

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Issued to: Human Services, Agency of

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Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

AGENCY SPECIFIC RECORD SCHEDULE FOR: Human Services, Agency of

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, as defined in 3 V.S.A. § 117(a)(6), that has been approved by the State Archivist. (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 (Human Services, Agency of) may develop its own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. For records required to be retained until OBSOLETE, an internal policy that clearly states specific retention requirements that best meet the agency's administrative needs is highly advised. 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. Signed by Secretary Michael Smith on 5/28/21.

Michael K. Smith, Secretary / Human Services, Agency of

Date

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1290.1002: Agency of Human Services Accounting Records

SRS-1290.1002: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the system of recording and summarizing business and financial transactions and analyzing, verifying, and reporting the results associated with services provided by the Agency of Human Services and its departments.

Classification: Human services (Accounting)

Retention: Retain records associated with financial transactions until audit has been completed or closed in accordance with State and Federal laws and regulations.

Registers or systems that serve as the formal repository of an agency's financial accounts and transaction (general ledger) shall be retained until the repository is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value. Supporting documentation, such as invoices, receipts, vouchers, etc., shall be destroyed after audit provided that all legal recordkeeping requirements established by State and Federal law have been met.

A copy of an agency's most recent audit report must be retained at all times and earlier reports shall be retained three (3) years from the date of receipt and then destroyed, unless they have significant administrative value. If administratively significant, retain permanently and follow the retention requirements for Reports in SRS-1290.1102 (AHS Administrative Policy Records). Accounting reports with significant administrative value shall also be retained permanently in accordance with Reports in SRS-1290.1102.

Management Letters received following an audit shall be retain permanently and follow the retention requirements for Correspondence (Substantive) in SRS-1290.1102.

Transitory records created or received by the Agency of Human Services may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records.)

Public Access: Review

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1290.1002 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1290.1002.10 Audits Public Access: <i>Review</i>	Use for final reports received at the conclusion of an audit by another agency or independent entity. Includes audits related to Federal awards. Retain most recent audit reports at all times and use this schedule for audit reports that have been superseded. For Management Letters received following an audit, retain permanently and follow the retention requirements for Correspondence (Substantive) in SRS-1290.1102 (Administrative Policy Records).	Temporary (Legal)	RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Destroy (General)

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<p>SRS-1290.1002.14 Bonds Public Access: <i>Review</i></p>	<p>Use for written orders drawn on a bank or the Treasury of the United States to pay on demand a specified sum of money to a named person, to his order, or to bearer, out of money on deposit to the credit of the writer.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1290.1002.53 Correspondence (Substantive) Public Access: <i>Review</i></p>	<p>Use for correspondence that has significant administrative value and/or supports decisions related to the management of the Agency of Human Services economic activities and financial transactions. For management letters received following an audit and other correspondence that has significant administrative value, retain permanently and use the retention requirements for Correspondence (Substantive) in SRS-1290.1102 (Administrative Policy Records).</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1290.1002.32 Declarations Public Access: <i>Review</i></p>	<p>Use for delegations of authority. Includes memorandums for appointed individuals to continue following any agency head or appointing authority change. Retain most current delegation of authority at all times and use this schedule for records of earlier appointments.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1002.48 Inventories Public Access: <i>Review</i></p>	<p>Use for annual physical inventories of agency assets.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1002.49 Invoices Public Access: <i>Review</i></p>	<p>Use for documents created by a vendor, grantee or another agency to initiate payment. Includes statements, inter-departmental transfers and other requests for payment.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1002.175 Ledgers Public Access: <i>Review</i></p>	<p>Use for registers or systems that serve as the formal repository of the agency's financial accounts and transactions.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>
<p>SRS-1290.1002.75 Purchase orders Public Access: <i>Review</i></p>	<p>Use for authorizations to vendors to deliver goods and services, which upon acceptance constitute purchase contracts.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>

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<p>SRS-1290.1002.77 Receipts Public Access: <i>Review</i></p>	<p>Use for documents that provide evidence of money received and deposited. Includes deposit tickets, bank receipts, and similar records.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1002.144 Reports Public Access: <i>Review</i></p>	<p>Use for reports and similar narrative statements about the agency's financial transactions and activities. Includes self-assessment questionnaires, expenditure reports, and related documentation of the agency's financial activities required by law or regulation. For audit reports, use "Audits." For reports that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1290.1102 (Administrative Policy Records).</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1002.84 Requisitions Public Access: <i>Review</i></p>	<p>Use for requests for a purchase order that create pre-encumbrances of funds.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1002.101 Vouchers Public Access: <i>Review</i></p>	<p>Use for documents that serve as the basis for cutting checks or generating payments and recording financial transactions to pay a vendor.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1002.102 Warrants Public Access: <i>Review</i></p>	<p>Use for written pay orders that instruct a state or local government treasurer to pay the warrant holder on demand or after a maturity date. For state agencies, includes the certificate demonstrating approval for payment by the State Treasurer.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>

SRS-1290.1002 was approved by the Vermont State Archivist on 4/17/2020.

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SRS-1290.1102: Agency of Human Services Administrative Policy Records

SRS-1290.1102: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the administrative actions associated with services provided by the Agency of Human Services and its departments. This schedule does not include records of boards administratively attached to the Agency, records of the agency secretary and department commissioners and their deputies, or records related to rulemaking pursuant to the Administrative Procedure Act.

Classification: Human services (Administering)

Retention: Records that meet the criteria of major or significant in "Vermont Archival Records" and identified as permanent (archival) shall be transferred to the agency archives or the Vermont State Archives and Records Administration. Other records shall be retained as specified in this schedule.

Transitory records created or received by the Agency of Human Services may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records.)

Public Access: Review

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1290.1102 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1290.1102.4 Agendas Public Access: <i>Review</i>	Use for written lists or programs of things to be done or considered. Minutes must accurately reflect the agenda otherwise retain permanently and use "Minutes." Includes significant supporting material.	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1290.1102.5 Agreements Public Access: <i>Review</i>	Use for formal agreements entered into by the Agency of Human Services. Includes interagency agreements and memorandums of understanding, and significant supporting material. Use "Grants" for agreements and supporting materials related to awards from a Federal or other agency.	Permanent (Archival)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Archives
SRS-1290.1102.141 Authorizations Public Access: <i>Review</i>	Use for written permissions granted to an agency or program in accordance with law by a competent authority body to engage in some transaction, business, or occupation, or to do some act that relates to the administration of the agency or program or the development of policy.	Permanent (Archival)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Archives

