

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Issued to: Vermont Health Access, Dept. of

Last Revised: 5/10/2023



Vermont State Archives and Records Administration
Vermont Office of the Secretary of State

AGENCY OF HUMAN SERVICES SPECIFIC RECORD SCHEDULE: Vermont Health Access, Dept. 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, as defined in 3 V.S.A. § 117(a)(6), that has been approved by the State Archivist. (1 V.S.A. § 317a)
- Scope:** Agency of Human Services (AHS) specific record schedules (SRS) are applicable only to records produced or acquired during the course of AHS business. Records are any written or recorded information, regardless of physical form or characteristics, and include electronic and digital records and data. (1 V.S.A. § 317)
- Use:** AHS and its departments may develop internal policies and procedures to assure SRS requirements are being consistently applied within AHS. For records required to be retained until OBSOLETE, internal policies must clearly state specific retention requirements that best meet AHS' administrative needs. SRS numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a and 3 V.S.A. § 218.
- 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. See Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.
- Retention:** Retention and disposition requirements in SRS are applicable to all written and recorded information produced or acquired during the course of AHS business, regardless of media, format, or mode of transmission. Transitory records may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records) and AHS and department internal policies and procedures.
- Revisions:** If, at any time, the requirements related to the records in an AHS SRS have changed, the SRS is revised by the Vermont State Archives and Records Administration in accordance with the standards of the Statewide Records and Information Management at the time of revision. Upon notification from the AHS record officer responsible for administering the SRS, revisions are done in collaboration with the AHS record officer and representatives of AHS' Records Management Program. (3 V.S.A. § 218)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1343.1022: Coordination of Enrollment and Eligibility Services

SRS-1343.1022: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the provision and coordination of medical assistance benefits as it pertains to enrollment and eligibility.

Classification: Medical assistance (Coordinating)

Retention: Retain all records listed on this schedule, except for authorizations, until completed/closed, plus ten (10) years, then destroy by shredding.

Retain authorizations until they are expired, plus ten (10) years, then destroy by shredding.

Registers that provide for the systematic and regular recording of the coordination of medical assistance enrollment and eligibility shall be retained until the register is superseded, plus ten (10) years, and then appraised by the Vermont State Archives and Records Administration for continuing value.

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1343.1022 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1343.1022.8 Applications Public Access: <i>Redact</i>	Use for applications submitted to the Department related to the provision and coordination of medical assistance benefits.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1022.141 Authorizations Public Access: <i>Redact</i>	Use for written permissions from an authoritative body allowing or requiring recipients to perform specific activities related to the provision and coordination of medical assistance benefits. Includes client releases, authorized representations and similar records.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1022.133 Decisions Public Access: <i>Redact</i>	Use for written decision related to the provision and coordination of medical assistance benefits.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

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<p>SRS-1343.1022.50 Notices, Legal Public Access: <i>Redact</i></p>	<p>Use for official, written statements, notices, or announcements that are required by law. Includes verification notices, renewal notices and other similar notices.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1022.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases and similar systems that provide for the systematic and regular recording of information related to the provision and coordination of medical assistance benefits.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Confirm</p>
<p>SRS-1343.1022.144 Reports Public Access: <i>Redact</i></p>	<p>Use for reports and similar narrative statements related to the provision and coordination of medical assistance benefits. Includes transfer reports, client financial reports and similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1022.139 Requests Public Access: <i>Redact</i></p>	<p>Use for written requests related to the provision and coordination of medical assistance benefits.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1022.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for supplemental records, not otherwise specified in this schedule, created or received during the course of provisioning and coordinating medical assistance benefits.</p> <p>Use for records created or received to support, supplement, or complement applications for the coordination of medical assistance enrollment or eligibility.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1022.150 Waivers Public Access: <i>Redact</i></p>	<p>Use for waivers related to the provision and coordination of medical assistance benefits.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>

SRS-1343.1022 was approved by the Vermont State Archivist on 3/21/2019.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-2044.1022: Federal, State and Supplemental Rebate Records

SRS-2044.1022: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the coordination of federal, state and supplemental rebates required from manufacturers of prescription drugs, devices and supplies.

Classification: Prescription rebates (Coordinating)

Retention: Retain reports, requests and supporting materials until completed/closed, plus ten (10) years, then destroy by shredding.

Retain agreements, authorizations and contracts until they are expired, plus ten (10) years, then destroy by shredding.

Registers, databases and similar systems that provide for the systematic and regular recording of information related to the coordination of federal, state and supplemental rebates shall be retained until the register is superseded, plus ten (10) years, then destroyed.

