215.1 Requirements

A. Local departments must ensure that customer information, including verification received from customers at application, interim changes, and redetermination are kept in the Enterprise Content Management Solution (ECMS) or the case record at all times. These documents are physical evidence of what is documented in the narrative.

B. In general, ECMS contains non-CARES documents and those stored within CARES which require a signature. See the ECMS Input User Guide and ECMS Retrieval User Guide in FIPnet Manuals for information on scanning and retrieving documents.

C. Scan all customer documents into ECMS, including signed paper applications and the signed Rights and Responsibilities form.

1. Scan all customer verification and verification from worker-accessed sources such as the Work Number.

2. **Do not shred or retain any of the customer's original documents in a paper case record. Return them to the customer after scanning them.**
   - These documents include copies of birth certificates; marriage licenses, divorce decrees, and other documents that the customer provided for the paper case record.

Imaged documents that are no longer needed, such as the previous year’s Primary Prevention Initiative (PPI) forms, the old lease when the customer has a new address, or a school form for the previous year can be sent to Archive.

D. Retain the following documents in the paper case record.

1. Any documents that pertain to an appeal/fair hearing, administrative hearing; court-ordered audit, disqualification, or intentional program violation (IPV) decision.
   a. Send the paper copies of Fair Hearing requests (appeal forms) to the Office of Administrative Hearings (OAH). Scan the hard copy of the appeals form into OnBase prior to sending it to OAH.
   b. The procedure for providing hard copies of the hearing information to the customer and Administrative Law Judge (ALJ) has not changed.

2. The original signed hard copy of the DHS-312 Vendor Payment form after scanning it into OnBase. Send the hard copy to Finance to process for
payment.

E. The local department determines the layout of a limited paper case record
   - Each Family Investment case manager follows the local department’s prescribed layout to facilitate locating materials

F. Retention Schedules

The standards established for retaining hard copies of case records and their contents apply to retaining electronic documents in the ECMS OnBase system. FIA staff must follow the schedules for FIA as well as for DHMH as they apply to the retention of associated medical assistance program documents. For Long Term Care MA cases, the documents must be retained for a minimum of 6 years.

Intentional Program Violation (IPV) should not be retired. Each IPV penalty builds on the prior penalty (with the exception of the 10 year and permanent penalties) and the documentation needs to be there to justify the action being taken.

G. FIA Electronic Retention Schedule

COMAR 07.07.07.07 (Record Retention) provides for retaining DHS records for the following periods:

1. Three years from the closing of the case
2. At the time of closing of any pending audit covering the records
3. Three years after the latest federal tax refund offset; or
4. Five years after a child support payment has been remitted to the Comptroller as abandoned property

### 215.2 DOCUMENTS – NEVER RETIRED – ACTIVE CASE

A. The following documents are signed and dated at the initial application and are kept in ECMS.
   1. **DHS/FIA CARES 9700 Series** – Assistance Request Forms
   2. **DHS/FIA CARES 9707** – Rights and Responsibilities
   3. **DHS/FIA 1176** – MCO Consent for Release of Confidential Alcohol/Drug Treatment (if the applicant screens positive)
B. The forms listed in ‘A’ above must be signed again if the case closes and reopens at a later date.

C. In addition, retain the following documentation in ECMS permanently:

- Verification of Burial and life insurance policies; investments; real estate; trust funds; miscellaneous assets.

- Work Program documents for conciliation and sanctions; Family Independence Plan; assessments.

- Referrals for family violence and to the Office of the Inspector General.
D. Verifications that do not change must be scanned and kept in ECMS with the originals returned to the customer.

1. Examples include:
   - Social Security Card
   - Birth Certificates

2. If the case closes and re-opens, search for these verifications in ECMS. Do not verify again.

**At local department discretion** use the original case record folder when a case reopens and retire information that is no longer pertinent to current eligibility or set up a new folder and move information from the closed record that is still applicable.

### 215.3 DOCUMENTS – ARCHIVED AT REDETERMINATION OR ANNUALLY

A. Retain the following documents in ECMS until the next redetermination

1. **DHS/FIA CARES 9701** Eligibility Determination Document (EDD) or CARES printout
   a. Archive the previous EDD at redet
   b. A new EDD is needed at each redetermination

2. Review the following verification and request new ones at each redetermination:
   a. Earned income verification (can also be verified through the Work Number).
   b. Unearned income verification, except when changes are known and predictable
   c. Unemployment insurance verification,
d. Social Security Benefits are mass changed annually and then verified at the first redetermination after the change

e. Some unearned income may be verified by the case manager through MABS and SVES

B. Archive the following documents from the case record annually, if replaced with new ones.

1. DHS/FIA 1130 – Verification of Rent and Living Arrangements
   • New verification of rent and living with is required if there is a change
   • Customers do not have to verify housing type.
     o Use the customer’s statement that they live in subsidized housing or they don't live in subsidized housing.
     o Do not verify unless it is questionable.

2. DHS/FIA 1131– Preventive Health Care Form (PPI)
   • Required annually if child is 6 or younger in the calendar year
   • Maintain in ECMS if all individuals are 7 and older and health bonuses were paid in the calendar year

3. DHS/FIA 604 School Verification Form

4. DHS/FIA 604A – School Attendance Form, or alternate proofs

5. Unearned income verification that changes annually

6. Other alternative verifications

215.4 DOCUMENTS – RETAINED IN ECMS UNTIL NO LONGER APPLICABLE TO CURRENT CASE SITUATION

A. Some documents do not have a specific retirement schedule because the information affects eligibility for varying periods

B. Some examples are:

1. Medical verification of disability
   a. Require new medical proof at the end of the specified disability period, but at least annually
b. If the individual is pending SSI, keep in ECMS medical statements, Forms 402B, and other supporting documentation until the SSI decision is made

2. Correspondence with the work program staff

3. Conciliation letters
   o Case managers may want to retain these permanently since only one conciliation period is allowed for non-compliance with child support, work, SSI compliance, and substance abuse requirements

4. Pre-Review findings

5. Quality Control findings

6. Individualized letters

7. **DHS/FIA 1176** – Screening Referral
   a. Retain in ECMS
   b. Retain all other substance abuse treatment information in ECMS

8. The 340, Interim Reimbursement Assistance (IAR) form signed by the customer

9. All other pertinent documents, such as referrals or documentation related to overpayments or fraud

**ADDITIONAL INFORMATION**

- Case record transfer
- Administrative Operations Manual