



AGENCY of HUMAN SERVICES SPECIFIC RECORD SCHEDULE: Disabilities, Aging and Independent Living, Dept. 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 Human Services (AHS) specific record schedules (SRS) are applicable only to records produced or acquired during the course of AHS 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:** AHS and its departments may develop internal policies and procedures to assure SRS requirements are being consistently applied within AHS. For records required to be retained until OBSOLETE, internal policies must clearly state specific retention requirements that best meet AHS' 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 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. 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 AHS business, regardless of media, format, or mode of transmission. Transitory records may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records) and AHS and department internal policies and procedures.
- Revisions:** If, at any time, the requirements related to the records in an AHS 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 AHS record officer responsible for administering the SRS, revisions are done in collaboration with the AHS record officer and representatives of AHS' Records Management Program. (3 V.S.A. § 218)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1855.1098: DAIL-PASRR

SRS-1855.1098: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the tasks associated with evaluating an individual who has significantly subaverage intellectual functioning existing concurrently with deficits in adaptive behavior.

Classification: Persons with an intellectual disability (Evaluating)

Retention: Retain all records listed on this schedule until completed/closed, with the exception of agreements, plus ten (10) years, then destroy by shredding.

Retain agreements until expired, plus ten (10) years, then destroy by shredding.

Registers, databases and similar systems that provide for the systematic and regular recording of information related to evaluating persons with an intellectual disability shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

Public Access: Exempt

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1855.1098 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1855.1098.5 Agreements Public Access: <i>Exempt</i>	Use for formal arrangements related to evaluating an individual with an intellectual disability. Includes agreements between out of state facilities for preadmission screening and annual resident review arrangements.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1855.1098.133 Decisions Public Access: <i>Exempt</i>	Use for written decisions related to evaluating an individual with an intellectual disability. Includes notices of determinations and all decisions related to preadmission screening and annual resident reviews.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1855.1098.50 Notices, Legal Public Access: <i>Exempt</i>	Use for official, written statements, notices, or announcements that are required by law. Includes transfer notices and other notices related to preadmission screening and annual resident reviews.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

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SRS-1855.1098.69	Use for a proposed or tentative course of action for a client related to evaluating an individual with an intellectual disability. Includes resident plan of care and individual service agreement.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Plans (reports)			PLUS: 10 Year(s)
Public Access: <i>Exempt</i>			THEN: Destroy (Shred)
SRS-1855.1098.153	Use for formal referrals of individuals to nursing facilities.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Referrals			PLUS: 10 Year(s)
Public Access: <i>Exempt</i>			THEN: Destroy (Shred)
SRS-1855.1098.81	Use for registers, databases and similar systems that provide for the systematic and regular recording of information related to evaluating an individual with an intellectual disability pursuant to preadmission screening and annual resident reviews.	Conditional Archival	RETAIN UNTIL: Superseded
Registers			PLUS: 10 Year(s)
Public Access: <i>Exempt</i>			THEN: Confirm
SRS-1855.1098.144	Use for reports and similar narrative statements required by law related to evaluating an individual with an intellectual disability. Includes preadmission screening, resident assessments, annual resident review reports, evaluation reports and other similar reports.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Reports			PLUS: 10 Year(s)
Public Access: <i>Exempt</i>			THEN: Destroy (Shred)

SRS-1855.1098 was approved by the Vermont State Archivist on 2/20/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1982.1022: Home and Community-Based Services Client Files

SRS-1982.1022: 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 long-term services and supports received in a home or community setting other than a nursing home.

Classification: Home and community-based services (Coordinating)

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

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

Registers, databases and similar systems that provide for the systematic and regular recording of information related to the coordination of home and community-based services shall be retained until the register is superseded, plus ten (10) years, then destroyed.

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-1982.1022 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1982.1022.5 Agreements Public Access: <i>Redact</i>	Use for formal agreements related to the coordination of long-term services and supports received in a home or community setting. Includes annual service agreements.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1982.1022.141 Authorizations Public Access: <i>Redact</i>	Use for written permissions from an authoritative body allowing or requiring recipients to perform specific activities related to the coordination of long-term services and supports received in a home or community setting. Includes authorizations for funding services.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1982.1022.133 Decisions Public Access: <i>Redact</i>	Use for written decisions related to the coordination of long-term services and supports received in a home or community setting. Includes substantive correspondence and other similar decisions.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1982.1022.50 Notices, Legal Public Access: <i>Redact</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: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1982.1022.69 Plans (reports) Public Access: <i>Redact</i></p>	<p>Use for a proposed or tentative course of action for a client related to the coordination of long-term services and supports received in a home or community setting. Includes service plans and supporting materials.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1982.1022.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases and similar systems that provide for the systematic and regular recording of activities related to the coordination of long-term services and supports received in a home or community setting.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1982.1022.144 Reports Public Access: <i>Redact</i></p>	<p>Use for reports and similar narrative statements required by law related to the coordination of long-term services and supports received in a home or community setting. Includes quarterly reports, annual reviews, critical incident reports and other similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1982.1022.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for supplemental records, not otherwise specified in this schedule, created or received during the course of coordinating long-term services and supports received in a home or community setting. Includes assessments, case notes, evaluations and other similar materials.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>