Note: Retention is based on 42 U.S.C. 1396r-8(2)(b) and is subject to change if law is amended.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-2044.1022 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-2044.1022.5 Agreements Public Access: <i>Redact</i>	Use for formal agreements related to the coordination of federal, state and supplemental rebates. Includes supplemental drug rebate agreements and joint prescription drug purchasing agreements.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-2044.1022.141 Authorizations Public Access: <i>Redact</i>	Use for written permissions from an authoritative body allowing or requiring recipients to perform specific activities related to the coordination of federal, state and supplemental rebates.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-2044.1022.26 Contracts Public Access: <i>Redact</i>	Use for signed original contracts and all amendments related to the coordination of federal, state and supplemental rebates.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)

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<p>SRS-2044.1022.49 Invoices Public Access: <i>Redact</i></p>	<p>Use for invoices submitted to participating drug manufacturers. Includes CMS Medicaid Drug Rebate Invoice forms.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-2044.1022.55 Lists Public Access: <i>General</i></p>	<p>Use for preferred drug lists.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-2044.1022.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases and similar systems that provide for the systematic and regular recording of federal, state and supplemental rebates activities.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-2044.1022.144 Reports Public Access: <i>Redact</i></p>	<p>Use for reports and similar narrative statements related to the coordination of federal, state and supplemental rebates. Includes quarterly and annual reports, delinquent manufacturer reports and other similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-2044.1022.139 Requests Public Access: <i>Redact</i></p>	<p>Use for written requests related to the coordination of federal, state and supplemental rebates.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-2044.1022.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for supplemental records, not otherwise specified in this schedule, created or received during the course of coordinating federal, state and supplemental rebates.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>

SRS-2044.1022 was approved by the Vermont State Archivist on 4/12/2023.

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SRS-1343.1012: Health Exchange and Medicaid Budgeting Files

SRS-1343.1012: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the budgeting of medical assistance funds associated with the payment of part or all of the cost of care and services or the care and services themselves, or both.

Classification: Medical assistance (Budgeting)

Retention: Budgets as adopted, reports and recommendations about or supporting the magnitude and allocation of proposed budgets, as well as analyses of expenditures and revenues after the close of a budget cycle, shall be retained until the fiscal year covered by the budget ends, plus ten (10) years, then destroy by shredding. For budgets and reports that have significant administrative value, retain permanently, and use the retention requirements for reports in SRS-1290.1102 (Human Services Administrative Policy Records).

Other records shall be retained as specified in this schedule.

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1343.1012 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1343.1012.17 Budgets Public Access: <i>Redact</i>	Use for the official estimated or intended expenditures of a unit of government for a given period along with proposals for financing those expenditures. Also use for formal adjustments to budgets during the budget cycle. For budgets that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1290.1102 (Administrative Policy Records).	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1012.50 Notices, Legal Public Access: <i>Redact</i>	Use for formal warnings and notices associated with meetings and/or votes on budget matters.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1012.69 Plans (reports) Public Access: <i>Redact</i>	Use for cost allocation plans, which, if associated with revenues obtained from federal grants, must be retained in accordance with the federal Common Rule.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

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SRS-1343.1012.144

Reports

Public Access: **Redact**

Use for reports and recommendations about or supporting the magnitude and allocation of proposed budgets, as well as analyses of expenditures and revenues after the close of a budget cycle. For reports that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1290.1102 (Administrative Policy Records).

Temporary (Legal)

RETAIN UNTIL: Fiscal Year Ends

PLUS: 10 Year(s)

THEN: Destroy (Shred)

SRS-1343.1012 was approved by the Vermont State Archivist on 5/25/2021.

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SRS-1343.1126: Health Exchange and Medicaid Contract Files

SRS-1343.1126: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, formal agreements, including contracts and leases, entered into by a public agency associated with the payment of part or all of the cost of care and services or the care and services themselves, or both, pursuant to 42 U.S. Code § 1396d.

Classification: Medical assistance (Contracting)

Retention: Retain all records as specified in this schedule, except for legal notices and registers, until expired, plus ten (10) years, and then destroy by shredding.

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1343.1126 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1343.1126.141 Authorizations Public Access: <i>Redact</i>	Use for written approvals, including all permissions required under Bulletin 3.5. Includes waivers.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1126.149 Bids Public Access: <i>Redact</i>	Use for bids, proposals and quotes received by the agency in response to a request for proposal.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1126.21 Certificates Public Access: <i>Redact</i>	Use for certificates and similar statements of qualifications related to agency contracts.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1126.26 Contracts Public Access: <i>Redact</i>	Use for signed original contracts and all amendments.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)

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<p>SRS-1343.1126.53 Correspondence (Substantive) Public Access: <i>Redact</i></p>	<p>Use for correspondence that has significant administrative value and/or supports agency decisions related to the award or administration of contracts.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.133 Decisions Public Access: <i>Redact</i></p>	<p>Use for written decisions including any selection justifications or explanations.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.32 Declarations Public Access: <i>Redact</i></p>	<p>Use for written explanations and justifications required under Bulletin 3.5 that do not relate to selection, including reasons why contract packages were not received within the timeline specified and explanations of extended contract duration.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.55 Lists Public Access: <i>Redact</i></p>	<p>Use for lists of vendors who have requested bid documents or who have been solicited to provide bids.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.50 Notices, Legal Public Access: <i>Redact</i></p>	<p>Use for evidence that the opportunity to bid was broadly publicized and that there was public notification of an agency's decision.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.62 Opinions Public Access: <i>Redact</i></p>	<p>Use for recommendations related to a contract, including those forwarded by the Finance and Management Department following its review of the contract package.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.69 Plans (reports) Public Access: <i>Redact</i></p>	<p>Use for contracting plans providing alternatives to any requirement in Bulletin 3.5 where applicable.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.81 Registers Public Access: <i>Redact</i></p>	<p>Use for formal lists of pre-qualified vendors.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Confirm</p>

