

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Issued to: Corrections, Dept. of

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Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

AGENCY SPECIFIC RECORD SCHEDULE FOR: Corrections, 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 (Corrections, 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. Signed by Interim Commissioner James Baker on 6/8/21.
- James Baker, Interim Department Commissioner / Corrections, Dept. of* *Date*

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1671.1103: Offender and Inmate Records

SRS-1671.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the management of any person, not a child, committed to the custody of the Commissioner pursuant to the law of the State and subsequently committed to a correctional facility and any person confined at a correctional facility during the pendency of a prosecution against them.

Classification: Inmates (Managing)

Retention: Retain certificates, orders, reports, requests, supporting material, and warrants until custody and supervision of the offender or inmate is completed/closed, plus six (6) years, and then destroy by shredding unless the case (or cases) concerning the offender or inmate is considered major or significant.

Agreements, authorizations and waivers shall be retained until expired, plus six (6) years, and then destroyed by shredding unless the case (or cases) concerning the offender of inmate is considered major or significant.

For major or significant cases, contact the Vermont State Archives and Records Administration (VSARA) for further appraisal; records must meet the criteria of major or significant in "Vermont Archival Records" to be identified as permanent (archival).

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systematic and regular recording of activities related to offenders or inmates shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of managing offenders or inmates may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records.)

Public Access: Exempt

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1671.1103 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1671.1103.5 Agreements Public Access: <i>Exempt</i>	Use for written agreements concerning an offender or inmate. Includes offender responsibility plans, interstate compact agreements, and similar agreements.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1671.1103.141 Authorizations Public Access: <i>Exempt</i>	Use for written permissions from an authoritative body allowing an offender or inmate certain rights or privileges. Includes authorizations regarding release of offender or inmate information and details associated with sentencing.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)

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<p>SRS-1671.1103.21 Certificates Public Access: <i>Exempt</i></p>	<p>Use for official verification that a condition or requirement has, or has not, been met. Includes certificate of compliance pertaining to programs and certificates of pardon.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1671.1103.63 Orders Public Access: <i>Exempt</i></p>	<p>Use for sentencing and other court orders. Includes probation, decisions, custody, and detention orders.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1671.1103.81 Registers Public Access: <i>Exempt</i></p>	<p>Use for registers, databases, systems, and similar records that provide for the systematic and regular recording of actions of or by an offender or inmate.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>
<p>SRS-1671.1103.144 Reports Public Access: <i>Exempt</i></p>	<p>Use for all medical and psychological assessments and reports associated with an offender or inmate during or after incarceration. Includes presentencing investigation reports, intermediate sanction reports and other similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1671.1103.36 Supporting material Public Access: <i>Exempt</i></p>	<p>Use for recorded material created or received to support, supplement, or complement another record. Includes photographs, record checks, sentencing information, subpoenas, and dockets.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1671.1103.150 Waivers Public Access: <i>Exempt</i></p>	<p>Use for waiver of extradition and similar waivers.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1671.1103.102 Warrants Public Access: <i>Exempt</i></p>	<p>Use for judicial writs authorizing an officer to make a search, seizure, arrest or to execute a judgment. Includes arrest and parole warrants.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>

SRS-1671.1103 was approved by the Vermont State Archivist on 2/12/2019.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1634.1103: Offender Grievances

SRS-1634.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, activities and tasks associated with a formal written complaint filed by an offender concerning a departmental action, incident, policy, or condition which affects that offender.

Classification: Offender grievances (Managing)

Retention: Retain all associated records listed on this schedule, with the exception of legal notices and registers, until completed/closed, plus an additional three (3) years, then destroy by shredding unless the case (or cases) concerning the offender is considered major or significant.

Retain legal notices until completed/closed plus an additional one (1) year, then destroy by shredding.

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

For major or significant cases, contact the Vermont State Archives and Records Administration (VSARA) for further appraisal; records must meet the criteria of major or significant in "Vermont Archival Records" to be identified as permanent (archival).

