

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**Issued to: Mental Health, Dept. of**

**Published: 2/10/2020**



Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

**AGENCY SPECIFIC RECORD SCHEDULE FOR: Mental Health, 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:** This agency specific record schedule is applicable only to the records listed on this record schedule that are produced or acquired during the course of agency business. Records are any written or recorded information, regardless of physical form or characteristics, and includes electronic or digital records and data. (1 V.S.A. § 317)

**Use:** This is an agency specific record schedule (SRS). The agency (Mental Health, Dept. of) may develop its own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. For records required to be retained until OBSOLETE, an internal policy that clearly states specific retention requirements that best meet the agency's administrative needs is highly advised. Specific Record Schedule (SRS) numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a.

**Exemptions:** It is the policy of Title 1, Chapter 5, Subchapter 3 of Vermont Statutes Annotated to provide for free and open examination of records consistent with Chapter 1, Article 6 of the Vermont Constitution. All people, however, have a right to privacy in their personal and economic pursuits, which ought to be protected unless specific information is needed to review the action of a governmental officer. Some records listed on this record schedule may be exempt from public inspection and copying for this reason. Security measures to protect records and information from unauthorized access, use, and disclosure are necessary if the records are exempt pursuant to 1 V.S.A. §§ 315-320. Please see Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.

**Retention:** This agency specific record schedule reflects the retention and disposition requirements for the following records regardless of their media, format, or mode of transmission. Duplicate records within the same agency that are used for specific legal, fiscal, or administrative purposes may be either retained using the retention requirement listed in this schedule or in accordance to an internal policy. Any copies of records made only for convenience of reference or informational purposes may be discarded when no longer needed unless otherwise directed through an internal policy. Duplicates or copies of records shall not be retained longer than the original records.

**Adopted by:** Signature on file. Approved and signed by Commissioner Michael Hartman on 03/03/2010.

*Sarah Squirrell, Department Commissioner / Mental Health, Dept. of*

*Date*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1262.1002: Accounting Records**

*SRS-1262.1002: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the department's economic activities and financial transactions.*

**Classification:** Mental health care services (Accounting)

**Retention:** Retain financial records for 3 years after the end of the fiscal year or for 3 years after the date of submission of final expenditure reports, whichever is later. Destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1262.1002 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1262.1002.1</b> <b>Accounts (Lists)</b> Public Access: <i>Review</i>	Use for ledgers and similar records that list or enumerate financial transactions to reflect debits and credits of an account.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1002.10</b> <b>Audits</b> Public Access: <i>Review</i>	Use for final reports following formal audits of agency accounts. Copies of audits to be provided to the Office of State Auditor pursuant to 32 V.S.A. § 163.	Temporary (Administrative)	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (General)
<b>SRS-1262.1002.141</b> <b>Authorizations</b> Public Access: <i>Review</i>	Use for all written approvals related to financial transactions, including delegations of authority.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1002.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to the management of an agency's economic activities and financial transactions.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1262.1002.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the management of an agency's economic activities and financial transactions.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)

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<b>SRS-1262.1002.48</b>	Use for annual physical inventories of agency assets.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends
<b>Inventories</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1002.49</b>	Use for documents created by a vendor to initiate payment.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends
<b>Invoices</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1002.75</b>	Use for authorizations to vendors to deliver goods and services, which upon acceptance constitute purchase contracts.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends
<b>Purchase orders</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1002.77</b>	Use for written acknowledgments of the receiving of goods or services, or records that provide evidence of money delivered, paid or transferred.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends
<b>Receipts</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1002.144</b>	Use for copies of reports and similar narrative statements about the agency's financial transactions and activities. Includes self-assessment questionnaires, expenditure reports, receipts confirmation forms, and similar documentation of the agency's financial activities.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends
<b>Reports</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1002.84</b>	Use for requests for a purchase order that create pre-encumbrances of funds.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends
<b>Requisitions</b>			PLUS: 1 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1002.101</b>	Use for documents that serve as the basis for cutting checks or generating payments and recording financial transactions to pay a vendor.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends
<b>Vouchers</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1002.104</b>	Use for worksheets, spreadsheets, and similar records used to make preliminary calculations related to the financial activities of the agency.	Temporary (Administrative)	RETAIN UNTIL: Obsolete
<b>Worksheets</b>			PLUS: 0 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)

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*SRS-1262.1002 was approved by the Vermont State Archivist on 3/3/2010.*

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**SRS-1262.1022: Adult Mental Health Client Case Files**

*SRS-1262.1022: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the coordination and provision of mental health services and funding.*

**Classification:** Mental health care services (Coordinating)

**Retention:** Retain records for 6 years after the date of action, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1262.1022 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1262.1022.8</b> <b>Applications</b> Public Access: <i>Review</i>	Use for all applications and similar requests for mental health services and funding.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1022.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence created or received by the department concerning the coordination and provision of mental health care services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1022.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the provision and coordination of mental health services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1022.133</b> <b>Decisions</b> Public Access: <i>Review</i>	Use for all decisions and authorizations related to the provision and coordination of mental health services and funding. Includes eligibility determinations.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1022.55</b> <b>Lists</b> Public Access: <i>Review</i>	Use for official lists of all mental health patients maintained by the department.	Temporary (Legal)	RETAIN UNTIL: Calendar Year Ends PLUS: 6 Year(s) THEN: Destroy (Shred)

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<b>SRS-1262.1022.60</b>	Use for case notes.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Notes</b>			PLUS: 6 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1022.69</b>	Use for treatment plans and aftercare plans.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Plans (reports)</b>			PLUS: 6 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1022.81</b>	Use for database entries related to individuals receiving mental health care services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Registers</b>			PLUS: 6 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1022.144</b>	Use for all reports related to mental health services provided to individuals. Includes reports of admission, discharge, and transfers of mental health patients.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Reports</b>			PLUS: 6 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1022.36</b>	Use for supplemental records that support decisions related to the provision and coordination of mental health services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Supporting material</b>			PLUS: 6 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)

*SRS-1262.1022 was approved by the Vermont State Archivist on 3/3/2010.*

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**SRS-1262.1012: Budget Records**

*SRS-1262.1012: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the planning, coordination, and allocation of financial resources and expenditures.*

**Classification:** Mental health care services (Budgeting)

**Retention:** Retain final budget, cost allocation plans, and substantive correspondence for 5 years after the end of the fiscal year, and then destroy. Retain drafts and other budget preparation records until they no longer have administrative value.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1262.1012 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1262.1012.17</b> <b>Budgets</b> Public Access: <i>Review</i>	Use for the official, annual reports of the agency's estimated financial resources and expenditures.	Temporary (Administrative)	RETAIN UNTIL: Fiscal Year Ends PLUS: 5 Year(s) THEN: Destroy (General)
<b>SRS-1262.1012.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for correspondence of a routine nature related to agency budgets.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1262.1012.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to agency budgets.	Temporary (Administrative)	RETAIN UNTIL: Fiscal Year Ends PLUS: 5 Year(s) THEN: Destroy (General)
<b>SRS-1262.1012.37</b> <b>Drafts</b> Public Access: <i>Review</i>	Use for preliminary or tentative versions of agency budgets.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1262.1012.69</b> <b>Plans (reports)</b> Public Access: <i>Review</i>	Use for cost allocation plans.	Temporary (Administrative)	RETAIN UNTIL: Fiscal Year Ends PLUS: 5 Year(s) THEN: Destroy (General)

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**SRS-1262.1012.104**

**Worksheets**

Public Access: *Review*

Use for documents such as preliminary plans, auxiliary computations, spreadsheets, notes, or comments used in preparing budgets.

Temporary (Administrative)

RETAIN UNTIL: Obsolete

PLUS: 0 Year(s)

THEN: Destroy (General)

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*SRS-1262.1012 was approved by the Vermont State Archivist on 3/3/2010.*



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**SRS-1260.1022: Children and Adolescent Case Files**

*SRS-1260.1022: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the coordination of services and funding for children and adolescents with severe emotional disturbances.*

**Classification:** Children and adolescents with severe emotional disturbance, Services for (Coordinating)

**Retention:** Maintain entire case file until the individual turns 18 years of age and the case is closed. Retain closed case file for an additional 6 years and then destroy. Retain annual register for 6 years and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1260.1022 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1260.1022.5</b> <b>Agreements</b> Public Access: <i>Review</i>	Use for all agreements. Includes child placement agreements and interagency funding agreements.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1260.1022.8</b> <b>Applications</b> Public Access: <i>Review</i>	Use for all applications, referral packets, and similar requests for services or funding. Includes records used to determine client eligibility, such as Initial Eligibility signature pages; Continuing Eligibility signature page; and Cost Agreement forms.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1260.1022.17</b> <b>Budgets</b> Public Access: <i>Review</i>	Use for individualized budgets.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1260.1022.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence, including email messages, created or received by CAFU staff. Includes internal and interagency correspondence and correspondence with the public on routine matters related to services and programs for children and adolescents with severe emotional disturbance.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)

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<p><b>SRS-1260.1022.53</b>  <b>Correspondence (Substantive)</b>  Public Access: <i>Review</i></p>	<p>Use for correspondence, including email messages, that has significant administrative value and/or supports decisions related to services for children and adolescents with severe emotional disturbance.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1260.1022.133</b>  <b>Decisions</b>  Public Access: <i>Review</i></p>	<p>Use for all authorizations, eligibility decisions and other decisions related to services for children and adolescents with severe emotional disturbance. Includes authorizations on Initial and Continued Eligibility Signature Pages and Initial letters of authorization; and decisions to suspend or terminate funding.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1260.1022.145</b>  <b>Logs</b>  Public Access: <i>Review</i></p>	<p>Use for registers that record requests for services, such as the CAFU Logbook.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Calendar Year Ends  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1260.1022.60</b>  <b>Notes</b>  Public Access: <i>Review</i></p>	<p>Use for case file notes and notes on programs and services.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1260.1022.62</b>  <b>Opinions</b>  Public Access: <i>Review</i></p>	<p>Use for recommendations and technical advice provided by the State Interagency Team, Case Review Committee, or CAFU staff.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1260.1022.69</b>  <b>Plans (reports)</b>  Public Access: <i>Review</i></p>	<p>Use for coordinated services plans and individualized treatment plans included in the referral packets.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1260.1022.81</b>  <b>Registers</b>  Public Access: <i>Review</i></p>	<p>Use for all database entries related to children with severe emotional disturbance. Includes the ADM, Kids Win, and VTIRC databases.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1260.1022.36</b>  <b>Supporting material</b>  Public Access: <i>Review</i></p>	<p>Use for all clinical information and similar documentation received and collected that supports decisions related to services and funding for children and adolescents with severe emotional disturbance.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>