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SRS-1343.1126.83 Requests for proposals Public Access: <i>Redact</i>	Use for all bid documents associated with the request for proposal package, including, but not limited to, cover pages, agency descriptions, statements of work, requirements, etc. Includes any changes or clarifications following a pre-bid conference.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1126.104 Worksheets Public Access: <i>Redact</i>	Use for recorded evidence supporting an agency's decision, such as worksheets used ranking each bidder's qualifications.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)

SRS-1343.1126 was approved by the Vermont State Archivist on 5/25/2021.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1343.1110: Health Exchange and Medicaid Granting Files

SRS-1343.1110: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the granting of public funds by a public agency or pass-through public agency for a specific purpose, activity and/or project associated with the payment of part or all of the cost of care and services or the care and services themselves, or both. This schedule does not include administrative, operational and accounting records of the granting authority or the granting program itself or records of any grants received by a public agency.

Classification: Medical assistance (Granting)

Retention: Retain all records on this schedule until the grant agreement has expired and the grant period is completed/closed, plus ten (10) years, then destroy by shredding. Awards involving the purchase of real property or equipment may, for some granting programs, require the real property or equipment to no longer be owned or in the possession of the grant recipient before the grant can be considered completed/closed.

Reports received from grant recipients that have significant administrative value, retain permanently and follow the retention requirements for Reports in SRS-1290.1102 (Human Services Administrative Policy Records).

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1343.1110 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1343.1110.5 Agreements Public Access: <i>Redact</i>	Use for the formal agreement between the granting authority and the grant recipient outlining the terms, conditions and amounts of the grant. Includes amendments and related supporting materials.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1110.8 Applications Public Access: <i>Redact</i>	Use for applications received by the granting authority. Includes certificates and other formal statements of qualifications or supporting material submitted as part of an application, including indirect cost rate proposals submitted in relation to federal grants. Incomplete or denied applications may be destroyed when no longer needed administratively.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1110.10 Audits Public Access: <i>Redact</i>	Use for internal audit reports and audits submitted by grant recipients as required by a grant agreement and/or state and Federal laws. Includes any written notifications that an audit was conducted, or copies of reporting packages, submitted by subrecipients of Federal awards.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

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SRS-1343.1110.133	Use for agency approvals or disapprovals of grant applications. Includes substantive correspondence and relevant supporting material.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Decisions			PLUS: 10 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-1343.1110.81	Use for registers, databases and similar systems that provide for the systematic and regular recording of granting activities related to medical assistance.	Temporary (Legal)	RETAIN UNTIL: Superseded
Registers			PLUS: 10 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-1343.1110.144	Use for reports required by a grant agreement, including financial and monitoring reports. For final reports received from grant recipients that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1290.1102 (Administrative Policy Records).	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Reports			PLUS: 10 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-1343.1110.36	Use for supplemental and supporting documents pertinent to an award that are not otherwise specified in this schedule.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Supporting material			PLUS: 10 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-1343.1110.150	Use for waivers and variances issued by the granting authority related to specific provisions or requirements of the granting program. Includes waivers issued by the Secretary of Administration relative to Bulletin 5.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Waivers			PLUS: 10 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)

SRS-1343.1110 was approved by the Vermont State Archivist on 5/25/2021.

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SRS-1343.1180: Medical Assistance Benefits

SRS-1343.1180: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the disbursement, including reimbursement, of payments related to medical assistance.

Classification: Medical assistance (Disbursing)

Retention: For medical assistance disbursement to and from the Department, retain all associated records listed on this schedule until payment is disbursed, and the claim is completed/closed, plus ten (10) years, then destroy. For medical assistance recoveries, retain all associated records listed in this schedule until payment is reimbursed and recovery on the claim, including any liens, are completed/closed, plus ten (10) years, then destroy.

