

## STATE OF VERMONT GENERAL RECORD SCHEDULE

Issued to: All Public Agencies

GRS-1000.1063: Monitoring Records

Last Revised: 5/6/2014



Vermont State Archives and Records Administration  
Vermont Office of the Secretary of State

### GRS-1000.1063: Monitoring Records

Classification: GENERAL (Monitoring)

- Authority:** A custodian of public records shall not destroy, give away, sell, discard, or damage any record or records in his or her charge, unless specifically authorized by law or under a record schedule approved by the state archivist pursuant to subdivision 117(a)(5) of Title 3. (1 V.S.A. § 317a)
- Scope:** This 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-1000.1063 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-1000.1063 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-1000.1063: Monitoring Records**

Classification: GENERAL (Monitoring)

*GRS-1000.1063: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, monitoring compliance with statutory and regulatory requirements and/or orders, permits, licenses, and similar authorizations issued by or under the statutory authority of a public agency.*

**Retention:** Monitoring agreements and plans, including waivers, shall be retained until expired, plus three (3) years, and then destroyed. Declarations and other formal statements related to compliance may be destroyed when superseded by a more recent statement. The latest statement received shall be retained until the monitoring plan or agreement has expired, plus three (3) years, and then destroyed.

Retain reports and similar narratives issued by the agency, including relevant supporting material, until the report is completed, plus an additional three (3) years, and then destroy if the report does not have significant administrative value. If a report has significant administrative value, retain permanently and use the retention requirements for Reports in GRS-1000.1102 (Administrative Policy Records).

Registers or systems that provide for the systematic and regular recording of monitoring information or activities shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

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

**Public Access:** Review

**MINIMUM RECORDKEEPING REQUIREMENTS for Monitoring 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-1000.1063.5</b> <b>Agreements</b> Public Access: <i>Review</i>	Use for written agreements related to monitoring, including compliance agreements.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)
<b>GRS-1000.1063.32</b> <b>Declarations</b> Public Access: <i>Review</i>	Use for formal statements related to compliance with statutory and regulatory requirements and/or orders, permits, licenses, and similar authorizations. Includes any additional documentation submitted with the declaration.	Temporary (Legal)	RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Destroy (General)

**STATE OF VERMONT GENERAL RECORD SCHEDULE**

<p><b>GRS-1000.1063.145</b> <b>Logs</b> Public Access: <i>Review</i></p>	<p>Use for records documenting or tracking performance or use of equipment, space, or information for monitoring purposes.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p><b>GRS-1000.1063.50</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 (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p><b>GRS-1000.1063.69</b> <b>Plans (reports)</b> Public Access: <i>Review</i></p>	<p>Use for monitoring plans, including schedules.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p><b>GRS-1000.1063.81</b> <b>Registers</b> Public Access: <i>Review</i></p>	<p>Use for registers, databases, and systems that provide for the systematic and regular recording of monitoring information or activities.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>
<p><b>GRS-1000.1063.144</b> <b>Reports</b> Public Access: <i>Review</i></p>	<p>Use for reports and similar narratives issued by the agency about its monitoring activities, including relevant supporting material. For reports that have significant administrative value, retain permanently and use the retention requirements for Reports in GRS-1000.1102 (Administrative Policy Records).</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p><b>GRS-1000.1063.36</b> <b>Supporting material</b> Public Access: <i>Review</i></p>	<p>Use for supporting documentation, not otherwise specified in this schedule, created or received by the agency.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p><b>GRS-1000.1063.150</b> <b>Waivers</b> Public Access: <i>Review</i></p>	<p>Use for waivers and variances related to monitoring compliance with statutory and regulatory requirements and/or orders, permits, licenses, and similar authorizations.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)</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.*

<b>Access</b>	<b>Description</b>	<b>Usage</b>
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