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

Public Access: Exempt

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1634.1103 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1634.1103.24 Complaints Public Access: <i>Exempt</i>	Use for written expressions of dissatisfaction. Includes informal complaints, formal grievances, emergency grievances, and appeals.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
SRS-1634.1103.133 Decisions Public Access: <i>Exempt</i>	Use for written decisions related to all offender grievances. Includes notice of decision.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

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<p>SRS-1634.1103.50 Notices, Legal Public Access: <i>Exempt</i></p>	<p>Use for written notifications that are required by law. Includes notice of procedure and response to appeals.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1634.1103.81 Registers Public Access: <i>Exempt</i></p>	<p>Use for registers, databases, systems, and similar records that provide for the systematic and regular recording of offender grievances.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>
<p>SRS-1634.1103.144 Reports Public Access: <i>Exempt</i></p>	<p>Use for reports generated as part of the offender grievance tracking process. Includes grievance statistics and other similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)</p>

SRS-1634.1103 was approved by the Vermont State Archivist on 8/14/2019.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1823.1088: Offender Probation Records

SRS-1823.1088: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the activities and tasks associated with supervising a probationer released by the court, without confinement, subject to conditions imposed by the commissioner of Corrections.

Classification: Probationers (Supervising)

Retention: Retain certificates, decisions, orders, reports, supporting material, and warrants until the supervision of the probationer is completed/closed, plus six (6) years, and then destroy by shredding.

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

Legal notices shall be retained until completed/closed, plus one (1) year, and then destroyed by shredding.

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

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of supervising probationers may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records).

Public Access: Exempt

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1823.1088 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1823.1088.141 Authorizations Public Access: <i>Exempt</i>	Use for written permissions from an authoritative body allowing probationers to gain certain rights or privileges. Includes authorizations regarding release of information and details associated with sentencing.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1823.1088.21 Certificates Public Access: <i>Exempt</i>	Use for official verification that a condition or requirement has, or has not, been met. Includes certificate of compliance pertaining to programs.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)

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<p>SRS-1823.1088.133 Decisions Public Access: <i>Exempt</i></p>	<p>Use for all decisions related to a probationer. Includes notice of suspension and termination decisions.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1823.1088.50 Notices, Legal Public Access: <i>Exempt</i></p>	<p>Use for legal notices issued by or to the department. Includes probation violation notices, hearing notices and consequence of conviction.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1823.1088.63 Orders Public Access: <i>Exempt</i></p>	<p>Use for sentencing and other court orders. Includes probation orders, petitions, supervision fees and warrants associated with a probationer.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1823.1088.81 Registers Public Access: <i>Exempt</i></p>	<p>Use for registers, databases, systems, and similar records that provide for the systematic and regular recording of actions of or by a probationer.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>
<p>SRS-1823.1088.144 Reports Public Access: <i>Exempt</i></p>	<p>Use for reports on probationers. Includes facility statistics reports, prerelease probation reports, and all medical or psychological reports associated with a probationer.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1823.1088.36 Supporting material Public Access: <i>Exempt</i></p>	<p>Use for sources intended primarily for consultation. Includes case notes and violation sanction guidelines.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>

SRS-1823.1088 was approved by the Vermont State Archivist on 9/5/2019.

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SRS-1825.1103: Patient Medical Files

SRS-1825.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the managing of any individual who is receiving needed professional services that are directed by a licensed practitioner of the healing arts. Does not include mental health patients. For mental health patients use: SRS-1282.1103, Mental health patients (Managing).

Classification: Patients (Managing)

Retention: Retain applications, orders, plans (reports), reports and supporting material until completed/closed, plus six (6) years, and then destroy by shredding. Once a professional service is no longer being provided to a patient, the record is considered completed/closed.

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

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

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of managing patients may be weeded as appropriate in accordance with SRS-1290.1000 (Human Services' Transitory Records.)

