

Agency Function and Records Summary

Auditor of Public Accounts Commonwealth Office of the Ombudsman

The Commonwealth Office of the Ombudsman is an office within the Kentucky Auditor of Public Accounts, effective July 1, 2024.

The Commonwealth Office of the Ombudsman:

- Investigates, upon complaint or on its own initiative, any administrative act (or inaction) of an organizational unit, employee, or contractor of the Cabinet for Health and Family Services ("CHFS") without regard to the finality of the administrative act (or inaction). Organizational units, employees, or contractors of CHFS shall not willfully obstruct an investigation, restrict access to records or personnel, or retaliate against a complainant or cabinet employee;
- Makes recommendations that resolve citizen complaints about the CHFS and improve the cabinet's performance and may require corrective action when policy violations are identified;
- Provides evaluation and information analysis of CHFS's performance and compliance with state and federal law;
- Places an emphasis on research and best practices, program accountability, quality service delivery, and improved performance of CHFS;
- Provides information on how to contact the office at all offices where Department for Community Based Services of CHFS employees or contractors work, at any facility where a child in the custody of the cabinet resides, and to all cabinet or contracted foster parents;
- Reports to CHFS's Office of Inspector General for review and investigation: (a) Any charge or case against an employee of CHFS where it has cause to believe the employee has engaged in dishonest, unethical, or illegal conduct or practices related to his or her job duties; or (b) A violation of state law or administrative regulation by any organization or individual regulated by or contracted with the cabinet;
- Compiles a report of all citizen complaints about programs or services of CHFS and a summary of resolution of the complaints and submit the report upon request to the Interim Joint Committee ("IJC") on Health Services and the IJC on Families and Children; and
- Provides information to the Office of the Attorney General, when requested, related to substantiated violations of state law against an employee or contractor of CHFS or a foster or adoptive parent.

This is a new records retention schedule for this agency.

Current schedule date: March 13, 2008

Proposed schedule date: September 10, 2026

Additions to the Schedule

- Series 07129, Quality Control Case Reviews Workpapers - TANF
Proposed retention: Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.
Rationale: The proposed retention is consistent with IRS recordkeeping requirements.

- Series 07130, Quality Control Case Reviews Workpapers - CCAP
Proposed retention: Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.
Rationale: The proposed retention is consistent with IRS recordkeeping requirements.
- Series 07131, Quality Advancement Branch – Review Workpapers
Proposed retention: Retain five (5) years after review is completed, then destroy.
Rationale: The proposed retention is consistent with IRS recordkeeping requirements.
- Series 07132, Quality Advancement Branch – Records of Appeal
Proposed retention: Retain five (5) years after the administrative appeal is forwarded for hearing, then destroy.
Rationale: The proposed retention is consistent with IRS recordkeeping requirements.
- Series 07133, Non-Hearable Protection and Permanency Appeal Determination Letters
Proposed retention: Retain permanently.
Rationale: This series has primary administrative need as it documents the review of cases involving protection of children.
- Series 07134, Criminal Background Checks
Proposed retention: Retain five (5) years, then destroy.
Rationale: The IRS requires a successful background check for each employee, contractor, and sub-contractor requiring access to federal tax information within five years from the date of the previous background check per IRS Publication 1075.

Revisions to the Schedule

Changes in retention:

- Series 04145, Client Review File
Current retention: Retain in Agency two (2) years; transfer to the State Records Center for three (3) years; total retention is five (5) years.
Proposed retention: Retain five (5) years after the investigation of a complaint is closed, then destroy.
Rationale: The proposed revision identifies the trigger for retention.
- Series 05544, Quality Control Case Reviews – SNAP
Current retention: Retain in Agency two (2) years; transfer to the State Records Center for one (1) year; total retention is three (3) years.
Proposed retention: Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.
Rationale: The proposed revision identifies the trigger for retention and is consistent with IRS recordkeeping requirements.
- Series 05705, Quality Control Case Reviews - Medicaid
Current retention: Retain in Agency for 1 year after closure, transfer to the State Records Center for one (1) year, then destroy after audit. Total retention is two (2) years.
Proposed retention: Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.

Rationale: The proposed revision identifies the trigger for retention and is consistent with IRS recordkeeping requirements.

