

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**Issued to: Children and Families, Dept. for**

**Published: 10/1/2021**



Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

**AGENCY SPECIFIC RECORD SCHEDULE FOR: Children and Families, Dept. for**

- Authority:** A custodian of public records shall not destroy, give away, sell, discard, or damage any record or records in his or her charge, unless specifically authorized by law or under a record schedule, as defined in 3 V.S.A. § 117(a)(6), that has been approved by the State Archivist. (1 V.S.A. § 317a)
- Scope:** This agency specific record schedule is applicable only to the records listed on this record schedule that are produced or acquired during the course of agency business. Records are any written or recorded information, regardless of physical form or characteristics, and includes electronic or digital records and data. (1 V.S.A. § 317)
- Use:** This is an agency specific record schedule (SRS). The agency (Children and Families, Dept. for) may develop its own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. For records required to be retained until OBSOLETE, an internal policy that clearly states specific retention requirements that best meet the agency's administrative needs is highly advised. Specific Record Schedule (SRS) numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a.
- Exemptions:** It is the policy of Title 1, Chapter 5, Subchapter 3 of Vermont Statutes Annotated to provide for free and open examination of records consistent with Chapter 1, Article 6 of the Vermont Constitution. All people, however, have a right to privacy in their personal and economic pursuits, which ought to be protected unless specific information is needed to review the action of a governmental officer. Some records listed on this record schedule may be exempt from public inspection and copying for this reason. Security measures to protect records and information from unauthorized access, use, and disclosure are necessary if the records are exempt pursuant to 1 V.S.A. §§ 315-320. Please see Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.
- Retention:** This agency specific record schedule reflects the retention and disposition requirements for the following records regardless of their media, format, or mode of transmission. Duplicate records within the same agency that are used for specific legal, fiscal, or administrative purposes may be either retained using the retention requirement listed in this schedule or in accordance to an internal policy. Any copies of records made only for convenience of reference or informational purposes may be discarded when no longer needed unless otherwise directed through an internal policy. Duplicates or copies of records shall not be retained longer than the original records.

**Adopted by:** Signature on file. Adopted by Commissioner Sean Brown on 10/1/2021.

*Sean Brown, Department Commissioner / Children and Families, Dept. for*

*Date*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1960.1022: Child Care Financial Assistance Program Family Case Files**

*SRS-1960.1022: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the coordination of child care financial assistance for eligible families.*

**Classification:** Child care financial assistance (Coordinating)

**Retention:** Retain all records listed on this schedule, with the exception of registers, until the coordination of child care financial assistance is completed/closed, plus five (5) years, then destroy.

Registers, databases, systems, and similar records that provide for the systematic and regular recording of information related to coordination child care financial assistance shall be retained until the register is superseded, plus five (5) years, then destroyed.

Transitory records created or received as a part of the coordination of child care financial assistance may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records).

**Public Access:** Redact

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1960.1022 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1960.1022.8</b> <b>Applications</b> Public Access: <i>Redact</i>	Use for applications submitted by families to receive child care financial assistance. Includes significant supporting material.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)
<b>SRS-1960.1022.141</b> <b>Authorizations</b> Public Access: <i>Redact</i>	Use for authorizations granted to eligible families that affect eligibility requirements related to child care financial assistance. Includes income eligibility waivers.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)
<b>SRS-1960.1022.133</b> <b>Decisions</b> Public Access: <i>Redact</i>	Use for decisions related to eligibility determination. Includes child care certificates, appeal letters and significant supporting material.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)

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<p><b>SRS-1960.1022.50</b>  <b>Notices, Legal</b>          Public Access: <i>Redact</i></p>	<p>Use for official, written statements, notices, or announcements related to the coordination of child care financial assistance that are required by law.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed          PLUS: 5 Year(s)          THEN: Destroy (Shred)</p>
<p><b>SRS-1960.1022.81</b>  <b>Registers</b>          Public Access: <i>Redact</i></p>	<p>Use for registers, databases, systems, and similar records that provide for the systematic and regular recording of information related to the coordination of child care financial assistance.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded          PLUS: 5 Year(s)          THEN: Destroy (Shred)</p>
<p><b>SRS-1960.1022.144</b>  <b>Reports</b>          Public Access: <i>Redact</i></p>	<p>Use for reports related to the coordination of child care financial assistance.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed          PLUS: 5 Year(s)          THEN: Destroy (Shred)</p>
<p><b>SRS-1960.1022.36</b>  <b>Supporting material</b>          Public Access: <i>Redact</i></p>	<p>Use for records created or received to support, supplement, or complement the coordination of child care financial assistance. Includes case plans related to families receiving or eligible to receive child care financial assistance and records documenting status changes within a family.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed          PLUS: 5 Year(s)          THEN: Destroy (Shred)</p>

**SRS-1960.1022 was approved by the Vermont State Archivist on 9/27/2021.**

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1960.1180: Child Care Financial Assistance Program Provider Files**

*SRS-1960.1180: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the disbursement of child care financial assistance funding to child care providers offering services to families receiving child care financial assistance.*

**Classification:** Child care financial assistance (Disbursing)

**Retention:** Retain all records listed on this schedule, with the exception of agreements, authorizations and registers, until the disbursement of child care financial assistance funding is completed/closed, plus five (5) years, then destroy.

Retain agreements and authorizations until expired, plus five (5) years, then destroy.

Registers, databases, systems, and similar records that provide for the systematic and regular recording of information related to the disbursement of child care financial assistance funding shall be retained until the register is superseded, plus five (5) years, then destroyed.

Transitory records created or received as a part of the disbursement of child care financial assistance funding may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records).

**Public Access:** Redact

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1960.1180 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1960.1180.5</b> <b>Agreements</b> Public Access: <i>Redact</i>	Use for child care provider rate agreements related to child care financial assistance funding.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 5 Year(s) THEN: Destroy (Shred)
<b>SRS-1960.1180.8</b> <b>Applications</b> Public Access: <i>Redact</i>	Use for applications to become an approved relative child care provider. Includes significant supporting material. For denials, use Decisions.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)
<b>SRS-1960.1180.141</b> <b>Authorizations</b> Public Access: <i>Redact</i>	Use for authorizations granted to child care providers related to the disbursement of child care financial assistance funding.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 5 Year(s) THEN: Destroy (Shred)

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<b>SRS-1960.1180.170</b>	Use for claims submitted by child care providers for financial reimbursement for services offered to families receiving child care financial assistance.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)
<b>Claims</b>			
Public Access: <i>Redact</i>			
<b>SRS-1960.1180.133</b>	Use for decisions related to the the disbursement of child care financial assistance funding to child care providers. Includes significant supporting material.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)
<b>Decisions</b>			
Public Access: <i>Redact</i>			
<b>SRS-1960.1180.50</b>	Use for official, written statements, notices, or announcements related to the disbursement of child care financial assistance funding that are required by law.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)
<b>Notices, Legal</b>			
Public Access: <i>Redact</i>			
<b>SRS-1960.1180.81</b>	Use for registers, databases, systems, and similar records that provide for the systematic and regular recording of information related to the disbursement child care financial assistance funding to child care providers.	Temporary (Legal)	RETAIN UNTIL: Superseded PLUS: 5 Year(s) THEN: Destroy (Shred)
<b>Registers</b>			
Public Access: <i>Redact</i>			
<b>SRS-1960.1180.144</b>	Use for reports from child care providers documenting services offered to families receiving child care financial assistance.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)
<b>Reports</b>			
Public Access: <i>Redact</i>			

**SRS-1960.1180 was approved by the Vermont State Archivist on 9/27/2021.**

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1748.1059: Child Care Program Licensing Records**

*SRS-1748.1059: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the licensing, certifying or registering of individuals and/or organizations to provide child care.*

**Classification:** Child care providers (Licensing)

**Retention:** Retain all records, with the exception of authorizations, legal notices, and registers, until completed/closed, plus six (6) years, then destroy. Records are considered completed/closed when the child care provider license has expired without renewal or has been revoked.