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<p>SRS-1290.1102.19 Calendars Public Access: <i>Review</i></p>	<p>Use for schedules of the Agency of Human Services official meetings and events.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1102.53 Correspondence (Substantive) Public Access: <i>Review</i></p>	<p>Use for any correspondence transmitted or received that has significant administrative value and/or documents policy development. Includes opinions and memoranda of decisions. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1290.1102.32 Declarations Public Access: <i>Review</i></p>	<p>Use for official agency statements, including proclamations and similar written documents, that formally set forth the basis of authority and scope of activities of an agency and defines the obligations, liabilities, duties, and rights of those affected. Includes supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1290.1102.173 Grants Public Access: <i>Review</i></p>	<p>Use for documentation of awards of financial assistance from a government agency to carry out a public purpose of support or stimulation authorized by a law. Includes cost reimbursement contracts and other agreements. Starting date of retention period is based on the day the single or last expenditure report is submitted to the awarding agency for the funding period specified in the grant award. For grant proposals and reports that have significant administrative value, use "Reports."</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1102.59 Minutes Public Access: <i>Review</i></p>	<p>Use for records of what was said and done at meetings by a public body, as required pursuant to 1 V.S.A. § 312, and/or for minutes documenting policy development. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1290.1102.50 Notices, Legal Public Access: <i>Review</i></p>	<p>Use for official, written statements, notices, or announcements that are required by law.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1102.69 Plans (reports) Public Access: <i>Review</i></p>	<p>Use for strategic plans and similar planning documents documenting the goals, objectives and plans for the Agency of Human Services. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives</p>

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<p>SRS-1290.1102.70 Policies Public Access: <i>Review</i></p>	<p>Use for written statements that outline guiding principles or general courses of action of the Agency of Human Services. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1290.1102.72 Press releases Public Access: <i>Review</i></p>	<p>Use for official or authoritative statements distributed to the press that relate to the administration of the Agency of Human Services or the formulation or development of policy.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1102.73 Procedures Public Access: <i>Review</i></p>	<p>Use for sets of substantive instructions or procedures that govern the administration of the human services agency. Does not include rules adopted pursuant to the Administrative Procedure Act.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Confirm</p>
<p>SRS-1290.1102.144 Reports Public Access: <i>Review</i></p>	<p>Use for annual and similar reports documenting activities and accomplishments of the Agency of Human Services. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1290.1102.116 Studies Public Access: <i>Review</i></p>	<p>Use for studies conducted by or for the Agency of Human Services that relate to the administration of the Agency of Human Services and/or the formulation or development of policy. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1290.1102.150 Waivers Public Access: <i>Review</i></p>	<p>Use for waivers received from a superior authority to waive provisions in a policy, regulation, or other requirement related to the administration of an agency or program.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Confirm</p>

SRS-1290.1102 was approved by the Vermont State Archivist on 4/17/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1290.1007: Agency of Human Services Auditing Records

SRS-1290.1007: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the reviewing of practices to certify that they are being conducted in accordance with established principles associated with services provided by the Agency of Human Services and its departments. In the context of financial matters, the periodic or continual assessment of the financial assets and liabilities associated with services provided by the Agency of Human Services and its departments.

Classification: Human services (Auditing)

Retention: Final reports issued at the conclusion of a financial or performance audit or other independent examination, as well as supporting materials such as auditors' working papers and requests or petitions to conduct an audit, shall be retained until the audit is complete, plus three (3) years and then destroyed. If a report has significant administrative value, retain permanently and use the retention requirements in SRS-1290.1102 (Administrative Policy Records).

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 auditing process may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services Transitory Records).

Public Access: Review

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1290.1007 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1290.1007.26 Contracts Public Access: <i>Review</i>	Use for contracts and similar agreements with a third party to perform an independent audit. For detailed records retention requirements for Contracts use GRS-1000.1126 (Contracting Files).	Temporary (Administrative)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)
SRS-1290.1007.50 Notices, Legal Public Access: <i>Review</i>	Use for all written notifications and announcements related to audits.	Temporary (Legal)	RETAIN UNTIL: Audit Complete PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1290.1007.67 Petitions Public Access: <i>Review</i>	Use for all petitions and requests for audits or independent examinations. Includes complaints and claims.	Temporary (Administrative)	RETAIN UNTIL: Audit Complete PLUS: 3 Year(s) THEN: Destroy (General)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1290.1007.144 Reports Public Access: <i>Review</i></p>	<p>Use for final reports issued at the conclusion of a financial or performance audit or independent examination. Includes formal management letters and opinion letters. For reports that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1290.1102 (Administrative Policy Records).</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1007.88 Schedules Public Access: <i>General</i></p>	<p>Use for schedules established for audits or independent examinations.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1007.36 Supporting material Public Access: <i>Review</i></p>	<p>Use for audit working papers.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 3 Year(s) THEN: Destroy (Shred)</p>

SRS-1290.1007 was approved by the Vermont State Archivist on 4/17/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1343.1022: Coordination of Enrollment and Eligibility Services

SRS-1343.1022: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the provision and coordination of medical assistance benefits as it pertains to enrollment and eligibility.

Classification: Medical assistance (Coordinating)

Retention: Retain all records listed on this schedule, except for authorizations, until completed/closed, plus an additional ten (10) years, then destroy by shredding.

Retain authorizations until they are expired, plus an additional ten (10) years, then destroy by shredding.

Registers that provide for the systematic and regular recording of the coordination of medical assistance enrollment and eligibility shall be retained until the register is superseded, plus ten (10) years, and then appraised by the Vermont State Archives and Records Administration for continuing value.

Transitory records created or received as part of the coordination of medical assistance, may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records).

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1343.1022 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1343.1022.8 Applications Public Access: <i>Redact</i>	Use for applications submitted by persons requesting enrollment for health care programs or services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1022.141 Authorizations Public Access: <i>Redact</i>	Use for authorizations related to the coordination of medical assistance enrollment or eligibility. Includes client releases, authorized representations, and similar records.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1343.1022.133 Decisions Public Access: <i>Redact</i></p>	<p>Use for written evidence of a final decision related to the coordination of medical assistance enrollment or eligibility.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1022.50 Notices, Legal Public Access: <i>Redact</i></p>	<p>Use for notifications issued or received related to the coordination of medical assistance enrollment or eligibility. Includes verification notices, renewal notices, and other similar notices.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1022.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases, systems, and similar records that provide for the systematic and regular recording of information related to the coordination of medical assistance enrollment or eligibility.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Confirm</p>
<p>SRS-1343.1022.144 Reports Public Access: <i>Redact</i></p>	<p>Use for reports related to the coordination of medical assistance enrollment or eligibility. Includes transfer reports, client financial reports, and similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1022.139 Requests Public Access: <i>Redact</i></p>	<p>Use for written requests related to the coordination of medical assistance enrollment or eligibility.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1022.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for records created or received to support, supplement, or complement applications for the coordination of medical assistance enrollment or eligibility.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1022.150 Waivers Public Access: <i>Redact</i></p>	<p>Use for all waivers related to the coordination of medical assistance enrollment or eligibility.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>

SRS-1343.1022 was approved by the Vermont State Archivist on 3/21/2019.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1343.1012: Health Exchange and Medicaid Budgeting Files

SRS-1343.1012: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the budgeting of Medical assistance funds associated with the payment of part or all of the cost of care and services or the care and services themselves, or both.