- Series 05706, Non-Hearable Protection and Permanency Appeal Requests
Current retention: Retain in Agency three (3) years; transfer to the State Records Center for three (3) years, then destroy. Total retention is six (6) years.
Proposed retention: Retain in Agency for five (5) years after the determination letter is sent, then destroy.
Rationale: The proposed revision identifies the trigger for retention and is consistent with IRS recordkeeping requirements.

**Archives and Records Management Division
Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Auditor of Public Accounts
Ombudsman, Commonwealth Office of

**Record Group
Number
241**

Series	Records Title and Description	Function and Use
07134	Criminal Background Checks	This series documents national and state criminal background checks conducted on prospective and current employees, including contract staff, with access to or use of federal tax information (FTI). Per IRS Publication 1075, 2.C.3, state agencies are required to ensure a reinvestigation is conducted within five (5) years from the date of the previous background investigation for each employee, contractor, and sub-contractr requiring access to FTI.
	Access Restrictions	KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Names, addresses, dates of birth, social security numbers, criminal history information (if applicable), and correspondence.
	Retention and Disposition	Retain five (5) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Auditor of Public Accounts
Ombudsman, Commonwealth Office of
Complaint Review Branch

Record Group
Number
241

Series	Records Title and Description	Function and Use
04145	Client Review File	This series documents the actions of the Ombudsman's Office when a constituent complaint against the Cabinet for Health and Family Services (CHFS) is received. When the Complaint Review Branch (CRB) receives a constituent complaint regarding any program offered by CHFS, it conducts an investigation to resolve the complaint. It may make recommendations for improvement, issue a corrective action plan if a systemic policy violation is identified, or refer the matter to another state agency, if deemed necessary.
	Access Restrictions	KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Constituent correspondence, notes, case management database entries, and documents related to any investigation performed.
	Retention and Disposition	Retain five (5) years after the investigation of a complaint is closed, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Auditor of Public Accounts
Ombudsman, Commonwealth Office of
Quality Advancement Branch

Record Group
Number
241

Series	Records Title and Description	Function and Use
05706	Non-Hearable Protection and Permanency Appeal Requests and Documentation	This series documents the review of cases involving protection of children. KRS Chapter 194 A.010 defines the duties and functions of the Cabinet for Health and Family Services (CHFS). One of the statutory requirements is the delivery of child protective services, including procedures for appealing and responding to appeals regarding substantiated reports of abuse and neglect. Appeal rights are also afforded to those citizens who believe they are being denied services by the Cabinet. Per 922 KAR 1:480 Section 2, a person who has been found by CHFS to have abused or neglected a child may appeal CHFSs finding through an administrative hearing. Likewise, 922 KAR 1:320 Section 2 provides appeal rights to those who believe they are being denied services by CHFS. The Quality Assurance Section processes all incoming DPP-155 (Division of Permanency and Protection), Child Abuse Prevention and Treatment Act (CAPTA) and DPP -154 (Service Appeal) administrative hearing requests. After gathering material from the Department of Community Based Services client file, some requests are determined to be ineligible for a hearing under 922 Kentucky Administrative Regulation 1:480 Section 4 and 922 KAR 1:320 Section 3. A denial letter stating the matter is not appealable through an administrative hearing is sent to the client and the case is filed as being "non-hearable/denied." This series documents the requests that not appealable pursuant to requirements stated in 922 KAR 1:480 Section 4 and 922 KAR 1:320 Section 3.
	Access Restrictions	KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Department of Community Based Services constituent files (in whole or in part), correspondence, protection and permanency case record (in whole or in part), and court documentation related to the case.
	Retention and Disposition	Retain five (5) years after the determination letter is sent, then destroy.
07131	Quality Advancement Branch -- Review Workpapers	This series represents comprehensive reviews conducted by the Quality Advancement Branch (QAB) of services provided by the Cabinet for Health and Family Services (CHFS) without regard to the finality of the administrative act pursuant to KRS 43.035.
	Access Restrictions	KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Constituent correspondence, notes, and documents relating to any investigation performed.
	Retention and Disposition	Retain five (5) years after review is completed, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Auditor of Public Accounts
Ombudsman, Commonwealth Office of
Quality Advancement Branch

