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3000 Purpose and Statutory Authority

These rules have been established to provide guidance regarding conducting administrative review conferences and the maintenance of administrative review records. Nothing in these rules is intended to permit or require sharing information which is restricted or protected from such sharing by federal or state statute or regulation, or to prevent disclosure when otherwise authorized by law.

These rules cover the following:

1. The conduct of reviews of substantiation decisions.
2. The conduct of reviews of expungement petitions.
3. The maintenance of records related to reviews of substantiation decisions and expungement petitions.

The statutory authority for these regulations can be found at 33 V.S.A. §4922.

3001 Definitions

1. "Administrative Case Review Unit" means the administrative reviewers contracted by the department to conduct administrative case review conferences and the individuals who provide administrative and technical training and other support to administrative case reviewers.
2. "Administrative Reviewer" means a neutral and independent arbiter who has no prior involvement in the original investigation of the allegation.
3. "Administrative Review Conference" means a meeting between the grievant, an administrative reviewer and whenever possible a department employee for the purpose of reviewing the contents of the redacted investigation file, the positions of the grievant and the department in order to determine whether substantiation standards have been met under law and policy. An administrative review conference may also be held to assess whether the grievant has satisfied statutory expungement standards.
4. "Child" means an individual under the age of majority.
5. "Child Protection Registry" is a database of all investigations that have resulted in a substantiated report of child abuse or neglect on or after, January 1, 1992 unless expunged or overturned.
6. "Expungement" means the removal of a person's name from the Child Protection Registry, following a meeting to consider a person's petition to expunge or in compliance with a decision to expunge by the Human Services Board or other legal authority.
7. "Grievant" means
 - a. any person who, after investigation by the Department, is determined to have abused or neglected a child and whose name has already been entered into the Child Protection Registry or who has been informed that the Department intends to place the grievant's name into the Child Protection Registry.
 - b. any person who has petitioned for expungement from the Child Protection Registry.
 - c. any person who has appealed to the Human Services Board for reconsideration of the department's decision to place or maintain the person's name on the Child Protection Registry.

8. "Overturn" means the decision to rescind a substantiation determination - by an Administrative Reviewer following an Administrative Review Conference or by the Commissioner or designee.
9. "Redacted Investigation File" means the intake report, the investigation activities summary, and case determination report or equivalent documents that are amended in accordance with confidentiality requirements set forth in subsection 4913(d) of 33 V.S.A.
10. "Registry Record" means an entry in the Child Protection Registry that consists of the name of a person substantiated for child abuse or neglect, the date of the finding, the nature of the finding and at least one other personal identifier, other than a name, listed in order to avoid the possibility of misidentification.
11. "Substantiated report" or "substantiation" means that the Commissioner or the Commissioner's designee has determined after investigation that a report is based upon accurate and reliable information that would lead a reasonable person to believe that the child has been abused or neglected.
12. "Uphold" means the decision by an Administrative Reviewer following an Administrative Review Conference to affirm a substantiation determination.

3002 Persons Placed on the Child Protection Registry

The following persons' names are contained in the child protection registry:

1. All persons found to be the subject of a substantiated report of child abuse or neglect on or after January 1, 1992 and before September 1, 2007, unless that substantiation has since been overturned or expunged.
2. All persons found to be the subject of a substantiated report of child abuse or neglect after September 1, 2007 when no administrative review was requested or whose substantiation was upheld after an administrative review, unless that substantiation has since been overturned or expunged.
3. The Commissioner may place the name of a person on the Child Protection Registry pending an independent review, if the person is alleged to have sexually abused or seriously physically abused a child. The Commissioner may not delegate this authority. The Commissioner must review the investigation file and make written findings regarding:
 - (i) The nature and seriousness of the alleged behavior; and

- (ii) The person's continuing access to children.
- 4. Individuals with a substantiation not upheld by independent review when, in exceptional circumstances, the Commissioner, in his or her sole and non-delegable discretion, reconsiders any decision made by a review and determines that the case meets the standard for substantiation. If the name of the person has been placed on the registry and the substantiation is subsequently rejected after a Human Services Board hearing, the name shall be removed.

3003 Establishment of the Administrative Case Review Unit

The department shall establish an administrative case review unit within the department and contract for the services of administrative reviewers.

3004 Challenging Placement on the Child Protection Registry

3004.01 Challenging Placement on the Child Protection Registry for Substantiations Before September 1, 2007

Persons whose names were placed on the child protection registry on or after January 1, 1992 but prior to September 1, 2007 are entitled to seek an administrative review at any time, to challenge the accuracy of the substantiation decision.

3004.02 Challenging Placement on the Child Protection Registry on or After September 1, 2007

Persons whose name the department intends to place on the child protection registry on or after September 1, 2007 are entitled to seek an administrative review before their name is placed on the registry. If the commissioner had placed the person's name on the registry before the administrative review, the administrative review shall determine if the person's name remains on the registry.

The person must notify the department within 14 days of the date the department mailed notice of the right to review. The Commissioner may grant an extension past the 14-day period for good cause, not to exceed 28 days after the department has mailed notice of the right to review. This provision shall also apply to persons placed on the Registry pursuant to 33 V.S.A. 4916(a)(2).

If no administrative review is requested, the department's decision in the case shall be final, and the grievant shall have no further right to an administrative review. The commissioner may grant a waiver and permit such a review upon

good cause shown. Good cause may include an acquittal or dismissal of a criminal charge arising from the incident of abuse or neglect.