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*SRS-1260.1022 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1268.1004: DA Designation/Re-designation Files**

*SRS-1268.1004: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the process of designating community mental health and developmental disability agencies, including specialized service agencies*

**Classification:** Designated agencies (Appointing)

**Retention:** Retain designation/re-designation file for 10 years from the date of decision, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1268.1004 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1268.1004.112</b> <b>Advertisements</b> Public Access: <i>Review</i>	Use for copies of public notices published in newspapers related to agency designation.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
<b>SRS-1268.1004.8</b> <b>Applications</b> Public Access: <i>Review</i>	Use for applications for designation, redesignation and/or deeming.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
<b>SRS-1268.1004.21</b> <b>Certificates</b> Public Access: <i>Review</i>	Use for copies of designation certificates.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
<b>SRS-1268.1004.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to agency designation and the imposition of sanctions on designated agencies. Includes letters of intent for redesignation.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
<b>SRS-1268.1004.133</b> <b>Decisions</b> Public Access: <i>Review</i>	Use for decisions related to agency designation and sanctions imposed on designated agencies.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)

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<p><b>SRS-1268.1004.50</b>  <b>Notices, Legal</b>  Public Access: <i>Review</i></p>	<p>Use for legal notices related to agency designation, redesignation, and the imposition of sanctions on designated agencies.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 10 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1268.1004.62</b>  <b>Opinions</b>  Public Access: <i>Review</i></p>	<p>Use for recommendations submitted by the State Program Standing Committees related to agency designation.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 10 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1268.1004.81</b>  <b>Registers</b>  Public Access: <i>Review</i></p>	<p>Use for lists of designated agencies.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Calendar Year Ends  PLUS: 10 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1268.1004.144</b>  <b>Reports</b>  Public Access: <i>Review</i></p>	<p>Use for all reports related to agency designation, including designation reports.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 10 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1268.1004.88</b>  <b>Schedules</b>  Public Access: <i>Review</i></p>	<p>Use for official schedules established for agency redesignation.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 10 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1268.1004.36</b>  <b>Supporting material</b>  Public Access: <i>Review</i></p>	<p>Use for supplementary records collected or received that are used to help evaluate applications for designation, redesignation, and the imposition of sanctions. Includes hearing recordings or transcripts of recordings.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 10 Year(s)  THEN: Destroy (General)</p>

*SRS-1268.1004 was approved by the Vermont State Archivist on 3/3/2010.*

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**SRS-1268.1105: DA Quality Assurance Records**

*SRS-1268.1105: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the periodic review and evaluation of community mental health and developmental disability agencies.*

**Classification:** Designated agencies (Reviewing)

**Retention:** Retain review records for 10 years after completion of the review, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1268.1105 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1268.1105.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to the review and evaluation of designated agencies. Includes internal and interagency correspondence of a routine nature.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1268.1105.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to reviews of designated agencies.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1268.1105.60</b> <b>Notes</b> Public Access: <i>Review</i>	Use for notes made or taken related to quality assurance reviews.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1268.1105.76</b> <b>Questionnaires</b> Public Access: <i>Review</i>	Use for questionnaires and surveys used for reviewing designated agencies.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1268.1105.144</b> <b>Reports</b> Public Access: <i>Review</i>	Use for all reports related to program reviews, quality of service reviews, minimum standard reviews, audits, and similar quality assurance activities. Includes drafts containing significant changes and revisions.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

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<b>SRS-1268.1105.36</b> <b>Supporting material</b> Public Access: <i>Review</i>	Use for supplemental records received or collected during the review process.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1268.1105.104</b> <b>Worksheets</b> Public Access: <i>Review</i>	Use for all worksheets, checklists, and spreadsheets used to collect and compile information during reviews.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

*SRS-1268.1105 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1268.1130: DA Quality Improvement Files**

*SRS-1268.1130: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the correction of deficiencies in community mental health and developmental disability agencies.*

**Classification:** Designated agencies (Remediating)

**Retention:** Retain records for 10 years after corrective action activities have been completed, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1268.1130 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1268.1130.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to corrective actions and similar quality improvement activities undertaken by designated agencies.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1268.1130.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to corrective actions taken by designated agencies.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
<b>SRS-1268.1130.133</b> <b>Decisions</b> Public Access: <i>Review</i>	Use for decisions related to corrective action plans and similar quality improvement activities.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
<b>SRS-1268.1130.50</b> <b>Notices, Legal</b> Public Access: <i>Review</i>	Use for notices of deficiency.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
<b>SRS-1268.1130.69</b> <b>Plans (reports)</b> Public Access: <i>Review</i>	Use for corrective action plans and/or improvement plans.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)



**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1268.1130.144**

**Reports**

Public Access: *Review*

Use for reports related to corrective action plans and similar quality improvement activities, including progress reports and final reports.

Temporary (Legal)

RETAIN UNTIL: Completed/Closed

PLUS: 10 Year(s)

THEN: Destroy (General)

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*SRS-1268.1130 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1268.1110: Designated Agency Funding**

*SRS-1268.1110: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the funding of community mental health and developmental disability agencies. Includes funding for specialized service agencies and private nonmedical institutions.*

**Classification:** Designated agencies (Granting)

**Retention:** Retain records for 3 years after the close of the fiscal year for which the funding was provided, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1268.1110 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1268.1110.8</b> <b>Applications</b> Public Access: <i>Review</i>	Use for all applications and supporting documents submitted by designated agencies related to requests for funding.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1268.1110.17</b> <b>Budgets</b> Public Access: <i>Review</i>	Use for budgets submitted by designated agencies.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1268.1110.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to the funding of designated agencies.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
<b>SRS-1268.1110.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the funding of designated agencies.	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1268.1110.133**

Use for all decisions related to the funding of designated agencies, SSA's, and PNMI's

Temporary (Legal)

RETAIN UNTIL: Fiscal Year Ends

**Decisions**

PLUS: 3 Year(s)

Public Access: *Review*

THEN: Destroy (Shred)

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*SRS-1268.1110 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1268.1088: Designated Agency General Oversight Records**

*SRS-1268.1088: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the oversight and general supervision of community mental health and developmental disability designated agencies and specialized service agencies. Includes records related to Certificates of Approval.*

**Classification:** Designated agencies (Supervising)

**Retention:** Retain records for 10 years from the date of creation, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1268.1088 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1268.1088.8</b> <b>Applications</b> Public Access: <i>Review</i>	Use for applications for Certificates of Approval. Includes documents submitted in support of the application.	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (General)
<b>SRS-1268.1088.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to the general oversight of designated agencies or specialized service agencies.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1268.1088.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the oversight of designated agencies or specialized services agencies.	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (General)
<b>SRS-1268.1088.133</b> <b>Decisions</b> Public Access: <i>Review</i>	Use for decisions related to the overseeing of designated agencies and specialized service agencies. Includes COA decisions	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (General)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>SRS-1268.1088.144</b> <b>Reports</b> Public Access: <i>Review</i>	Use for all narrative reports submitted to the department by designated agencies and specialized service agencies. Includes critical incident reports.	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (General)
<b>SRS-1268.1088.90</b> <b>Statistics</b> Public Access: <i>Review</i>	Use for data reports and similar compilations of statistics submitted by designated agencies and specialized service agencies..	Temporary (Legal)	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (Shred)

*SRS-1268.1088 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1268.1075: Designated Agency Sanctions**

*SRS-1268.1075: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the imposition of sanctions or penalties on community mental health and developmental disability designated agencies and specialized service agencies.*

**Classification:** Designated agencies (Disciplining)

**Retention:** Retain records for 6 years after the date that the sanction or penalty is removed and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1268.1075 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1268.1075.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence concerning sanctions related to designated agencies and specialized service agencies.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1268.1075.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the sanctioning of designated agencies and specialized service agencies.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (General)
<b>SRS-1268.1075.133</b> <b>Decisions</b> Public Access: <i>Review</i>	Use for written decisions related to sanctions imposed on designated agencies and specialized service agencies, including de-designation.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (General)
<b>SRS-1268.1075.50</b> <b>Notices, Legal</b> Public Access: <i>Review</i>	Use for written notifications related to sanctions imposed on designated agencies and specialized service agencies, including de-designation.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (General)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1268.1075.36**

**Supporting material**

Public Access: *Review*

Use for supplemental records used to support the imposition of sanctions.