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of licensing child care providers may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records).

**Public Access:** Redact

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1748.1059 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1748.1059.8</b> <b>Applications</b> Public Access: <i>Redact</i>	Use for applications submitted by a child care provider for a license, temporary license, license amendment, or a license reinstatement. Includes governing body documents and significant supporting materials.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1748.1059.141</b> <b>Authorizations</b> Public Access: <i>Redact</i>	Use for written permissions from an authoritative body related to licensing child care providers. Includes permits and other similar authorizations.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1748.1059.133</b> <b>Decisions</b> Public Access: <i>Redact</i>	Use for recorded evidence of the licensing agency's final decision to grant or deny a license to a child care provider. Includes certificates and significant supporting materials such as requests for variances.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1748.1059.50</b> <b>Notices, Legal</b> Public Access: <i>General</i>	Use for formal announcements, notifications, or warnings that are required by law. Includes provisional notice, notice of suspension, and other similar notices.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)

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<p><b>SRS-1748.1059.81</b>  <b>Registers</b>  Public Access: <i>Redact</i></p>	<p>Use for registers, databases, systems, and similar records that provide for the systematic and regular recording of actions related to licensing child care providers.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded  PLUS: 0 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1748.1059.144</b>  <b>Reports</b>  Public Access: <i>Redact</i></p>	<p>Use for reports created or received by the licensing agency related to licensed child care providers.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1748.1059.36</b>  <b>Supporting material</b>  Public Access: <i>Redact</i></p>	<p>Use for material created or received to support, supplement, or complement another record in regards to licensed child care providers. Includes non-substantiated complaints, correspondence, case notes, photographs, facility documentation, and requests for information or removal from the licensing portal. Use "Registers" for the official registers, lists, logs, and related records where licensing decisions are recorded.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>

**SRS-1748.1059 was approved by the Vermont State Archivist on 6/16/2021.**

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1486.1103: Residential Records of Delinquent Children**

*SRS-1486.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, managing delinquent children in the custody of the State.*

**Classification:** Delinquent children (Managing)

**Retention:** Retain all records, with the exception of agreements, legal notices, and registers, until completed/closed, plus six (6) years, then destroy by shredding unless the case (or cases) concerning the delinquent child is considered major or significant. A case is considered completed/closed when the delinquent child has reached the age of majority and the time period to commence a civil action under 12 V.S.A. § 511 has passed.

For major or significant cases, contact the Vermont State Archives and Records Administration (VSARA) for further appraisal; records must meet the criteria of major or significant in "Vermont Archival Records" to be identified as permanent (archival).

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of managing delinquent children may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records).

**Public Access:** Exempt

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1486.1103 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1486.1103.5</b> <b>Agreements</b> Public Access: <i>Exempt</i>	Use for written arrangements between parties regarding a course of action related to managing delinquent children.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1486.1103.24</b> <b>Complaints</b> Public Access: <i>Exempt</i>	Use for written expressions of dissatisfaction and grievances made by or on behalf of a delinquent child.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1486.1103.145</b> <b>Logs</b> Public Access: <i>Exempt</i>	Use for records documenting activities related to managing a delinquent child, often for internal control purposes. Includes medical history logs, daily activity logs, observation logs and other similar logs.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)



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<p><b>SRS-1486.1103.50</b>  <b>Notices, Legal</b>  Public Access: <i>Exempt</i></p>	<p>Use for notifications or warnings that are required by law. Includes notices to parents regarding custodialship.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired  PLUS: 1 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1486.1103.63</b>  <b>Orders</b>  Public Access: <i>Exempt</i></p>	<p>Use for commands delivered by a court or other adjudicative body related to managing delinquent children. Includes custody order, transfer of custody, placement orders and temporary care orders.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1486.1103.69</b>  <b>Plans (reports)</b>  Public Access: <i>Exempt</i></p>	<p>Use for reports describing a tentative course of action related to managing delinquent children. Includes case plans.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1486.1103.81</b>  <b>Registers</b>  Public Access: <i>Exempt</i></p>	<p>Use for registers, databases, systems, and similar records that provide for the systematic and regular recording of actions related to managing delinquent children.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded  PLUS: 6 Year(s)  THEN: Archives</p>
<p><b>SRS-1486.1103.144</b>  <b>Reports</b>  Public Access: <i>Exempt</i></p>	<p>Use for all assessments and reports associated with managing delinquent children. Includes recommendation reports, incident reports and other similar reports which may contain supporting materials. For reports that have significant administrative value, retain permanently and use the retention requirement for Reports in SRS-1290.1102 (Administrative Policy Records).</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1486.1103.139</b>  <b>Requests</b>  Public Access: <i>Exempt</i></p>	<p>Use for all written requests. Includes transfer of custody requests, youthful offender requests, and other similar requests.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1486.1103.36</b>  <b>Supporting material</b>  Public Access: <i>Exempt</i></p>	<p>Use for material created or received to support, supplement, or complement another record. Includes delinquency hearing procedure, affidavits, juvenile probation certificates, and other similar materials.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>

**SRS-1486.1103 was approved by the Vermont State Archivist on 12/1/2020.**

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## Appendix A: Appraisal Values

*An appraisal value establishes the usefulness or importance of a record after its original purpose has passed. The value of a record also dictates how it must be disposed after retention requirements are met (also see "Retention Requirements"). The appraisal values below represent categories of values that may be assigned to records following the record appraisal process. See "Vermont Archival Records" in the Archives and Records Management Handbook for conditions a record must meet to be appraised as "archival."*

Appraisal Value	Description	Usage
Conditional Archival	Records may have archival value.	Assigned to records that meet the conditions of a "Vermont Archival Record" under special conditions.
Permanent (Archival)	Records have archival value.	Assigned to records that meet the conditions of a "Vermont Archival Record" and are therefore permanent (archival) records.
Temporary (Administrative)	Records have temporary administrative value.	Assigned to records that do not meet the conditions of a "Vermont Archival Record" but are needed for administrative reasons.
Temporary (Legal)	Records have temporary legal value.	Assigned to records that do not meet the conditions of a "Vermont Archival Record" but have legal requirements governing their retention.
Unappraised	Default value for records that have not been appraised.	Assigned to records that have not been appraised and do not yet have retention or disposition requirements.