Registers that provide for the systematic and regular recording of medical assistance claims and the disbursement, including reimbursement, of payments shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1343.1180 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1343.1180.5 Agreements Public Access: <i>Redact</i>	Use for negotiated settlements and similar agreements related to a medical assistance claim and the disbursement, including reimbursement, of payment. Includes compromises or mediation agreements on recovery of claims.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1180.141 Authorizations Public Access: <i>Redact</i>	Use for authorizations related to a medical assistance claim and the disbursement, including reimbursement, of payment. Includes prior authorizations and concurrent reviews.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1180.133 Decisions Public Access: <i>Redact</i>	Use for decisions regarding a medical assistance claim and the disbursement, including reimbursement, of payment. Includes payment decisions, manual claims payments and determinations of third party liability.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

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<p>SRS-1343.1180.32 Declarations Public Access: <i>Redact</i></p>	<p>Use for itemized statements of the medical payments made by the State for which the State seeks to perfect a lien to recover claims made on behalf of a medical assistance beneficiary.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1180.50 Notices, Legal Public Access: <i>Redact</i></p>	<p>Use for notices and other formal notifications related to a medical assistance claim and the disbursement, including reimbursement, of payment. Includes notices to beneficiaries, providers and other entities.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1180.63 Orders Public Access: <i>Redact</i></p>	<p>Use for orders, including liens, by a court or other government agency related to a medical assistance claim and the disbursement, including reimbursement, of payment.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1180.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases and similar systems that provide for the systematic and regular recording of medical assistance claims and the disbursement, including reimbursement, of payments.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Confirm</p>
<p>SRS-1343.1180.144 Reports Public Access: <i>Redact</i></p>	<p>Use for reports related to a medical assistance claim and the disbursement, including reimbursement, of payment.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1180.139 Requests Public Access: <i>Redact</i></p>	<p>Use for prior authorization requests and similar requests made by or on behalf of medical assistance beneficiaries related to a medical assistance claim and the disbursement, including reimbursement, of payment.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1180.150 Waivers Public Access: <i>Redact</i></p>	<p>Use for waivers of prior authorization and similar records waiving requirements related to a medical assistance claim and the disbursement, including reimbursement, of payment.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>

SRS-1343.1180 was approved by the Vermont State Archivist on 1/28/2019.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1343.1100: Medical Assistance Investigation Files

SRS-1343.1100: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the investigation of medical assistance waste, fraud, or abuse.

Classification: Medical assistance (Investigating)

Retention: Retain records related to an investigation, with the exception of registers, for ten (10) years after the investigation is officially completed or closed, then destroy by shredding unless the investigation is considered major or significant. Major or significant investigations include allegations totaling more than \$1,000,000 or cases which significantly change program policy and/or procedures such as drafting of new legislation.

Administratively significant investigations (including reports required by Federal law or regulation) are archival records and shall be retained permanently using the retention requirement for Reports in SRS-1290.1102 (Human Services Administrative Policy Records). Archival records are eligible for transfer into the Vermont State Archives once case is completed/closed, plus ten (10) years.

Registers or similar systems that provide for the systematic and regular recording of complaints and investigation activities shall be retained until superseded plus ten (10) years.

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Exempt

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1343.1100 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1343.1100.24 Complaints Public Access: <i>Exempt</i>	Use for complaints that initiate an investigation related to medical assistance waste, fraud, or abuse.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1100.133 Decisions Public Access: <i>Exempt</i>	Use for findings, reports and other records that document the outcome of an investigation. Includes substantive correspondence that supports the decision. In the case of full investigations, use for credible allegations of fraud, or final investigative findings.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1343.1100.136 Evidence Public Access: <i>Exempt</i></p>	<p>Use for documentary evidence gathered as part of an investigation pertaining to medical assistance waste, fraud, or abuse.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1100.60 Notes Public Access: <i>Exempt</i></p>	<p>Use for notes made during the course of an investigation. Includes interview notes.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1100.50 Notices, Legal Public Access: <i>Exempt</i></p>	<p>Use for all legal notices issued by the investigating authority related to an investigation. Includes subpoenas.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1100.81 Registers Public Access: <i>Exempt</i></p>	<p>Use for registers, databases and similar systems that provide for the systematic and regular recording of medical assistance waste, fraud, or abused. Includes complaints, investigation activities and case management systems.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1100.144 Reports Public Access: <i>Exempt</i></p>	<p>Use for formal statements of facts issued during and at the conclusion of an investigation. For reports that have significant administrative value, including annual reports, use the retention requirements for "Reports" in SRS-1290.1102 (Human Services Administrating).</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1100.36 Supporting material Public Access: <i>Exempt</i></p>	<p>Use for supplemental records created or received as part of the investigation process related to medical assistance waste, fraud, or abuse.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>

SRS-1343.1100 was approved by the Vermont State Archivist on 6/28/2018.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1848.1007: Quality Assurance

SRS-1848.1007: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, auditing managed care programs operated by the State of Vermont.

Classification: Managed care programs (Auditing)

Retention: Retain all records listed on this schedule, except for contracts, until the audit of a managed care program is completed/closed, plus an additional ten (10) years, then destroy by shredding.

Retain contracts until they are expired, plus an additional ten (10) years, then destroy by shredding.

Registers that provide for the systematic and regular recording of auditing managed care programs shall be retained until the register is superseded, plus ten (10) years, and then appraised by the Vermont State Archives and Records Administration for continuing value.