Record Group
Number
241

Series	Records Title and Description	Function and Use
07132	Quality Advancement Branch -- Records of Appeal	This series documents work performed by the Quality Advancement Branch (QAB) as to constituent appeals to be then forwarded to the Kentucky Office of the Attorney General. QAB performs this work at its discretion.
	Access Restrictions	KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Constituents' request for appeal and records of appeal (in whole or in part). Records of appeal are preserved by the Kentucky Office of the Attorney General.
	Retention and Disposition	Retain five (5) years after the administrative appeal is forwarded for hearing, then destroy.
07133	Non-Hearable Protection and Permanency Appeal Determination Letters	This series documents the review of cases involving protection of children. KRS 194.010 defines the duties and functions of the Cabinet for Health and Family Services (CHFS). One of the statutory requirements is the delivery of child protective services, including procedures for appealing and responding to appeals regarding substantiated reports of abuse and neglect. Appeal rights are also afforded to those citizens who believe they are being denied services by CHFS. Per 922 KAR 1:480 Section 2, a person who has been found by CHFS to have abused or neglected a child may appeal CHFS's finding through an administrative hearing. Likewise, 922 KAR 1:320 Section 2 provides appeal rights to those who believe they are being denied services by CHFS. The Quality Assurance Section processes all incoming DPP-155 (Division of Permanency and Protection), Child Abuse Prevention Treatment Act (CAPTA) and DPP-154 (Service Appeal) administrative hearing requests. After gathering material from the DCBS constituent file, some requests are determined to be ineligible for a hearing under 922 KAR 1:480 Section 4 and 9 KAR 1:320 Section 3. A denial letter stating the matter is not appealable through an administrative hearing is sent to the constituent and the case is filed as being "non-hearable/denied."
	Access Restrictions	KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Determination letters on non-hearable protection and permanency appeal requests.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Auditor of Public Accounts
Ombudsman, Commonwealth Office of
Quality Control Review Branch

Record Group
Number
241

Series	Records Title and Description	Function and Use
05544	Quality Control Case Reviews Workpapers - SNAP	This series documents the review of randomly selected samples of active and denied Supplemental Nutrition Assistance Program (SNAP) cases from the state to determine the Cabinet for Health and Family Services' (CHFS) compliance with state and federal law. CHFS is statutorily required to implement and administer SNAP in accordance with federal mandates as stated in 7 U.S.C. § 2020(e)(2)(B). The federal government requires quality control for SNAP cases.
	Access Restrictions	KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and 42 USC 1320d et seq. - Confidentiality of individually identifiable health information. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Department of Community Based Services (DCBS) case files, case reviews, summary of contents, analysts' conclusions, correspondence, applications, and income information.
	Retention and Disposition	Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.
05705	Quality Control Case Reviews Workpapers - Medicaid	This series documents monthly reviews completed by Quality Control Analysts. The Cabinet for Health and Family Services (CHFS) is statutorily required to administer the state's Medicaid Program. Pursuant to 42 CFR § 43 Subpart E and KRS Chapter 205, CHFS shall conduct reviews of the Medicaid Program to ensure proper management of the program and to conduct measures necessary or useful in controlling fraud and abuse. The analysts determine the correctness of benefits received by constituents and whether appropriate actions were taken by Department of Community Based Services workers.
	Access Restrictions	KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Department of Community Based Services (DCBS) constituent files, which may include name, home address, Social Security number, date of birth, medical history, and expenses; correspondence; and Quality Review Control Review Findings.
	Retention and Disposition	Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government Auditor of Public Accounts Ombudsman, Commonwealth Office of Quality Control Review Branch