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## Appendix B: Public Access Requirements

*A public access requirement is the availability of a record for public use and inspection pursuant to 1 V.S.A. §§ 315-320. Unless exempt from public inspection and copying pursuant to 1 V.S.A. § 317, records are expected to be promptly produced for public inspection upon request. Public agencies shall follow the procedure outlined in 1 V.S.A. § 318. The access requirements below represent actions agencies must take based on specific laws associated with the accessibility of their records. With general record schedules, the default requirement is always REVIEW unless it is clear that certain records or information within a record are exempt from public use and inspection pursuant to 1 V.S.A. § 317. Agencies using general record schedules should defer to their internal policies for specific access requirements.*

Access	Description	Usage
Exempt	Records shall not be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.	Assigned to records that are wholly exempt from public use and inspection pursuant to 1 V.S.A. § 317.
General	Records may be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.	Assigned to records that are not exempt from public inspection and copying pursuant to 1 V.S.A. § 317.
Redact	Records contain specific information that shall not be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.	Assigned to records that contain specific information that is exempt from public inspection and copying pursuant to 1 V.S.A. § 317 and require exempt information to be redacted from the records prior to public use, inspection and/or copying.
Review	Records may be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320 but not always. Default value for general schedules, which require agencies to establish internal policies.	Assigned to records that are generally not exempt from public inspection and copying pursuant to 1 V.S.A. § 317 but, in limited circumstances, may be exempt. Internal review and/or policy is required.

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## Appendix C: Retention Requirements

*A retention requirement is the length of time a record must be retained by an agency before it may be destroyed or transferred to the State Archives or an agency archives (also see "Disposition Requirements"). The retention requirements below represent events or triggers that cause records to move from an active to inactive state. An "event" is tied to a specific time requirement: i.e. Retain Until "Calendar Year Ends" PLUS 3 Years.*

Retention	Description	Usage
Audit Complete	Retain until an audit or verification is complete.	Assigned to records that are actively used or needed until the information contained therein has been audited or verified.
Calendar Year Ends	Retain until the end of the calendar year.	Assigned to records that are actively used or needed until the end of the calendar year.
Completed/Closed	Retain until the activity or process supported by the record is completed.	Assigned to records that are actively used or needed until the activity is formally completed, closed, or finalized (includes appeals).
Expired	Retain until the conditions or requirements supported by the record are satisfied and no further action is needed.	Assigned to records that are actively used or needed until the conditions or requirements are satisfied and complete.
Fiscal Year Ends	Retain until the end of the fiscal year.	Assigned to records that are actively used or needed until the end of the fiscal year.
Life of Asset Ends	Retain for the life of the person, structure, object, organization, etc. that is the subject of the record.	Assigned to records that are actively used or needed for the life of person, structure, object, organization, etc.
Obsolete	Retain until the record is no longer needed and is valueless.	Assigned to records that have limited administrative value and may be purged when they no longer have any administrative value. Agency must develop internal policy that states when records no longer have administrative value.
Superseded	Retain until the record is superseded, updated, or revised.	Assigned to records that will be superseded, updated, or revised.

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## Appendix D: Disposition Requirements

*A disposition requirement is how an agency must dispose of a record from its legal custody once retention requirements have been met. Disposition is based on the record's appraisal value. If the record has been appraised as non-archival it will be destroyed after retention requirements are met. If appraised as archival the record will be transferred to the State Archives or agency archives for permanent preservation and access. The disposition requirements below represent actions that an agency must take once a record has met its retention requirements.*

Disposition	Description	Usage
Archives	Retain permanently. These records are eligible for transfer to the State Archives or agency archives.	Assigned to records that have been appraised as having archival value and are therefore permanent records.
Confirm	Confirm disposition with the Vermont State Archives and Records Administration after retention requirement has been met.	Assigned to records that are maintained in a centralized database or information system or are appraised as conditional archival.
Destroy (General)	Destroy by recycling or deleting the record.	Assigned to records that have been appraised as non-archival and are not exempt from public access. Agency discretion advised for general record schedules.
Destroy (Shred)	Destroy by shredding (includes electronic shredding).	Assigned to records that have been appraised as non-archival and are exempt from public access or contain sensitive information.
Unappraised	Default value for records that have not been appraised.	Assigned to records that have not been appraised and do not yet have retention or disposition requirements.
Weed	Separate records that meet the conditions of a "Vermont Archival Record" from those that do not (temporary).	Assigned to records that have been appraised as conditional archival. Upon weeding the temporary records from the archival records, transfer archival records to Archives and destroy temporary records.

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## Appendix E: Legal References

<b>SRS-1960.1022: Child Care Financial Assistance Program Family Case Files</b>		<i>Review for Exemption?</i>
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
33 V.S.A. § 111	Records, restrictions, penalties [related to the Department for Children and Families]	Yes
33 V.S.A. § 3501	Division of Child Development; duties	No
33 V.S.A. § 3505	Supplemental child care grants	No
33 V.S.A. § 3512	Child Care Financial Assistance Program; eligibility	No
33 V.S.A. § 3513	Protective and family support child care services	No
33 V.S.A. § 3514	Payment to providers [related to child care services]	No
45 CFR 75	Uniform administrative requirements, cost principles, and audit requirements for HHS awards [related to public welfare]	No
45 CFR 98	Child care and development fund [related to public welfare]	No
CVR 13-171-001	Child care financial assistance program regulations	No
CVR 13-171-003	Licensing regulations for afterschool child care programs	No
<b>SRS-1960.1180: Child Care Financial Assistance Program Provider Files</b>		<i>Review for Exemption?</i>
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
33 V.S.A. § 111	Records, restrictions, penalties [related to the Department for Children and Families]	Yes
33 V.S.A. § 3501	Division of Child Development; duties	No
33 V.S.A. § 3505	Supplemental child care grants	No
33 V.S.A. § 3512	Child Care Financial Assistance Program; eligibility	No
33 V.S.A. § 3513	Protective and family support child care services	No

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<b>33 V.S.A. § 3514</b>	Payment to providers [related to child care services]	No
<b>45 CFR 75</b>	Uniform administrative requirements, cost principles, and audit requirements for HHS awards [related to public welfare]	No
<b>45 CFR 98</b>	Child care and development fund [related to public welfare]	No
<b>CVR 13-171-001</b>	Child care financial assistance program regulations	No
<b>CVR 13-171-003</b>	Licensing regulations for afterschool child care programs	No

**SRS-1748.1059: Child Care Program Licensing Records** *Review for Exemption?*

<b>3 V.S.A. § 801</b>	Short title and definitions [related to administrative procedure]	No
<b>33 V.S.A. § 151</b>	Licensing and registration; violations [related to the Department for Children and Families]	No
<b>33 V.S.A. § 152</b>	Access to records [related to licensing and registration]	No
<b>33 V.S.A. § 3501</b>	Division of Child Development; duties	No
<b>33 V.S.A. § 3502</b>	Child care facilities; school age care in public schools; 21st century fund	No
<b>33 V.S.A. § 3505</b>	Supplemental child care grants	No
<b>33 V.S.A. § 3531</b>	Child care - building bright spaces for bright futures funds	No
<b>45 CFR 98</b>	Child care and development fund [related to public welfare]	No
<b>CVR 13-171-003</b>	Licensing regulations for afterschool child care programs	No
<b>CVR 13-171-004</b>	Child care licensing regulations: center based child care and preschool programs	Yes
<b>CVR 13-171-005</b>	Child care licensing regulations: registered and licensed family child care homes	Yes

**SRS-1486.1103: Residential Records of Delinquent Children** *Review for Exemption?*

<b>33 V.S.A. § 5102</b>	Definitions and provisions of general application [related to human services]	No
<b>33 V.S.A. § 5103</b>	Jurisdiction [related to general provisions]	No

