



AGENCY OF TRANSPORTATION SPECIFIC RECORD SCHEDULE: Transportation, 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:** Agency of Transportation (AOT) specific record schedules (SRS) are applicable only to records produced or acquired during the course of AOT and Department of Motor Vehicles (DMV) business. Records are any written or recorded information, regardless of physical form or characteristics, and include electronic and digital records and data. (1 V.S.A. § 317)
- Use:** AOT and DMV may develop internal policies and procedures to assure SRS requirements are being consistently applied within AOT and DMV. For records required to be retained until OBSOLETE, internal policies must clearly state specific retention requirements that best meet administrative needs. SRS numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a and 3 V.S.A. § 218.
- 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 in SRS 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. See Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.
- Retention:** Retention and disposition requirements in SRS are applicable to all written and recorded information produced or acquired during the course of AOT and DMV business, regardless of media, format, or mode of transmission. Transitory records may be weeded as appropriate in accordance with SRS-2070.1000 (Transportation and Motor Vehicles' Transitory Records) and AOT and DMV internal policies and procedures.
- Revisions:** If, at any time, the requirements related to the records in an AOT SRS have changed, the SRS is revised by the Vermont State Archives and Records Administration in accordance with the standards of the Statewide Records and Information Management at the time of revision. Upon notification from the AOT or DMV records officer responsible for administering the SRS, revisions are done in collaboration with the records officer and representatives of the Agency/Department Records Management Program. (3 V.S.A. § 218)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-2070.1102: Transportation and Motor Vehicles Administrative Policy Records

SRS-2070.1102: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the administration of the Agency of Transportation and the Department of Motor Vehicles and the formulation or development of policy. This schedule does not include records of state boards and commissions administratively attached to the Agency of Transportation or rulemaking pursuant to the Administrative Procedure Act.

Classification: Transportation (Administering)

Retention: The following records are appraised as permanent (archival) and shall be retained until retention requirements have been met and then transferred to the agency/department archives or the Vermont State Archives Records Administration for permanent preservation and long-term access:

(1) Agreements, authorizations, plans (reports), policies, procedures, and studies relating to policy or major administrative issues of the Agency of Transportation or Department of Motor Vehicles; and

(2) Calendars, declarations, press releases, and substantive correspondence of the Secretary of Transportation and Commissioner of Motor Vehicles and their deputies and division directors.

Other administrative policy records shall be retained as specified in this schedule.

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-2070.1102 (see APPENDIX E for related legal references)

Record Category/Type	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-2070.1102.5 Agreements Public Access: Review	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.	Permanent (Archival)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Archives
SRS-2070.1102.141 Authorizations Public Access: Review	Use for written permissions from the Governor or another authoritative body as specified in relevant State and federal statutes and regulations allowing the Secretary of Transportation or Commissioner of Motor Vehicles to perform specific duties and activities.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives
SRS-2070.1102.19 Calendars Public Access: Review	Use for calendars of official meetings and events as they relate to the Secretary of Transportation, Commissioner of Motor Vehicles, their deputies, or their division directors.	Permanent (Archival)	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Archives

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<p>SRS-2070.1102.53 Correspondence (Substantive) Public Access: <i>Review</i></p>	<p>Use for any correspondence produced or received by the Secretary of Transportation, Commissioner of Motor Vehicles, their deputies, or their division directors that has significant administrative value and/or is essential in supporting policy decisions. Includes opinions, memoranda of decisions, and significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-2070.1102.32 Declarations Public Access: <i>Review</i></p>	<p>Use for official statements made by the Secretary of Transportation, Commissioner of Motor Vehicles, their deputies, or their division directors. Includes formal opinions and similar written documents that set forth the basis of authority; the scope of activities of the Agency of Transportation or Department of Motor Vehicles; and/or defines the obligations, liabilities, duties, and rights of those affected. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-2070.1102.69 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 Transportation or Department of Motor Vehicles. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-2070.1102.70 Policies Public Access: <i>Review</i></p>	<p>Use for written statements that outline guiding principles or general courses of action for the Agency of Transportation or Department of Motor Vehicles. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-2070.1102.72 Press releases Public Access: <i>General</i></p>	<p>Use for official statements distributed to the press that relate to the Agency of Transportation or Department of Motor Vehicle's administration and/or the formulation or development of policy.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-2070.1102.73 Procedures Public Access: <i>Review</i></p>	<p>Use for sets of substantive instructions or procedures that govern the administration of the Agency of Transportation or Department of Motor Vehicles and/or policy development. Does not include rules adopted pursuant to the Administrative Procedure Act.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-2070.1102.144 Reports Public Access: <i>Review</i></p>	<p>Use for annual and similar reports documenting activities and accomplishments of the Agency of Transportation or Department of Motor Vehicles. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Archives</p>