Record Group
Number
241

Series	Records Title and Description	Function and Use
07129	Quality Control Case Reviews Workpapers - TANF	This series documents desk reviews conducted by the Quality Control Review Branch (QCB). QCB conducts comprehensive reviews of Cabinet for Health and Family Services programs that are federally funded via the Temporary Assistance for Needy Families (TANF) program, such as the Kentucky Transitional Assistance Program (KTAP) and the Kentucky Works Program (KWP). Each month, QCB randomly selects cases to review for procedural, system, and error trends.
	Access Restrictions	KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Correspondence, notes, and documents relating to any investigation performed.
	Retention and Disposition	Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.
07130	Quality Control Case Reviews Workpapers - CCAP	This series documents desk reviews conducted by the Quality Control Review Branch (QCB). QCB conducts comprehensive reviews of the Cabinet for Health and Family Services' Child Care Assistance Program (CCAP), which is federally funded via the Child Care and Development Block Grant Act, 42 USC § 9857 et seq. Each month, QCB randomly selects cases to review for procedural, system, and error trends.
	Access Restrictions	KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Correspondence, notes, and documents relating to any investigation performed.
	Retention and Disposition	Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	241	2. SERIES NO.	07134
3. ORIGINATING AGENCY	Commonwealth Office of the Ombudsman		
4. ADMINISTRATIVE UNIT			
5. PHYSICAL CUSTODIAN	Ombudsman, Commonwealth Office of		
COMPILER	Cathrine Giles 502.564.1702	DATE	08-17-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Criminal Background Checks		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original/Duplicate		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	None		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. N/A		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency	State Records Center	State Archivists
15. VOLUME:			
16. ANNUAL ACCUMULATION	(Cu. Ft.)		
17. REFERENCE RATE	(Number of times you use each year's accumulation) 1st Year 2nd Year 3-5 Years More than 5 Years		
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents national and state criminal background checks conducted on prospective and current employees, including contract staff, with access to or use of federal tax information (FTI). Per IRS Publication 1075, 2.C.3, state agencies are required to ensure a reinvestigation is conducted within five (5) years from the date of the previous background investigation for each employee, contractor, and sub-contractor requiring access to FTI.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Names, addresses, dates of birth, social security numbers, criminal history information (if applicable), and correspondence.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Administrative Retention Value
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

N/A

32. DISPOSITION INSTRUCTIONS

Retain five (5) years, then destroy.

Records Analyst Signature

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	241	2. SERIES NO.	04145
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Auditor of Public Accounts		
5. PHYSICAL CUSTODIAN	Complaint Review Branch		
COMPILER	Cathrine Giles 502.564.1702	DATE	08-04-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Client Review File		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Alphabetical by clients last name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1990 to Present	State Records Center 1981 to 1989	State Archivists
15. VOLUME:	24 cf	42 cf	
16. ANNUAL ACCUMULATION	(Cu. Ft.) 24 cf		
17. REFERENCE RATE	(Number of times you use each year's accumulation) 1st Year 2nd Year 3-5 Years More than 5 Years		
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents the actions of the Ombudsman's Office when a constituent complaint against the Cabinet for Health and Family Services (CHFS) is received. When the Complaint Review Branch (CRB) receives a constituent complaint regarding any program offered by CHFS, it conducts an investigation to resolve the complaint. It may make recommendations for improvement, issue a corrective action plan if a systemic policy violation is identified, or refer the matter to another state agency, if deemed necessary.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Constituent correspondence, notes, case management database entries, and documents related to any investigation performed.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

Weekly/Monthly Activity Reports (M0029) (As requested)

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Y Administrative Retention Value 3 Years
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

These records have primary administrative value because they demonstrate what the agency has done (or not done) to provide benefits to its clientele.

32. DISPOSITION INSTRUCTIONS

Retain in the Agency Office for 5 years and then destroy.

Records Analyst Signature

Pam Compton

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION
Archives and Records Management Division
Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	241	2. SERIES NO.	05706
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Auditor of Public Accounts		
5. PHYSICAL CUSTODIAN	Quality Advancement Branch		
COMPILER	Cathrine Giles 502.564.1702	DATE	08-04-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Non-Hearable Protection and Permanency Appeal Requests and Documentation		
7. VARIANT TITLE	Non-Hearable Files		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Chronological by year; then alphabetical by clients last name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 2003 to present	State Records Center	State Archivists
15. VOLUME:	28 CF		
16. ANNUAL ACCUMULATION (Cu. Ft.)	28 CF		
17. REFERENCE RATE (Number of times you use each year's accumulation)	1st Year 1 2nd Year 1 3-5 Years More than 5 Years		