Classification: Medical assistance (Budgeting)

Retention: Budgets as adopted, reports and recommendations about or supporting the magnitude and allocation of proposed budgets, as well as analyses of expenditures and revenues after the close of a budget cycle, shall be retained until the fiscal year covered by the budget ends, plus an additional ten (10) years, then destroy by shredding. For budgets and reports that have significant administrative value, retain permanently, and use the retention requirements for Reports in SRS-1290.1102 (Human Services Administrative Policy Records).

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 budgeting process for medical assistance may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services Transitory Records).

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1343.1012 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1343.1012.17 Budgets Public Access: <i>Redact</i>	Use for the official estimated or intended expenditures of a unit of government for a given period along with proposals for financing those expenditures. Also use for formal adjustments to budgets during the budget cycle. For budgets that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1290.1102 (Administrative Policy Records).	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1012.50 Notices, Legal Public Access: <i>Redact</i>	Use for formal warnings and notices associated with meetings and/or votes on budget matters.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

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SRS-1343.1012.69 Plans (reports) Public Access: <i>Redact</i>	Use for cost allocation plans, which, if associated with revenues obtained from federal grants, must be retained in accordance with the federal Common Rule.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1012.144 Reports Public Access: <i>Redact</i>	Use for reports and recommendations about or supporting the magnitude and allocation of proposed budgets, as well as analyses of expenditures and revenues after the close of a budget cycle. For reports that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1290.1102 (Administrative Policy Records).	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends PLUS: 10 Year(s) THEN: Destroy (Shred)

SRS-1343.1012 was approved by the Vermont State Archivist on 5/25/2021.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1343.1126: Health Exchange and Medicaid Contract Files

SRS-1343.1126: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, formal agreements, including contracts and leases, entered into by a public agency associated with the payment of part or all of the cost of care and services or the care and services themselves, or both, pursuant to 42 U.S. Code § 1396d.

Classification: Medical assistance (Contracting)

Retention: Retain all records as specified in this schedule, with the exception of transitory records, plus ten (10) years, and then destroy by shredding.

Transitory records created or received as part of medical assistance contracting may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services Transitory Records).

Note: This schedule is subject to change when there are changes to the State of Vermont’s Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1343.1126 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1343.1126.141 Authorizations Public Access: <i>Redact</i>	Use for written approvals, including all permissions required under Bulletin 3.5. Includes waivers.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1126.149 Bids Public Access: <i>Redact</i>	Use for bids, proposals, and quotes received by the agency in response to a request for proposal.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1126.21 Certificates Public Access: <i>Redact</i>	Use for certificates and similar statements of qualifications related to agency contracts.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1126.26 Contracts Public Access: <i>Redact</i>	Use for signed original contracts and all amendments.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1343.1126.53 Correspondence (Substantive) Public Access: <i>Redact</i></p>	<p>Use for correspondence that has significant administrative value and/or supports agency decisions related to the award or administration of contracts.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.133 Decisions Public Access: <i>Redact</i></p>	<p>Use for written decisions including any selection justifications or explanations.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.32 Declarations Public Access: <i>Redact</i></p>	<p>Use for written explanations and justifications required under Bulletin 3.5 that do not relate to selection, including reasons why contract packages were not received within the timeline specified and explanations of extended contract duration.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.55 Lists Public Access: <i>Redact</i></p>	<p>Use for lists of vendors who have requested bid documents or who have been solicited to provide bids.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.50 Notices, Legal Public Access: <i>Redact</i></p>	<p>Use for evidence that the opportunity to bid was broadly publicized and that there was public notification of an agency's decision.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.62 Opinions Public Access: <i>Redact</i></p>	<p>Use for recommendations related to a contract, including those forwarded by the Finance and Management Department following its review of the contract package.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.69 Plans (reports) Public Access: <i>Redact</i></p>	<p>Use for contracting plans providing alternatives to any requirement in Bulletin 3.5 where applicable.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1126.81 Registers Public Access: <i>Redact</i></p>	<p>Use for formal lists of pre-qualified vendors.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Confirm</p>

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1343.1126.83
Requests for proposals
Public Access: *Redact*

Use for all bid documents associated with the request for proposal package, including, but not limited to, cover pages, agency descriptions, statements of work, requirements, etc. Includes any changes or clarifications following a pre-bid conference.

Temporary (Legal)

RETAIN UNTIL: Expired
PLUS: 10 Year(s)
THEN: Destroy (Shred)

SRS-1343.1126.104
Worksheets
Public Access: *Redact*

Use for recorded evidence supporting an agency's decision, such as worksheets used ranking each bidder's qualifications.

Temporary (Legal)

RETAIN UNTIL: Expired
PLUS: 10 Year(s)
THEN: Destroy (Shred)

SRS-1343.1126 was approved by the Vermont State Archivist on 5/25/2021.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1343.1110: Health Exchange and Medicaid Granting Files

SRS-1343.1110: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the granting of public funds by a public agency or pass-through public agency for a specific purpose, activity and/or project associated with the payment of part or all of the cost of care and services or the care and services themselves, or both. This schedule does not include administrative, operational and accounting records of the granting authority or the granting program itself or records of any grants received by a public agency.

Classification: Medical assistance (Granting)

Retention: Retain all records on this schedule until the grant agreement has expired and the grant period is completed/closed, plus an additional ten (10) years, then destroy by shredding. Awards involving the purchase of real property or equipment may, for some granting programs, require the real property or equipment to no longer be owned or in the possession of the grant recipient before the grant can be considered completed/closed.

Reports received from grant recipients that have significant administrative value, retain permanently and follow the retention requirements for Reports in SRS-1290.1102 (Human Services Administrative Policy Records).

Transitory records created or received as part of the granting process for medical assistance, may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records).