SRS-1982.1022 was approved by the Vermont State Archivist on 3/14/2023.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1982.1101: Home Safety and Accessibility Inspections

SRS-1982.1101: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the inspection of long-term services and supports received in a home or community setting other than a nursing home.

Classification: Home and community-based services (Inspecting)

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

Retain agreements until expired plus ten (10) years, then destroy by shredding.

Registers, databases and similar systems that provide for the systematic and regular recording of information related to the inspection of home and community-based services shall be retained until the register is superseded, plus ten (10) years, then destroyed.

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-1982.1101 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1982.1101.5 Agreements Public Access: <i>Redact</i>	Use for formal agreements related to the inspection of long-term services and supports received in a home or community setting. Includes agreements with provider agencies and contractors.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1982.1101.133 Decisions Public Access: <i>Redact</i>	Use for written decisions related to the inspection of long-term services and supports received in a home or community setting. Includes substantive correspondence and other similar decisions.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1982.1101.81 Registers Public Access: <i>Redact</i>	Use for registers, databases and similar systems that provide for the systematic and regular recording of inspecting activities related to long-term services and supports received in a home or community setting.	Temporary (Legal)	RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1982.1101.144 Reports Public Access: <i>Redact</i></p>	<p>Use for reports and similar narrative statements related to the inspection of long-term services and supports received in a home or community setting. Includes assessments, inspection reports and other similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1982.1101.139 Requests Public Access: <i>Redact</i></p>	<p>Use for written requests related to the inspection of long-term services and supports received in a home or community setting.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1982.1101.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for supplemental records, not otherwise specified in this schedule, created or received during the course of inspecting long-term services and supports received in a home or community setting. Includes copies of certificates of occupancy, fire escape plans and other similar supporting documents.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>

SRS-1982.1101 was approved by the Vermont State Archivist on 3/14/2023.

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, databases 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.

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 authorizations to receive medication, release of information, and other similar authorizations.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1825.1103.50 Notices, Legal Public Access: <i>Exempt</i>	Use for written notifications sent to, or on behalf of, the patient. Includes discharge notices, notice of transfer, and other similar notices.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<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-1321.1088: Public Guardianship Case Files

SRS-1321.1088: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner supervising people in need of guardianship for whom a guardianship order has been issued.

Classification: Persons in need of guardianship (Supervising)

Retention: Retain all records, with the exception of agreements, legal notices, and registers, until completed/closed, plus six (6) years, and then destroy by shredding. A guardianship case is considered completed/closed when guardianship is terminated.

Other records shall be retained as specified in this schedule.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1321.1088 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1321.1088.5 Agreements Public Access: <i>Redact</i>	Use for formal arrangements related to supervising a person in need of guardianship. Includes individual support agreements and other similar agreements.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1321.1088.133 Decisions Public Access: <i>Redact</i>	Use for written decisions made by, or on behalf of, a person under guardianship. Includes all court related materials, substantive correspondence, and other similar decisions.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1321.1088.32 Declarations Public Access: <i>Redact</i>	Use for formal statements and similar narratives received by the department related to the supervision of a person in need of guardianship. Includes advance directives, powers of attorney, wills, and other similar declarations.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1321.1088.50 Notices, Legal Public Access: <i>Redact</i>	Use for official, written statements, notices, or announcements that are required by law. Includes notices of hearing, notices of eligibility, notices of decision, and other similar notices.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1321.1088.69 Plans (reports) Public Access: <i>Redact</i></p>	<p>Use for planning documents documenting a proposed or tentative course of action for a client related to the supervision of a person in need of guardianship. Includes service plans, communication plans, education 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-1321.1088.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases, and similar systems that provide for the systematic and regular recording of activities related to the supervision of a person in need of guardianship.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1321.1088.144 Reports Public Access: <i>Redact</i></p>	<p>Use for reports and similar narrative statements related to the supervision of a person in need of guardianship. Includes quarterly reports, annual reviews, financial reports, 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-1321.1088.139 Requests Public Access: <i>Redact</i></p>	<p>Use for written requests related to the supervision of a person in need of guardianship. Includes applications for public benefits.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1321.1088.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for supplemental records, not otherwise specified in this schedule, created or received by, or on behalf of, the person in need of guardianship. Includes case notes, evaluations, and other similar materials.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>