### STATE OF VERMONT SPECIFIC RECORD SCHEDULE

33 V.S.A. § 5123	Transportation of a child	No
33 V.S.A. § 5204	Transfer from juvenile court [related to delinquency proceedings]	Yes
33 V.S.A. § 5229	Merits adjudication [related to delinquency proceedings]	Yes
33 V.S.A. § 5230	Disposition case plan [related to delinquency proceedings]	No
33 V.S.A. § 5231	Disposition hearing [related to delinquency proceedings]	Yes
33 V.S.A. § 5232	Disposition order [related to delinquency proceedings]	No
33 V.S.A. § 5251	Taking into custody [related to delinquency proceedings]	No
33 V.S.A. § 5253	Emergency care order; conditional custody order	No
33 V.S.A. § 5254	Notice of emergency care order and temporary care hearing	No
33 V.S.A. § 5255	Temporary care hearing [related to delinquency proceedings]	No
33 V.S.A. § 5256	Temporary care order [related to delinquent children]	No
33 V.S.A. § 5257	Filing of initial case plan [related to delinquency proceedings]	No
33 V.S.A. § 5263	Juvenile probation certificate	No
33 V.S.A. § 5265	Violation of conditions of probation [related to delinquency proceedings]	No
33 V.S.A. § 5266	Summons, apprehension, and detention of juvenile probationer	No
33 V.S.A. § 5268	Notice; violation hearing [related to delinquency proceedings]	No
33 V.S.A. § 5270	Final judgment [related to delinquency proceedings]	No
33 V.S.A. § 5281	Motion in criminal division of superior court [related to youthful offenders]	No
33 V.S.A. § 5282	Report from the department [related to youthful offenders]	Yes
33 V.S.A. § 5283	Hearing in family court [related to youthful offenders]	Yes
33 V.S.A. § 5284	Youthful offender determination and disposition order [related to youthful offenders]	No



**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>33 V.S.A. § 5285</b>	Modification or revocation of disposition [related to youthful offenders]	No
<b>33 V.S.A. § 5286</b>	Review prior to the age of 18 [related to delinquency proceedings]	No
<b>33 V.S.A. § 5287</b>	Termination or continuance of probation [related to youthful offenders]	No
<b>33 V.S.A. § 5322</b>	Placement of a child in a facility used for treatment of delinquent children	No
<b>33 V.S.A. § 5801</b>	Woodside Juvenile Rehabilitation Center	No
<b>33 V.S.A. § 5802</b>	Separation of victim of sexual assault and perpetrator [related to Woodside Juvenile Rehabilitation Center]	No
<b>33 V.S.A. § 5901</b>	Purpose and policy-Article 1 [related to interstate compact on the placement of children]	No
<b>33 V.S.A. § 5906</b>	Institutional care of delinquent children-Article VI [related to interstate compact on the placement of children]	No
<b>33 V.S.A. § 5924</b>	Agreements [related to interstate compact on the placement of children]	No
<b>33 V.S.A. § 5925</b>	Placement of delinquent children [related to interstate compact on the placement of children]	No
<b>V.R.F.P. 1</b>	Procedure for juvenile delinquency proceedings [related to rules for family proceedings]	Yes

## RECORD SCHEDULE FOR: Economic Services Division

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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 ID: 1374.1022.104	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)
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### 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)

<b>Record:</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
Complaints ID: 1374.1100.24	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) ID: 1374.1100.53	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 ID: 1374.1100.133	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 ID: 1374.1100.144	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 ID: 1374.1100.36	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

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ID: 1374.1102.116

## 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) ID: 1374.1105.28	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) ID: 1374.1105.53	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 ID: 1374.1105.60	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) ID: 1374.1105.69	Use for review plans and schedules.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Questionnaires ID: 1374.1105.76	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 ID: 1374.1105.144	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 ID: 1374.1105.36	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 ID: 1374.1105.104	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) *Review for Exemption:* No
- > 42 CFR 431.304 (Publicizing safeguarding requirements) *Review for Exemption:* No
- > 42 CFR 431.305 (Types of information to be safeguarded) *Review for Exemption:* Yes
- > 42 CFR 435.907 (Written [Medicaid] application) *Review for Exemption:* No
- > 42 CFR 435.912 (Notice of agency's decision concerning eligibility) *Review for Exemption:* No
- > 42 CFR 435.913 ([Medicaid] Case documentation) *Review for Exemption:* No
- > 42 CFR 435.916 (Periodic redeterminations of Medicaid eligibility) *Review for Exemption:* No
- > 42 CFR 435.919 (Timely and adequate notice concerning adverse actions [related to Medicaid eligibility]) *Review for Exemption:* No
- > 42 CFR 435.960 (Standardized formats for furnishing and obtaining information to verifying income and eligibility) *Review for Exemption:* No
- > 45 CFR 164.508 (Uses and disclosures for which an authorization is required [under HIPAA Privacy Rule]) *Review for Exemption:* Yes
- > 45 CFR 164.520 (Notice of privacy practices for protected health information) *Review for Exemption:* Yes
- > 45 CFR 164.524 (Access of individuals to protected health information) *Review for Exemption:* Yes
- > 45 CFR 164.530 (Administrative requirements [under the HIPAA Privacy Rule]) *Review for Exemption:* Yes
- > 45 CFR 400.93 (Opportunity [for refugees] to apply for medical assistance) *Review for Exemption:* No

### **1374.1022: Financial Assistance Client Files**

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

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**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

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- > 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

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- > 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

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**Issued to: Child Support, Office of**

**Published: 6/1/2018**



Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

**AGENCY SPECIFIC RECORD SCHEDULE FOR: Child Support, Office of**

- Authority:** A custodian of public records shall not destroy, give away, sell, discard, or damage any record or records in his or her charge, unless specifically authorized by law or under a record schedule approved by the state archivist pursuant to subdivision 117(a)(5) of Title 3. (1 V.S.A. § 317a)
- Scope:** This agency specific record schedule is applicable only to the records listed on this record schedule that are produced or acquired during the course of agency business. Records are any written or recorded information, regardless of physical form or characteristics, and includes electronic or digital records and data. (1 V.S.A. § 317)
- Use:** This is an agency specific record schedule (SRS). The agency (Child Support, Office of) may develop its own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. For records required to be retained until OBSOLETE, an internal policy that clearly stating specific retention requirements that best meet the agency's administrative needs is highly advised. Specific Record Schedule (SRS) numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a.
- Exemptions:** It is the policy of Title 1, Chapter 5, Subchapter 3 of Vermont Statutes Annotated to provide for free and open examination of records consistent with Chapter 1, Article 6 of the Vermont Constitution. All people, however, have a right to privacy in their personal and economic pursuits, which ought to be protected unless specific information is needed to review the action of a governmental officer. Some records listed on this record schedule may be exempt from public inspection and copying for this reason. Security measures to protect records and information from unauthorized access, use, and disclosure are necessary if the records are exempt pursuant to 1 V.S.A. §§ 315-320. Please see Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.
- Retention:** This agency specific record schedule reflects the retention and disposition requirements for the following records regardless of their media, format, or mode of transmission. Duplicate records within the same agency that are used for specific legal, fiscal, or administrative purposes may be either retained using the retention requirement listed in this schedule or in accordance to an internal policy. Any copies of records made only for convenience of reference or informational purposes may be discarded when no longer needed unless otherwise directed through an internal policy. Duplicates or copies of records shall not be retained longer than the original records.
- Adopted by:** Signature on file. Approved and signed by Commissioner Ken Schatz on 11/16/17 and 3/26/18.  
*Ken Schatz, Department Commissioner / Children and Families, Dept. for* *Date*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1468.1022: Child Support Case Files**

*SRS-1468.1022: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the coordination of the activities and tasks associated with the proportion of total support obligation a parent is ordered to pay in money as child support. Use SRS-1468.1002 (Parental Support Obligation Disbursement Records) for records relating to disbursement of payment.*

**Classification:** Parental support obligations (Coordinating)

**Retention:** With the exception of registers, retain records related to child support cases for six (6) years after the case file is completed/closed, then destroy. Cases are considered completed/closed once the youngest child covered by the support order reaches the age of majority; there are no arrears on the case; and no current support obligations.