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1343.1110 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1343.1110.5 Agreements Public Access: <i>Redact</i>	Use for the formal written agreement between the granting authority and the grant recipient outlining the terms, conditions and amounts of the grant. Includes amendments and related supporting materials.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1343.1110.8 Applications Public Access: <i>Redact</i>	Use for applications received by the granting authority. Includes certificates and other formal statements of qualifications or supporting material submitted as part of an application, including indirect cost rate proposals submitted in relation to federal grants. Incomplete or denied applications may be destroyed when no longer needed administratively.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1343.1110.10 Audits Public Access: <i>Redact</i></p>	<p>Use for internal audit reports and audits submitted by grant recipients as required by a grant agreement and/or state and Federal laws. Includes any written notifications that an audit was conducted, or copies of reporting packages, submitted by subrecipients of Federal awards.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1110.133 Decisions Public Access: <i>Redact</i></p>	<p>Use for agency approvals or disapprovals of grant applications. Includes substantive correspondence and relevant supporting material.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1110.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases and similar systems that provide for the systematic and regular recording of granting activities related to medical assistance.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1110.144 Reports Public Access: <i>Redact</i></p>	<p>Use for reports required by a grant agreement, including financial and monitoring reports. For final reports received from grant recipients that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1290.1102 (Administrative Policy Records).</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1110.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for supplemental and supporting documents pertinent to an award that are not otherwise specified in this schedule.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1343.1110.150 Waivers Public Access: <i>Redact</i></p>	<p>Use for waivers and variances issued by the granting authority related to specific provisions or requirements of the granting program. Includes waivers issued by the Secretary of Administration relative to Bulletin 5.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>

SRS-1343.1110 was approved by the Vermont State Archivist on 5/25/2021.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1290.1108: Human Services Fair Hearings

SRS-1290.1108: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the adjudication of claims for assistance, benefits, or services that were denied, or not acted upon with reasonable promptness; complaints made by individuals aggrieved by Agency of Human Services' actions affecting the receipt of assistance, benefits, or services or licenses or license applications; or complaints made by individuals aggrieved by Agency of Human Services policies as they affect their situations.

Classification: Human services (Adjudicating)

Retention: Decisions are archival records and shall be retained permanently. Under no circumstances shall these records be destroyed.

Retain declarations, petitions, pleadings, and supporting materials for one (1) year after the case is completed/closed and then destroy by shredding unless the case meets the conditions of major or significant in "Vermont Archival Records." For major or significant cases, which includes those appealed and heard by the Vermont Supreme Court, gather declarations, petitions, pleadings, and supporting materials and retain permanently.

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 adjudication process may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records.)

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1290.1108 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1290.1108.133 Decisions Public Access: <i>Redact</i>	Use for final orders of the Board. Includes additional or amended findings of the hearing officer approved and adopted by the Board and clerk dismissals.	Permanent (Archival)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives
SRS-1290.1108.32 Declarations Public Access: <i>Redact</i>	Use for the formally written findings, recommended orders, and statements of reason provided to the Board by the hearing officer.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)
SRS-1290.1108.136 Evidence Public Access: <i>Redact</i>	Use for materials, oral or written, that advance any arguments without undue interference and that question or refute any testimony admitted to the hearing officer as evidence.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1290.1108.50 Notices, Legal Public Access: <i>Redact</i></p>	<p>Use for formal notifications that are required by law. Includes notices of fair hearing, notices of appeal, and notices of decision.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1108.63 Orders Public Access: <i>Redact</i></p>	<p>Use for interim orders of the Board. Includes entry orders, motions to dismiss, and memorandums of law. Use "Decisions" for final orders of the Board.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1290.1108.67 Petitions Public Access: <i>Redact</i></p>	<p>Use for formal written requests made to the Board. Includes requests for fair hearings, requests for appeal and requests for withdrawal.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1290.1108.126 Pleadings Public Access: <i>Redact</i></p>	<p>Use for claims and motions other than initial petitions.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1290.1108.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for supplemental records created or received during the course of a hearing. Includes hearing recordings, transcripts, receipts, and similar records.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)</p>

SRS-1290.1108 was approved by the Vermont State Archivist on 11/27/2018.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1290.1103: Human Services Operational / Managerial Records

SRS-1290.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the day-to-day operations of the Agency of Human Services internal workflows and processes.

Classification: Human services (Managing)

Retention: Retain operational plans, reports, and studies until completed/closed plus three (3) years, then destroyed by shredding.

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received during day-to-day operations may be weeded as appropriate in accordance with the SRS-1290.1000 (Human Services Transitory Records).

Public Access: Review

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1290.1103 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1290.1103.5 Agreements Public Access: <i>Review</i>	Use for informal agreements concerning internal and interagency coordination, general management, internal workflows and/or processes. Includes relevant supporting material.	Temporary (Administrative)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)
SRS-1290.1103.19 Calendars Public Access: <i>General</i>	Use for schedules of meetings and related events.	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1290.1103.145 Logs Public Access: <i>Review</i>	Use for records documenting or tracking performance or use of equipment, space, or information for internal control purposes.	Temporary (Administrative)	RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Destroy (General)
SRS-1290.1103.69 Plans (reports) Public Access: <i>Review</i>	Use for planning documents related to day-to-day operations, internal workflows and processes. Includes relevant supporting material such as meeting minutes and substantive correspondence.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1290.1103.73 Procedures Public Access: <i>Review</i></p>	<p>Use for sets of instructions and directives that govern general management and/or internal workflows and processes. Includes relevant supporting material.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1103.144 Reports Public Access: <i>Review</i></p>	<p>Use for internal reports, including statistical reports, that are used to communicate and/or document general management, internal workflows and processes. Includes relevant supporting material.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1103.116 Studies Public Access: <i>Review</i></p>	<p>Use for studies and other evaluations conducted by or for an agency or program that relate to general management, internal workflows and processes. Includes relevant supporting material.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>

SRS-1290.1103 was approved by the Vermont State Archivist on 4/17/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1290.1000: Human Services' Transitory Records

SRS-1290.1000: This schedule is reserved for records that are created and received in the course of business by the Agency of Human Services and its departments and boards that are transitory in nature meaning that that they are: (1) are only needed for a limited period of time in order to complete a routine action or prepare or update a formal or ongoing record; (2) not subject to any legal recordkeeping requirements, explicit or implied; and (3) administratively obsolete after a specific action or process is complete.

Classification: Human services (GENERAL)

Retention: Transitory records shall be retained by the Agency of Human Services and its departments and boards as specified in this schedule and in accordance with the Agency of Human Services Records and Information Management Policy.

Public Access: General

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1290.1000 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1290.1000.187 Blanks Public Access: <i>General</i>	Use for blank forms or other pre-printed worksheets that have no markings, are not written or printed on and have not been filled out.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
SRS-1290.1000.28 Correspondence (Routine) Public Access: <i>General</i>	Use for any correspondence, produced or received, that is routine in nature and not subject to any specific legal requirements. Includes transmittal letters that do not add information to that contained in the transmitted material and correspondence from other agencies that is received for general information purposes only.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
SRS-1290.1000.37 Drafts Public Access: <i>General</i>	Use for preliminary or tentative versions of a document. Drafts that are acted upon or put into practice must be retained according to their intended record type (i.e. policies) as listed in another agency-specific record schedule.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
SRS-1290.1000.60 Notes Public Access: <i>General</i>	Use for brief statements of a fact or experience, written down for review, or as an aid to memory, or to inform someone else. Includes short, informal notes such as phone messages.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1290.1000.74 Publications Public Access: <i>General</i></p>	<p>Use for reproduced or published material received from other offices which require no action and are not required for documentary purposes. Includes catalogues, trade journals, other publications or papers received which require no action and are not part of a case upon which action is being taken or will be taken.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1000.80 Reference sources Public Access: <i>General</i></p>	<p>Use for sources of information that were intended primarily for consultation and, if used to prepare or update a formal or ongoing record, are cited as needed. Includes duplicate, informational, extra, unofficial, or informal copies of records that were kept only for convenience or quick reference.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1000.139 Requests Public Access: <i>General</i></p>	<p>Use for requests and responses for forms, publications, records, and other agency information that do not require administration review before, or further action after, the form, publication, record, or other agency information is provided.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1290.1000.104 Worksheets Public Access: <i>General</i></p>	<p>Use for forms, checklists and other worksheets used to prepare or update a formal or ongoing record or informally track workflow.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>

