33 V.S.A. § 1122 (Postsecondary education program) *Review for Exemption:* No
- > 33 V.S.A. § 1133 (Transition to other programs) *Review for Exemption:* No
- > 33 V.S.A. § 1205 (Required services to participating families [in Reach Up]) *Review for Exemption:* No
- > 33 V.S.A. § 1206 (Case management; family development plans; coordinated services) *Review for Exemption:* No
- > 33 V.S.A. § 1211 (Recertification [for Reach Ahead]) *Review for Exemption:* No
- > 33 V.S.A. § 1212 (Transition to other programs) *Review for Exemption:* No
- > 33 V.S.A. § 122 (Recovery of payments) *Review for Exemption:* No
- > 33 V.S.A. § 1306 (Application and investigation) *Review for Exemption:* No

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division. Agencies are responsible for reviewing their legal requirements on an annual basis.

- > 33 V.S.A. § 2102 (Town service officer, appointment, duties, compensation) *Review for Exemption:* No
- > 33 V.S.A. § 2103 (Eligibility [for general assistance]) *Review for Exemption:* No
- > 33 V.S.A. § 2104 ([General assistance] Application or information) *Review for Exemption:* No
- > 33 V.S.A. § 2105 (Action on application or information) *Review for Exemption:* No
- > 33 V.S.A. § 2108 (Residential weatherization for fuel assistance recipients) *Review for Exemption:* No
- > 33 V.S.A. § 2109 (Relief by private persons and hospitals) *Review for Exemption:* No
- > 33 V.S.A. § 2111 (Death [of transient]) *Review for Exemption:* No
- > 33 V.S.A. § 2606 (Application period; assistance) *Review for Exemption:* No
- > 45 CFR 205.55 (Requirements for requesting and furnishing eligibility and income information) *Review for Exemption:* No
- > 45 CFR 205.56 (Requirements governing the use of income and eligibility information) *Review for Exemption:* No
- > 45 CFR 205.57 (Maintenance of a machine readable file; requests for income and eligibility information) *Review for Exemption:* No
- > 45 CFR 205.60 (Reports and maintenance of records) *Review for Exemption:* No
- > 45 CFR 206.10 (Application, determination of eligibility and furnishing of assistance) *Review for Exemption:* No
- > 45 CFR 235.70 (Prompt notice to child support or Medicaid agency) *Review for Exemption:* No
- > 45 CFR 261.11 (Which recipients must have an assessment under TANF?) *Review for Exemption:* No
- > 45 CFR 261.12 (What is an individual responsibility plan?) *Review for Exemption:* No
- > 45 CFR 261.61 (How must a State document a work-eligible individual's hours of participation?) *Review for Exemption:* No
- > 45 CFR 262.3 (How will we determine if a State is subject to a penalty?) *Review for Exemption:* No
- > 45 CFR 264.30 (What procedures exist to ensure cooperation with the child support enforcement requirements?) *Review for Exemption:* No
- > 47 CFR 54.410 (Certification and Verification of Consumer Qualification for Lifeline) *Review for Exemption:* No
- > 47 CFR 54.416 (Certification of consumer Qualification for Link Up) *Review for Exemption:* No
- > 7 CFR 274.3 (Issuance systems) *Review for Exemption:* No

1374.1100: Financial Assistance Complaint Files

- > 33 V.S.A. § 111 ([Social welfare] records, restrictions, penalties) *Review for Exemption:* Yes
- > 7 CFR 271.6 (Complaint procedure [related to Food Stamp program]) *Review for Exemption:* No
- > 7 CFR 272.1 (General terms and conditions [related to Food Stamp Program].) *Review for Exemption:* No

1374.1102: Financial Assistance Policy and Planning Records

- > 13 170 CVR 005 (Department for Children and Families Food Stamp Program) *Review for Exemption:* No
- > 33 V.S.A. § 104 (Function and powers of department [of prevention, assistance, transition]) *Review for Exemption:* No
- > 33 V.S.A. § 105 (Commissioner; appointment, term, duties and powers [of the Economic Services Division]) *Review for Exemption:* Yes
- > 33 V.S.A. § 111 ([Social welfare] records, restrictions, penalties) *Review for Exemption:* Yes
- > 33 V.S.A. § 1134 (Program evaluation) *Review for Exemption:* No
- > 33 V.S.A. § 1308 (Regulations [related to aid to the aged, blind, and disabled]) *Review for Exemption:* No
- > 42 U.S.C. § 8624 (Applications and requirements [for LIHEAP]) *Review for Exemption:* No
- > 42 U.S.C. § 8626a (Incentive program for leveraging non-Federal resources [related to LIHEAP]) *Review for Exemption:* No
- > 45 CFR 201.2 (General [state plan for public assistance programs]) *Review for Exemption:* No
- > 45 CFR 201.3 (Approval of State plans and amendments) *Review for Exemption:* No
- > 45 CFR 204.1 (Submittal of State [public assistance] plans for Governor's review) *Review for Exemption:* No
- > 45 CFR 205.170 (State standards for office space, equipment, and facilities) *Review for Exemption:* No
- > 45 CFR 205.5 ([State public assistance] Plan amendments) *Review for Exemption:* No
- > 45 CFR 205.58 (Income and eligibility information; specific agreements required between the State agency and the agency supplying the information) *Review for Exemption:* No
- > 45 CFR 205.60 (Reports and maintenance of records) *Review for Exemption:* No
- > 45 CFR 205.70 (Availability of agency program manuals) *Review for Exemption:* No
- > 45 CFR 206.10 (Application, determination of eligibility and furnishing of assistance) *Review for Exemption:* No
- > 45 CFR 235.110 (Fraud [prevention in public assistance program]) *Review for Exemption:* No