Patients must reach the age of majority for the record to be considered completed/closed.

Public Access: Exempt

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1825.1103 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1825.1103.5 Agreements Public Access: <i>Exempt</i>	Use for written agreements between parties regarding the management of patients. Includes agreements for care, program requirements, and other similar agreements.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)
SRS-1825.1103.141 Authorizations Public Access: <i>Exempt</i>	Use for written documents describing permissions to perform specific activities related to the management of patients. Includes authorized transfers, authorizations to receive medication, release of information, and other similar authorizations.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)

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<p>SRS-1825.1103.50 Notices, Legal Public Access: <i>Exempt</i></p>	<p>Use for written notifications sent to, or on behalf of, the patient. Includes discharge notices, notice of transfer, and other similar notices.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1825.1103.63 Orders Public Access: <i>Exempt</i></p>	<p>Use for orders and directives from an authoratative body in regards to managing patients. Includes orders of comittment, orders of quarantine, and other similar orders.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1825.1103.69 Plans (reports) Public Access: <i>Exempt</i></p>	<p>Use for reports describing a proposed or tentative course of action for the management of patients. Includes treatment plans, discharge plans, and other similar plans.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1825.1103.81 Registers Public Access: <i>Exempt</i></p>	<p>Use for registers, databases, tracking systems, and similar records that provide for the systematic and regular recording of actions related to managing patients.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>
<p>SRS-1825.1103.144 Reports Public Access: <i>Exempt</i></p>	<p>Use for all reports associated with managing patients. Includes all medical reports, examinations, evaluations, assessments, histories, critical incident reports and other similar reports.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1825.1103.36 Supporting material Public Access: <i>Exempt</i></p>	<p>Use for supporting material. Includes all certificates, advance directives, referrals, case notes, applications and other similar materials.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)</p>

SRS-1825.1103 was approved by the Vermont State Archivist on 12/18/2019.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1685.1103: Student Records

SRS-1685.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the managing of individuals enrolled on a full-time or part-time basis in any public or private educational institution in Vermont.

Classification: Students (Managing)

Retention: Retain certificates for the life of the student, then destroy.

Legal notices shall be retained until the school year is completed, plus one (1) year then destroyed.

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

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of managing students may be weeded as appropriate in accordance with SRS – 1865.1000 (Local educational agencies' Transitory Records).

When the student's enrollment is completed/closed with a local educational agency, through graduation, transfer, or withdrawal, all existing records concerning the student, with the exception of entries in the register and certificates, shall be destroyed.

Public Access: Exempt

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1685.1103 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1685.1103.8 Applications Public Access: <i>Exempt</i>	Use for annual student enrollment and registration forms. Includes birth certificates, immunization records, proof of residency, parental or guardian custody forms, and significant supporting materials.	Temporary (Legal)	RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Destroy (Shred)
SRS-1685.1103.141 Authorizations Public Access: <i>Exempt</i>	Use for written approvals, disapprovals and similar releases or waivers submitted by, or on behalf of, a student. Includes initiating requests, disclosure consents, photo releases, authorizations for medical treatment, and significant supporting materials such as medical action plans.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 0 Year(s) THEN: Destroy (Shred)