Temporary (Administrative)

RETAIN UNTIL: Completed/Closed

PLUS: 6 Year(s)

THEN: Destroy (General)

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*SRS-1268.1075 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1289.1088: ECT Oversight Records**

*SRS-1289.1088: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the oversight and general supervision of electroconvulsive therapy.*

**Classification:** Electroconvulsive therapy (Supervising)

**Retention:** Retain records for 6 years from their creation and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1289.1088 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1289.1088.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to the supervision of electroconvulsive therapy.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
<b>SRS-1289.1088.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the supervision of electroconvulsive therapy.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1289.1088.90</b> <b>Statistics</b> Public Access: <i>Review</i>	Use for compilations of statistics and other data collected that are related to electroconvulsive therapy, such as Monthly ECT reports.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1289.1088.104</b> <b>Worksheets</b> Public Access: <i>Review</i>	Use for all worksheets used to collect data, such as the ECT Record Review Form.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)

*SRS-1289.1088 was approved by the Vermont State Archivist on 3/3/2010.*



**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1287.1113: Forensic and Involuntary Treatment Legal Files**

*SRS-1287.1113: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the conduct of legal action related to involuntary treatment.*

**Classification:** Involuntary treatment (Litigating)

**Retention:** Retain case file for 10 years after case closure and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1287.1113 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1287.1113.109</b> <b>Acknowledgments</b> Public Access: <i>Review</i>	Use for certificates and waivers of service.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1287.1113.141</b> <b>Authorizations</b> Public Access: <i>Review</i>	Use for authorizations provided by guardians, including copies of guardianship orders.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1287.1113.21</b> <b>Certificates</b> Public Access: <i>Review</i>	Use for copies of physician's certificates.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1287.1113.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence, including email messages, related to cases involving involuntary treatment.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
<b>SRS-1287.1113.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence, including email messages, that has significant administrative value and/or supports decisions related to involuntary treatment cases.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>SRS-1287.1113.40</b>	Use for exhibits.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Exhibits</b>			PLUS: 10 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1287.1113.55</b>	Use for witness lists	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Lists</b>			PLUS: 10 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1287.1113.60</b>	Use for attorney notes	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Notes</b>			PLUS: 10 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1287.1113.50</b>	Use for legal notices including Notice of Application for Involuntary Treatment/ Appointment of Counsel/ Notice of Hearing; Notice of Commitment Hearing; and notices sent to State's Attorneys.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Notices, Legal</b>			PLUS: 10 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1287.1113.63</b>	Use for all court orders, including orders of hospitalization, non-hospitalization, and continued treatment	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Orders</b>			PLUS: 10 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1287.1113.67</b>	Use for petitions, including Application for Involuntary Treatment [MH-10]; Application for Continued Treatment; Notices of Non-Compliance and Request for Hearing; and Warrants for Immediate Examination. Also Includes all formal declarations and statements submitted with the petition.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Petitions</b>			PLUS: 10 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1287.1113.126</b>	Use for pleadings and motions other than initial petitions.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Pleadings</b>			PLUS: 10 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1287.1113.92</b>	Use for stipulations.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Stipulations</b>			PLUS: 10 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)

## STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<b>SRS-1287.1113.121</b> <b>Subpoenas</b> Public Access: <i>Review</i>	Use for subpoenas.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1287.1113.36</b> <b>Supporting material</b> Public Access: <i>Review</i>	Use for supplemental records related to involuntary treatment cases, including copies of medical records and copies of records related to criminal proceedings.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

*SRS-1287.1113 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1286.1098: Forensic Evaluations**

*SRS-1286.1098: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the evaluation of defendants pleading insanity.*

**Classification:** Person in need of treatment (Evaluating)

**Retention:** Retain records for 10 years after submission of the forensic evaluation report, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1286.1098 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1286.1098.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence, including email messages, related to forensic examinations.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
<b>SRS-1286.1098.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence, including email messages, that has significant administrative value and/or supports decisions related to forensic evaluations.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1286.1098.63</b> <b>Orders</b> Public Access: <i>Review</i>	Use for all court orders concerning forensic examinations.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1286.1098.67</b> <b>Petitions</b> Public Access: <i>Review</i>	Use for requests made to the court to extend the period required to complete a forensic examination.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1286.1098.153</b> <b>Referrals</b> Public Access: <i>Review</i>	Use for referrals, including enclosures, sent to physicians by the department requesting examinations.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1286.1098.144**

Use for forensic evaluation reports.

Temporary (Legal)

RETAIN UNTIL: Completed/Closed

**Reports**

PLUS: 0 Year(s)

Public Access: *Review*

THEN: Destroy (Shred)

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*SRS-1286.1098 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1262.1100: Grievance and Appeal Case Files**

*SRS-1262.1100: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the investigation of grievances and appeals concerning mental health services.*

**Classification:** Mental health care services (Investigating)

**Retention:** Retain case file 3 years from the date of resolution and then destroy. In cases concerning a minor, retain case file until the individual reaches age 24 and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1262.1100 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1262.1100.109</b> <b>Acknowledgments</b> Public Access: <i>Review</i>	Use for written acknowledgments of appeals and grievances.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1100.24</b> <b>Complaints</b> Public Access: <i>Review</i>	Use for all complaints, grievances, and appeals made to the department.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1100.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence concerning the investigation of grievances and appeals.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1100.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to grievances and appeals.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1100.133</b> <b>Decisions</b> Public Access: <i>Review</i>	Use for all decisions related to complaints, grievances, and/or appeals.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>SRS-1262.1100.145</b>	Use for grievance logs.	Temporary (Legal)	RETAIN UNTIL: Calendar Year Ends
<b>Logs</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1100.60</b>	Use for notes, including those of telephone conversations.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Notes</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1100.50</b>	Use for written notifications related to complaints, grievances, and/or appeals.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Notices, Legal</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1100.62</b>	Use for recommendations made by evaluators related to appeals.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Opinions</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1100.36</b>	Use for additional records gathered as part of an investigation that are not specified by this schedule.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Supporting material</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)

***SRS-1262.1100 was approved by the Vermont State Archivist on 3/3/2010.***

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1288.1004: Hospital Designation Records**

*SRS-1288.1004: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the designation of mental health hospitals.*

**Classification:** Mental health hospitals (Appointing)

**Retention:** Retain records for 7 years from the date designation is granted or denied, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1288.1004 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1288.1004.8</b> <b>Applications</b> Public Access: <i>Review</i>	Use for applications for hospital designation.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
<b>SRS-1288.1004.21</b> <b>Certificates</b> Public Access: <i>Review</i>	Use for copies of designation certificates.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
<b>SRS-1288.1004.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to hospital designation.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
<b>SRS-1288.1004.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the hospital designation.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
<b>SRS-1288.1004.133</b> <b>Decisions</b> Public Access: <i>Review</i>	Use for application decisions related to hospital designation.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)



### STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<b>SRS-1288.1004.36</b> <b>Supporting material</b> Public Access: <i>Review</i>	Use for records submitted in support of an application.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
<b>SRS-1288.1004.104</b> <b>Worksheets</b> Public Access: <i>Review</i>	Use for all worksheets and preliminary notes used in the process of hospital designation, including Hospital Designation Data Reports.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)

*SRS-1288.1004 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1288.1088: Hospital Oversight Records**

*SRS-1288.1088: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the oversight and general supervision of the operation of mental health hospitals.*

**Classification:** Mental health hospitals (Supervising)

**Retention:** Retain records for 7 years from their creation, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1288.1088 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1288.1088.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to the department's supervision of mental health hospitals.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
<b>SRS-1288.1088.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the oversight of mental health hospitals.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
<b>SRS-1288.1088.144</b> <b>Reports</b> Public Access: <i>Review</i>	Use for reports received from mental health hospitals.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
<b>SRS-1288.1088.90</b> <b>Statistics</b> Public Access: <i>Review</i>	Use for statistics and other data collected that are related to the supervision of mental health hospitals.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)

*SRS-1288.1088 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1290.1000: Human Services' Transitory Records**

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

**Classification:** Human services (GENERAL)

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

**Public Access:** General

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

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1290.1000.187</b> <b>Blanks</b> 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)
<b>SRS-1290.1000.28</b> <b>Correspondence (Routine)</b> 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)
<b>SRS-1290.1000.37</b> <b>Drafts</b> Public Access: <i>General</i>	Use for preliminary or tentative versions of a document. Drafts that are acted upon or put into practice must be retained according to their intended record type (i.e. policies) as listed in another agency-specific record schedule.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1290.1000.60</b> <b>Notes</b> Public Access: <i>General</i>	Use for brief statements of a fact or experience, written down for review, or as an aid to memory, or to inform someone else. Includes short, informal notes such as phone messages.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<p><b>SRS-1290.1000.74</b>  <b>Publications</b>  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><b>SRS-1290.1000.80</b>  <b>Reference sources</b>  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><b>SRS-1290.1000.139</b>  <b>Requests</b>  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><b>SRS-1290.1000.104</b>  <b>Worksheets</b>  Public Access: <i>General</i></p>	<p>Use for forms, checklists and other worksheets used to prepare or update a formal or ongoing record or informally track workflow.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete  PLUS: 0 Year(s)  THEN: Destroy (General)</p>

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

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1279.1113: Involuntary Medication Legal Files**

*SRS-1279.1113: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the conduct of legal actions related to the administration of involuntary medication.*

**Classification:** Involuntary medication (Litigating)

**Retention:** Retain case file for 10 years after the individual case is closed, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1279.1113 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1279.1113.109</b> <b>Acknowledgments</b> Public Access: <i>Review</i>	Use for certificates and waivers of service.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.141</b> <b>Authorizations</b> Public Access: <i>Review</i>	Use for all authorizations, including copies of durable powers of attorney and authorizations provided by guardians.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.21</b> <b>Certificates</b> Public Access: <i>Review</i>	Use for copies of physicians' certifications.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence, including email messages, relative to involuntary medication cases.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence, including email messages, that have significant administrative value and/or supports decisions related to involuntary medication cases.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>SRS-1279.1113.40</b> <b>Exhibits</b> Public Access: <i>Review</i>	Use for exhibits related to involuntary medication cases.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.60</b> <b>Notes</b> Public Access: <i>Review</i>	Use for attorney notes, including lists of witnesses.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.50</b> <b>Notices, Legal</b> Public Access: <i>Review</i>	Use for notices, such as Notice of Petition for Involuntary Medication/ Appointment of Counsel/ Notice of Hearing.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.63</b> <b>Orders</b> Public Access: <i>Review</i>	Use for copies of all court orders.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.67</b> <b>Petitions</b> Public Access: <i>Review</i>	Use for Petitions for Involuntary Medication.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.126</b> <b>Pleadings</b> Public Access: <i>Review</i>	Use for all pleadings and motions.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.92</b> <b>Stipulations</b> Public Access: <i>Review</i>	Use for stipulations.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1279.1113.121</b> <b>Subpoenas</b> Public Access: <i>Review</i>	Use for subpoenas	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1279.1113.36**

**Supporting material**

Public Access: *Review*

Use for supplemental records collected or received related to involuntary medication cases. Includes copies of medical records.