SRS-1321.1088 was approved by the Vermont State Archivist on 2/9/2021.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1982.1103: Variances

SRS-1982.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the management of long-term services and supports received in a home or community setting other than a nursing home, including internal workflows and processes.

Classification: Home and community-based services (Managing)

Retention: Retain all records listed on this schedule, with the exception of registers, until completed/closed, plus ten (10) years, then destroy by shredding.

Registers, databases and similar systems that provide for the systematic and regular recording of information related to the management of home and community-based services shall be retained until the register is superseded, plus ten (10) years, then destroyed.

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-1982.1103 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1982.1103.133 Decisions Public Access: <i>Redact</i>	Use for written decisions related to the management of long-term services and supports received in a home or community setting. Includes decisions related to variances for direct support workers and non-compliant items noted on home inspections.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1982.1103.81 Registers Public Access: <i>Redact</i>	Use for registers, databases and similar systems that provide for the systematic and regular recording of management activities related to long-term services and supports received in a home or community setting.	Temporary (Legal)	RETAIN UNTIL: Superseded PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-1982.1103.139 Requests Public Access: <i>Redact</i>	Use for written requests related to the management of long-term services and supports received in a home or community setting. Includes requests for variances from employers of record and shared living providers.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1982.1103.36

Supporting material

Public Access: *Redact*

Use for supplemental records, not otherwise specified in this schedule, created or received during the course of managing long-term services and supports received in a home or community setting. Includes letters of support and other similar records.

Temporary (Legal)

RETAIN UNTIL: Completed/Closed

PLUS: 10 Year(s)

THEN: Destroy (Shred)

SRS-1982.1103 was approved by the Vermont State Archivist on 3/14/2023.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1384.1022: Voc. Rehab Services Client Files

SRS-1384.1022: 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 services to assist an individual with a disability in preparing for, securing, retaining, or regaining an employment outcome that is consistent with the strengths, resources, priorities, concerns, abilities, capabilities, interests, and informed choice of the individual.

Classification: Vocational rehabilitation services (Coordinating)

Retention: Retain applications, decisions, plans (reports), reports, and supporting materials until completed/closed, plus six (6) years, and then destroy by shredding.

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

Registers, databases and similar systems that provide for the systematic and regular recording of activities related to the coordination of vocational rehabilitation services 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.

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1384.1022 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1384.1022.5 Agreements Public Access: <i>Redact</i>	Use for formal agreements related to the coordination of vocational rehabilitation services. Includes mediation agreements, closure agreements and release of information.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1384.1022.8 Applications Public Access: <i>Redact</i>	Use for applications submitted to the Department related to the coordination of vocational rehabilitation services. Includes requests for demonstrations and equipment loans.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1384.1022.141 Authorizations Public Access: <i>Redact</i>	Use for written permissions from an authoritative body allowing or requiring recipients to perform specific activities related to the coordination of vocational rehabilitation services. Includes referrals for services.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1384.1022.133 Decisions Public Access: <i>Redact</i></p>	<p>Use for written decisions related to the coordination of vocational rehabilitation services. Includes eligibility determinations.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1384.1022.50 Notices, Legal Public Access: <i>Redact</i></p>	<p>Use for official, written statements, notices, or announcements that are required by law. Includes closure notices and statement of rights.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1384.1022.69 Plans (reports) Public Access: <i>Redact</i></p>	<p>Use for a proposed or tentative course of action for a client related to the coordination of vocational rehabilitation services.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1384.1022.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases and similar systems that provide for the systematic and regular recording of information related to the coordination of vocational rehabilitation services.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>
<p>SRS-1384.1022.144 Reports Public Access: <i>Redact</i></p>	<p>Use for reports and similar narrative statements related to the coordination of vocational rehabilitation services. Includes assessments, case notes, and other similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1384.1022.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for supplemental records, not otherwise specified in this schedule, created or received during the course of coordinating vocational rehabilitation services. Includes invoices for payment, materials about equipment and basic services provided.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>

SRS-1384.1022 was approved by the Vermont State Archivist on 10/3/2019.