18. FUNCTION AND USE (For what purpose is/was record created? What activity, process or transaction does it document?)

This series documents the review of cases involving protection of children. KRS Chapter 194 A.010 defines the duties and functions of the Cabinet for Health and Family Services (CHFS). One of the statutory requirements is the delivery of child protective services, including procedures for appealing and responding to appeals regarding substantiated reports of abuse and neglect. Appeal rights are also afforded to those citizens who believe they are being denied services by the Cabinet. Per 922 KAR 1:480 Section 2, a person who has been found by CHFS to have abused or neglected a child may appeal CHFSs finding through an administrative hearing. Likewise, 922 KAR 1:320 Section 2 provides appeal rights to those who believe they are being denied services by CHFS. The Quality Assurance Section processes all incoming DPP-155 (Division of Permanency and Protection), Child Abuse Prevention and Treatment Act (CAPTA) and DPP -154 (Service Appeal) administrative hearing requests. After gathering material from the Department of Community Based Services client file, some requests are determined to be ineligible for a hearing under 922 Kentucky Administrative Regulation 1:480 Section 4 and 922 KAR 1:320 Section 3. A denial letter stating the matter is not appealable through an administrative hearing is sent to the client and the case is filed as being "non-hearable/denied." This series documents the requests that not appealable pursuant to requirements stated in 922 KAR 1:480 Section 4 and 922 KAR 1:320 Section 3.

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Department of Community Based Services constituent files (in whole or in part), correspondence, protection and permanency case record (in whole or in part), and court documentation related to the case.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Y	Administrative Retention Value	3	Years
	Legal Retention Value		
	Fiscal Retention Value		
	Research Retention Value		
	Intrinsic Retention Value		
	Historic Retention Value		

30. RATIONALE FOR RETENTION

These records have primary administrative value as they demonstrate what the agency has done (or not done) beyond the normal administrative avenues to help the clientele.

32. DISPOSITION INSTRUCTIONS

Retain five (5) years after the determination letter is sent, then destroy.

Records Analyst Signature

Pam Compton

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	241	2. SERIES NO.	07131
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Auditor of Public Accounts		
5. PHYSICAL CUSTODIAN	Quality Advancement Branch		
COMPILER	Cathrine Giles 502.564.1702	DATE	08-17-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Quality Advancement Branch -- Review Workpapers		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original/Duplicate		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	None		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. N/A		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency	State Records Center	State Archivists
15. VOLUME:			
16. ANNUAL ACCUMULATION	(Cu. Ft.)		
17. REFERENCE RATE	(Number of times you use each year's accumulation) 1st Year 2nd Year 3-5 Years More than 5 Years		
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series represents comprehensive reviews conducted by the Quality Advancement Branch (QAB) of services provided by the Cabinet for Health and Family Services (CHFS) without regard to the finality of the administrative act pursuant to KRS 43.035.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Constituent correspondence, notes, and documents relating to any investigation performed.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Administrative Retention Value
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

N/A

32. DISPOSITION INSTRUCTIONS

Retain five (5) years after review is completed, then destroy.

Records Analyst Signature

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	241	2. SERIES NO.	07132
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Auditor of Public Accounts		
5. PHYSICAL CUSTODIAN	Quality Advancement Branch		
COMPILER	Cathrine Giles 502.564.1702	DATE	08-17-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Quality Advancement Branch -- Records of Appeal		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original/Duplicate		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	None		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. N/A		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency	State Records Center	State Archivists
15. VOLUME:			
16. ANNUAL ACCUMULATION	(Cu. Ft.)		
17. REFERENCE RATE	(Number of times you use each year's accumulation) 1st Year 2nd Year 3-5 Years More than 5 Years		
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents work performed by the Quality Advancement Branch (QAB) as to constituent appeals to be then forwarded to the Kentucky Office of the Attorney General. QAB performs this work at its discretion.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Constituents' request for appeal and records of appeal (in whole or in part). Records of appeal are preserved by the Kentucky Office of the Attorney General.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Administrative Retention Value
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

N/A

32. DISPOSITION INSTRUCTIONS

Retain five (5) years after the administrative appeal is forwarded for hearing, then destroy.