SRS-1290.1000 was approved by the Vermont State Archivist on 11/27/2018.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1825.1103: Patient Medical Files

SRS-1825.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the managing of any individual who is receiving needed professional services that are directed by a licensed practitioner of the healing arts. Does not include mental health patients. For mental health patients use: SRS-1282.1103, Mental health patients (Managing).

Classification: Patients (Managing)

Retention: Retain applications, orders, plans (reports), reports and supporting material until completed/closed, plus six (6) years, and then destroy by shredding. Once a professional service is no longer being provided to a patient, the record is considered completed/closed.

Agreements and authorizations shall be retained until expired, plus six (6) years, and then destroyed by shredding.

Registers or similar systems that provide for the systematic and regular recording of activities related to managing patients 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 managing patients may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records.)

Patients must reach the age of majority for the record to be considered completed/closed.

Public Access: Exempt

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1825.1103 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1825.1103.5 Agreements Public Access: <i>Exempt</i>	Use for written agreements between parties regarding the management of patients. Includes agreements for care, program requirements, and other similar agreements.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1825.1103.141 Authorizations Public Access: <i>Exempt</i>	Use for written documents describing permissions to perform specific activities related to the management of patients. Includes authorized transfers, authorizations to receive medication, release of information, and other similar authorizations.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1825.1103.50 Notices, Legal Public Access: <i>Exempt</i></p>	<p>Use for written notifications sent to, or on behalf of, the patient. Includes discharge notices, notice of transfer, and other similar notices.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1825.1103.63 Orders Public Access: <i>Exempt</i></p>	<p>Use for orders and directives from an authoritative body in regards to managing patients. Includes orders of commitment, orders of quarantine, and other similar orders.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1825.1103.69 Plans (reports) Public Access: <i>Exempt</i></p>	<p>Use for reports describing a proposed or tentative course of action for the management of patients. Includes treatment plans, discharge plans, and other similar plans.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1825.1103.81 Registers Public Access: <i>Exempt</i></p>	<p>Use for registers, databases, tracking systems, and similar records that provide for the systematic and regular recording of actions related to managing patients.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>
<p>SRS-1825.1103.144 Reports Public Access: <i>Exempt</i></p>	<p>Use for all reports associated with managing patients. Includes all medical reports, examinations, evaluations, assessments, histories, critical incident reports and other similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1825.1103.36 Supporting material Public Access: <i>Exempt</i></p>	<p>Use for supporting material. Includes all certificates, advance directives, referrals, case notes, applications and other similar materials.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>

SRS-1825.1103 was approved by the Vermont State Archivist on 12/18/2019.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1630.1150: Rate Setting

SRS-1630.1150: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the rate setting associated with nursing facilities, Intermediate Care Facilities for the Developmentally Disabled, and private nonmedical institutions that serve Medicaid residents.

Classification: Long-term care facilities (Rate setting)

Retention: Retain all records listed on this schedule, with the exception of registers, until completed/closed, plus an additional ten (10) years, then destroy by shredding. Records become completed/closed when the rate for long-term care facilities has been set.

Registers that provide for the systematic and regular recording of rate setting for long-term care facilities shall be retained until the register is superseded, plus ten (10) years, and then appraised by the Vermont State Archives and Records Administration for continuing value.

Transitory records created or received as part of rate setting for long-term care facilities may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records).

Note: This schedule is subject to change when there are changes to the State of Vermont's Global Commitment to Health Section 1115 Waiver.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1630.1150 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1630.1150.182 Assessments Public Access: <i>Redact</i>	Use for written statements to declare an amount determined as payable. Includes assessments of residents for rate setting classification purposes.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1630.1150.133 Decisions Public Access: <i>Redact</i>	Use for final written decisions related to rate setting for long-term care facilities.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1630.1150.50 Notices, Legal Public Access: <i>Redact</i>	Use for notifications related to rate setting for long-term care facilities.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1630.1150.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases, systems, and similar records that provide for the systematic and regular recording of rate setting for long-term care facilities.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Confirm</p>
<p>SRS-1630.1150.144 Reports Public Access: <i>Redact</i></p>	<p>Use for reports, created or received, related to the rate setting of long-term care facilities. Includes cost reports, financial reports, statistical reports, and significant supporting material.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1630.1150.139 Requests Public Access: <i>Redact</i></p>	<p>Use for written requests related to the rate setting of long-term care facilities.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>

SRS-1630.1150 was approved by the Vermont State Archivist on 1/14/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

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.	Assigned to records that meet the conditions of a "Vermont Archival Record" under special conditions.
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.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

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.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

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.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

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 permanently. 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 records that meet the conditions of a "Vermont Archival Record" from those that do not (temporary).	Assigned to records that have been appraised as conditional archival. Upon weeding the temporary records from the archival records, transfer archival records to Archives and destroy temporary records.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Appendix E: Legal References

SRS-1290.1002: Agency of Human Services Accounting Records		<i>Review for Exemption?</i>
1 V.S.A. § 311	Declaration of public policy; short title	No
1 V.S.A. § 312	Right to attend meetings of public agencies	Yes
1 V.S.A. § 313	Executive sessions	Yes
1 V.S.A. § 314	Penalty and enforcement [related to public information]	No
1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
2 CFR 200	Uniform administrative requirements, cost principles, and audit requirements for federal awards	Yes
32 V.S.A. § 1402	Receipt for fees	No
32 V.S.A. § 163	Duties of the Auditor of Accounts	Yes
32 V.S.A. § 182	Duties of commissioner [related to Finance and Management Department]	No
32 V.S.A. § 401	Accounts [related to the public monies]	No
32 V.S.A. § 431	Depositories of state funds	No
32 V.S.A. § 461	Disbursements on commissioner's warrants	No
32 V.S.A. § 462	Appropriation required [related to the public monies]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