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<p>SRS-1685.1103.21 Certificates Public Access: <i>Exempt</i></p>	<p>Use for final transcripts of coursework taken towards completion of an educational curriculum, that serve as official verification that requirements were met. For students who have not matriculated or transferred and no longer attend the institution, retain most recent end of semester or term grades indicating level of proficiency.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Life of Asset Ends PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1685.1103.32 Declarations Public Access: <i>Exempt</i></p>	<p>Use for written documents submitted by, or on behalf of, a student as official verification that conditions or requirements for services have been met. Includes assertions of medical conditions or religious convictions and significant supporting materials.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1685.1103.145 Logs Public Access: <i>Exempt</i></p>	<p>Use for lists of individuals who have requested access to a student's record. Includes significant supporting material.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1685.1103.50 Notices, Legal Public Access: <i>Review</i></p>	<p>Use for official, written statements, notices, or announcements regarding specific students.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1685.1103.69 Plans (reports) Public Access: <i>Exempt</i></p>	<p>Use for personalized learning plans developed for individual students. Includes relevant supporting materials.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1685.1103.153 Referrals Public Access: <i>Exempt</i></p>	<p>Use for formal referrals of students to support services or programs. Includes guidance counselor referrals and significant supporting materials. For referrals concerning disciplinary action taken against a student that posed a significant risk to the safety or well-being of that student, other students, or other members of the school community use "Reports."</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1685.1103.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases, and systems that provide for the regular recording of rosters or lists of attendees or students, and the tracking of their enrollment, attendance, performance, and related activities.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>

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SRS-1685.1103.144

Reports

Public Access: *Exempt*

Use for formal written reports at the conclusion of a student assessment or the testing of knowledge, aptitude, or skills of a student. Includes mandatory standardized testing results, evaluations, and significant supporting materials indicating student health or safety risks. For Individual Education Program (IEP) or Section 504 evaluations, use the retention requirements for "Decisions" in SRS-1533.1022 (Student Special Education Records).

Temporary (Legal)

RETAIN UNTIL: Completed/Closed

PLUS: 0 Year(s)

THEN: Destroy (Shred)

SRS-1685.1103 was approved by the Vermont State Archivist on 8/10/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1533.1022: Student Special Education Records

SRS-1533.1022: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the provision and coordination of special education for eligible children.

Classification: Special education (Coordinating)

Retention: Retain all records listed on this schedule, except for authorizations, registers and claims, until completed/closed, plus five (5) years. Special education records shall be offered to student; if no response from student after legal notice, destroy by shredding.

Records are considered completed/closed once the student (1) reaches the age of 22; (2) graduates, transfers, or withdraws from the local educational agency; or (3) the last date of services, whichever is sooner.

Registers that provide for the systematic and regular recording of the coordination of special education enrollment and eligibility 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 the coordination of special education, may be weeded as appropriate in accordance with SRS-1685.1000 (Local educational agencies' Transitory Records).

Public Access: Exempt

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1533.1022 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1533.1022.141 Authorizations Public Access: <i>Exempt</i>	Use for authorizations related to the coordination of special education enrollment or eligibility. Includes student releases, parental consents or revocations, substantive correspondence and similar records.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 5 Year(s) THEN: Destroy (Shred)
SRS-1533.1022.133 Decisions Public Access: <i>Exempt</i>	Use for written evidence of a final decision related to the coordination of special education enrollment or eligibility. Includes determinations outlined in individual education program (IEP) plans, Section 504 plans, relevant medical findings, meeting minutes, substantive correspondence and significant supporting material.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)

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<p>SRS-1533.1022.145 Logs Public Access: <i>Exempt</i></p>	<p>Use for lists of individuals who have requested access to a student's special education record. Includes significant supporting material.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1533.1022.50 Notices, Legal Public Access: <i>General</i></p>	<p>Use for official, written statements, notices, or announcements that are required by law. Includes notices of planned destruction of special education records no longer needed to provide educational services.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1533.1022.81 Registers Public Access: <i>Redact</i></p>	<p>Use for registers, databases, systems and similar records that provide for the systematic and regular recording of information related to the coordination of special education. Includes case management systems.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 5 Year(s) THEN: Confirm</p>
<p>SRS-1533.1022.144 Reports Public Access: <i>Exempt</i></p>	<p>Use for reports related to the coordination of special education. Includes evaluations, time studies, observation reports, summary reports of the student's academic achievement and functional performance and significant supporting material.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1533.1022.139 Requests Public Access: <i>Exempt</i></p>	<p>Use for written requests related to the coordination of special education enrollment and eligibility.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 5 Year(s) THEN: Destroy (Shred)</p>

SRS-1533.1022 was approved by the Vermont State Archivist on 8/10/2020.