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1848.1007 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1848.1007.24 Complaints Public Access: <i>Redact</i>	Use for all written complaints related to auditing managed care programs. Includes consumer and provider complaints.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1848.1007.26 Contracts Public Access: <i>Redact</i>	Use for agreements and contracts backed by lawful consideration between managed care programs and providers.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1848.1007.50 Notices, Legal Public Access: <i>Redact</i>	Use for all notices related to auditing managed care programs. Includes notice to providers, notice to members and other similar notices.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1848.1007.69	Use for reports describing a proposed or tentative project. Includes performance improvement plans.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Plans (reports)			PLUS: 10 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-1848.1007.81	Use for registers, databases and similar systems that provide for the systematic and regular recording of auditing managed care programs.	Conditional Archival	RETAIN UNTIL: Superseded
Registers			PLUS: 10 Year(s)
Public Access: <i>Redact</i>			THEN: Confirm
SRS-1848.1007.144	Use for final reports issued at the conclusion of a managed care program audit. Includes annual reports and other similar reports.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Reports			PLUS: 10 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-1848.1007.36	Use for recorded material created or received to support, supplement, or complement auditing managed care programs.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Supporting material			PLUS: 10 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)

SRS-1848.1007 was approved by the Vermont State Archivist on 11/22/2019.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1630.1150: Rate Setting

SRS-1630.1150: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the rate setting associated with nursing facilities, Intermediate Care Facilities for the Developmentally Disabled and private nonmedical institutions that serve Medicaid residents.

Classification: Long-term care facilities (Rate setting)

Retention: Retain all records listed on this schedule, with the exception of registers, until completed/closed, plus an additional ten (10) years, then destroy by shredding. Records become completed/closed when the rate for long-term care facilities has been set.

Registers that provide for the systematic and regular recording of rate setting for long-term care facilities shall be retained until the register is superseded, plus ten (10) years, and then appraised by the Vermont State Archives and Records Administration for continuing value.

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1630.1150 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1630.1150.133 Decisions Public Access: <i>Redact</i>	Use for final written decisions related to rate setting for long-term care facilities.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1630.1150.50 Notices, Legal Public Access: <i>Redact</i>	Use for notifications related to rate setting for long-term care facilities.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1630.1150.81 Registers Public Access: <i>Redact</i>	Use for registers, databases and similar systems that provide for the systematic and regular recording of rate setting for long-term care facilities.	Conditional Archival	RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Confirm

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1630.1150.144 Reports Public Access: <i>Redact</i>	Use for reports, created or received, related to the rate setting of long-term care facilities. Includes cost reports, financial reports, statistical reports and significant supporting material.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1630.1150.139 Requests Public Access: <i>Redact</i>	Use for written requests related to the rate setting of long-term care facilities. Includes assessment reports, data, statistics, schedules, or information and supporting material required by the Division.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

SRS-1630.1150 was approved by the Vermont State Archivist on 1/14/2020.

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.

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.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

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

SRS-1343.1022: Coordination of Enrollment and Eligibility Services		<i>Review for Exemption?</i>
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
18 V.S.A. § 202	Clinical care of cancer patients; state aid	Yes
18 V.S.A. § 9410	Health care database	Yes
18 V.S.A. § 9414	Quality assurance for managed care organizations	No
20 CFR 416	Supplemental security income for the aged, blind, and disabled	No
33 V.S.A. § 111	Records, restrictions, penalties [related to the Department for Children and Families]	Yes
33 V.S.A. § 1802	Definitions [related to Vermont Health Benefit Exchange]	No
33 V.S.A. § 1805	Duties and responsibilities [related to Vermont Health Benefit Exchange]	No
33 V.S.A. § 1806	Qualified health benefit plans	No
33 V.S.A. § 1807	Navigators [related to Vermont Health Benefit Exchange]	No
33 V.S.A. § 1811	Health benefit plans for individuals and small employers	No
33 V.S.A. § 1827	Administration; enrollment [related to Green Mountain Care]	No
33 V.S.A. § 1901	Administration of program [related to medical assistance]	No
33 V.S.A. § 1901b	Pharmacy program enrollment	No
33 V.S.A. § 1902	Qualification for medical assistance [related to Medicaid]	No
33 V.S.A. § 1902a	Confidentiality of Medicaid applications and records; disclosure to authorized representative	Yes
33 V.S.A. § 1906	Recoupment of amounts spent on child medical care	No
33 V.S.A. § 1908	Medicaid; payer of last resort; release of information	Yes
33 V.S.A. § 2003	Pharmacy discount plans	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