32 V.S.A. § 463	Itemized bills with vouchers required [related to the public monies]	No
32 V.S.A. § 464	Itemized statements and receipts required [related to the public monies]	No
32 V.S.A. § 466	Requisitions [related to the public monies]	No
32 V.S.A. § 502	Monies to be paid over without deduction [related to the public monies]	No
32 V.S.A. § 508	Receipts given by State officers	No
32 V.S.A. § 706	Transfer of appropriations	No
33 V.S.A. § 1901d	State health care resources fund	No
Bulletin 3.3, Agency of Administration	Delegation of authority for signing documents	No
VISION Procedure #1	VISION asset management procedure	No
VISION Procedure #2	VISION records retention procedure	No
VISION Procedure #5	Petty cash procedure	No
VISION Procedure #7	VISION general ledger transfers procedure	No

SRS-1290.1102: Agency of Human Services Administrative Policy Records	<i>Review for Exemption?</i>
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1 V.S.A. § 310	Definitions [related to public information]	No
1 V.S.A. § 311	Declaration of public policy; short title	No
1 V.S.A. § 312	Right to attend meetings of public agencies	Yes
1 V.S.A. § 313	Executive sessions	Yes
1 V.S.A. § 314	Penalty and enforcement [related to public information]	No
1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
2 CFR 200	Uniform administrative requirements, cost principles, and audit requirements for federal awards	Yes
Bulletin 5, Agency of Administration	Policy for grant issuance and monitoring	No

SRS-1290.1007: Agency of Human Services Auditing Records *Review for Exemption?*

1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
18 V.S.A. § 4474e	Dispensaries; conditions of operation [related to medical cannabis]	No
2 CFR 200	Uniform administrative requirements, cost principles, and audit requirements for federal awards	Yes
3 V.S.A. § 971	Intent of subchapter [related to whistleblower protection]	No
3 V.S.A. § 972	Definitions [related to whistleblower protection]	No
3 V.S.A. § 973	Protected activity [related to whistleblower protection]	No
31 U.S.C. 7502	Audit requirements; exemptions	No
32 V.S.A. § 163	Duties of the Auditor of Accounts	Yes
32 V.S.A. § 801	Independent audit authorized	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

CVR 13-010-001	Methods, standards, and principles for establishing medicaid payment rates for long-term care facilities	No
CVR 13-010-002	Methods, standards and principles for establishing payment rates for private nonmedical institutions providing residential child care services (PNMI)	No
CVR 13-110-010	Designation and Operation of Home Health Agencies [related to Department of Disabilities, Aging and Independent Living]	No
CVR 13-140-063	Substance abuse treatment program approval rules	No
CVR 13-140-064	Shellfish sanitation program rules	No
CVR 13-150-004	Department of mental health medicaid regulations	No
CVR 13-150-006	Administrative rules on agency designation [related to the Department of Developmental and Health Services]	No
CVR 13-150-007	Operation of intermediate care facilities for the mentally retarded	No
CVR 13-162-005	Licensing child care placing agencies	No
CVR 13-170-770	Pharmacy administration	No
CVR 13-174-007	Specialized services and programs [related to health care administrative rules]	Yes
GAO-07-731G	Government auditing standards	No
OMB Circular A-133	Audits of states, local governments, and non-profit organizations	No

SRS-1343.1022: Coordination of Enrollment and Eligibility Services	<i>Review for Exemption?</i>
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1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
18 V.S.A. § 202	Clinical care of cancer patients; state aid	Yes
18 V.S.A. § 9410	Health care database	Yes
18 V.S.A. § 9414	Quality assurance for managed care organizations	No
20 CFR 416	Supplemental security income for the aged, blind, and disabled	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

33 V.S.A. § 111	Records, restrictions, penalties [related to the Department for Children and Families]	Yes
33 V.S.A. § 1802	Definitions [related to Vermont Health Benefit Exchange]	No
33 V.S.A. § 1805	Duties and responsibilities [related to Vermont Health Benefit Exchange]	No
33 V.S.A. § 1806	Qualified health benefit plans	No
33 V.S.A. § 1807	Navigators [related to Vermont Health Benefit Exchange]	No
33 V.S.A. § 1811	Health benefit plans for individuals and small employers	No
33 V.S.A. § 1827	Administration; enrollment [related to Green Mountain Care]	No
33 V.S.A. § 1901	Administration of program [related to medical assistance]	No
33 V.S.A. § 1901b	Pharmacy program enrollment	No
33 V.S.A. § 1902	Qualification for medical assistance [related to Medicaid]	No
33 V.S.A. § 1902a	Confidentiality of Medicaid applications and records; disclosure to authorized representative	Yes
33 V.S.A. § 1906	Recoupment of amounts spent on child medical care	No
33 V.S.A. § 1908	Medicaid; payer of last resort; release of information	Yes
33 V.S.A. § 2003	Pharmacy discount plans	No
33 V.S.A. § 2072	General eligibility [related to Vermont pharmaceutical assistance programs]	No
33 V.S.A. § 2073	V-pharm assistance program	No
42 CFR 1001	Program integrity—Medicare and state health care programs	No
42 CFR 1002	Program integrity—state-initiated exclusions from Medicaid	No
42 CFR 431	State organization and general administration [related to public health]	Yes
42 CFR 431.17	Maintenance of records [related to public health]	No
42 CFR 435	Eligibility in the States, District of Columbia, The Northern Mariana Islands, and American Samoa [related to medical assistance programs]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

45 CFR 155	Exchange establishment standards and other related standards under the affordable care act	No
45 CFR 155.1210	Maintenance of records [related to oversight and program integrity standards for state exchanges]	No
45 CFR 164	Security and privacy [related to public welfare]	Yes
45 CFR 400	Office of refugee resettlement, administration for children and families, department of health and human services [related to public welfare]	No
CVR 13-001-001	Health Benefits Eligibility and Enrollment, Part One: General Provisions and Definitions	No
CVR 13-001-002	Part two: eligibility standards [related to general; health benefits eligibility and enrollment]	No
CVR 13-001-003	Part 3: nonfinancial eligibility requirements [related to general; health benefits eligibility and enrollment]	No
CVR 13-001-005	Financial methodologies [related to health benefits eligibility and enrollment]	No
CVR 13-001-006	Small employer health benefits program [related to health benefits eligibility and enrollment]	No
CVR 13-001-007	Part seven: eligibility-and-enrollment procedures [related to general; health benefits eligibility and enrollment]	No
CVR 13-110-002	Attendant services program regulations	Yes
CVR 13-110-008	Choices for care: 1115 long-term care Medicaid waiver regulations	Yes
CVR 13-170-200	All programs [related to Department for Children and Families]	Yes
CVR 13-170-260	General assistance [related to Department for Children and Families]	No
CVR 13-170-280	Emergency assistance [related to Department for Children and Families]	No
CVR 13-170-510	Refugee Medical Assistance [related to Department for Children and Families]	No
CVR 13-170-540	Department for Children and Families VPHARM	No
CVR 13-170-570	Department for Children and Families Healthy Vermonters	No
CVR 13-170-580	HIV/AIDS (5800) [related to Department for Children and Families]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