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Appendix A: Appraisal Values

An appraisal value establishes the usefulness or importance of a record after its original purpose has passed. The value of a record also dictates how it must be disposed after retention requirements are met (also see "Retention Requirements"). The appraisal values below represent categories of values that may be assigned to records following the record appraisal process. See "Vermont Archival Records" in the Archives and Records Management Handbook for conditions a record must meet to be appraised as "archival."

Appraisal Value	Description	Usage
Conditional Archival	Records may have archival value.	Assigned to records that meet the conditions of a "Vermont Archival Record" under special conditions.
Permanent (Archival)	Records have archival value.	Assigned to records that meet the conditions of a "Vermont Archival Record" and are therefore permanent (archival) records.
Temporary (Administrative)	Records have temporary administrative value.	Assigned to records that do not meet the conditions of a "Vermont Archival Record" but are needed for administrative reasons.
Temporary (Legal)	Records have temporary legal value.	Assigned to records that do not meet the conditions of a "Vermont Archival Record" but have legal requirements governing their retention.
Unappraised	Default value for records that have not been appraised.	Assigned to records that have not been appraised and do not yet have retention or disposition requirements.

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Appendix B: Public Access Requirements

A public access requirement is the availability of a record for public use and inspection pursuant to 1 V.S.A. §§ 315-320. Unless exempt from public inspection and copying pursuant to 1 V.S.A. § 317, records are expected to be promptly produced for public inspection upon request. Public agencies shall follow the procedure outlined in 1 V.S.A. § 318. The access requirements below represent actions agencies must take based on specific laws associated with the accessibility of their records. With general record schedules, the default requirement is always REVIEW unless it is clear that certain records or information within a record are exempt from public use and inspection pursuant to 1 V.S.A. § 317. Agencies using general record schedules should defer to their internal policies for specific access requirements.

Access	Description	Usage
Exempt	Records shall not be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.	Assigned to records that are wholly exempt from public use and inspection pursuant to 1 V.S.A. § 317.
General	Records may be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.	Assigned to records that are not exempt from public inspection and copying pursuant to 1 V.S.A. § 317.
Redact	Records contain specific information that shall not be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.	Assigned to records that contain specific information that is exempt from public inspection and copying pursuant to 1 V.S.A. § 317 and require exempt information to be redacted from the records prior to public use, inspection and/or copying.
Review	Records may be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320 but not always. Default value for general schedules, which require agencies to establish internal policies.	Assigned to records that are generally not exempt from public inspection and copying pursuant to 1 V.S.A. § 317 but, in limited circumstances, may be exempt. Internal review and/or policy is required.

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Appendix C: Retention Requirements

A retention requirement is the length of time a record must be retained by an agency before it may be destroyed or transferred to the State Archives or an agency archives (also see "Disposition Requirements"). The retention requirements below represent events or triggers that cause records to move from an active to inactive state. An "event" is tied to a specific time requirement: i.e. Retain Until "Calendar Year Ends" PLUS 3 Years.

Retention	Description	Usage
Audit Complete	Retain until an audit or verification is complete.	Assigned to records that are actively used or needed until the information contained therein has been audited or verified.
Calendar Year Ends	Retain until the end of the calendar year.	Assigned to records that are actively used or needed until the end of the calendar year.
Completed/Closed	Retain until the activity or process supported by the record is completed.	Assigned to records that are actively used or needed until the activity is formally completed, closed, or finalized (includes appeals).
Expired	Retain until the conditions or requirements supported by the record are satisfied and no further action is needed.	Assigned to records that are actively used or needed until the conditions or requirements are satisfied and complete.
Fiscal Year Ends	Retain until the end of the fiscal year.	Assigned to records that are actively used or needed until the end of the fiscal year.
Life of Asset Ends	Retain for the life of the person, structure, object, organization, etc. that is the subject of the record.	Assigned to records that are actively used or needed for the life of person, structure, object, organization, etc.
Obsolete	Retain until the record is no longer needed and is valueless.	Assigned to records that have limited administrative value and may be purged when they no longer have any administrative value. Agency must develop internal policy that states when records no longer have administrative value.
Superseded	Retain until the record is superseded, updated, or revised.	Assigned to records that will be superseded, updated, or revised.