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SRS-2070.1102.116

Studies

Public Access: **Review**

Use for studies conducted by or for the Agency of Transportation or the Department of Motor Vehicles that relates to the administration of the Agency or Department and/or the formulation or development of policy Includes significant supporting material.

Permanent (Archival)

RETAIN UNTIL: Completed/Closed

PLUS: 3 Year(s)

THEN: Archives

SRS-2070.1102 was approved by the Vermont State Archivist on 1/9/2024.

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SRS-2070.1103: Transportation and Motor Vehicles Operational / Managerial Records

SRS-2070.1103: 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 and internal workflows and processes of the Agency of Transportation and the Department of Motor Vehicles.

Classification: Transportation (Managing)

Retention: Operational plans, reports, and studies shall be retained until completed/closed plus three (3) years, then destroyed.

Other operational/managerial records shall be retained as specified in this schedule.

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-2070.1103 (see APPENDIX E for related legal references)

Record Category/Type	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-2070.1103.5 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-2070.1103.19 Calendars Public Access: <i>Review</i>	Use for schedules of meetings and related events.	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
SRS-2070.1103.145 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: 3 Year(s) THEN: Destroy (General)
SRS-2070.1103.69 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.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)

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<p>SRS-2070.1103.73 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-2070.1103.144 Reports Public Access: <i>Review</i></p>	<p>Use for internal reports, including statistical reports, used to communicate and/or document general day-to-day operations, 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-2070.1103.116 Studies Public Access: <i>Review</i></p>	<p>Use for studies and other evaluations that relate to general day-to-day operations, 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-2070.1103 was approved by the Vermont State Archivist on 1/9/2024.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-2070.1000: Transportation and Motor Vehicles Transitory Records

SRS-2070.1000: This schedule is reserved for records that are created and received in the course of business by the Agency of Transportation and the Department of Motor Vehicles that are transitory in nature meaning that that they are: (1) 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: Transportation (GENERAL)

Retention: Transitory records shall be retained by the Agency of Transportation and the Department of Motor Vehicles as specified in this schedule and in accordance with the Agency of Transportation Records and Information Management Policy.

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-2070.1000 (see APPENDIX E for related legal references)

Record Category/Type	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-2070.1000.187 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-2070.1000.28 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-2070.1000.37 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 (e.g. policies) as authorized in another agency-specific record schedule.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
SRS-2070.1000.60 Notes Public Access: <i>General</i>	Use for brief statements of a fact or experience, written down or recorded 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)

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<p>SRS-2070.1000.74 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-2070.1000.80 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-2070.1000.139 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-2070.1000.104 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-2070.1000 was approved by the Vermont State Archivist on 1/9/2024.

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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.

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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.

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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.

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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.

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Appendix E: Legal References

SRS-2070.1102: Transportation and Motor Vehicles Administrative Policy Records		<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; 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
Bulletin 5, Agency of Administration	Policy for grant issuance and monitoring	No
SRS-2070.1103: Transportation and Motor Vehicles Operational / Managerial Records		<i>Review for Exemption?</i>
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

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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-2070.1000: Transportation and Motor Vehicles Transitory Records	<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. § 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