Temporary (Legal)

RETAIN UNTIL: Completed/Closed

PLUS: 10 Year(s)

THEN: Destroy (Shred)

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*SRS-1279.1113 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1287.1088: Involuntary Treatment Oversight Records**

*SRS-1287.1088: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the oversight and general supervision of patients receiving involuntary treatment.*

**Classification:** Involuntary treatment (Supervising)

**Retention:** Retain records related to an individual for 10 years after his or her case is closed.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1287.1088 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1287.1088.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence created or received by the department related to the department's supervision of patients receiving involuntary treatment.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
<b>SRS-1287.1088.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the department's supervision of patients receiving involuntary treatment.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1287.1088.63</b> <b>Orders</b> Public Access: <i>Review</i>	Use for Orders of Hospitalization; Orders of Non-hospitalization; and Orders of Continued Treatment	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1287.1088.81</b> <b>Registers</b> Public Access: <i>Review</i>	Use for registry entries relative to patients receiving involuntary treatment.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1287.1088.144</b> <b>Reports</b> Public Access: <i>Review</i>	Use for all reports related to the overseeing of involuntary treatment, including AIT reviews and Annual Data Reports.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)



## STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<b>SRS-1287.1088.36</b> <b>Supporting material</b> Public Access: <i>Review</i>	Use for supplemental records collected or received related to the general oversight of patients receiving involuntary treatment.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1287.1088.104</b> <b>Worksheets</b> Public Access: <i>Review</i>	Use for all worksheets used to collect information related to involuntary treatment, such as the Emergency Procedures Audit Form and MCIS Spreadsheets.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

***SRS-1287.1088 was approved by the Vermont State Archivist on 3/3/2010.***

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1262.1108: Mental Health Administrative Hearings**

*SRS-1262.1108: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, administrative hearings related to mental health services, including those related to designated agencies.*

**Classification:** Mental health care services (Adjudicating)

**Retention:** Retain final decision and hearing records for 3 years after the case is closed and no further action is pending. Destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1262.1108 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1262.1108.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to hearings involving designated agencies.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1108.133</b> <b>Decisions</b> Public Access: <i>Review</i>	Use for final decisions issued at the conclusion of an administrative hearing.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1108.136</b> <b>Evidence</b> Public Access: <i>Review</i>	Use for evidence submitted during administrative hearings.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1108.50</b> <b>Notices, Legal</b> Public Access: <i>Review</i>	Use for legal notices.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1108.63</b> <b>Orders</b> Public Access: <i>Review</i>	Use for court orders issued relative to an administrative hearing.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>SRS-1262.1108.67</b>	Use for requests for hearings, conferences, and appeals.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
<b>Petitions</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1108.126</b>	Use for all complaints, answers, motions, briefs and similar pleadings filed in an administrative hearing.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
<b>Pleadings</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1108.92</b>	Use for stipulations.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
<b>Stipulations</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1108.121</b>	Use for subpoenas.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
<b>Subpoenas</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1108.36</b>	Use for supplementary records collected or received during an administrative hearing, but that are not otherwise specified in this schedule.	Temporary (Administrative)	RETAIN UNTIL: Obsolete
<b>Supporting material</b>			PLUS: 0 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1108.99</b>	Use for transcripts and audio recordings of administrative hearings.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
<b>Transcripts</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)

**SRS-1262.1108 was approved by the Vermont State Archivist on 3/3/2010.**

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1262.1102: Mental Health Administrative Policy and Planning Records**

*SRS-1262.1102: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the administration of the Board and Department of Mental Health and/or the formulation or development of mental health care services policy. Does not include rulemaking pursuant to the Administrative Procedures Act.*

**Classification:** Mental health care services (Administering)

**Retention:** Maintain for 3 years from their creation all plans, policies, reports, minutes, substantive correspondence, studies, and similar records that document the development and implementation of mental health policy in the state. Transfer to archives.

Retain calendars, legal notices, and agendas for 1 year, and destroy. Retain drafts, routine correspondence, and reference materials until they no longer have administrative value and destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1262.1102 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1262.1102.4</b> <b>Agendas</b> Public Access: <i>Review</i>	Use for meeting agendas and similar lists or programs of things to be done or considered. Minutes must accurately reflect the agenda otherwise agenda should follow the retention for minutes.	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
<b>SRS-1262.1102.5</b> <b>Agreements</b> Public Access: <i>Review</i>	Use for formal agreements, such as memoranda of understanding and other inter-agency agreements, related to mental health services.	Permanent (Archival)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Archives
<b>SRS-1262.1102.19</b> <b>Calendars</b> 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)
<b>SRS-1262.1102.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to mental health services and policy. Includes general internal and interagency correspondence and correspondence with the public on routine matters.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)

## STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p><b>SRS-1262.1102.53</b>  <b>Correspondence (Substantive)</b>  Public Access: <i>Review</i></p>	<p>Use for correspondence that has significant administrative value and/or is essential in supporting policy decisions related to mental health care services and programs. Includes recommendations submitted by advisory boards and commissions.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Archives</p>
<p><b>SRS-1262.1102.37</b>  <b>Drafts</b>  Public Access: <i>Review</i></p>	<p>Use for preliminary or tentative versions of documents that were never put into practice or applied by the department.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete  PLUS: 0 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1262.1102.59</b>  <b>Minutes</b>  Public Access: <i>Review</i></p>	<p>Use for minutes of meetings related to mental health policy and programs. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Calendar Year Ends  PLUS: 3 Year(s)  THEN: Archives</p>
<p><b>SRS-1262.1102.50</b>  <b>Notices, Legal</b>  Public Access: <i>Review</i></p>	<p>Use for notices of meetings.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 1 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1262.1102.69</b>  <b>Plans (reports)</b>  Public Access: <i>Review</i></p>	<p>Use for plans and proposals for mental health services and programs. Includes system of care plans.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded  PLUS: 3 Year(s)  THEN: Archives</p>
<p><b>SRS-1262.1102.70</b>  <b>Policies</b>  Public Access: <i>Review</i></p>	<p>Use for policies, standards and guidelines developed by the department for the provision of mental health services. For rules adopted under the Administrative Procedure Act, see "Rulemaking."</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded  PLUS: 3 Year(s)  THEN: Archives</p>
<p><b>SRS-1262.1102.72</b>  <b>Press releases</b>  Public Access: <i>Review</i></p>	<p>Use for press releases related to mental health services.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Calendar Year Ends  PLUS: 1 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1262.1102.80</b>  <b>Reference sources</b>  Public Access: <i>Review</i></p>	<p>Use for supplemental records, such as subject files, publications, and copies of other records, that are received or collected by the department that are used to inform and support decisions related to mental health policies and programs.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete  PLUS: 0 Year(s)  THEN: Destroy (General)</p>

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<p><b>SRS-1262.1102.144</b>  <b>Reports</b>          Public Access: <i>Review</i></p>	<p>Use for annual reports and similar narratives that document mental health services and programs. Includes those reports submitted to the Governor and General Assembly.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed          PLUS: 3 Year(s)          THEN: Archives</p>
<p><b>SRS-1262.1102.90</b>  <b>Statistics</b>          Public Access: <i>Review</i></p>	<p>Use for statistics, data reports, and similar compilations that are used to inform policies and programs related to mental health services.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Obsolete          PLUS: 0 Year(s)          THEN: Confirm</p>
<p><b>SRS-1262.1102.116</b>  <b>Studies</b>          Public Access: <i>Review</i></p>	<p>Use for studies conducted by or for the department related to mental health care services. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed          PLUS: 3 Year(s)          THEN: Archives</p>

*SRS-1262.1102 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1262.1126: Mental Health Contract Files**

*SRS-1262.1126: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the entering into and maintenance of contracts related to mental health services. Includes contracts with specialized service agencies.*

**Classification:** Mental health care services (Contracting)

**Retention:** Retain contract documents for 3 years from the expiration of the contract, and then destroy. Retain registers of prequalified bidders 3 years after they have been superseded and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1262.1126 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1262.1126.141</b> <b>Authorizations</b> Public Access: <i>Review</i>	Use for written approvals, including permissions from the Secretary of Administration, Director of Risk Management, Attorney General, Commissioner of the Department of Human Resources, Chief Marketing Officer, or in-house assistant attorney general.	Temporary (Administrative)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1126.149</b> <b>Bids</b> Public Access: <i>Review</i>	Use for bids and proposals submitted in response to a request for proposal.	Temporary (Administrative)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1126.21</b> <b>Certificates</b> Public Access: <i>Review</i>	Use for certificates and other statements of qualification associated with contracts, such as form AA-14: Contract Summary and Certification Form.	Temporary (Administrative)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
<b>SRS-1262.1126.26</b> <b>Contracts</b> Public Access: <i>Review</i>	Use for the official, signed version of a contract, including all attachments, amendments, and supplemental agreements.	Temporary (Administrative)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<p><b>SRS-1262.1126.28</b>  <b>Correspondence (Routine)</b>          Public Access: <i>Review</i></p>	<p>Use for general correspondence related to the administration of contracts. Includes internal and interagency correspondence that is routine in nature.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete          PLUS: 0 Year(s)          THEN: Destroy (General)</p>
<p><b>SRS-1262.1126.53</b>  <b>Correspondence (Substantive)</b>          Public Access: <i>Review</i></p>	<p>Use for correspondence that has significant administrative value and/or supports decisions related to specialized services contracts.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired          PLUS: 3 Year(s)          THEN: Destroy (Shred)</p>
<p><b>SRS-1262.1126.133</b>  <b>Decisions</b>          Public Access: <i>Review</i></p>	<p>Use for written decisions concerning the award, administration, and termination of a specialized services contract.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired          PLUS: 3 Year(s)          THEN: Destroy (Shred)</p>
<p><b>SRS-1262.1126.32</b>  <b>Declarations</b>          Public Access: <i>Review</i></p>	<p>Use for written explanations and justifications required under Bulletin 3.5. Includes reasons why contract packages were not received within the timeline specified and explanations of extended contract duration.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired          PLUS: 3 Year(s)          THEN: Destroy (Shred)</p>
<p><b>SRS-1262.1126.55</b>  <b>Lists</b>          Public Access: <i>Review</i></p>	<p>Use for lists of vendors who have requested bid documents.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired          PLUS: 3 Year(s)          THEN: Destroy (Shred)</p>
<p><b>SRS-1262.1126.50</b>  <b>Notices, Legal</b>          Public Access: <i>Review</i></p>	<p>Use for public notices published in newspapers regarding contracts, including those for specialized services. Includes records publicizing the opportunity to bid as well as public notices of the department's decision.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired          PLUS: 3 Year(s)          THEN: Destroy (Shred)</p>
<p><b>SRS-1262.1126.62</b>  <b>Opinions</b>          Public Access: <i>Review</i></p>	<p>Use for any recommendations forwarded by the Finance and Management Department following its review of contract packages.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired          PLUS: 3 Year(s)          THEN: Destroy (Shred)</p>
<p><b>SRS-1262.1126.81</b>  <b>Registers</b>          Public Access: <i>Review</i></p>	<p>Use for formal lists of pre-qualified bidders.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Superseded          PLUS: 3 Year(s)          THEN: Destroy (Shred)</p>