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division. Agencies are responsible for reviewing their legal requirements on an annual basis.

- > 45 CFR 237.50 (Recipient count, Federal financial participation) *Review for Exemption:* No
- > 45 CFR 261.41 (How will we determine the caseload reduction credit?) *Review for Exemption:* No
- > 45 CFR 261.62 (What must a State do to verify the accuracy of its work participation information?) *Review for Exemption:* No
- > 45 CFR 261.64 (How will we determine whether a State's work verification procedures ensure an accurate work participation measurement?) *Review for Exemption:* No
- > 45 CFR 265.3 (What reports must the State file on a quarterly basis?) *Review for Exemption:* No
- > 45 CFR 265.6 (Must States file reports electronically?) *Review for Exemption:* No
- > 45 CFR 284.30 (What information must the State include in its assessment of the impact of the TANF program(s) in the State on the increase in child poverty?) *Review for Exemption:* No
- > 7 CFR 272.2 (Plan of operation [for Food Stamp program]) *Review for Exemption:* No
- > 7 CFR 272.3 (Operating guidelines and forms [for Food Stamp program]) *Review for Exemption:* No
- > 7 CFR 275.17 (State corrective action plan) *Review for Exemption:* No
- > 7 CFR 275.19 (Monitoring and evaluation [of corrective action plans]) *Review for Exemption:* No
- > 7 CFR 275.9 ([Management] Review process) *Review for Exemption:* No

1374.1105: Financial Assistance Quality Control Files

- > 33 V.S.A. § 111 ([Social welfare] records, restrictions, penalties) *Review for Exemption:* Yes
- > 45 CFR 205.120 (Statewide operation) *Review for Exemption:* No
- > 7 CFR 275.11 (Sampling [related to quality control reviews]) *Review for Exemption:* No
- > 7 CFR 275.12 ([Quality control] Review of active cases) *Review for Exemption:* No
- > 7 CFR 275.13 ([Quality control] Review of negative cases) *Review for Exemption:* No
- > 7 CFR 275.14 ([Quality control] Review processing) *Review for Exemption:* No
- > 7 CFR 275.19 (Monitoring and evaluation [of corrective action plans]) *Review for Exemption:* No
- > 7 CFR 275.20 (ME review schedules) *Review for Exemption:* No
- > 7 CFR 275.21 (Quality control review reports) *Review for Exemption:* No
- > 7 CFR 275.4 (Record retention [related to Food Stamp performance reporting]) *Review for Exemption:* No
- > 7 CFR 275.8 ([Management] Review coverage) *Review for Exemption:* No
- > 7 CFR 275.9 ([Management] Review process) *Review for Exemption:* No

This record schedule was approved on 5/6/2010 and is applicable to records created and received by the Economic Services Division. Agencies are responsible for reviewing their legal requirements on an annual basis.

1388.1075: Financial Assistance Fraud: Penalties and Disqualifications

- > 33 V.S.A. § 111 ([Social welfare] records, restrictions, penalties) *Review for Exemption: Yes*
- > 33 V.S.A. § 121 (Cancellation of assistance or benefits) *Review for Exemption: No*
- > 7 CFR 273.16 (Disqualification for intentional [Food Stamp] Program violation) *Review for Exemption: No*

1388.1100: Financial Assistance Fraud Investigations

- > 33 V.S.A. § 111 ([Social welfare] records, restrictions, penalties) *Review for Exemption: Yes*

1390.1130: Financial Assistance Recoveries

- > 31 CFR 285.1 (Collection of past-due support by administrative offset) *Review for Exemption: No*
- > 33 V.S.A. § 111 ([Social welfare] records, restrictions, penalties) *Review for Exemption: Yes*

1391.1088: Fuel Assistance Provider Records

- > 13 170 CVR 290 (Department for Children and Families Fuel [Assistance]) *Review for Exemption: No*
- > 33 V.S.A. § 2607 (Payments to fuel suppliers) *Review for Exemption: No*