Registers or similar systems that provide for the systematic and regular recording of child support activities shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of the parental support obligation coordinating process may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory Records).

**Public Access:** Exempt

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1468.1022 (see APPENDIX E for related legal references)**

<b>Record Category/Type:</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1468.1022.8</b> <b>Applications</b> Public Access: <i>Exempt</i>	Use for applications for assistance related to child support services. Includes significant supporting material submitted with the application.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1468.1022.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Exempt</i>	Use for correspondence that has significant administrative value related to child support services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1468.1022.69</b> <b>Plans (reports)</b> Public Access: <i>Exempt</i>	Use for all plans developed for individuals and families receiving child support services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)



**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>SRS-1468.1022.153</b>	Use for formal referrals to other agencies or programs.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Referrals</b>			PLUS: 6 Year(s)
Public Access: <i>Exempt</i>			THEN: Destroy (Shred)
<b>SRS-1468.1022.81</b>	Use for registries, recording books, databases, and similar records and systems that track information about child support cases.	Conditional Archival	RETAIN UNTIL: Superseded
<b>Registers</b>			PLUS: 0 Year(s)
Public Access: <i>Exempt</i>			THEN: Confirm
<b>SRS-1468.1022.144</b>	Use for assessments, evaluations, and similar reports related to clients of child support services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Reports</b>			PLUS: 6 Year(s)
Public Access: <i>Exempt</i>			THEN: Destroy (Shred)
<b>SRS-1468.1022.139</b>	Use for all written demands for assistance, services, or actions made by or on behalf of a client. Includes requests to establish, modify, or enforce a child support or parental rights and responsibilities order; or to locate any person alleged to be a parent owing a duty of support.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Requests</b>			PLUS: 6 Year(s)
Public Access: <i>Exempt</i>			THEN: Destroy (Shred)
<b>SRS-1468.1022.36</b>	Use for supplemental and supporting documents pertinent to child support services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Supporting material</b>			PLUS: 6 Year(s)
Public Access: <i>Exempt</i>			THEN: Destroy (Shred)
<b>SRS-1468.1022.150</b>	Use for waivers related to child support services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Waivers</b>			PLUS: 6 Year(s)
Public Access: <i>Exempt</i>			THEN: Destroy (Shred)

**SRS-1468.1022 was approved by the Vermont State Archivist on 11/6/2017.**

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1468.1180: Child Support State Disbursement Records**

*SRS-1468.1180: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the disbursement of the proportion of total support obligation a parent is ordered to pay in money as child support. Use SRS-1468.1022 (Parental Support Obligations Coordinating) for records relating to specific child support case files.*

**Classification:** Parental support obligations (Disbursing)

**Retention:** With the exception of registers and legal notices retain records related to disbursing parental support obligation payments until case is completed/closed, plus three (3) years, then destroy. Case is closed when final expenditure is submitted and audit is complete.

Registers or similar systems that provide for the systematic and regular recording of accounting and distribution of support payments shall be retained until the system is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

All other transitory records created or received as part of the payment distribution process may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory Records).

**Public Access:** Exempt

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1468.1180 (see APPENDIX E for related legal references)**

<b>Record Category/Type:</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1468.1180.5</b> <b>Agreements</b> Public Access: <i>Exempt</i>	Use for agreements regarding the payment of parental support obligation.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1468.1180.10</b> <b>Audits</b> Public Access: <i>Exempt</i>	Use for final reports received at the conclusion of a support order case file audit.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1468.1180.141</b> <b>Authorizations</b> Public Access: <i>Exempt</i>	Use for instruments, such as assignments of rights, and similar authorizations granted to an agency or program in accordance with law by a competent authority body to perform the specific act of endorsing over to the registry negotiable instruments for support of the child or to do some act that relates to the disbursing of parental support obligations.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<p><b>SRS-1468.1180.53</b>  <b>Correspondence (Substantive)</b>  Public Access: <i>Exempt</i></p>	<p>Use for correspondence that has significant administrative value and/or supports the management of and decisions related to parental support obligations.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1468.1180.50</b>  <b>Notices, Legal</b>  Public Access: <i>Exempt</i></p>	<p>Use for official, written statements, notices, or announcements that are required by law.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 1 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1468.1180.63</b>  <b>Orders</b>  Public Access: <i>Exempt</i></p>	<p>Use for orders issued by the court or other adjudicative body related to parental support obligations. Includes wage withholding orders.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1468.1180.77</b>  <b>Receipts</b>  Public Access: <i>Exempt</i></p>	<p>Use for documents that provide evidence of money received and deposited related to parental support obligations. Includes deposit tickets, bank receipts and similar records.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1468.1180.81</b>  <b>Registers</b>  Public Access: <i>Exempt</i></p>	<p>Use for registries, recording books, databases, and similar records and systems that track information about parental support financial transactions.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded  PLUS: 0 Year(s)  THEN: Confirm</p>
<p><b>SRS-1468.1180.144</b>  <b>Reports</b>  Public Access: <i>Exempt</i></p>	<p>Use for assessments, evaluations, and similar reports that document financial transactions or activities related to parental support obligations.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1468.1180.36</b>  <b>Supporting material</b>  Public Access: <i>Exempt</i></p>	<p>Use for recorded material created or received to supplement or complement another record related to parental support obligations. Includes federal tax information.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1468.1180.150</b>  <b>Waivers</b>  Public Access: <i>Exempt</i></p>	<p>Use for written statements renouncing, abandoning, or surrendering some legal claim, right or privilege related to parental support obligations. Includes surcharge waivers.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (Shred)</p>

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1468.1180.104**

**Worksheets**

Public Access: *Exempt*

Use for worksheets, spreadsheets, checklists and similar records used to track daily transactions of parental support obligations.

Temporary (Legal)

RETAIN UNTIL: Completed/Closed

PLUS: 3 Year(s)

THEN: Destroy (Shred)

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*SRS-1468.1180 was approved by the Vermont State Archivist on 11/6/2017.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1468.1033: Parental Support Obligation Enforcement**

*SRS-1468.1033: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the enforcement of the proportion of total support obligation a parent is ordered to pay in money as child support.*

**Classification:** Parental support obligations (Enforcing)

**Retention:** Retain records related to parental support obligation enforcement for six (6) years after the case is closed, then destroy. Cases are considered closed once the child reaches the age of majority and there are no arrears on the case.

Registers or similar systems that provide for the systematic and regular recording of parental support obligation enforcement activities shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration (VSARA) for continuing value.

Other records shall be retained as specified in this record schedule, with the exception of transitory records. Transitory records created or received as part of an enforcement action may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory Records).