Records Analyst Signature

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION
Archives and Records Management Division
Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	241	2. SERIES NO.	07133
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Auditor of Public Accounts		
5. PHYSICAL CUSTODIAN	Quality Advancement Branch		
COMPILER	Cathrine Giles 502.564.1702	DATE	08-17-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Non-Hearable Protection and Permanency Appeal Determination Letters		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original/Duplicate		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	None		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. N/A		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency	State Records Center	State Archivists
15. VOLUME:			
16. ANNUAL ACCUMULATION	(Cu. Ft.)		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year	2nd Year	3-5 Years
			More than 5 Years

18. FUNCTION AND USE (For what purpose is/was record created? What activity, process or transaction does it document?)

This series documents the review of cases involving protection of children. KRS 194.010 defines the duties and functions of the Cabinet for Health and Family Services (CHFS). One of the statutory requirements is the delivery of child protective services, including procedures for appealing and responding to appeals regarding substantiated reports of abuse and neglect. Appeal rights are also afforded to those citizens who believe they are being denied services by CHFS. Per 922 KAR 1:480 Section 2, a person who has been found by CHFS to have abused or neglected a child may appeal CHFS's finding through an administrative hearing. Likewise, 922 KAR 1:320 Section 2 provides appeal rights to those who believe they are being denied services by CHFS. The Quality Assurance Section processes all incoming DPP-155 (Division of Permanency and Protection), Child Abuse Prevention Treatment Act (CAPTA) and DPP-154 (Service Appeal) administrative hearing requests. After gathering material from the DCBS constituent file, some requests are determined to be ineligible for a hearing under 922 KAR 1:480 Section 4 and 9 KAR 1:320 Section 3. A denial letter stating the matter is not appealable through an administrative hearing is sent to the constituent and the case is filed as being "non-hearable/denied."

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Determination letters on non-hearable protection and permanency appeal requests.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Administrative Retention Value
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

N/A

32. DISPOSITION INSTRUCTIONS

Retain permanently.

Records Analyst Signature

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	241	2. SERIES NO.	05544
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Auditor of Public Accounts		
5. PHYSICAL CUSTODIAN	Quality Control Review Branch		
COMPILER	Cathrine Giles 502.564.1702	DATE	08-04-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Quality Control Case Reviews Workpapers - SNAP		
7. VARIANT TITLE	FNS-380-1 or FNS 245		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Chronological by year, then case review number		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 2006 to present	State Records Center 1998 to 2005	State Archivists
15. VOLUME:	192 CF	180 CF	
16. ANNUAL ACCUMULATION	(Cu. Ft.) 96 CF		
17. REFERENCE RATE	(Number of times you use each year's accumulation) 1st Year 1 2nd Year 1 3-5 Years More than 5 Years		
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents the review of randomly selected samples of active and denied Supplemental Nutrition Assistance Program (SNAP) cases from the state to determine the Cabinet for Health and Family Services' (CHFS) compliance with state and federal law. CHFS is statutorily required to implement and administer SNAP in accordance with federal mandates as stated in 7 U.S.C. § 2020(e)(2)(B). The federal government requires quaiity control for SNAP cases.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Department of Community Based Services (DCBS) case files, case reviews, summary of contents, analysts' conclusions, correspondence, applications, and income information.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and 42 USC 1320d et seq. - Confidentiality of individually identifiable health information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Y Administrative Retention Value 3 Years
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

These records have primary administrative value because they demonstrate what the agency has done (or not done) to provide benefits to its clientele.

32. DISPOSITION INSTRUCTIONS

Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.

