

DVA1 Program Development and Review Records

Records that document the framework of the agency from the Office of the Director and from the Policy Office on the agency's programs and policies that provide a substantive historical record of the agency/programs background, policies, development, and initiatives. May also include, but is not limited to correspondence, annual and special reports and other supporting documentation.

RIGL 42-8.1-17

Retention: Permanent.

Note: Records may partially duplicate those held in other records series.

DVA2 Legal Office Records

Legal files, including but not limited to court filings, discovery, correspondence, work product, internal memorandum, closed lawsuits, legal inquires, and other legal matters with the exception of those records deemed permanent. Permanent records shall consist of lawsuits resulting in court orders which change DHS policy and/or procedures.

a) Routine cases

Retention: Retain ten (10) years or seven (7) years after the disposition of litigation, whichever is longer.

b) Landmark cases

Retention: Permanent.

DVA3 Administrative Hearing Office Records

Administrative hearing records, including, but not limited to the notice under appeal, the hearing notices, the hearing officer's notes during the hearing, the evidence submitted at the hearing, the hearing decisions on all of the programs administered by DHS from the Appeals Office.

Retention: Retain 10 years.

Note: If records are related to a case in litigation, then these records should be retained during litigation and for a period of seven (7) years after the disposition of litigation.

DVA4 Human Services Client Files

Records that Document individual client's receipt or denial of program services. Records include documentation of medical assistance, hospital care, food stamps, welfare, work training, veteran support, and fiscal support in accordance with RIGL Title 40. Includes applications for services, eligibility review documentation, medical information, case activity notes and plans, and related correspondence. May include but is not limited to the following programs:

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| DVA4.1 | Adult Services and Long Term Care Program (LTC) |
| DVA4.2 | Aid to Family with Dependent Children (AFDC) Case Records and Family Independence Program (FIP) |
| DVA4.3 | Food Stamp Program (FS) |
| DVA4.4 | General Public Assistance (GPA) |
| DVA4.5 | Medical Assistance (MA) |
| DVA4.6 | Office of Rehabilitative Services (ORS) and Services for the Blind and Visually Impaired (SBVI) |
| DVA4.7 | Low Income Child Care Program (CC) |

RIGL 9-1-13(a); RIGL 40-8.2-4.

a) Denied applications

Retention: Retain three (3) years.

b) Client case files and associated documentation

Retention: Retain ten (10) years.

Note: If records are related to a case in litigation, then these records should be retained during litigation and for a period of seven (7) years after the disposition of litigation.

DVA5 Claims and Disbursements Records

Documents claims made by the agency to the Federal Government relating to contracted and purchased services on the behalf of the State. The series also documents any service provider or client payment claims made or received and subsequent payments made or received. Includes health service provider invoices, monthly billing detail statements, state bills to Medicaid, direct vendor payment plans, purchase orders, vendor census reports and related accountability documentation, A12T invoices, vouchers to Accounts and Control, payment support materials, account reconciliation documentation, and related correspondence. Documents the monitoring of contracted service providers for contract compliance purposes. Includes incident reports, inspections; demographic, census, and performance reports; and related correspondence.

RIGL 9-1-13(a); RIGL 35-6-19.

Note: While payments for contracted vendor payrolls may be paid with federal funds, the contracts are state contracts warranting a ten year retention period based on the statute of limitations from RIGL 9-1-13(a). This would also be in keeping with the ten year statute of limitations for medical assistance fraud from RIGL 40-8.2-4.

RIGL 9-1-13(a); RIGL 40-8.2-4.

a) Claims and disbursement documentation involving contracted funds

Retention: Retain ten (10) years after contract close and after final payment and resolution of all pending issues.

b) All other claims and disbursement documentation

Retention: Retain ten (10) years from date of disbursement.

c) Service Provider and Monitoring Review Records –

Retention: Retain ten (10) years after performance of the contract and any actions upon the contract have been finalized.

Note: If records are related to a case in litigation, then these records should be retained during litigation and for a period of seven (7) years after the disposition of litigation.

DVA6 Claim Investigation and Control Records

Documents the monitoring, control, and investigation of program claims and services to protect against the inadvertent or purposeful overpayment of claims or other fiscal misuse of service programs. Includes incident reports, audit reports, background investigatory documentation, and related correspondence for the Collections, Claims and Recoveries Unit, the Fraud Unit, and the Front End Detection (FRED) Unit.

RIGL 9-1-13(a); RIGL 40-8.2-4.

a) Documentation resulting in a change of policy or procedures

Retention: Permanent.

b) Case investigation summaries or logs

Retention: Permanent.

c) Case investigation files

Retention: Retain ten (10) years after final case resolution.

Note: If records are related to a case in litigation, then these records should be retained during litigation and for a period of seven (7) years after the disposition of litigation.

DVA7 Cemetery and Burial Records

All records associated with programs to trace Veterans or other graves in RI, including any plat maps, plot locations, registers, lists, and correspondence relevant to providing support for the same. May include death documentation and burial arrangements.

Retention: Permanent.

DVA8 Veteran's Home Patient Records

Documents the care of individuals who have been admitted to the state veteran's home. Includes admission forms, insurance or payment coverage documentation, medical charts, x-rays, and related correspondence.

RIGL 9-1-14.3 (b), 9-1-14.1(a), 40-8.2-4.

a) Admission logs

Retention: Permanent.

b) Patient case files

Retention: Retain ten (10) years after release from care or three years after the death of resident.

Note: If records are related to a case in litigation, then these records should be retained during litigation and for a period of seven (7) years after the disposition of litigation.

DVA9 Certificates of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules.

RIGL 38-1-10, 38-3-6, 42-8.1-10.

Retention: Permanent.