33 V.S.A. § 2072	General eligibility [related to Vermont pharmaceutical assistance programs]	No
33 V.S.A. § 2073	VPharm assistance program	No
42 CFR 1001	Program integrity—Medicare and state health care programs	No
42 CFR 1002	Program integrity—state-initiated exclusions from Medicaid	No
42 CFR 431	State organization and general administration [related to public health]	Yes
42 CFR 431.17	Maintenance of records [related to public health]	No
42 CFR 435	Eligibility in the States, District of Columbia, The Northern Mariana Islands, and American Samoa [related to medical assistance programs]	No
42 CFR 441	Services: requirements and limits applicable to specific services [related to public health]	No
45 CFR 155	Exchange establishment standards and other related standards under the affordable care act	No
45 CFR 155.1210	Maintenance of records [related to oversight and program integrity standards for state exchanges]	No
45 CFR 164	Security and privacy [related to public welfare]	Yes
45 CFR 400	Office of refugee resettlement, administration for children and families, department of health and human services [related to public welfare]	No
CVR 13-001-001	Health Benefits Eligibility and Enrollment, Part One: General Provisions and Definitions	No
CVR 13-001-002	Part two: eligibility standards [related to general; health benefits eligibility and enrollment]	No
CVR 13-001-003	Part 3: nonfinancial eligibility requirements [related to general; health benefits eligibility and enrollment]	No
CVR 13-001-005	Financial methodologies [related to health benefits eligibility and enrollment]	No
CVR 13-001-006	Small employer health benefits program [related to health benefits eligibility and enrollment]	No
CVR 13-001-007	Part seven: eligibility-and-enrollment procedures [related to general; health benefits eligibility and enrollment]	No
CVR 13-110-002	Attendant services program regulations	Yes

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

CVR 13-110-008	Choices for care: 1115 long-term care Medicaid waiver regulations	Yes
CVR 13-170-200	All programs [related to Department for Children and Families]	Yes
CVR 13-170-260	General assistance [related to Department for Children and Families]	No
CVR 13-170-280	Emergency assistance [related to Department for Children and Families]	No
CVR 13-170-510	Refugee Medical Assistance [related to Department for Children and Families]	No
CVR 13-170-540	Department for Children and Families VPHARM	No
CVR 13-170-570	Department for Children and Families Healthy Vermonters	No
CVR 13-170-580	HIV/AIDS (5800) [related to Department for Children and Families]	No
CVR 13-170-740	Other Medicaid services	No
CVR 13-174-001	General Provisions and Definitions [related to health care administrative rules]	No
CVR 13-174-004	Medicaid Covered Services [related to health care administrative rules]	No
CVR 13-174-007	Specialized services and programs [related to health care administrative rules]	Yes

SRS-2044.1022: Federal, State and Supplemental Rebate Records

Review for Exemption?

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; exemptions	Yes
1 V.S.A. § 317a	Management of public records	No
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 318a	Executive branch agency Public Records Request System	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

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

33 V.S.A. § 1901a	Medicaid budget	No
33 V.S.A. § 1901b	Pharmacy program enrollment	No
33 V.S.A. § 1998	Pharmacy Best Practices and Cost Control Program established	No
33 V.S.A. § 1999	Consumer protection rules; prior authorization [related to prescription drug cost containment]	No
33 V.S.A. § 2000	Pharmacy benefit management [related to prescription drug cost containment]	No
33 V.S.A. § 2001	Legislative oversight [related to prescription drug cost containment]	No
33 V.S.A. § 2002	Supplemental rebates [related to prescription drug cost containment]	Yes
33 V.S.A. § 2003	Pharmacy discount plans	No
33 V.S.A. § 2004	Manufacturer fee [related to prescription drug cost containment]	No
33 V.S.A. § 2072	General eligibility [related to Vermont pharmaceutical assistance programs]	No
33 V.S.A. § 2073	VPharm assistance program	No
33 V.S.A. § 2077	Administration [related to Vermont pharmaceutical programs]	No
33 V.S.A. § 2080	Vermont Prescription Drug Pricing and Consumer Protection Program	No
33 V.S.A. § 2081	Rules and legislative oversight [related to Vermont pharmaceutical assistance programs]	No
42 CFR 423	Voluntary Medicare prescription drug benefit [related to Medicare program]	No
42 CFR 438	Managed care [related to medical assistance programs]	Yes
42 CFR 447	Payments for services [related to public health]	No
42 U.S.C. § 1396r-8	Payment for covered outpatient drugs [related to grants to states for medical assistance programs]	Yes
CVR 13-140-083	Manufacturer fee rule	No

SRS-1343.1012: Health Exchange and Medicaid Budgeting Files

Review for Exemption?