**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>SRS-1262.1126.144</b>	Use for all reports related to contract performance.	Temporary (Administrative)	RETAIN UNTIL: Expired
<b>Reports</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1126.139</b>	Use for written requests for the Secretary of Administration to waive provisions of Bulletin 3.5.	Temporary (Administrative)	RETAIN UNTIL: Expired
<b>Requests</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1126.83</b>	Use for all bid documents associated with Requests for Proposal, including, but not limited to, cover pages, statements of work, requirements, specifications, addenda, etc. Includes RFP's for specialized services.	Temporary (Administrative)	RETAIN UNTIL: Expired
<b>Requests for proposals</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1126.150</b>	Use for written evidence that provisions of Bulletin 3.5 have been waived, includes any waivers issued by the Secretary of Administration, Director of Risk Management, or Attorney General.	Temporary (Administrative)	RETAIN UNTIL: Expired
<b>Waivers</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1262.1126.104</b>	Use for recorded evidence supporting an agency's decision, such as worksheets used ranking each bidder's qualifications.	Temporary (Administrative)	RETAIN UNTIL: Expired
<b>Worksheets</b>			PLUS: 3 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)

**SRS-1262.1126 was approved by the Vermont State Archivist on 3/3/2010.**

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1262.1110: Mental Health Grant Files**

*SRS-1262.1110: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, grants received or provided by the department for mental health care services.*

**Classification:** Mental health care services (Granting)

**Retention:** Retain grant records for 3 years after closeout of the grant period and then destroy. For grants with particularly significant effects or impact, retain final reports according to Schedule No. 1262.1102 "Mental Health Policy and Planning Records"

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1262.1110 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1262.1110.5</b> <b>Agreements</b> Public Access: <i>Review</i>	Use for grant agreements and related documents, including amendments, that outline the terms, conditions, and amounts of an award.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
<b>SRS-1262.1110.8</b> <b>Applications</b> Public Access: <i>Review</i>	Use for grant applications and related documentation submitted to or by the department.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
<b>SRS-1262.1110.141</b> <b>Authorizations</b> Public Access: <i>Review</i>	Use for authorizations relative to grants for mental health services.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
<b>SRS-1262.1110.21</b> <b>Certificates</b> Public Access: <i>Review</i>	Use for all certificates and other formal statements of qualifications required as part of a grant agreement or application.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
<b>SRS-1262.1110.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to grants made by or to the department. Includes internal and interagency correspondence of a routine nature.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<p><b>SRS-1262.1110.53</b>  <b>Correspondence (Substantive)</b>  Public Access: <i>Review</i></p>	<p>Use for correspondence that has significant administrative value and/or supports decisions related to grants.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1262.1110.133</b>  <b>Decisions</b>  Public Access: <i>Review</i></p>	<p>Use for written decisions concerning the award, administration, or termination of a grant. Includes notices of award.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1262.1110.49</b>  <b>Invoices</b>  Public Access: <i>Review</i></p>	<p>Use for original invoices related to grant expenditures.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1262.1110.154</b>  <b>Proposals</b>  Public Access: <i>Review</i></p>	<p>Use for agency indirect cost rate proposals submitted in relation to federal grants.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1262.1110.144</b>  <b>Reports</b>  Public Access: <i>Review</i></p>	<p>Use for all reports required by a grant agreement, including financial, monitoring, and final reports. For final reports that document grant activities with particularly significant effects or impact, retain permanently according to Schedule No. 1262.1102, "Mental Health Planning and Policy Records."</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Confirm</p>
<p><b>SRS-1262.1110.139</b>  <b>Requests</b>  Public Access: <i>Review</i></p>	<p>Use for written requests to the Secretary of Administration to waive provisions of Bulletin 5.5.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1262.1110.36</b>  <b>Supporting material</b>  Public Access: <i>Review</i></p>	<p>Use for supplemental records that support decisions related to the awarding, administration, or procurement of grants.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1262.1110.150</b>  <b>Waivers</b>  Public Access: <i>Review</i></p>	<p>Use for waivers issued by the Secretary of Administration relative to grant administration.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 3 Year(s)  THEN: Destroy (General)</p>

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

*SRS-1262.1110 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1262.1128: Mental Health Rulemaking File**

*SRS-1262.1128: Reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the establishment of rules related to mental health services.*

**Classification:** Mental health care services (Rulemaking)

**Retention:** Retain rule and any formal interpretations of the rule for 1 year after the rule has been superseded or is no longer in effect, and then destroy. Retain records related to the rulemaking process for 1 year after the related rule is adopted, and then destroy. Retain all other records until they no longer have administrative value, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1262.1128 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1262.1128.21</b> <b>Certificates</b> Public Access: <i>Review</i>	Use for certified objections to a rule.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
<b>SRS-1262.1128.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to rulemaking.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1262.1128.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to rulemaking.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
<b>SRS-1262.1128.133</b> <b>Decisions</b> Public Access: <i>Review</i>	Use for decisions related to adopting administrative rules or procedures.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>SRS-1262.1128.32</b>	Use for formal explanations of proposed or adopted rules.	Temporary (Legal)	RETAIN UNTIL: Superseded
<b>Declarations</b>			PLUS: 1 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (General)
<b>SRS-1262.1128.50</b>	Use for all legal notices associated with rulemaking.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Notices, Legal</b>			PLUS: 1 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (General)
<b>SRS-1262.1128.62</b>	Use for recommendations, including objections, received by the department regarding rules or rulemaking.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
<b>Opinions</b>			PLUS: 1 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (General)
<b>SRS-1262.1128.154</b>	Use for proposed rules, including the rule and all required accompanying documentation.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Proposals</b>			PLUS: 1 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (General)
<b>SRS-1262.1128.139</b>	Use for all formal requests related to rules or rulemaking.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Requests</b>			PLUS: 1 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (General)
<b>SRS-1262.1128.161</b>	Use for all rules adopted by the department.	Temporary (Legal)	RETAIN UNTIL: Superseded
<b>Rules</b>			PLUS: 1 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (General)
<b>SRS-1262.1128.36</b>	Use for public input and other supporting material received by the department during the rulemaking process.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
<b>Supporting material</b>			PLUS: 1 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (General)

**SRS-1262.1128 was approved by the Vermont State Archivist on 3/3/2010.**

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1262.1093: Mental Health Training Records**

*SRS-1262.1093: Reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, training related to mental health care services.*

**Classification:** Mental health care services (Training)

**Retention:** Retain records for 3 years after training has occurred, and then destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1262.1093 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1262.1093.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to training.	Temporary (Legal)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1262.1093.53</b> <b>Correspondence (Substantive)</b> Public Access: <i>Review</i>	Use for correspondence that has significant administrative value and/or supports decisions related to training or education.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
<b>SRS-1262.1093.71</b> <b>Presentations</b> Public Access: <i>Review</i>	Use for presentations, lecture notes, lesson plans, videos, slide shows, and similar demonstrations created for training purposes.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
<b>SRS-1262.1093.80</b> <b>Reference sources</b> Public Access: <i>Review</i>	Use for sources of information, such as subject files, publications, and copies of other records, that are used to develop training materials.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
<b>SRS-1262.1093.81</b> <b>Registers</b> Public Access: <i>Review</i>	Use for lists of training attendees.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1262.1093.36**

**Supporting material**

Public Access: *Review*

Use for instructional materials, such as handouts, worksheets, and summaries, distributed to supplement a presentation or lecture.

Temporary (Legal)

RETAIN UNTIL: Completed/Closed

PLUS: 3 Year(s)

THEN: Destroy (General)

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*SRS-1262.1093 was approved by the Vermont State Archivist on 3/3/2010.*



**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1373.1098: PASRR Files**

*SRS-1373.1098: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the evaluation of substantial disorders of thought, mood, perception, orientation, or memory, any of which grossly impairs judgment, behavior, capacity to recognize reality, or ability to meet the ordinary demands of life, but shall not include mental retardation.*

**Classification:** Mental illnesses (Evaluating)

**Retention:** Retain all associated records listed on this schedule, with the exception of registers, until completed/closed, plus an additional ten (10) years, then destroy by shredding. Records are considered completed/closed once a decision for care has been issued.

Registers or similar systems that provide for the systematic and regular recording of information related to evaluating mental illnesses pursuant to preadmission screening and annual resident review (PASRR) shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

Transitory records created or received as part of evaluating mental illnesses may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records).

**Public Access:** Exempt

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1373.1098 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1373.1098.5</b> <b>Agreements</b> Public Access: <i>Exempt</i>	Use for written arrangements between parties regarding a course of action. Includes agreements between out of state facilities for preadmission screening and annual resident review arrangements.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1373.1098.133</b> <b>Decisions</b> Public Access: <i>Exempt</i>	Use for written conclusions reached after an evaluation. 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)
<b>SRS-1373.1098.50</b> <b>Notices, Legal</b> Public Access: <i>Exempt</i>	Use for written announcements and notifications. 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)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<p><b>SRS-1373.1098.69</b>  <b>Plans (reports)</b>  Public Access: <i>Exempt</i></p>	<p>Use for reports describing a proposed or tentative course of action. Includes resident plans of care.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 10 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1373.1098.153</b>  <b>Referrals</b>  Public Access: <i>Exempt</i></p>	<p>Use for written recommendations submitted to the department from an external party.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 10 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1373.1098.81</b>  <b>Registers</b>  Public Access: <i>Exempt</i></p>	<p>Use for registers, databases, systems, and similar records that provide for the systematic and regular recording of information related to evaluating mental illness pursuant to preadmission screening and annual resident reviews.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded  PLUS: 0 Year(s)  THEN: Confirm</p>
<p><b>SRS-1373.1098.144</b>  <b>Reports</b>  Public Access: <i>Exempt</i></p>	<p>Use for preadmission screening and annual resident review reports. Includes resident assessment reports, evaluation reports, and other similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 10 Year(s)  THEN: Destroy (Shred)</p>

*SRS-1373.1098 was approved by the Vermont State Archivist on 3/3/2010.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1263.1004: QMHP Files**

*SRS-1263.1004: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the designation of mental health care providers.*

**Classification:** Mental health care providers (Appointing)

**Retention:** Retain application, decision, and supporting material for 4 years after the date of action and then destroy. Retain register and routine correspondence until they no longer have administrative value and destroy.