**Public Access:** Exempt

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1468.1033 (see APPENDIX E for related legal references)**

<b>Record Category/Type:</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1468.1033.24</b> <b>Complaints</b> Public Access: <i>Exempt</i>	Use for complaints, grievances, appeals, and similar records that initiate a parental support obligation enforcement action.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1468.1033.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Exempt</i>	Use for correspondence that has significant administrative value or supports a final decision related to enforcing a parental support obligation.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1468.1033.133</b> <b>Decisions</b> Public Access: <i>Exempt</i>	Use for written decisions of violation or noncompliance, including final orders and notices of violation, issued by the enforcement agency. Includes decisions to dismiss a complaint.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<p><b>SRS-1468.1033.50</b>  <b>Notices, Legal</b>  Public Access: <i>General</i></p>	<p>Use for formal notifications issued or received related to the enforcement of a parental support obligation. Includes subpoenas and summons.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 1 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1468.1033.63</b>  <b>Orders</b>  Public Access: <i>Exempt</i></p>	<p>Use for child support orders, findings of noncompliance, and court orders issued to deny access to records.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1468.1033.81</b>  <b>Registers</b>  Public Access: <i>Exempt</i></p>	<p>Use for registries, databases, systems, and similar records that provide for the systematic and regular recording of parental support obligation enforcement actions.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded  PLUS: 0 Year(s)  THEN: Confirm</p>
<p><b>SRS-1468.1033.144</b>  <b>Reports</b>  Public Access: <i>Exempt</i></p>	<p>Use for reports and similar narratives issued by the Office of Child Support about a parental support obligation enforcement action. Includes reports related to corrective actions and arrear statements.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1468.1033.36</b>  <b>Supporting material</b>  Public Access: <i>Exempt</i></p>	<p>Use for supporting documentation, not otherwise specified in this schedule, created or received by the enforcement agency. Includes proof of desertion, and evidence of legal presumption of parentage.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1468.1033.150</b>  <b>Waivers</b>  Public Access: <i>Review</i></p>	<p>Use for waivers related to enforcing parental support obligations.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>

*SRS-1468.1033 was approved by the Vermont State Archivist on 5/31/2018.*

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

## Appendix A: Appraisal Values

*An appraisal value establishes the usefulness or importance of a record after its original purpose has passed. The value of a record also dictates how it must be disposed after retention requirements are met (also see "Retention Requirements"). The appraisal values below represent categories of values that may be assigned to records following the record appraisal process. See "Vermont Archival Records" in the Archives and Records Management Handbook for conditions a record must meet to be appraised as "archival."*

Appraisal Value	Description	Usage
Conditional Archival	Records may have archival value.	Assigned to records that meet the conditions of a "Vermont Archival Record" under special conditions.
Permanent (Archival)	Records have archival value.	Assigned to records that meet the conditions of a "Vermont Archival Record" and are therefore permanent (archival) records.
Temporary (Administrative)	Records have temporary administrative value.	Assigned to records that do not meet the conditions of a "Vermont Archival Record" but are needed for administrative reasons.
Temporary (Legal)	Records have temporary legal value.	Assigned to records that do not meet the conditions of a "Vermont Archival Record" but have legal requirements governing their retention.
Unappraised	Default value for records that have not been appraised.	Assigned to records that have not been appraised and do not yet have retention or disposition requirements.

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

## Appendix B: Public Access Requirements

*A public access requirement is the availability of a record for public use and inspection pursuant to 1 V.S.A. §§ 315-320. Unless exempt from public inspection and copying pursuant to 1 V.S.A. § 317, records are expected to be promptly produced for public inspection upon request. Public agencies shall follow the procedure outlined in 1 V.S.A. § 318. The access requirements below represent actions agencies must take based on specific laws associated with the accessibility of their records. With general record schedules, the default requirement is always REVIEW unless it is clear that certain records or information within a record are exempt from public use and inspection pursuant to 1 V.S.A. § 317. Agencies using general record schedules should defer to their internal policies for specific access requirements.*

<b>Access</b>	<b>Description</b>	<b>Usage</b>
Exempt	Records shall not be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.	Assigned to records that are wholly exempt from public use and inspection pursuant to 1 V.S.A. § 317.
General	Records may be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.	Assigned to records that are not exempt from public inspection and copying pursuant to 1 V.S.A. § 317.
Redact	Records contain specific information that shall not be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.	Assigned to records that contain specific information that is exempt from public inspection and copying pursuant to 1 V.S.A. § 317 and require exempt information to be redacted from the records prior to public use, inspection and/or copying.
Review	Records may be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320 but not always. Default value for general schedules, which require agencies to establish internal policies.	Assigned to records that are generally not exempt from public inspection and copying pursuant to 1 V.S.A. § 317 but, in limited circumstances, may be exempt. Internal review and/or policy is required.



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## Appendix C: Retention Requirements

*A retention requirement is the length of time a record must be retained by an agency before it may be destroyed or transferred to the State Archives or an agency archives (also see "Disposition Requirements"). The retention requirements below represent events or triggers that cause records to move from an active to inactive state. An "event" is tied to a specific time requirement: i.e. Retain Until "Calendar Year Ends" PLUS 3 Years.*

Retention	Description	Usage
Audit Complete	Retain until an audit or verification is complete.	Assigned to records that are actively used or needed until the information contained therein has been audited or verified.
Calendar Year Ends	Retain until the end of the calendar year.	Assigned to records that are actively used or needed until the end of the calendar year.
Completed/Closed	Retain until the activity or process supported by the record is completed.	Assigned to records that are actively used or needed until the activity is formally completed, closed, or finalized (includes appeals).
Expired	Retain until the conditions or requirements supported by the record are satisfied and no further action is needed.	Assigned to records that are actively used or needed until the conditions or requirements are satisfied and complete.
Fiscal Year Ends	Retain until the end of the fiscal year.	Assigned to records that are actively used or needed until the end of the fiscal year.
Life of Asset Ends	Retain for the life of the person, structure, object, organization, etc. that is the subject of the record.	Assigned to records that are actively used or needed for the life of person, structure, object, organization, etc.
Obsolete	Retain until the record is no longer needed and is valueless.	Assigned to records that have limited administrative value and may be purged when they no longer have any administrative value. Agency must develop internal policy that states when records no longer have administrative value.
Superseded	Retain until the record is superseded, updated, or revised.	Assigned to records that will be superseded, updated, or revised.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

## Appendix D: Disposition Requirements

*A disposition requirement is how an agency must dispose of a record from its legal custody once retention requirements have been met. Disposition is based on the record's appraisal value. If the record has been appraised as non-archival it will be destroyed after retention requirements are met. If appraised as archival the record will be transferred to the State Archives or agency archives for permanent preservation and access. The disposition requirements below represent actions that an agency must take once a record has met its retention requirements.*

Disposition	Description	Usage
Archives	Retain permanently. These records are eligible for transfer to the State Archives or agency archives.	Assigned to records that have been appraised as having archival value and are therefore permanent records.
Confirm	Confirm disposition with the Vermont State Archives and Records Administration after retention requirement has been met.	Assigned to records that are maintained in a centralized database or information system or are appraised as conditional archival.
Destroy (General)	Destroy by recycling or deleting the record.	Assigned to records that have been appraised as non-archival and are not exempt from public access. Agency discretion advised for general record schedules.
Destroy (Shred)	Destroy by shredding (includes electronic shredding).	Assigned to records that have been appraised as non-archival and are exempt from public access or contain sensitive information.
Unappraised	Default value for records that have not been appraised.	Assigned to records that have not been appraised and do not yet have retention or disposition requirements.
Weed	Separate records that meet the conditions of a "Vermont Archival Record" from those that do not (temporary).	Assigned to records that have been appraised as conditional archival. Upon weeding the temporary records from the archival records, transfer archival records to Archives and destroy temporary records.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