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

1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 317a	Management 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
18 V.S.A. § 9375	Duties [related to Green Mountain Care Board]	No
2 CFR 200	Uniform administrative requirements, cost principles, and audit requirements for federal awards	Yes
26 V.S.A. § 54	General powers and duties of the board [related to accountants]	No
3 V.S.A. § 2222	Powers and duties; budget and report [related to the administration]	No
3 V.S.A. § 2281	Department of Finance and Management	No
32 V.S.A. § 202	Duties of commissioner [related to fiscal officers and commissions]	No
32 V.S.A. § 301	Department estimate and statement [related to budget]	No
32 V.S.A. § 702	Exceeding budget	No
32 V.S.A. § 704	Interim budget and appropriation adjustments	No
32 V.S.A. § 704a	Execution of the laws relating to appropriations	No
33 V.S.A. § 1828	Budget proposal [related to public-private universal health care system]	No
33 V.S.A. § 1901	Administration of program [related to medical assistance]	No
33 V.S.A. § 1901a	Medicaid budget	No
33 V.S.A. § 904	Rate setting [related to nursing homes]	No
42 CFR 438	Managed care [related to medical assistance programs]	Yes

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

42 CFR 441	Services: requirements and limits applicable to specific services [related to public health]	No
42 CFR 457	Allotments and grants to states [related to state children's health insurance programs]	No
42 U.S.C. § 1396	Medicaid and CHIP payment and access commission	No
45 CFR 155.1210	Maintenance of records [related to oversight and program integrity standards for state exchanges]	No
45 CFR 75	Uniform administrative requirements, cost principles, and audit requirements for HHS awards [related to public welfare]	No

SRS-1343.1126: Health Exchange and Medicaid Contract Files	<i>Review for Exemption?</i>
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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; exemptions	Yes
1 V.S.A. § 317a	Management 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
3 V.S.A. § 344	Contract administration	No
33 V.S.A. § 1901	Administration of program [related to medical assistance]	No
42 CFR 438	Managed care [related to medical assistance programs]	Yes
42 U.S.C. § 1396	Medicaid and CHIP payment and access commission	No
45 CFR 155.1210	Maintenance of records [related to oversight and program integrity standards for state exchanges]	No
45 CFR 75	Uniform administrative requirements, cost principles, and audit requirements for HHS awards [related to public welfare]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Bulletin 3.5, Agency of Administration Procurement and contracting procedures No

SRS-1343.1110: Health Exchange and Medicaid Granting Files *Review for Exemption?*

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; exemptions	Yes
1 V.S.A. § 317a	Management 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
2 CFR 200	Uniform administrative requirements, cost principles, and audit requirements for federal awards	Yes
32 V.S.A. § 5	Acceptance of grants	No
32 V.S.A. § 6	Indirect costs [related to taxation and finance]	No
33 V.S.A. § 1123	Individual development savings program [related to reach up]	No
33 V.S.A. § 1901	Administration of program [related to medical assistance]	No
42 CFR 430	Grants to States for Medical Assistance Programs	No
42 CFR 438	Managed care [related to medical assistance programs]	Yes
42 CFR 457	Allotments and grants to states [related to state children's health insurance programs]	No
42 U.S.C. § 1396	Medicaid and CHIP payment and access commission	No
45 CFR 155.1210	Maintenance of records [related to oversight and program integrity standards for state exchanges]	No
45 CFR 75	Uniform administrative requirements, cost principles, and audit requirements for HHS awards [related to public welfare]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Bulletin 5, Agency of Administration Policy for grant issuance and monitoring No

SRS-1343.1180: Medical Assistance Benefits *Review for Exemption?*

1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
33 V.S.A. § 1901	Administration of program [related to medical assistance]	No
33 V.S.A. § 1902a	Confidentiality of Medicaid applications and records; disclosure to authorized representative	Yes
33 V.S.A. § 1906	Recoupment of amounts spent on child medical care	No
33 V.S.A. § 1906a	Recovery against estate; homestead exemptions [related to medical assistance]	No
33 V.S.A. § 1908	Medicaid; payer of last resort; release of information	Yes
33 V.S.A. § 1909	Direct payments to Agency; discharge of insurer's obligation [related to Medicaid]	No
33 V.S.A. § 1910	Liability of third parties; liens [related to Medicaid]	No
33 V.S.A. § 1911	Tobacco manufacturers; liability for Medicaid expenditures	No
33 V.S.A. § 1999	Consumer protection rules; prior authorization [related to prescription drug cost containment]	No
33 V.S.A. § 2000	Pharmacy benefit management [related to prescription drug cost containment]	No
33 V.S.A. § 2002	Supplemental rebates [related to prescription drug cost containment]	Yes
42 CFR 1001	Program integrity—Medicare and state health care programs	No
42 CFR 1002	Program integrity—state-initiated exclusions from Medicaid	No
42 CFR 2	Confidentiality of alcohol and drug abuse patient records	Yes
42 CFR 422	Medicare Advantage Program	No
42 CFR 430	Grants to States for Medical Assistance Programs	No
42 CFR 431	State organization and general administration [related to public health]	Yes
42 CFR 431.17	Maintenance of records [related to public health]	No