CVR 13-170-740	Other Medicaid services	No
CVR 13-174-001	General Provisions and Definitions [related to health care administrative rules]	No
CVR 13-174-004	Medicaid Covered Services [related to health care administrative rules]	No
CVR 13-174-007	Specialized services and programs [related to health care administrative rules]	Yes

SRS-1343.1012: Health Exchange and Medicaid Budgeting Files	<i>Review for Exemption?</i>
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1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 317a	Management of public records	No
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
18 V.S.A. § 9375	Duties [related to Green Mountain Care Board]	No
2 CFR 200	Uniform administrative requirements, cost principles, and audit requirements for federal awards	Yes
26 V.S.A. § 54	General powers and duties of the board [related to accountants]	No
3 V.S.A. § 2222	Powers and duties; budget and report [related to the administration]	No
3 V.S.A. § 2281	Department of Finance and Management	No
32 V.S.A. § 202	Duties of commissioner [related to fiscal officers and commissions]	No
32 V.S.A. § 301	Department estimate and statement [related to budget]	No
32 V.S.A. § 702	Exceeding budget	No
32 V.S.A. § 704	Interim budget and appropriation adjustments	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

32 V.S.A. § 704a	Execution of the laws relating to appropriations	No
33 V.S.A. § 1828	Budget proposal [related to public-private universal health care system]	No
33 V.S.A. § 1901	Administration of program [related to medical assistance]	No
33 V.S.A. § 1901a	Medicaid budget	No
33 V.S.A. § 904	Rate setting [related to nursing homes]	No
42 CFR 438	Managed care [related to medical assistance programs]	Yes
42 CFR 441	Services: requirements and limits applicable to specific services [related to public health]	No
42 CFR 457	Allotments and grants to states [related to state children's health insurance programs]	No
42 U.S.C. § 1396	Medicaid and CHIP payment and access commission	No
45 CFR 155.1210	Maintenance of records [related to oversight and program integrity standards for state exchanges]	No
45 CFR 75	Uniform administrative requirements, cost principles, and audit requirements for HHS awards [related to public welfare]	No

SRS-1343.1126: Health Exchange and Medicaid Contract Files

Review for Exemption?

1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 317a	Management of public records	No
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
3 V.S.A. § 344	Contract administration	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

33 V.S.A. § 1901	Administration of program [related to medical assistance]	No
42 CFR 438	Managed care [related to medical assistance programs]	Yes
42 U.S.C. § 1396	Medicaid and CHIP payment and access commission	No
45 CFR 155.1210	Maintenance of records [related to oversight and program integrity standards for state exchanges]	No
45 CFR 75	Uniform administrative requirements, cost principles, and audit requirements for HHS awards [related to public welfare]	No
Bulletin 3.5, Agency of Administration	Procurement and contracting procedures	No

SRS-1343.1110: Health Exchange and Medicaid Granting Files	<i>Review for Exemption?</i>
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1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 317a	Management of public records	No
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
2 CFR 200	Uniform administrative requirements, cost principles, and audit requirements for federal awards	Yes
32 V.S.A. § 5	Acceptance of grants	No
32 V.S.A. § 6	Indirect costs [related to taxation and finance]	No
33 V.S.A. § 1123	Individual development savings program [related to reach up]	No
33 V.S.A. § 1901	Administration of program [related to medical assistance]	No
42 CFR 430	Grants to States for Medical Assistance Programs	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

42 CFR 438	Managed care [related to medical assistance programs]	Yes
42 CFR 457	Allotments and grants to states [related to state children's health insurance programs]	No
42 U.S.C. § 1396	Medicaid and CHIP payment and access commission	No
45 CFR 155.1210	Maintenance of records [related to oversight and program integrity standards for state exchanges]	No
45 CFR 75	Uniform administrative requirements, cost principles, and audit requirements for HHS awards [related to public welfare]	No
Bulletin 5, Agency of Administration	Policy for grant issuance and monitoring	No

SRS-1290.1108: Human Services Fair Hearings	<i>Review for Exemption?</i>
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1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
15A V.S.A. § 6-102	Records confidential [related to records of adoption proceeding; retention, confidentiality, and access]	Yes
18 V.S.A. § 7103	Disclosure of information [related to health]	Yes
18 V.S.A. § 8727	Complaints; appeals [related to services to people with developmental disabilities and their families]	No
18 V.S.A. § 9306	Comprehensive evaluation [related to guardianship services for people with developmental disabilities]	Yes
18 V.S.A. § 9315	Review of commissioner's decision	No
3 V.S.A. § 3090	Human Services Board	No
3 V.S.A. § 3091	Hearings [related to human services]	No
3 V.S.A. § 3092a	Appeals from divisions of vocational rehabilitation, blind and visually impaired	No
3 V.S.A. § 816	Exemptions [related to contested cases]	No
33 V.S.A. § 1012	Notice and appeal [related to administrative provisions]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

33 V.S.A. § 105	Commissioner; appointment, term, duties and powers [related to department for children and families]	Yes
33 V.S.A. § 111	Records, restrictions, penalties [related to the Department for Children and Families]	Yes
33 V.S.A. § 1132	Notice and appeal [related to administrative provisions]	No
33 V.S.A. § 1201	Definitions [related to eligibility and assistance]	No
33 V.S.A. § 1204	Food assistance [related to eligibility and assistance]	No
33 V.S.A. § 1213	Notice and appeal [related to administrative provisions]	No
33 V.S.A. § 1827	Administration; enrollment [related to Green Mountain Care]	No
33 V.S.A. § 1902	Qualification for medical assistance [related to Medicaid]	No
33 V.S.A. § 2073	V-pharm assistance program	No
33 V.S.A. § 4105	Access to information; disclosure and confidentiality [related to the Office of Child Support]	Yes
33 V.S.A. § 4913	Reporting child abuse and neglect; remedial action	Yes
33 V.S.A. § 4916a	Challenging placement [related to reporting abuse of children]	No
33 V.S.A. § 4916b	Human services board hearing [related to reporting abuse of children]	No
33 V.S.A. § 4916c	Petition for expungement from the registry [related to reporting abuse of children]	No
33 V.S.A. § 4919	Disclosure of Registry records [related to reporting abuse of children]	Yes
33 V.S.A. § 4921	Department's records of abuse and neglect [related to reporting abuse of children]	Yes
33 V.S.A. § 6321	Attendant care services [related to home care programs]	Yes
33 V.S.A. § 6903	Reporting suspected abuse, neglect, and exploitation of vulnerable adults	Yes
33 V.S.A. § 6906	Investigation [related to reports of abuse of vulnerable adults]	Yes
33 V.S.A. § 6911	Records of abuse, neglect and exploitation [related to reports of abuse of vulnerable adults]	Yes
33 V.S.A. § 7112	Confidential information [related to licensing of long term care facilities]	Yes