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1263.1004 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1263.1004.8</b> <b>Applications</b> Public Access: <i>Review</i>	Use for applications for Designated Qualified Mental Health Providers and Physicians Who Can Perform Emergency Examinations.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 4 Year(s) THEN: Destroy (General)
<b>SRS-1263.1004.28</b> <b>Correspondence (Routine)</b> Public Access: <i>Review</i>	Use for general correspondence related to the designation of qualified mental health providers..	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1263.1004.133</b> <b>Decisions</b> Public Access: <i>Review</i>	Use for application decisions related to Qualified Mental Health Care Providers and for Physicians Who Can Perform Emergency Examinations.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 4 Year(s) THEN: Destroy (General)
<b>SRS-1263.1004.81</b> <b>Registers</b> Public Access: <i>Review</i>	Use for lists of qualified mental health providers and physicians who can perform emergency examinations.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
<b>SRS-1263.1004.36</b> <b>Supporting material</b> Public Access: <i>Review</i>	Use for records submitted in support of an applications	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 4 Year(s) THEN: Destroy (General)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

*SRS-1263.1004 was approved by the Vermont State Archivist on 3/3/2010.*

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

<b>SRS-1262.1002: Accounting Records</b>		<i>Review for Exemption?</i>
18 V.S.A. § 7103	Disclosure of information [related to health]	Yes
3 V.S.A. § 207	Assistance and expenditure [related to administrative departments]	No
32 V.S.A. § 163	Duties of the Auditor of Accounts	Yes
42 CFR 433	State fiscal administration [related to medical assistance programs]	No
CVR 21-040-027	Licensing requirements for mental health review agents	No
<b>SRS-1262.1022: Adult Mental Health Client Case Files</b>		<i>Review for Exemption?</i>
18 V.S.A. § 7103	Disclosure of information [related to health]	Yes
18 V.S.A. § 7106	Notice of hospitalization and discharge [related to health]	No
18 V.S.A. § 7401	Powers and duties [related to the commissioner of mental health]	No
18 V.S.A. § 7402	Records and reports [related to the commissioner of mental health]	No
18 V.S.A. § 7901	Intrastate transfers [related to transfer of patients]	No
18 V.S.A. § 7903	Transfers to federal facilities [related to transfer of patients]	No
18 V.S.A. § 9004	Aftercare and supervision-Article IV [related to Interstate Compact on Mental Health]	No
18 V.S.A. § 9010	Compact administrator - Article X [related to interstate compact on mental health]	No
42 CFR 441	Services: requirements and limits applicable to specific services [related to public health]	No
45 CFR 164	Security and privacy [related to public welfare]	Yes
CVR 21-040-027	Licensing requirements for mental health review agents	No

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1262.1012: Budget Records** *Review for Exemption?*

32 V.S.A. § 301	Department estimate and statement [related to budget]	No
CVR 21-040-027	Licensing requirements for mental health review agents	No

**SRS-1260.1022: Children and Adolescent Case Files** *Review for Exemption?*

18 V.S.A. § 7103	Disclosure of information [related to health]	Yes
33 V.S.A. § 4302	State interagency team [related to children and adolescents with severe emotional disturbance]	No
33 V.S.A. § 4303	Local interagency teams [related to children and adolescents with severe emotional disturbance]	No
33 V.S.A. § 4305	Coordinated system of care [related to children and adolescents with severe emotional disturbance]	Yes
45 CFR 164	Security and privacy [related to public welfare]	Yes

**SRS-1268.1004: DA Designation/Re-designation Files** *Review for Exemption?*

18 V.S.A. § 8730	Service providers; certification [related to developmental disabilities act]	No
18 V.S.A. § 8907	Designation of agencies to provide mental health and developmental disability services	No
33 V.S.A. § 6304	Designation; geographic service areas [related to Human Services Home Care Programs]	No
CVR 13-110-010	Designation and Operation of Home Health Agencies [related to Department of Disabilities, Aging and Independent Living]	No
CVR 13-150-005	Mental health facilities qualified for health insurance [related to department of developmental and health services]	No
CVR 13-150-006	Administrative rules on agency designation [related to the Department of Developmental and Health Services]	No
CVR 13-174-007	Specialized services and programs [related to health care administrative rules]	Yes

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1268.1105: DA Quality Assurance Records** *Review for Exemption?*

18 V.S.A. § 7103	Disclosure of information [related to health]	Yes
18 V.S.A. § 7401	Powers and duties [related to the commissioner of mental health]	No
18 V.S.A. § 8909	Boards of directors of nonprofit corporations designated as community mental health and developmental disability agencies	No
CVR 13-150-004	Department of mental health medicaid regulations	No
CVR 13-150-006	Administrative rules on agency designation [related to the Department of Developmental and Health Services]	No

**SRS-1268.1130: DA Quality Improvement Files** *Review for Exemption?*

18 V.S.A. § 8911	Powers of the commissioners [related to community mental health and developmental services]	No
CVR 13-150-004	Department of mental health medicaid regulations	No
CVR 13-150-006	Administrative rules on agency designation [related to the Department of Developmental and Health Services]	No

**SRS-1268.1110: Designated Agency Funding** *Review for Exemption?*

18 V.S.A. § 8910	State aid; fees [related to community mental health and developmental services]	No
33 V.S.A. § 4305	Coordinated system of care [related to children and adolescents with severe emotional disturbance]	Yes
CVR 13-150-004	Department of mental health medicaid regulations	No
<b>Global Commitment to Health Waiver (Demonstration Program) Agreement, 2005</b>	Intergovernmental Agreement Between Agency of Human Services and Office of Vermont Health Access for the Administration and Operation of the Global Commitment to Health Waiver (Demonstration Program)	Yes

**SRS-1268.1088: Designated Agency General Oversight Records** *Review for Exemption?*

18 V.S.A. § 7103	Disclosure of information [related to health]	Yes
18 V.S.A. § 7401	Powers and duties [related to the commissioner of mental health]	No

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>18 V.S.A. § 8908</b>	Local community services plan [related to Community Mental Health and Developmental Services]	No
<b>18 V.S.A. § 9435</b>	Exclusions [related to health facility planning]	No
<b>CVR 13-150-006</b>	Administrative rules on agency designation [related to the Department of Developmental and Health Services]	No

**SRS-1268.1075: Designated Agency Sanctions** *Review for Exemption?*

<b>18 V.S.A. § 7103</b>	Disclosure of information [related to health]	Yes
<b>18 V.S.A. § 8911</b>	Powers of the commissioners [related to community mental health and developmental services]	No
<b>CVR 13-150-004</b>	Department of mental health medicaid regulations	No
<b>CVR 13-150-006</b>	Administrative rules on agency designation [related to the Department of Developmental and Health Services]	No

**SRS-1289.1088: ECT Oversight Records** *Review for Exemption?*

<b>18 V.S.A. § 7103</b>	Disclosure of information [related to health]	Yes
<b>18 V.S.A. § 7408</b>	Electroconvulsive therapy [related to the commissioner of mental health]	No

**SRS-1287.1113: Forensic and Involuntary Treatment Legal Files** *Review for Exemption?*

<b>13 V.S.A. § 4821</b>	Notice of hearing; procedures [related to insanity as a defense]	No
<b>13 V.S.A. § 4822</b>	Findings and order; persons with a mental illness [related to insanity as a defense]	No
<b>18 V.S.A. § 7103</b>	Disclosure of information [related to health]	Yes
<b>18 V.S.A. § 7612</b>	Application for involuntary treatment [related to health]	No
<b>18 V.S.A. § 7613</b>	Notice-Appointment of counsel [related to judicial proceedings for the involuntary treatment of mental illness]	No
<b>18 V.S.A. § 7614</b>	Psychiatric examination [related to health]	No

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>18 V.S.A. § 7615</b>	Hearing [related to involuntary treatment]	No
<b>18 V.S.A. § 7616</b>	Appearance by state; burden of proof [related to involuntary treatment judicial hearings]	No
<b>18 V.S.A. § 7620</b>	Application for continued treatment [related to health]	No
<b>18 V.S.A. § 7621</b>	Hearing on application for continued treatment; orders [related to mental health]	No

**SRS-1286.1098: Forensic Evaluations** *Review for Exemption?*

<b>13 V.S.A. § 4814</b>	Order for examination [related to insanity as a defense]	No
<b>13 V.S.A. § 4815</b>	Place of examination; temporary commitment [related to insanity as a defense]	No
<b>13 V.S.A. § 4816</b>	Scope of examination; report; evidence [related to insanity as a defense]	No
<b>18 V.S.A. § 7113</b>	Payment for court-ordered independent examinations	No
<b>Vt. Pub. Acc. Ct. Rec. Rule 1</b>	Purpose; construction [related to public access to court records]	Yes

**SRS-1262.1100: Grievance and Appeal Case Files** *Review for Exemption?*

<b>18 V.S.A. § 7103</b>	Disclosure of information [related to health]	Yes
<b>18 V.S.A. § 7401</b>	Powers and duties [related to the commissioner of mental health]	No
<b>CVR 13-020-002</b>	Fair hearing rules (1000) [related to the Agency of Human Services]	No
<b>CVR 13-150-006</b>	Administrative rules on agency designation [related to the Department of Developmental and Health Services]	No
<b>CVR 13-150-011</b>	Rules for the administration of nonemergency involuntary psychiatric medications [related to Department of Mental Health]	No

**SRS-1288.1004: Hospital Designation Records** *Review for Exemption?*

<b>8 V.S.A. § 4089b</b>	Health insurance coverage, mental health and substance abuse	No
<b>CVR 13-150-002</b>	Designation as qualified mental health facilities	No

