

## STATE OF VERMONT GENERAL RECORD SCHEDULE

Issued to: All Public Agencies

GRS-1000.1102: Administrative Policy Records

Last Revised: 4/8/2020



Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

### GRS-1000.1102: Administrative Policy Records

Classification: GENERAL (Administering)

- 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 general record schedule applies to any agency, board, department, commission, committee, branch, instrumentality, or authority of the state or any agency, board, committee, department, branch, instrumentality, commission, or authority of any political subdivision of the state that produces or acquires the records listed on this record schedule in the course of public agency business. Record means 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:** State agencies MUST have a Notice of Adoption (VSARA-11) acknowledged by the Vermont State Archivist and on file with the Vermont State Archives and Records Administration (VSARA) prior to using any general record schedule. Use of a General Record Schedule (GRS) to destroy records without proper notification is not permitted. In addition, internal policies must be established to assure that the requirements outlined in any GRS are being applied across the agency. General Record Schedule (GRS) numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a. Local public agencies do not have to submit a Notice of Adoption; however, internal policies should clearly cite any general schedules that have been adopted and associated GRS numbers. If a GRS does not meet an agency's legal or administrative needs, the agency should continue to use any applicable disposition orders that have been issued for its records or seek agency specific record schedules through VSARA's Targeted Assistance Program (TAP).
- 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 GRS-1000.1102 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:** GRS-1000.1102 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.

**STATE OF VERMONT GENERAL RECORD SCHEDULE**

**GRS-1000.1102: Administrative Policy Records**

Classification: GENERAL (Administering)

*GRS-1000.1102: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the administration of a public agency or program and/or the formulation or development of policy. Does not include the records of appointed or elected public officials or records related to rulemaking pursuant to the Administrative Procedure Act.*

**Retention:** Administrative policy records shall be retained by public agencies as specified in this schedule. Records appraised as permanent (archival) shall be retained permanently and are eligible for transfer to the Vermont State Archives and Records Administration (state agencies only) when retention requirements have been met.

Transitory records created or received by the public agency shall be weeded as appropriate in accordance with GRS-1000.1000 (Transitory Records).

**Public Access:** Review

**MINIMUM RECORDKEEPING REQUIREMENTS for Administrative Policy Records (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Minimum Retention/Disposition:</b>
<b>GRS-1000.1102.138</b> <b>Accounts (Statements)</b> Public Access: <i>Review</i>	Use for written narratives and similar recorded accounts, including electronic recordings of public meetings and hearings, of agency business that are legally required to be produced. For statements and recorded accounts that have significant administrative value, retain permanently and use "Reports" or, if electronic recordings of public meetings or hearings, use "Minutes."	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
<b>GRS-1000.1102.4</b> <b>Agendas</b> 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)
<b>GRS-1000.1102.5</b> <b>Agreements</b> Public Access: <i>Review</i>	Use for formal agreements, such as interagency agreements and memorandums of understanding, concerning policies and procedures. Includes significant supporting material. Use "Grants" for agreements related to Federal awards.	Conditional Archival	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Confirm

**STATE OF VERMONT GENERAL RECORD SCHEDULE**

<p><b>GRS-1000.1102.141</b>  <b>Authorizations</b>  Public Access: <i>Review</i></p>	<p>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.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Expired  PLUS: 3 Year(s)  THEN: Archives</p>
<p><b>GRS-1000.1102.19</b>  <b>Calendars</b>  Public Access: <i>Review</i></p>	<p>Use for schedules of meetings and related events.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Calendar Year Ends  PLUS: 1 Year(s)  THEN: Destroy (General)</p>
<p><b>GRS-1000.1102.53</b>  <b>Correspondence (Substantive)</b>  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><b>GRS-1000.1102.32</b>  <b>Declarations</b>  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><b>GRS-1000.1102.173</b>  <b>Grants</b>  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><b>GRS-1000.1102.59</b>  <b>Minutes</b>  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><b>GRS-1000.1102.50</b>  <b>Notices, Legal</b>  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>

## STATE OF VERMONT GENERAL RECORD SCHEDULE

<p><b>GRS-1000.1102.69</b>  <b>Plans (reports)</b>  Public Access: <i>Review</i></p>	<p>Use for strategic plans and similar planning documents, usually required by State or Federal law, documenting agency or program goals, objectives and plans for the future. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded  PLUS: 3 Year(s)  THEN: Archives</p>
<p><b>GRS-1000.1102.70</b>  <b>Policies</b>  Public Access: <i>Review</i></p>	<p>Use for written statements that outline agency or program guiding principles or general courses of action. Includes significant supporting material.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded  PLUS: 3 Year(s)  THEN: Confirm</p>
<p><b>GRS-1000.1102.72</b>  <b>Press releases</b>  Public Access: <i>Review</i></p>	<p>Use for official agency statements distributed to the press that relate to the agency's administration and/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><b>GRS-1000.1102.73</b>  <b>Procedures</b>  Public Access: <i>Review</i></p>	<p>Use for sets of substantive instructions or procedures that govern the administration of a public agency and/or policy development. 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><b>GRS-1000.1102.144</b>  <b>Reports</b>  Public Access: <i>Review</i></p>	<p>Use for annual reports and similar reports, usually required by State or Federal law, documenting activities and accomplishments. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Calendar Year Ends  PLUS: 3 Year(s)  THEN: Archives</p>
<p><b>GRS-1000.1102.116</b>  <b>Studies</b>  Public Access: <i>Review</i></p>	<p>Use for studies conducted by or for a public agency or program that relate to the agency's administration 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><b>GRS-1000.1102.150</b>  <b>Waivers</b>  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>

STATE OF VERMONT GENERAL 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 GENERAL 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 GENERAL 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 GENERAL 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 GENERAL RECORD SCHEDULE

## Appendix E: Legal References

<b>GRS-1000.1102: Administrative Policy Records</b>		<i>Review for Exemption?</i>
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	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	No
3 V.S.A. § 835	Procedures and guidance documents [related to administrative procedure]	No
3 V.S.A. § 843	Filing of adopted rules	No
32 V.S.A. § 10302	Certified electronic health record technology loan fund	No
<b>Bulletin 5, Agency of Administration</b>	Policy for grant issuance and monitoring	No