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-1855.1098: DAIL-PASRR		<i>Review for Exemption?</i>
18 V.S.A. § 9418	Payment for health care services [related to health care administration]	No
33 V.S.A. § 111	Records, restrictions, penalties [related to the Department for Children and Families]	Yes
33 V.S.A. § 1902a	Confidentiality of Medicaid applications and records; disclosure to authorized representative	Yes
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 483	Requirements for states and long term care facilities	No
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
CVR 13-001-002	Part two: eligibility standards [related to general; health benefits eligibility and enrollment]	No
CVR 13-150-007	Operation of intermediate care facilities for the mentally retarded	No
CVR 13-170-760	Long-term care services [related to the Department for Children and Families]	No
CVR 13-174-007	Specialized services and programs [related to health care administrative rules]	Yes
SRS-1982.1022: Home and Community-Based Services Client Files		<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. § 317a	Management of public records	No
1 V.S.A. § 318	Procedure [related to access to public records]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

1 V.S.A. § 318a	Executive branch agency Public Records Request System	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. § 8723	Department of Disabilities, Aging, and Independent Living; duties	No
18 V.S.A. § 8726	Application for services; rules	No
33 V.S.A. § 1902a	Confidentiality of Medicaid applications and records; disclosure to authorized representative	Yes
33 V.S.A. § 6203	Definitions [related to Older Vermonters Act]	No
33 V.S.A. § 6306	Collaboration and shared service agreements	No
42 CFR 1001	Program integrity—Medicare and state health care programs	No
42 CFR 431.17	Maintenance of records [related to public health]	No
42 CFR 441.301	Contents of request for a waiver [related to home and community-based services: waiver requirements]	No
42 CFR 441.302	State assurances [related to home and community-based services: waiver requirements]	No
42 CFR 441.530	Home and community-based setting	No
CVR 13-000-002	Access to information [related to Agency of Human Services]	Yes
CVR 13-174-007	Specialized services and programs [related to health care administrative rules]	Yes

SRS-1982.1101: Home Safety and Accessibility Inspections

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

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

1 V.S.A. § 318a	Executive branch agency Public Records Request System	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. § 8721	Purpose [related to the Developmental Disabilities Act]	No
18 V.S.A. § 8723	Department of Disabilities, Aging, and Independent Living; duties	No
33 V.S.A. § 1902a	Confidentiality of Medicaid applications and records; disclosure to authorized representative	Yes
33 V.S.A. § 6204	Department of Disabilities, Aging, and Independent Living; duties [related to Older Vermonters Act]	No
42 CFR 431.17	Maintenance of records [related to public health]	No
42 CFR 441.530	Home and community-based setting	No
CVR 13-110-002	Attendant services program regulations	Yes
CVR 13-174-007	Specialized services and programs [related to health care administrative rules]	Yes

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

1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
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
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
18 V.S.A. § 8007	Conditional discharges [related to health]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

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
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
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

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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-1321.1088: Public Guardianship Case Files	<i>Review for Exemption?</i>
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1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
14 V.S.A. § 2654	Control over property in another state [related to persons for whom guardians appointed]	No
14 V.S.A. § 2671	Voluntary guardianship [related to persons for whom guardians appointed]	No
14 V.S.A. § 2751	Bonds; how conditioned [related to guardianship]	No
14 V.S.A. § 2791	Inventory [relating to inventory and disposition of estate]	No
14 V.S.A. § 2792	Appraisal to be made; exception [related to inventory and disposition of estate]	No
14 V.S.A. § 2797	Guardian to manage estate and maintain ward	No
14 V.S.A. § 2798	Guardian may sell personalty and support ward	No
14 V.S.A. § 2801	Guardian may discharge mortgage; consent to sale of realty	No
14 V.S.A. § 2803	Court may order personalty sold and proceeds invested in real estate [related to inventory and disposition of estate]	No
14 V.S.A. § 2841	Limiting time for payment of debts [related to payment of debts of ward]	No
14 V.S.A. § 2843	Claims, time for presenting limited; when barred [payment of debts of ward]	No
14 V.S.A. § 2846	Court may order dividend [related to payment of debts of ward]	No
14 V.S.A. § 2881	Real estate; when may be sold [related to guardianship]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