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1288.1088: Hospital Oversight Records** *Review for Exemption?*

18 V.S.A. § 7401	Powers and duties [related to the commissioner of mental health]	No
CVR 13-150-011	Rules for the administration of nonemergency involuntary psychiatric medications [related to Department of Mental Health]	No

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

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

**SRS-1279.1113: Involuntary Medication Legal Files** *Review for Exemption?*

18 V.S.A. § 7103	Disclosure of information [related to health]	Yes
18 V.S.A. § 7613	Notice-Appointment of counsel [related to judicial proceedings for the involuntary treatment of mental illness]	No
18 V.S.A. § 7615	Hearing [related to involuntary treatment]	No
18 V.S.A. § 7624	Application for involuntary medication [related to health]	No
18 V.S.A. § 7625	Hearing on petition for involuntary medication; burden of proof	No
18 V.S.A. § 7627	Court findings; orders [related to health]	No

**SRS-1287.1088: Involuntary Treatment Oversight Records** *Review for Exemption?*

18 V.S.A. § 7103	Disclosure of information [related to health]	Yes
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<b>18 V.S.A. § 7205</b>	Supervision of institutions [related to the Department of Mental Health]	No
<b>18 V.S.A. § 7623</b>	Orders; custody [related to judicial proceedings]	No

**SRS-1262.1108: Mental Health Administrative Hearings** *Review for Exemption?*

<b>18 V.S.A. § 7103</b>	Disclosure of information [related to health]	Yes
<b>18 V.S.A. § 8911</b>	Powers of the commissioners [related to community mental health and developmental services]	No
<b>3 V.S.A. § 808</b>	Procedure to request declaratory rulings by agencies	No
<b>3 V.S.A. § 809</b>	Contested cases; notice; hearing; records [related to administrative procedure]	No
<b>3 V.S.A. § 810</b>	Rules of evidence; official notice [related to administrative procedure]	No
<b>3 V.S.A. § 811</b>	Examination of evidence by agency [related to administrative procedure]	No
<b>3 V.S.A. § 812</b>	Decisions and orders [related to administrative procedure]	No
<b>3 V.S.A. § 815</b>	Judicial review of contested cases [related to administrative procedure]	No
<b>CVR 13-150-004</b>	Department of mental health medicaid regulations	No
<b>CVR 13-150-006</b>	Administrative rules on agency designation [related to the Department of Developmental and Health Services]	No
<b>CVR 21-040-027</b>	Licensing requirements for mental health review agents	No

**SRS-1262.1102: Mental Health Administrative Policy and Planning Records** *Review for Exemption?*

<b>1 V.S.A. § 312</b>	Right to attend meetings of public agencies	Yes
<b>1 V.S.A. § 313</b>	Executive sessions	Yes
<b>18 V.S.A. § 7103</b>	Disclosure of information [related to health]	Yes
<b>18 V.S.A. § 7113</b>	Payment for court-ordered independent examinations	No
<b>18 V.S.A. § 7201</b>	Mental health [related to the Department of Mental Health]	No

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<b>18 V.S.A. § 7206</b>	Recommendations and reports [related to the Department of Mental Health]	No
<b>18 V.S.A. § 7402</b>	Records and reports [related to the commissioner of mental health]	No
<b>18 V.S.A. § 7703</b>	Treatment [related to care and treatment]	No
<b>18 V.S.A. § 8908</b>	Local community services plan [related to Community Mental Health and Developmental Services]	No
<b>18 V.S.A. § 8913</b>	Minimum program standards and other regulations [related to community mental health and developmental disability agencies]	No
<b>18 V.S.A. § 9011</b>	Supplementary agreements-Article XI [related to Interstate Compact on Mental Health]	No
<b>3 V.S.A. § 835</b>	Procedures and guidance documents [related to administrative procedure]	No
<b>CVR 13-150-006</b>	Administrative rules on agency designation [related to the Department of Developmental and Health Services]	No

**SRS-1262.1126: Mental Health Contract Files** *Review for Exemption?*

<b>18 V.S.A. § 7103</b>	Disclosure of information [related to health]	Yes
<b>18 V.S.A. § 8912</b>	Contracts with nondesignated agencies [related to community mental health and developmental services]	No
<b>3 V.S.A. § 344</b>	Contract administration	No
<b>CVR 13-150-006</b>	Administrative rules on agency designation [related to the Department of Developmental and Health Services]	No

**SRS-1262.1110: Mental Health Grant Files** *Review for Exemption?*

<b>18 V.S.A. § 7103</b>	Disclosure of information [related to health]	Yes
<b>18 V.S.A. § 7204</b>	Planning; grants; clinics [related to the Department of Mental Health]	No
<b>18 V.S.A. § 7405</b>	Property in trust [related to the commissioner of mental health]	No
<b>3 V.S.A. § 2253</b>	Permissive duties; approval of secretary [related to administration]	No



**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<b>3 V.S.A. § 3053</b>	Permissive duties; approval of Secretary [related to human services]	No
<b>32 V.S.A. § 6</b>	Indirect costs [related to taxation and finance]	No

<b>SRS-1262.1128: Mental Health Rulemaking File</b>	<i>Review for Exemption?</i>
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<b>18 V.S.A. § 7401</b>	Powers and duties [related to the commissioner of mental health]	No
<b>18 V.S.A. § 7408</b>	Electroconvulsive therapy [related to the commissioner of mental health]	No
<b>18 V.S.A. § 7628</b>	Protocol [related to judicial proceedings]	No
<b>18 V.S.A. § 9010</b>	Compact administrator - Article X [related to interstate compact on mental health]	No
<b>3 V.S.A. § 806</b>	Procedure to request adoption of rules or procedures	No
<b>3 V.S.A. § 808</b>	Procedure to request declaratory rulings by agencies	No
<b>3 V.S.A. § 817</b>	Legislative committee on administrative rules	No
<b>3 V.S.A. § 820</b>	Interagency committee on administrative rules	No
<b>3 V.S.A. § 832b</b>	Administrative rules affecting school districts	No
<b>3 V.S.A. § 833</b>	Style of rules	No
<b>3 V.S.A. § 834</b>	Periodic review of rules and forms	No
<b>3 V.S.A. § 837</b>	Prefiling [related to Executive administrative procedure]	No
<b>3 V.S.A. § 838</b>	Filing of proposed rules	No
<b>3 V.S.A. § 840</b>	Public hearing and comment [related to proposed administrative rules]	No
<b>3 V.S.A. § 841</b>	Final proposal [related to administrative procedure]	No
<b>3 V.S.A. § 842</b>	Review by legislative committee [related to administrative procedure]	No
<b>3 V.S.A. § 843</b>	Filing of adopted rules	No
<b>8 V.S.A. § 4089b</b>	Health insurance coverage, mental health and substance abuse	No

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**SRS-1262.1093: Mental Health Training Records** *Review for Exemption?*

18 V.S.A. § 7202	Coordination [related to the Department of Mental Health]	No
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**SRS-1373.1098: PASARR Files** *Review for Exemption?*

18 V.S.A. § 9418	Payment for health care services [related to health care administration]	No
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33 V.S.A. § 1902a	Confidentiality of medicaid applications and records; disclosure to authorized representative	Yes
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42 CFR 438	Managed care [related to medical assistance programs]	Yes
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42 CFR 442	Standards for payment to nursing facilities and intermdeiate care facilities for individuals with intellectual disabilities	No
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42 CFR 483	Requirements for states and long term care facilities	No
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45 CFR 155	Exchange establishment standards and other related standards under the affordable care act	No
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45 CFR 155.1210	Maintenance of records [related to oversight and program integrity standards for state exchanges]	No
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CVR 13-001-002	Health benefits eligibility and enrollment, part Two: eligibility standards	No
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CVR 13-150-007	Operation of intermediate care facilities for the mentally retarded	No
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CVR 13-170-760	Long-term care services [related to the Department for Children and Families]	No
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CVR 13-174-007	Specialized services and programs [related to health care administrative rules]	Yes
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**SRS-1263.1004: QMHP Files** *Review for Exemption?*

18 V.S.A. § 7110	Certification of mental illness	No
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18 V.S.A. § 7401	Powers and duties [related to the commissioner of mental health]	No
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**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**Issued to: Vermont State Hospital**

**Published: 8/22/2011**



Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

[www.vermont-archives.org/records/schedules](http://www.vermont-archives.org/records/schedules)

**AGENCY SPECIFIC RECORD SCHEDULE FOR: Vermont State Hospital**

- 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 agency specific record schedule is applicable only to the records listed on this record schedule that are produced or acquired during the course of agency business. Records are any written or recorded information, regardless of physical form or characteristics, and includes electronic or digital records and data. (1 V.S.A. § 317)
- Use:** This is an agency specific record schedule (SRS). The agency (Vermont State Hospital) may develop its own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. Records that need to be retained until OBSOLETE must be supported by an internal policy that clearly states a specific retention requirement that best meets the agency's administrative needs. Specific Record Schedule (SRS) numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a.
- Exemptions:** It is the policy of Title 1, Chapter 5, Subchapter 3 of Vermont Statutes Annotated to provide for free and open examination of records consistent with Chapter 1, Article 6 of the Vermont Constitution. All people, however, have a right to privacy in their personal and economic pursuits, which ought to be protected unless specific information is needed to review the action of a governmental officer. Some records listed on this record schedule may be exempt from public inspection and copying for this reason. Security measures to protect records and information from unauthorized access, use, and disclosure are necessary if the records are exempt pursuant to 1 V.S.A. §§ 315-320. Please see Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.
- Retention:** This agency specific record schedule reflects the retention and disposition requirements for the following records regardless of their media, format, or mode of transmission. Duplicate records within the same agency that are used for specific legal, fiscal, or administrative purposes may be either retained using the retention requirement listed in this schedule or in accordance to an internal policy. Any copies of records made only for convenience of reference or informational purposes may be discarded when no longer needed unless otherwise directed through an internal policy. Duplicates or copies of records shall not be retained longer than the original records.