## Appendix E: Legal References

<b>SRS-1468.1022: Child Support Case Files</b>		<i>Review for Exemption?</i>
1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents	Yes
1 V.S.A. § 317a	Disposition of public records	No
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
15 V.S.A. § 304	Submission to genetic testing; test results	No
15 V.S.A. § 307	Voluntary acknowledgment of parentage	Yes
15 V.S.A. § 606	Action to recover maintenance, child support, and suit money; sanction for noncompliance	No
15 V.S.A. § 658	Support [related to child custody and support]	No
15 V.S.A. § 663	Support orders; required contents	No
15 V.S.A. § 665a	Conditions of parent-child contact in cases involving domestic violence	Yes
15 V.S.A. § 787	Employer's responsibility; compensation [related to child support enforcement]	No
15 V.S.A. § 788	Parent's responsibility [related to child support enforcement]	Yes
15 V.S.A. § 789	Wage withholding exemptions; priorities and limitations	No
15 V.S.A. § 792	Lottery offset [related to child support enforcement]	No
15 V.S.A. § 793	Credit reporting [related to child support enforcement]	No
15B V.S.A. § 1310	Duties of the Office of Child Support	No

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>15B V.S.A. § 1317</b>	Communications between tribunals [related to Uniform Interstate Family Support Act (1996)]	No
<b>15B V.S.A. § 1318</b>	Assistance with discovery [related to Uniform Interstate Family Support Act (1996)]	No
<b>15B V.S.A. § 1602</b>	Procedure to register an order for enforcement	No
<b>15B V.S.A. § 1606</b>	Procedure to contest the validity or enforcement of a registered order	No
<b>26 U.S.C. § 6103</b>	Confidentiality and disclosure of returns and return information	Yes
<b>33 V.S.A. § 3902</b>	Assignment of support rights by public assistance recipients; proceedings to establish support obligation	No
<b>33 V.S.A. § 4102</b>	Responsibilities [related to the Office of Child Support]	No
<b>33 V.S.A. § 4103</b>	Registry [related to the Office of Child Support]	No
<b>33 V.S.A. § 4105</b>	Access to information; disclosure and confidentiality [related to the Office of Child Support]	Yes
<b>33 V.S.A. § 4106</b>	Assignment of rights [related to the Office of Child Support]	No
<b>4 V.S.A. § 464</b>	Representation [related to family court]	No
<b>4 V.S.A. § 467</b>	Forms; office of child support; IV-D services	No
<b>42 U.S.C. § 653</b>	Federal parent locator service	Yes
<b>42 U.S.C. § 654</b>	State plan for child and spousal support	Yes
<b>42 U.S.C. § 654a</b>	Automated data processing [related to child support and establishment of paternity]	No
<b>42 U.S.C. § 654b</b>	Collection and disbursement of support payments	No
<b>42 U.S.C. § 669a</b>	Nonliability for financial institutions providing financial records to state child support enforcement agencies in child support cases	Yes
<b>45 CFR 303.11</b>	Case closure criteria	No

**SRS-1468.1180: Child Support State Disbursement Records**

*Review for Exemption?*

<b>1 V.S.A. § 315</b>	Statement of policy; short title [related to access to public records]	Yes
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**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>1 V.S.A. § 316</b>	Access to public records and documents	No
<b>1 V.S.A. § 317</b>	Definitions; public agency; public records and documents	Yes
<b>1 V.S.A. § 317a</b>	Disposition of public records	No
<b>1 V.S.A. § 318</b>	Procedure [related to access to public records]	No
<b>1 V.S.A. § 319</b>	Enforcement [related to access to public records]	No
<b>1 V.S.A. § 320</b>	Penalties [related to access to public records]	No
<b>15 V.S.A. § 291</b>	When a married person deserts or fails to support his or her spouse	No
<b>15 V.S.A. § 663</b>	Support orders; required contents	No
<b>15 V.S.A. § 665a</b>	Conditions of parent-child contact in cases involving domestic violence	Yes
<b>15 V.S.A. § 781</b>	Withholding wages upon issuance or modification of support order after July 1, 1990	No
<b>15 V.S.A. § 785</b>	Wage withholding orders [related to child support enforcement]	No
<b>15 V.S.A. § 786</b>	Obligee's responsibility [related to child support enforcement]	No
<b>15 V.S.A. § 788</b>	Parent's responsibility [related to child support enforcement]	Yes
<b>15 V.S.A. § 791</b>	Arrearage judgment lien	No
<b>15 V.S.A. § 792</b>	Lottery offset [related to child support enforcement]	No
<b>15B V.S.A. § 1316</b>	Special rules of evidence and procedure	No
<b>15B V.S.A. § 1319</b>	Receipt and disbursement of payments [related to Uniform Interstate Family Support Act (1996)]	No
<b>26 U.S.C. § 6103</b>	Confidentiality and disclosure of returns and return information	Yes
<b>33 V.S.A. § 3904</b>	Distribution of proceeds [related to enforcement of support]	No
<b>33 V.S.A. § 4102</b>	Responsibilities [related to the Office of Child Support]	No
<b>33 V.S.A. § 4103</b>	Registry [related to the Office of Child Support]	No

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<b>33 V.S.A. § 4105</b>	Access to information; disclosure and confidentiality [related to the Office of Child Support]	Yes
<b>33 V.S.A. § 4106</b>	Assignment of rights [related to the Office of Child Support]	No
<b>42 U.S.C. § 654a</b>	Automated data processing [related to child support and establishment of paternity]	No
<b>42 U.S.C. § 654b</b>	Collection and disbursement of support payments	No
<b>42 U.S.C. § 655</b>	Payments to states	No
<b>42 U.S.C. § 669a</b>	Nonliability for financial institutions providing financial records to state child support enforcement agencies in child support cases	Yes
<b>45 CFR 302.15</b>	Reports and maintenance of records	No
<b>45 CFR 75.361</b>	Record retention and access [related to uniform administrative requirements, cost principles, and audit requirements for HHS awards]	No

**SRS-1468.1033: Parental Support Obligation Enforcement**

*Review for Exemption?*

<b>1 V.S.A. § 310</b>	Definitions [related to common law; general rights]	No
<b>1 V.S.A. § 311</b>	Declaration of public policy; short title	No
<b>1 V.S.A. § 312</b>	Right to attend meetings of public agencies	Yes
<b>1 V.S.A. § 313</b>	Executive sessions	Yes
<b>1 V.S.A. § 314</b>	Penalty and enforcement [related to right to attend meetings of public agencies]	No
<b>1 V.S.A. § 315</b>	Statement of policy; short title [related to access to public records]	Yes
<b>1 V.S.A. § 316</b>	Access to public records and documents	No
<b>1 V.S.A. § 317</b>	Definitions; public agency; public records and documents	Yes
<b>1 V.S.A. § 317a</b>	Disposition of public records	No
<b>1 V.S.A. § 318</b>	Procedure [related to access to public records]	No
<b>1 V.S.A. § 319</b>	Enforcement [related to access to public records]	No

