STATE OF VERMONT SPECIFIC RECORD SCHEDULE
Issued to: Vermont Parole Board
Published: 3/6/2013

Vermont State Archives and Records Administration
Vermont Office of the Secretary of State
www.vermont-archives.org/records/schedules

AGENCY SPECIFIC RECORD SCHEDULE FOR: Vermont Parole Board

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 approved by the state archivist pursuant to subdivision 117(a)(5) of Title 3. (1 V.S.A. § 317a)

Scope: This agency specific record schedule is applicable only to the records listed on this record schedule that are produced or acquired during the course of agency business. Records are any written or recorded information, regardless of physical form or characteristics, and includes electronic or digital records and data. (1 V.S.A. § 317)

Use: This is an agency specific record schedule (SRS). The agency (Vermont Parole Board) may develop its own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. Records that need to be retained until OBSOLETE must be supported by an internal policy that clearly states a specific retention requirement that best meets the agency's administrative needs. Specific Record Schedule (SRS) numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a.

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. Please see Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.

Retention: This agency specific record schedule reflects the retention and disposition requirements for the following records regardless of their media, format, or mode of transmission. Duplicate records within the same agency that are used for specific legal, fiscal, or administrative purposes may be either retained using the retention requirement listed in this schedule or in accordance to an internal policy. Any copies of records made only for convenience of reference or informational purposes may be discarded when no longer needed unless otherwise directed through an internal policy. Duplicates or copies of records shall not be retained longer than the original records.

Adopted by: Signature on file. Approved by Vermont Parole Board Chair Dean George on 3/25/13.

Dean George, Chair / Vermont Parole Board *Date*

SRS-1430.1108: Parole Hearing Records

SRS-1430.1108: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the conduct of hearings and deliberations related to parole and/or supervised community sentences.

Classification: Parole (Adjudicating)

Retention: With the exception of agreements, calendars, and registers, retain records related to an offender's parole case until the term of parole supervision has ended and the Parole Board closed the case, plus six (6) years, then destroy. In the event the offender or parolee dies, retain the records for six (6) years after the date of death and then destroy.

Registers or systems that serve as the formal list of individuals seeking parole shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of the parole granting process may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory Records).

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1430.1108 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1430.1108.5 **Agreements** Public Access: ***Redact***	Use for parole agreements.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1430.1108.19 **Calendars** Public Access: ***Redact***	Use for schedules of parole hearings.	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (Shred)
SRS-1430.1108.53 **Correspondence (Substantive)** Public Access: ***Redact***	Use for correspondence that has significant administrative value and/or supports decisions concerning parole made by the board.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)

SRS-1430.1108.133 **Decisions** Public Access: ***Redact***	Use for all decisions and orders issued by the board.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1430.1108.40 **Exhibits** Public Access: ***Exempt***	Use for all documents produced by parties and exhibited as proof of facts that, if accepted into evidence, are marked for identification and considered part of the parole file. Includes reports and parole packets.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1430.1108.50 **Notices, Legal** Public Access: ***Redact***	Use for official, written statements, notices, or announcements issued or received by the board that are required by law. Includes hearing notices.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)
SRS-1430.1108.67 **Petitions** Public Access: ***Redact***	Use for formal written applications made to the board requesting action on parole matters. Include petitions for discharge.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1430.1108.81 **Registers** Public Access: ***Redact***	Use for register or system where parole hearing information, decisions and agreements are recorded and summarized.	Conditional Archival	RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm
SRS-1430.1108.121 **Subpoenas** Public Access: ***Redact***	Use for subpoenas issued by the board.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1430.1108.94 **Summaries** Public Access: ***Redact***	Use for summaries of parole decision and supporting evidence.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1430.1108.36 **Supporting material** Public Access: ***Exempt***	Use for supporting information gathered and used in the process of decision-making. Includes completed risk instruments and hearing recordings.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)

SRS-1430.1108.150 **Waivers** Public Access: ***Redact***	Use for hearing waivers requested and granted to offenders and victims.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1430.1108.102 **Warrants** Public Access: ***Redact***	Use for warrants issued by the board.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)

SRS-1430.1108 was approved by the Vermont State Archivist on 3/6/2013.

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 but not always.	Assigned to records that meet the conditions of a "Vermont Archival Record" under special circumstances.
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.

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.

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.

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 indefinitely. 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 temporary records from archival records in accordance with the approved records schedule.	Assigned to records that have been appraised as conditional archival. Upon weeding the temporary records from the archival records, transfer archival records to the Archives.

Appendix E: Legal References

SRS-1430.1108: Parole Hearing Records		*Review for Exemption?*
1 V.S.A. § 313	Executive sessions	Yes
28 V.S.A. § 204	Submission of written report; protection of records [related to pre-sentencing]	Yes
28 V.S.A. § 352	Supervised community sentence	No
28 V.S.A. § 354	Rules of parole board	No
28 V.S.A. § 362	Duration of supervised community sentence	No
28 V.S.A. § 363	Summons or arrest of person serving a supervised community sentence	No
28 V.S.A. § 364	Release pending hearing [related to supervised community sentence]	No
28 V.S.A. § 365	Notification of board; hearing [related to violations of supervised community sentence]	No
28 V.S.A. § 371	Authority of the parole board	No
28 V.S.A. § 372	Disposition alternatives upon violation [related to supervised community sentence]	No
28 V.S.A. § 373	Review of revocation [related to supervised community sentence]	No
28 V.S.A. § 374	Witnesses; production of records [related to supervised community sentences]	No
28 V.S.A. § 403	Powers and responsibilities of the commissioner regarding parole	No
28 V.S.A. § 452	Official seal; records [related to parole]	No
28 V.S.A. § 502	Parole interviews and reviews	No
28 V.S.A. § 502a	Release on parole	No
28 V.S.A. § 502b	Terms and conditions of parole	No
28 V.S.A. § 502c	Parole agreement	No
28 V.S.A. § 504	Witnesses; production of records [related to parole]	No

28 V.S.A. § 505	Cooperation of correctional facility officials	No
28 V.S.A. § 506	Termination and discharge [related to parole]	No
28 V.S.A. § 507	Notification to victim and opportunity to testify [related to parole]	No
28 V.S.A. § 551	Issuance of warrant; arrest without a warrant; confinement pending hearing; authority of correctional officers and law enforcement officers	No
28 V.S.A. § 552	Notification of board; hearing [related to parole violation]	No
28 V.S.A. § 553	Ineligibility for future parole	No
33 V.S.A. § 5117	Records of juvenile judicial proceedings	Yes
Vermont Parole Board (2008)	Vermont Parole Board Manual	No