GRS-1000.1063: Monitoring Records		<i>Review for Exemption?</i>
1 V.S.A. § 315	Statement of policy [related to free and open examination of 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 producing records for inspection]	No
1 V.S.A. § 319	Enforcement [related to the denial of a request for public records]	No
1 V.S.A. § 320	Penalties [related to court orders for the production of any public agency records]	No
10 V.S.A. § 1672	Authority of the agency of natural resources [related to public water supply]	No
10 V.S.A. § 1676	Temporary permits [related to public water supply]	No
10 V.S.A. § 1678	Prohibition on use of lead pipes, solder and flux	No
10 V.S.A. § 1683	Filtration requirements	No
10 V.S.A. § 1971	Purpose [related to potable water supply and wastewater system permits]	No
10 V.S.A. § 1973	Permits [related to potable water supplies and wastewater systems]	No
10 V.S.A. § 1979	Holding tanks [related to potable water supplies and wastewater systems]	No
10 V.S.A. § 6086	Issuance of permit; conditions and criteria [related to state land use and development plans]	No
10 V.S.A. § 6628	Plan, plan summary and performance report review [related to toxics use reduction and hazardous waste reduction]	Yes
10 V.S.A. § 7108	Mercury-added motor vehicle components	No
10 V.S.A. § 8006	Warning; notice of alleged violation	No
12 030 CVR 003	Chapter 21 - Water supply rule	No



**STATE OF VERMONT GENERAL RECORD SCHEDULE**

<b>12 033 CVR 001</b>	Wastewater system and potable water supply	No
<b>13 140 CVR 055</b>	Lead poisoned children rules	No
<b>13 V.S.A. § 5404</b>	Reporting upon release from confinement or supervision [related to sex offender registration; law enforcement notification]	No
<b>13 V.S.A. § 5411</b>	Notification to local law enforcement and local community [related to sex offender registration; law enforcement notification]	Yes
<b>18 V.S.A. § 1751</b>	Definitions [related to lead poisoning]	No
<b>18 V.S.A. § 1756</b>	Annual report [related to lead poisoning]	No
<b>18 V.S.A. § 1757</b>	Children with elevated blood lead levels	No
<b>18 V.S.A. § 1758</b>	Housing registry [related to lead poisoning]	No
<b>18 V.S.A. § 1759</b>	Essential maintenance practices	No
<b>18 V.S.A. § 1760a</b>	Enforcement; administrative order; penalties [relating to lead]	No
<b>20 V.S.A. § 2056c</b>	Dissemination of criminal history records to the public	Yes
<b>21 V.S.A. § 514</b>	Administration of tests [related to drug testing]	No
<b>29 V.S.A. § 505</b>	Authority of the board [related to natural gas and oil conservation]	Yes
<b>29 V.S.A. § 542</b>	Drilling reports [related to natural gas and oil conservation]	Yes
<b>3 V.S.A. § 2822</b>	Budget and report; powers [related to natural resources]	No
<b>33 V.S.A. § 6305</b>	Review of access, cost, and quality issues; remediation process	No
<b>4 V.S.A. § 1106</b>	Hearing	No
<b>40 CFR 136.1</b>	Guidelines establishing test procedures for the analysis of pollutants: applicability [related to water programs]	No
<b>40 CFR 141.155</b>	Report delivery and recordkeeping [related to consumer confidence reports]	No
<b>40 CFR 141.201</b>	General Public Notification Requirements	No

## STATE OF VERMONT GENERAL RECORD SCHEDULE

40 CFR 141.22	Turbidity sampling and analytical requirements	No
40 CFR 141.23	Inorganic chemical sampling and analytical requirements	No
40 CFR 141.24	Organic chemicals, sampling and analytical requirements	No
40 CFR 141.26	Monitoring frequency and compliance requirements for radionuclides in community water systems	No
40 CFR 141.31	Reporting requirements	No
40 CFR 141.32	Public notification	No
40 CFR 141.71	Criteria for avoiding filtration	No
40 CFR 141.83	Source water treatment requirements	No
40 CFR 141.86	Monitoring requirements for lead and copper in tap water	No
40 CFR 142.15	Reports by states [related to National Primary Drinking Water Regulations Implementation]	No
40 CFR 142.16	Special primacy requirements	No
42 U.S.C. § 300	Safe Drinking Water Act	No
6 V.S.A. § 2743	Dairy laboratories	No
V.R.C.P. 80.6	Judicial Bureau procedures	No
V.R.Cr.P. 41	Search and seizure	No
V.R.S.C.P. 6	Trial procedure [related to small claims]	No