**Adopted by:**

**Signature on file. Adopted by Commissioner Oliver on July 29, 2011.**

*Christine Oliver, Commissioner / Mental Health, Dept. of*

\_\_\_\_\_  
*Date*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1282.1103: Personal Health Care Information**

*SRS-1282.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the management of mental health patients at Vermont State Hospital.*

**Classification:** Mental health patients (Managing)

**Retention:** Patient personal health care information, including authorizations, medical histories, releases, and similar records, shall be retained for 10 years after the patient's most recent discharge and then destroyed. Registries and related compilations of patient information shall be retained for as long as the registry system is in effect. When a registry system is scheduled to be superseded by another system, contact the Vermont State Archives and Records Administration for confirmation of retention requirements.

**Public Access:** Exempt

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1282.1103 (see APPENDIX E for related legal references)**

<b>Record Category/Type</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1282.1103.5</b> <b>Agreements</b> Public Access: <i>Exempt</i>	Use for conditional discharges and other patient agreements.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1282.1103.8</b> <b>Applications</b> Public Access: <i>Exempt</i>	Use for application for admission, application for emergency examination, and any other applications filed.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1282.1103.141</b> <b>Authorizations</b> Public Access: <i>Exempt</i>	Use for physicians' orders, including the physician's admission order, and other written permissions from authoritative bodies allowing recipients to gain certain rights or privileges or perform specific activities of patient treatment or management. See Orders for court orders.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
<b>SRS-1282.1103.21</b> <b>Certificates</b> Public Access: <i>Exempt</i>	Use for certificates of need with supporting material such as emergency seclusion/restraint records and patient debriefing forms, as well as all other certificates.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

<p><b>SRS-1282.1103.45</b> <b>Histories</b> Public Access: <i>Exempt</i></p>	<p>Use for medical histories, screening reports, discharge summaries from last VSH admission and only discharge summaries from other facilities.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p><b>SRS-1282.1103.47</b> <b>Indexes</b> Public Access: <i>Exempt</i></p>	<p>Use for unit chart index.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p><b>SRS-1282.1103.145</b> <b>Logs</b> Public Access: <i>Exempt</i></p>	<p>Use for medication and treatment records, flow sheets and progress notes.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p><b>SRS-1282.1103.50</b> <b>Notices, Legal</b> Public Access: <i>Exempt</i></p>	<p>Use for copies of legal notices such as notices of patient treatment, transfer or other activity.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p><b>SRS-1282.1103.63</b> <b>Orders</b> Public Access: <i>Exempt</i></p>	<p>Use for court orders, such as orders for involuntary medication, along with supporting material such as the application for the court order, correspondence, implementation and review records.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p><b>SRS-1282.1103.69</b> <b>Plans (reports)</b> Public Access: <i>Exempt</i></p>	<p>Use for treatment plans, including nursing care plans and discharge plans, along with supporting material.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p><b>SRS-1282.1103.153</b> <b>Referrals</b> Public Access: <i>Exempt</i></p>	<p>Use for all referrals and consultations.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)</p>
<p><b>SRS-1282.1103.81</b> <b>Registers</b> Public Access: <i>Exempt</i></p>	<p>Use for the PsychConsult clinical/patient registration/financial database and any other electronic systems currently in use or developed to record patient information.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>

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<p><b>SRS-1282.1103.115</b>  <b>Releases</b>                  Public Access: <i>Exempt</i></p>	<p>Use for advance directives, HIPAA notices and consent forms and other legal releases.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed                  PLUS: 10 Year(s)                  THEN: Destroy (Shred)</p>
<p><b>SRS-1282.1103.144</b>  <b>Reports</b>                  Public Access: <i>Exempt</i></p>	<p>Use for all medical reports, examinations, evaluations, assessments, immunization records, and similar medical records that document a patient's treatment.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed                  PLUS: 10 Year(s)                  THEN: Destroy (Shred)</p>
<p><b>SRS-1282.1103.36</b>  <b>Supporting material</b>                  Public Access: <i>Exempt</i></p>	<p>Use for medical records, other than discharge summaries, provided by other facilities.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed                  PLUS: 10 Year(s)                  THEN: Destroy (Shred)</p>

*SRS-1282.1103 was approved by the Vermont State Archivist on 1/5/2011.*

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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 but not always.	Assigned to records that meet the conditions of a "Vermont Archival Record" under special circumstances.
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 are wholly 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.



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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 indefinitely. 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 temporary records from archival records in accordance with the approved records schedule.	Assigned to records that have been appraised as conditional archival. Upon weeding the temporary records from the archival records, transfer archival records to the Archives.

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## Appendix E: Legal References

SRS-1282.1103: Personal Health Care Information		<i>Review for Exemption?</i>
13 V.S.A. § 4815	Place of examination; temporary commitment [related to insanity defense]	No
13 V.S.A. § 4822	Findings and order; mentally ill persons [related to insanity defense]	No
18 V.S.A. § 7103	Disclosure of [patient] information	Yes
18 V.S.A. § 7106	Notice of hospitalization and discharge	No
18 V.S.A. § 7502	Control and treatment of patients	No
18 V.S.A. § 7503	Application for voluntary admission [Dept. of Mental Health]	No
18 V.S.A. § 7504	Application for emergency examination [related to the department of mental health]	No
18 V.S.A. § 7505	Warrant for immediate examination	No
18 V.S.A. § 7511	Transportation [of patients, Dept. of Mental Health]	No
18 V.S.A. § 7612	Application for involuntary [mental health] treatment	No
18 V.S.A. § 7614	Psychiatric examination [in hearings related to involuntary treatment]	No
18 V.S.A. § 7620	Application for continued treatment [by the Commissioner of Mental Health]	No
18 V.S.A. § 7623	[Mental health hospitalization or nonhospitalization] Orders; custody	No
18 V.S.A. § 7624	Petition [by the Commissioner of Mental Health] for involuntary medication	No
18 V.S.A. § 7627	Court findings; orders [involuntary medication for mental health treatment]	No
18 V.S.A. § 7701	Notice of rights [Head of a mental health hospital to provide,]	No
18 V.S.A. § 7704	Mechanical restraints [in mental health treatment]	No
18 V.S.A. § 7707	Record of restrictions [placed on patients during mental health treatment]	No
18 V.S.A. § 7802	Administrative review [of mental health patients]	No

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<b>18 V.S.A. § 7901</b>	Intrastate transfers [of mental health patients]	No
<b>18 V.S.A. § 7903</b>	Transfers [of mental health patients] to federal facilities	No
<b>18 V.S.A. § 8006</b>	Visits [head of mental health hospital granting]	No
<b>18 V.S.A. § 8007</b>	Conditional discharges [of mental health patients]	No
<b>18 V.S.A. § 8008</b>	Revocation of conditional discharge [of mental health patient]	No
<b>18 V.S.A. § 8009</b>	Administrative discharge [of mental health patients]	No
<b>18 V.S.A. § 8405</b>	Outside visits [by mentally ill users of alcohol or drugs]	No
<b>26 V.S.A. § 1354</b>	Unprofessional conduct [medicine and surgery]	No
<b>3 V.S.A. § 129a</b>	Unprofessional conduct	No
<b>31 U.S.C. 3729</b>	False claims	No
<b>42 CFR 482.13</b>	Condition of [hospital] participation: Patient's rights.	No
<b>42 CFR 482.22</b>	Condition of [hospital] participation: Medical staff.	No
<b>42 CFR 482.23</b>	Condition of [hospital] participation: Nursing services.	No
<b>42 CFR 482.24</b>	Condition of [hospital] participation: Medical record services.	No
<b>42 CFR 482.25</b>	Condition of [hospital] participation: Pharmaceutical services.	No
<b>42 CFR 482.27</b>	Condition of [hospital] participation: Laboratory services.	No
<b>42 CFR 482.28</b>	Condition of [hospital] participation: Food and dietetic services.	No
<b>42 CFR 482.43</b>	Condition of [hospital] participation: Discharge planning.	No
<b>42 CFR 482.56</b>	Condition of [hospital] participation: Rehabilitation services.	No
<b>42 CFR 482.60</b>	Special provisions applying to psychiatric hospitals	No
<b>42 CFR 482.61</b>	Condition of participation: Special medical record requirements for psychiatric hospitals	No

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<b>45 CFR 164.105</b>	Organizational requirements [related to security and privacy of health information]	Yes
<b>45 CFR 164.306</b>	Security standards: General rules [for the protection of electronic protected health information]	No
<b>45 CFR 164.308</b>	Administrative safeguards [related to HIPAA Security Rule]	Yes
<b>45 CFR 164.310</b>	Physical Safeguards [under HIPAA Security Rule]	Yes
<b>45 CFR 164.312</b>	Technical safeguards [under HIPAA Security Rule]	Yes
<b>45 CFR 164.314</b>	Organizational requirements [related to HIPAA]	Yes
<b>45 CFR 164.316</b>	Policies and procedures and documentation requirements [under HIPAA Security Rule]	Yes
<b>45 CFR 164.404</b>	Notification to individuals [in the case of breach of unsecured protected health information]	No
<b>45 CFR 164.502</b>	Uses and disclosures of protected health information: general rules	No
<b>45 CFR 164.506</b>	Uses and disclosures [of individually identifiable health information] to carry out treatment, payment, or health care operations.	No
<b>45 CFR 164.508</b>	Uses and disclosures for which an authorization is required [under HIPAA Privacy Rule]	Yes
<b>45 CFR 164.510</b>	Uses and disclosures [of protected health information] requiring an opportunity for the individual to agree or to object	No
<b>45 CFR 164.512</b>	Uses and disclosures [of individually identifiable health information] for which an authorization or opportunity to agree or object is not required.	No
<b>45 CFR 164.514</b>	Other requirements relating to uses and disclosures of protected health information	Yes
<b>45 CFR 164.520</b>	Notice of privacy practices for protected health information	Yes
<b>45 CFR 164.522</b>	Rights to request privacy protection for protected health information	Yes
<b>45 CFR 164.524</b>	Access of individuals to protected health information	Yes
<b>45 CFR 164.526</b>	Amendment of protected health information	Yes
<b>45 CFR 164.528</b>	Accounting of disclosures of protected health information	Yes
<b>45 CFR 164.530</b>	Administrative requirements [under the HIPAA Privacy Rule]	Yes

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