3004.03 *Request to Stay an Administrative Review*

The administrative review may be stayed upon request of the grievant if there is a related criminal or family court case pending in court which arose out of the same incident of abuse or neglect for which the grievant was substantiated. During the period the review is stayed, the grievant's name shall be placed on the Registry. Upon resolution of the criminal or family court case, the grievant may exercise his or her right to an administrative review by notifying the department.

3005 Procedures for Conducting an Administrative Review

3005.01 *Timeframes for Conduct of Review*

An administrative review conference shall be held within 35 days of receipt of the request for review.

3005.02 *Department's Provision of Redacted Investigation File*

At least ten days prior to the administrative review conference, the department shall provide to the grievant a copy of the redacted investigation file and notice of time and place of the conference.

The department shall also provide redacted investigation files for prior investigations relied upon by the department to make the substantiation determination in the case for which the review conference was requested.

3005.03 *Opportunity for Grievant to Provide Documents and Other Information*

At least ten days prior to the administrative review conference, the department shall provide to the grievant information about conference procedures, including how the grievant may submit documents and other information to the reviewer.

At the administrative review conference, the grievant shall be provided with the opportunity to present documents or other information that supports his or her position and provides information to the reviewer in making the most accurate decision regarding the allegation.

3005.04 *Format for Administrative Review Conference*

The administrative review conference will be held in person, unless the grievant requests that it be held by teleconference.

3005.05 *Timeframes for Decision of the Administrative Reviewer*

Within seven days of the conference, the administrative reviewer shall:

1. Reject or overturn the department's substantiation determination;
2. Accept the department's substantiation; or
3. Place the substantiation determination on hold and direct the department to further investigate the case based upon recommendations of the reviewer.

Within seven days of the decision to reject or accept or to place the substantiation on hold, the administrative reviewer shall provide notice to the grievant of the decision. If the administrative reviewer accepts the department's substantiation, the notice shall advise the grievant of the right to appeal to the Human Services Board.

3005.06 *Creation of a Registry Record Following an Administrative Review*

If the administrative reviewer accepts the department's substantiation determination, a registry record shall be made immediately. If the reviewer rejects the department's substantiation determination, no registry record shall be made.

3005.07 *Commissioner's Reconsideration of the Decision of an Administrative Reviewer*

In exceptional circumstances, the Commissioner, in his or her sole and non-delegable discretion, may reconsider any decision made by a reviewer.

A commissioner's decision that creates a registry record may be appealed to the Human Services Board as provided in statute.

3005.08 *Appeals of Substantiation Decisions to the Human Services Board*

Within 30 days of the date on which the administrative reviewer mailed notice of placement on the Registry, the grievant may apply for relief, in writing, to the Human Services Board.

When the department receives notice of the appeal, it shall make note in the registry record that the substantiation has been appealed to the Board.

If no review by the Board is requested, the department's decision in the case shall be final, and the grievant shall have no further right of review.

3006 Procedures for Conducting an Expungement Review

3006.01 Eligibility for a Petition for Expungement

The following persons may request a review for the purposes of expungement of an individual entry in the Child Protection Registry:

1. A person whose name has been placed on the registry prior to July 1, 2009 and has been listed on the registry for at least three years.
2. A person whose name has been placed on the registry on or after July 1, 2009 and has been listed on the registry:
 - a. if designated Level 1 pursuant to section 8007.01 of these rules, for at least seven years;
 - b. if designated Level 2 pursuant to section 8007.02 of these rules, for at least three years.
3. A person substantiated for behavior occurring before the person reached 18 years of age and whose name has been listed on the registry for at least three years.

A person may seek an expungement review no more than once every 36 months.

3006.02 Conducting the Review of the Petition to Expunge

A review of a petition to expunge may be conducted by the commissioner's designee or by an administrative reviewer.

The grievant shall have the burden of proving that a reasonable person would believe that he or she no longer presents a risk to the safety or well-being of children.

The grievant shall be provided with the opportunity to present any evidence or other information, including witnesses that support his or her request for expungement.

3006.03 Format for Expungement Review

The expungement review conference will be held in person, unless the grievant requests it be held by teleconference.

3006.04 Factors to be Considered by the Commissioner

Factors to be considered by the Commissioner during an expungement review shall include:

1. The nature of the substantiation that resulted in the grievant's name being placed on the registry;
2. The number of substantiations, if more than one;
3. The amount of time that has elapsed since the substantiation;
4. The circumstances of the substantiation that would indicate whether a similar incident would be likely to occur;
5. Any activities that would reflect upon the grievant's changed behavior or circumstances, such as therapy, employment, or education;
6. References that attest to the grievant's good moral character.

3006.05 Appeal of Expungement Decision to the Human Services Board

Within 30 days of the date on which the commissioner mailed notice of the expungement decision, the grievant may appeal the decision to the Human Services Board.

The grievant shall be prohibited from challenging his or her substantiation before the Board, and the sole issue for the Board's consideration shall be whether the commissioner abused his or her discretion in denial of the petition for expungement.

The Human Services Board review of an expungement decision is not a de novo review. Determinations of credibility of witnesses made by the commissioner shall be given deference by the Board.

3006.06 Automatic Expungement of Registry Records of Persons Under the Age of 18.

A Registry record concerning a person who was substantiated for behavior occurring before the person reached 10 years of age shall be expunged when the person reaches the age of 18, provided that the person has not acquired any subsequent registry record.

3007 Maintenance of Administrative and Expungement Review Records

Records and materials concerning the administrative review decision shall be maintained in the related Department case file at the conclusion of the administrative review process. Such records and materials shall be identified as administrative review materials before placement in the department case file.