Records Analyst Signature

Pam Compton

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	241	2. SERIES NO.	05705
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Auditor of Public Accounts		
5. PHYSICAL CUSTODIAN	Quality Control Review Branch		
COMPILER	Cathrine Giles 502.564.1702	DATE	08-04-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Quality Control Case Reviews Workpapers - Medicaid		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Chronological by year, then by review number		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 2005 to present	State Records Center 2000 to 2003	State Archivists
15. VOLUME:	76 CF	190 CF	
16. ANNUAL ACCUMULATION	(Cu. Ft.) 38 CF		
17. REFERENCE RATE	(Number of times you use each year's accumulation) 1st Year 1 2nd Year 1 3-5 Years More than 5 Years		
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents monthly reviews completed by Quality Control Analysts. The Cabinet for Health and Family Services (CHFS) is statutorily required to administer the state's Medicaid Program. Pursuant to 42 CFR § 43 Subpart E and KRS Chapter 205, CHFS shall conduct reviews of the Medicaid Program to ensure proper management of the program and to conduct measures necessary or useful in controlling fraud and abuse. The analysts determine the correctness of benefits received by constituents and whether appropriate actions were taken by Department of Community Based Services workers.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Department of Community Based Services (DCBS) constituent files, which may include name, home address, Social Security number, date of birth, medical history, and expenses; correspondence; and Quality Review Control Review Findings.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

Federal Internal and Quality Control Reports

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? Y

If Yes, list AUDITING AGENCY (Federal, State, Internal) Federal Center for Medicare

27. AUDIT RETENTION REQUIREMENT 2 Years

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Y	Administrative Retention Value	I
	Legal Retention Value	
	Fiscal Retention Value	
	Research Retention Value	
	Intrinsic Retention Value	
	Historic Retention Value	

30. RATIONALE FOR RETENTION

These records have primary administrative value because they demonstrate what the agency has done (or not done) to correctly provide benefits to its clientele.

32. DISPOSITION INSTRUCTIONS

Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.

Records Analyst Signature

Pam Compton

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	241	2. SERIES NO.	07129
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Auditor of Public Accounts		
5. PHYSICAL CUSTODIAN	Quality Control Review Branch		
COMPILER	Cathrine Giles 502.564.1702	DATE	08-04-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Quality Control Case Reviews Workpapers - TANF		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original/Duplicate		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	None		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. N/A		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency	State Records Center	State Archivists
15. VOLUME:			
16. ANNUAL ACCUMULATION	(Cu. Ft.)		
17. REFERENCE RATE	(Number of times you use each year's accumulation) 1st Year 2nd Year 3-5 Years More than 5 Years		
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents desk reviews conducted by the Quality Control Review Branch (QCB). QCB conducts comprehensive reviews of Cabinet for Health and Family Services programs that are federally funded via the Temporary Assistance for Needy Families (TANF) program, such as the Kentucky Transitional Assistance Program (KTAP) and the Kentucky Works Program (KWP). Each month, QCB randomly selects cases to review for procedural, system, and error trends.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Correspondence, notes, and documents relating to any investigation performed.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Administrative Retention Value
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

N/A

32. DISPOSITION INSTRUCTIONS

Retain in the Agency Office for 5 years and then destroy.

Records Analyst Signature

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	241	2. SERIES NO.	07130
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Auditor of Public Accounts		
5. PHYSICAL CUSTODIAN	Quality Control Review Branch		
COMPILER	Cathrine Giles 502.564.1702	DATE	08-17-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Quality Control Case Reviews Workpapers - CCAP		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original/Duplicate		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	None		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. N/A		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency	State Records Center	State Archivists
15. VOLUME:			
16. ANNUAL ACCUMULATION	(Cu. Ft.)		
17. REFERENCE RATE	(Number of times you use each year's accumulation) 1st Year 2nd Year 3-5 Years More than 5 Years		
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents desk reviews conducted by the Quality Control Review Branch (QCB). QCB conducts comprehensive reviews of the Cabinet for Health and Family Services' Child Care Assistance Program (CCAP), which is federally funded via the Child Care and Development Block Grant Act, 42 USC § 9857 et seq. Each month, QCB randomly selects cases to review for procedural, system, and error trends.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Correspondence, notes, and documents relating to any investigation performed.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 43.035(2)(i) - Office shall maintain confidentiality; KRS 61.878(1)(a) - personal privacy; KRS 205.175 - public assistance programs records are privileged; and KRS 620.050 - Confidentiality of records related to the investigation of child abuse, dependency and neglect. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Administrative Retention Value
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

N/A

32. DISPOSITION INSTRUCTIONS

Retain five (5) years after the close of the relevant fiscal year to which the review pertained, then destroy.

Records Analyst Signature

Date