14 V.S.A. § 2884	Deed, effect of [related to guardianship]	No
14 V.S.A. § 2885	Guardian to report sale [related to guardianship]	No
14 V.S.A. § 2887	Conveyance of land which ward was under contract to convey [related to sale of real estate]	No
14 V.S.A. § 2921	Accounts, time [related to settlement of accounts]	No
14 V.S.A. § 2928	Death of ward [related to settlement of accounts]	No
14 V.S.A. § 3067	Evaluation and report; background check; release of evaluation [related to persons in need of guardianship]	Yes
14 V.S.A. § 3068	Hearing [related to persons in need of guardianship]	Yes
14 V.S.A. § 3068a	Rights of a person under guardianship	No
14 V.S.A. § 3069	Powers of a guardian [related to persons in need of guardianship]	No
14 V.S.A. § 3071	Duties of guardian	No
14 V.S.A. § 3073	Change of residential placement [related to persons in need of guardianship]	No
14 V.S.A. § 3075	Consent for medical or dental treatment [related to persons in need of guardianship]	No
14 V.S.A. § 3076	Annual reports; final accounting; fees [persons in need of guardianship]	No
14 V.S.A. § 3077	Termination and modification of guardianship	No
14 V.S.A. § 3078	Annual notice to person in need of guardianship	No
14 V.S.A. § 3079	Validity of prior guardianship [related to persons in need of guardianship]	No
14 V.S.A. § 3091	Office of public guardian established [related to guardianship]	No
14 V.S.A. § 3092	Appointment of the office of public guardian	No
14 V.S.A. § 3093	Powers and duties of public guardian	No
14 V.S.A. § 3094	Duty to seek private guardian	No
14 V.S.A. § 3564	Disclosure of digital assets to guardian of person under guardianship	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

18 V.S.A. § 8728	Rights of recipients [of services for the developmentally disabled]	Yes
18 V.S.A. § 9303	Jurisdiction and venue [related to guardianship services for people with developmental disabilities]	No
18 V.S.A. § 9307	Notice of petition and hearing [related to guardianship services for people with developmental disabilities]	No
18 V.S.A. § 9309	Hearing and appeal [related to guardianship services for people with developmental disabilities]	Yes
18 V.S.A. § 9310	Powers of commissioner as guardian [related to guardianship services for people with developmental disabilities]	No
18 V.S.A. § 9313	Duties of commissioner when providing guardianship services	No
18 V.S.A. § 9314	Annual review [related to guardianship services for people with developmental disabilities]	No
18 V.S.A. § 9316	Modification or termination of guardianship services	No
20 CFR 404	Federal old-age, survivors and disability insurance (1950-)	No
20 CFR 416	Supplemental security income for the aged, blind, and disabled	No
CVR 13-110-003	Regulations of the office of public guardian	Yes

SRS-1982.1103: Variances

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. § 318a	Executive branch agency Public Records Request System	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

1 V.S.A. § 320	Penalties [related to access to public records]	No
33 V.S.A. § 6321	Attendant care services [related to home care programs]	Yes
42 CFR 431.17	Maintenance of records [related to public health]	No
CVR 13-110-002	Attendant services program regulations	Yes
CVR 13-174-007	Specialized services and programs [related to health care administrative rules]	Yes

SRS-1384.1022: Voc. Rehab Services Client Files	<i>Review for Exemption?</i>
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2 CFR 200.333	Retention requirements for records [related to post federal award requirements]	No
20 CFR 411	The Ticket to Work and Self Sufficiency Program [related to Employee's Benefits]	No
20 U.S.C. § 1407	State administration [related to education of individuals with disabilities]	No
29 U.S.C. § 3003	State grants for assistive technology [related to assistive technology for individuals with disabilities]	No
29 U.S.C. § 721	State plans [related to vocational rehabilitation services]	No
29 U.S.C. § 723	Vocational rehabilitation services	No
33 V.S.A. § 1502	Services for the blind	No
33 V.S.A. § 504	Duties of department [related to Department Of Disabilities, Aging, and Independent Living]	No
34 CFR 300	Assistance to states for the education of children with disabilities [related to education]	No
34 CFR 361	State Vocational Rehabilitation Services Program	Yes
34 CFR 361.38	Protection, use, and release of personal information [related to state plan and other requirements for vocational rehabilitation services]	Yes
34 CFR 363	The State Supported Employment Services Program	No
34 CFR 397	Limitations on use of subminimum wage [related to office of special education and rehabilitative services, department of education]	No
34 CFR 75	Direct grant programs [related to education]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

CVR 13-000-002	Access to information [related to Agency of Human Services]	Yes
CVR 13-111-001	Vocational rehabilitation	No