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<b>1 V.S.A. § 320</b>	Penalties [related to access to public records]	No
<b>15 V.S.A. § 201</b>	Definitions [related to Uniform Desertion and Nonsupport Act]	No
<b>15 V.S.A. § 204</b>	Temporary orders [related to Uniform Desertion and Nonsupport Act]	No
<b>15 V.S.A. § 205</b>	Order for payment; probation; recognizance [related to Uniform Desertion and Nonsupport Act]	No
<b>15 V.S.A. § 207</b>	Evidence; competency of parties as witnesses [related to Uniform Desertion and Nonsupport Act]	No
<b>15 V.S.A. § 291</b>	When a married person deserts or fails to support his or her spouse	No
<b>15 V.S.A. § 293</b>	When parents live separately [related to desertion and support]	No
<b>15 V.S.A. § 302</b>	Standing; limitation [related to parentage proceedings]	No
<b>15 V.S.A. § 303</b>	Jurisdiction [related to parentage proceedings]	No
<b>15 V.S.A. § 304</b>	Submission to genetic testing; test results	No
<b>15 V.S.A. § 305</b>	No judgment without hearing; appearance by defendant	No
<b>15 V.S.A. § 306</b>	Judgment or order [related to parentage proceedings]	No
<b>15 V.S.A. § 307</b>	Voluntary acknowledgment of parentage	Yes
<b>15 V.S.A. § 603</b>	Contempt [related to annulment and divorce]	No
<b>15 V.S.A. § 606</b>	Action to recover maintenance, child support, and suit money; sanction for noncompliance	No
<b>15 V.S.A. § 658</b>	Support [related to child custody and support]	No
<b>15 V.S.A. § 659</b>	Child support order	No
<b>15 V.S.A. § 660</b>	Modification [related to child custody and support]	No
<b>15 V.S.A. § 661</b>	Child support maintenance supplement	No
<b>15 V.S.A. § 663</b>	Support orders; required contents	No
<b>15 V.S.A. § 665</b>	Rights and responsibilities order; best interests of the child	No

### STATE OF VERMONT SPECIFIC RECORD SCHEDULE

15 V.S.A. § 665a	Conditions of parent-child contact in cases involving domestic violence	Yes
15 V.S.A. § 670	Access to records [related to child custody and support]	Yes
15 V.S.A. § 781	Withholding wages upon issuance or modification of support order after July 1, 1990	No
15 V.S.A. § 782	Expedited procedure for wage withholding [related to child support enforcement]	No
15 V.S.A. § 783	Wage withholding; notice and hearing [related to child support enforcement]	No
15 V.S.A. § 785	Wage withholding orders [related to child support enforcement]	No
15 V.S.A. § 786	Obligee's responsibility [related to child support enforcement]	No
15 V.S.A. § 787	Employer's responsibility; compensation [related to child support enforcement]	No
15 V.S.A. § 788	Parent's responsibility [related to child support enforcement]	Yes
15 V.S.A. § 789	Wage withholding exemptions; priorities and limitations	No
15 V.S.A. § 790	Employee protected; penalty [related to annulment and divorce]	No
15 V.S.A. § 791	Arrearage judgment lien	No
15 V.S.A. § 792	Lottery offset [related to child support enforcement]	No
15 V.S.A. § 793	Credit reporting [related to child support enforcement]	No
15 V.S.A. § 794	Tax offsets [related to child support enforcement]	No
15 V.S.A. § 795	Licenses or governmental contracts [related to child support enforcement]	No
15 V.S.A. § 796	Assets held in escrow [related to child support enforcement]	No
15 V.S.A. § 797	Civil penalties [related to child support enforcement]	No
15 V.S.A. § 798	Enforcement of child support orders; suspension of licenses	No
15 V.S.A. § 799	Trustee process [related to child support enforcement]	No
15 V.S.A. § 800	Contract with sheriff for service of civil process [related to child support enforcement]	No



**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>15B V.S.A. § 1103</b>	State tribunal and support enforcement agency [related to Uniform Interstate Family Support Act (1996)]	No
<b>15B V.S.A. § 1305</b>	Duties and powers of responding tribunal [related to Uniform Interstate Family Support Act (1996)]	No
<b>15B V.S.A. § 1310</b>	Duties of the Office of Child Support	No
<b>15B V.S.A. § 1317</b>	Communications between tribunals [related to Uniform Interstate Family Support Act (1996)]	No
<b>15B V.S.A. § 1318</b>	Assistance with discovery [related to Uniform Interstate Family Support Act (1996)]	No
<b>15B V.S.A. § 1319</b>	Receipt and disbursement of payments [related to Uniform Interstate Family Support Act (1996)]	No
<b>15B V.S.A. § 1501</b>	Employer's receipt of an income withholding from another state [related to Uniform Interstate Family Support Act (1996)]	No
<b>15B V.S.A. § 1507</b>	Administrative enforcement of orders [related to Uniform Interstate Family Support Act (1996)]	No
<b>15B V.S.A. § 1602</b>	Procedure to register an order for enforcement	No
<b>15B V.S.A. § 1603</b>	Effect of registration for enforcement	No
<b>15B V.S.A. § 1605</b>	Notice of registration of an order	No
<b>15B V.S.A. § 1606</b>	Procedure to contest the validity or enforcement of a registered order	No
<b>15B V.S.A. § 1607</b>	Contest of registration or enforcement	No
<b>15B V.S.A. § 1609</b>	Procedure to register a child support order of another state for modification	No
<b>26 U.S.C. § 6103</b>	Confidentiality and disclosure of returns and return information	Yes
<b>3 V.S.A. § 3094</b>	Office of Child Support	No
<b>33 V.S.A. § 115</b>	Access to financial records of deposit accounts of individuals who owe overdue child support	Yes
<b>33 V.S.A. § 3902</b>	Assignment of support rights by public assistance recipients; proceedings to establish support obligation	No
<b>33 V.S.A. § 3903</b>	Child support debt	No

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<b>33 V.S.A. § 3904</b>	Distribution of proceeds [related to enforcement of support]	No
<b>33 V.S.A. § 4102</b>	Responsibilities [related to the Office of Child Support]	No
<b>33 V.S.A. § 4103</b>	Registry [related to the Office of Child Support]	No
<b>33 V.S.A. § 4105</b>	Access to information; disclosure and confidentiality [related to the Office of Child Support]	Yes
<b>33 V.S.A. § 4106</b>	Assignment of rights [related to the Office of Child Support]	No
<b>33 V.S.A. § 4108</b>	Grievance procedure [related to the Office of Child Support]	No
<b>4 V.S.A. § 462</b>	Findings; orders; stipulations [related to family court]	No
<b>4 V.S.A. § 464</b>	Representation [related to family court]	No
<b>4 V.S.A. § 465</b>	Appeals [related to family court]	No
<b>4 V.S.A. § 467</b>	Forms; office of child support; IV-D services	No
<b>42 U.S.C. § 653</b>	Federal parent locator service	Yes
<b>42 U.S.C. § 654</b>	State plan for child and spousal support	Yes
<b>42 U.S.C. § 654a</b>	Automated data processing [related to child support and establishment of paternity]	No
<b>42 U.S.C. § 654b</b>	Collection and disbursement of support payments	No
<b>42 U.S.C. § 656</b>	Support obligation as obligation to State; amount; discharge in bankruptcy]	No
<b>42 U.S.C. § 664</b>	Collection of past-due support from federal tax refunds	Yes
<b>42 U.S.C. § 669a</b>	Nonliability for financial institutions providing financial records to state child support enforcement agencies in child support cases	Yes
<b>42 U.S.C. § 671</b>	State plan for foster care and adoption assistance	Yes
<b>45 CFR 302.15</b>	Reports and maintenance of records	No
<b>45 CFR 303.11</b>	Case closure criteria	No

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