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

33 V.S.A. § 7118	Appeals [related to licensing of long-term care facilities]	No
42 CFR 431	State organization and general administration [related to public health]	Yes
42 CFR 457	Allotments and grants to states [related to state children's health insurance programs]	No
45 CFR 205	General administration: Public assistance programs	No
7 CFR 246	Special supplemental nutrition program for women, infants and children	Yes
7 CFR 253	Administration of the food distribution program for households on indian reservations	Yes
CVR 13-020-002	Fair hearing rules (1000) [related to the Agency of Human Services]	No
CVR 13-170-005	Food stamps (3SQUARESVT) (270 to 280)	No

SRS-1290.1103: Human Services Operational / Managerial Records	<i>Review for Exemption?</i>
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1 V.S.A. § 310	Definitions [related to public information]	No
1 V.S.A. § 311	Declaration of public policy; short title	No
1 V.S.A. § 312	Right to attend meetings of public agencies	Yes
1 V.S.A. § 313	Executive sessions	Yes
1 V.S.A. § 314	Penalty and enforcement [related to public information]	No
1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
28 V.S.A. § 601	Powers and responsibilities of the supervising officer of each correctional facility	Yes

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1290.1000: Human Services' Transitory Records *Review for Exemption?*

1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 317a	Management of public records	No
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No

SRS-1825.1103: Patient Medical Files *Review for Exemption?*

12 V.S.A. § 1612	Patients' privilege [related to court procedure]	Yes
12 V.S.A. § 511	Civil action [related to limitation of time for commencement of actions]	No
12 V.S.A. § 551	Minority, insanity or imprisonment [related to limitations on time for commencing actions]	No
16 V.S.A. § 136	Wellness program; Advisory Council on Wellness and Comprehensive Health	No
16 V.S.A. § 1387	Possession and self-administration of emergency medication	No
16 V.S.A. § 1388	Medical inspection generally; health services	No
16 V.S.A. § 1422	Periodic hearing and vision screening; guidelines	No
16 V.S.A. § 1431	Concussions and other head injuries	No
18 V.S.A. § 1761	Duty of reasonable care; negligence; liability [related to lead poisoning prevention]	No
18 V.S.A. § 1881	Disclosure of protected health information prohibited [related to health care privacy]	Yes
18 V.S.A. § 8003	Personal needs of patient [related to release and discharge]	No
18 V.S.A. § 8006	Visits [related to health]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

18 V.S.A. § 8007	Conditional discharges [related to health]	No
18 V.S.A. § 8008	Revocation of conditional discharge [related to health]	No
18 V.S.A. § 8009	Administrative discharge [related to health]	No
18 V.S.A. § 8402	Hospitalization [related to mentally ill users of alcohol or drugs]	No
18 V.S.A. § 8403	Length of treatment [related to mentally ill users of alcohol or drugs]	No
18 V.S.A. § 8404	Conditional discharge [related to mentally ill users of alcohol or drugs]	No
18 V.S.A. § 8405	Outside visits [by mentally ill users of alcohol or drugs]	No
20 U.S.C. § 1232f	Records [related to general provisions concerning education]	No
20 U.S.C. § 1232g	Family educational and privacy rights	Yes
20 U.S.C. § 1232h	Protection of pupil rights	Yes
28 V.S.A. § 801	Medical care of inmates [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 801a	Pregnant inmates [related to care of inmates]	No
28 V.S.A. § 801b	Medication-assisted treatment in correctional facilities [related to care of inmates]	No
28 V.S.A. § 808a	Treatment furlough [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 901	Evaluation and treatment facilities [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 903	Access to treatment pending appeal; rule [related to supervision of adult inmates at the correctional facilities]	Yes
28 V.S.A. § 905	Legislative intent [related to services for inmates with serious functional impairment]	No
28 V.S.A. § 907	Mental health service for inmates; powers and responsibilities of commissioner	No
28 V.S.A. § 908	Access to mental health services; notice [related to supervision of adult inmates at the correctional facilities]	No
34 CFR 99	Family Educational Rights and Privacy Act (FERPA)	Yes

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

42 CFR 2	Confidentiality of alcohol and drug abuse patient records	Yes
42 CFR 403	Special programs and projects [related to public health]	No
42 CFR 482	Conditions of participation for hospitals [related to public health]	No
42 CFR 482.13	Condition of participation: patient's rights.	No
42 CFR 482.24	Condition of participation: medical record services.	No
42 CFR 491	Certification of certain health facilities	No
45 CFR 160	General administrative requirements [related to public welfare]	Yes
45 CFR 164	Security and privacy [related to public welfare]	Yes
CVR 13-130-020	Access to treatment pending appeal #365 [related to Department of Corrections]	No
CVR 13-130-024	The use of administrative and disciplinary segregation for inmates with serious mental illness [related to Department of Corrections]	No

SRS-1630.1150: Rate Setting

Review for Exemption?

33 V.S.A. § 901	Reimbursement objectives [related to division of rate setting]	No
33 V.S.A. § 904	Rate setting [related to nursing homes]	No
33 V.S.A. § 905	Basis for determination of nursing home rates	No
33 V.S.A. § 906	Facility payment [related to division of rate setting]	No
33 V.S.A. § 907	Payment limits [related to division of rate setting]	No
33 V.S.A. § 908	Powers and duties [related to division of rate setting]	Yes
33 V.S.A. § 910	Availability of payment for nursing home services [related to division of rate setting]	No
42 CFR 405	Federal health insurance for the aged and disabled	No
42 CFR 410	Supplementary medical insurance (smi) benefits [related to public health]	No
42 CFR 434	Contracts [related to public health]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

42 CFR 438	Managed care [related to medical assistance programs]	Yes
42 CFR 442	Standards for payment to nursing facilities and intermediate care facilities for individuals with intellectual disabilities	No
42 CFR 455	Program integrity: Medicaid	No
42 CFR 482	Conditions of participation for hospitals [related to public health]	No
42 CFR 483	Requirements for states and long term care facilities	No
42 CFR 485	Conditions of participation: specialized providers [related to public health]	No
42 CFR 488	Survey, certification, and enforcement procedures [related to public health]	No
42 CFR 491	Certification of certain health facilities	No
42 U.S.C. § 1396a	State plans for medical assistance	No
45 CFR 155	Exchange establishment standards and other related standards under the affordable care act	No
45 CFR 160	General administrative requirements [related to public welfare]	Yes
CVR 13-010-001	Methods, standards, and principles for establishing medicaid payment rates for long-term care facilities	No
CVR 13-010-002	Methods, standards and principles for establishing payment rates for private nonmedical institutions providing residential child care services (PNMI)	No