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42 CFR 435	Eligibility in the States, District of Columbia, The Northern Mariana Islands, and American Samoa [related to medical assistance programs]	No
42 CFR 438	Managed care [related to medical assistance programs]	Yes
42 CFR 447	Payments for services [related to public health]	No
42 CFR 455	Program integrity: Medicaid	No
42 CFR 457	Allotments and grants to states [related to state children's health insurance programs]	No
42 U.S.C. § 1396p	Liens, adjustments and recoveries, and transfers of assets [related to public health and welfare]	No
45 CFR 164	Security and privacy [related to public welfare]	Yes
45 CFR 75	Uniform administrative requirements, cost principles, and audit requirements for HHS awards [related to public welfare]	No
CVR 13-170-510	Refugee Medical Assistance [related to Department for Children and Families]	No
CVR 13-170-710	Medicaid benefit delivery	No
CVR 13-174-001	General Provisions and Definitions [related to health care administrative rules]	No
CVR 13-174-004	Medicaid Covered Services [related to health care administrative rules]	No

SRS-1343.1100: Medical Assistance Investigation Files	<i>Review for Exemption?</i>
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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; exemptions	Yes
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
12 V.S.A. § 511	Civil action [related to limitation of time for commencement of actions]	No

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33 V.S.A. § 111	Records, restrictions, penalties [related to the Department for Children and Families]	Yes
33 V.S.A. § 121	Cancellation of assistance or benefits	No
33 V.S.A. § 141	Fraud	No
33 V.S.A. § 143	General penalty [related to prohibited practices; penalties]	No
33 V.S.A. § 143a	Civil remedies [related to prohibited practices]	No
33 V.S.A. § 1902a	Confidentiality of Medicaid applications and records; disclosure to authorized representative	Yes
42 CFR 1002	Program integrity—state-initiated exclusions from Medicaid	No
42 CFR 455.12	State plan requirement [related to Medicaid agency fraud detection and investigation program]	No
42 CFR 455.13	Methods for identification, investigation, and referral [related to Medicaid agency fraud detection and investigation program]	No
42 CFR 455.14	Preliminary investigation [related to Medicaid agency fraud detection and investigation program]	No
42 CFR 455.15	Full investigation [related to Medicaid fraud detection and investigation program]	No
42 CFR 455.16	Resolution of full investigation [related to Medicaid agency fraud detection and investigation program]	No
42 CFR 455.17	Reporting requirements [related to Medicaid agency fraud detection and investigation records]	No
42 CFR 455.18	Provider's statements on claims forms [related to Medicaid agency fraud detection and investigation program]	No
42 CFR 455.19	Provider's statement on check [related to Medicaid agency fraud detection and investigation program]	No
42 CFR 455.20	Beneficiary verification procedure [related to Medicaid agency fraud detection and investigation program]	No
42 CFR 455.21	Cooperation with State Medicaid fraud control units	No
42 CFR 455.23	Suspension of payments in cases of fraud [related to Medicaid agency fraud detection and investigation program]	No

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CVR 13-001-002 Part two: eligibility standards [related to general; health benefits eligibility and enrollment] No

SRS-1848.1007: Quality Assurance *Review for Exemption?*

18 V.S.A. § 9414	Quality assurance for managed care organizations	No
42 CFR 431	State organization and general administration [related to public health]	Yes
42 CFR 438	Managed care [related to medical assistance programs]	Yes
45 CFR 156	Health insurance issuer standards under the affordable care act, including standards related to exchanges	No
45 CFR 75	Uniform administrative requirements, cost principles, and audit requirements for HHS awards [related to public welfare]	No

SRS-1630.1150: Rate Setting *Review for Exemption?*

33 V.S.A. § 901	Reimbursement objectives [related to division of rate setting]	No
33 V.S.A. § 904	Rate setting [related to nursing homes]	No
33 V.S.A. § 905	Basis for determination of nursing home rates	No
33 V.S.A. § 906	Facility payment [related to division of rate setting]	No
33 V.S.A. § 907	Payment limits [related to division of rate setting]	No
33 V.S.A. § 908	Powers and duties [related to division of rate setting]	Yes
33 V.S.A. § 910	Availability of payment for nursing home services [related to division of rate setting]	No
42 CFR 405	Federal health insurance for the aged and disabled	No
42 CFR 410	Supplementary medical insurance (SMI) benefits [related to public health]	No
42 CFR 434	Contracts [related to public health]	No
42 CFR 438	Managed care [related to medical assistance programs]	Yes

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42 CFR 442	Standards for payment to nursing facilities and intermediate care facilities for individuals with intellectual disabilities	No
42 CFR 455	Program integrity: Medicaid	No
42 CFR 482	Conditions of participation for hospitals [related to public health]	No
42 CFR 483	Requirements for states and long term care facilities	No
42 CFR 485	Conditions of participation: specialized providers [related to public health]	No
42 CFR 488	Survey, certification, and enforcement procedures [related to public health]	No
42 CFR 491	Certification of certain health facilities	No
42 U.S.C. § 1396a	State plans for medical assistance	No
45 CFR 155	Exchange establishment standards and other related standards under the affordable care act	No
45 CFR 160	General administrative requirements [related to public welfare]	Yes
CVR 13-010-001	Methods, standards, and principles for establishing Medicaid payment rates for long-term care facilities	No
CVR 13-010-002	Methods, standards and principles for establishing payment rates for private nonmedical institutions providing residential child care services (PNMI)	No