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Appendix D: Disposition Requirements

A disposition requirement is how an agency must dispose of a record from its legal custody once retention requirements have been met. Disposition is based on the record's appraisal value. If the record has been appraised as non-archival it will be destroyed after retention requirements are met. If appraised as archival the record will be transferred to the State Archives or agency archives for permanent preservation and access. The disposition requirements below represent actions that an agency must take once a record has met its retention requirements.

Disposition	Description	Usage
Archives	Retain permanently. These records are eligible for transfer to the State Archives or agency archives.	Assigned to records that have been appraised as having archival value and are therefore permanent records.
Confirm	Confirm disposition with the Vermont State Archives and Records Administration after retention requirement has been met.	Assigned to records that are maintained in a centralized database or information system or are appraised as conditional archival.
Destroy (General)	Destroy by recycling or deleting the record.	Assigned to records that have been appraised as non-archival and are not exempt from public access. Agency discretion advised for general record schedules.
Destroy (Shred)	Destroy by shredding (includes electronic shredding).	Assigned to records that have been appraised as non-archival and are exempt from public access or contain sensitive information.
Unappraised	Default value for records that have not been appraised.	Assigned to records that have not been appraised and do not yet have retention or disposition requirements.
Weed	Separate records that meet the conditions of a "Vermont Archival Record" from those that do not (temporary).	Assigned to records that have been appraised as conditional archival. Upon weeding the temporary records from the archival records, transfer archival records to Archives and destroy temporary records.

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Appendix E: Legal References

SRS-1671.1103: Offender and Inmate Records		<i>Review for Exemption?</i>
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
13 V.S.A. § 4967	Written waiver of extradition proceedings	No
13 V.S.A. § 5411	Notification to local law enforcement and local community [related to sex offender registration; law enforcement notification]	Yes
13 V.S.A. § 5411b	Designation of high-risk sex offender	Yes
13 V.S.A. § 7044	Sentence calculation; notice to defendant	No
28 V.S.A. § 107	Offender and inmate records; confidentiality; exceptions; corrections	Yes
28 V.S.A. § 1503	Prisoner's request for final disposition-Article III	No
28 V.S.A. § 203	Probation warrant [related to public institutions and corrections]	No
28 V.S.A. § 204	Submission of written report; protection of records [related to probation]	Yes
28 V.S.A. § 3	General definitions [related to public institutions and corrections]	No
28 V.S.A. § 352	Supervised community sentence	No
28 V.S.A. § 361	Reduction of term [related to supervised community sentence]	No
28 V.S.A. § 363	Summons or arrest of person serving a supervised community sentence	No
28 V.S.A. § 365	Notification of board; hearing [related to violations of supervised community sentence]	No
28 V.S.A. § 701	Commitment to the custody of the commissioner [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 701b	Classification of persons or defendants [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 702	Transfer between facilities of the department [related to supervision of adult inmates at the correctional facilities]	No

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28 V.S.A. § 703	Transfer to the department of mental health [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 704	Disposition when person recovers [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 706	Transfer to federal correctional facility [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 708	Discharge [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 710	Approval of residence [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 751b	General provisions governing offender work [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 801	Medical care of inmates [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 802	Correspondence of inmates [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 802a	Telephone use; debit and collect call systems [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 803	Exercise of religious beliefs [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 804	Right of inmates to confer with counsel [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 808	Furloughs granted to offenders [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 808a	Treatment furlough [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 808b	Home confinement furlough [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 808c	Reintegration furlough [related to care of inmates]	No
28 V.S.A. § 809	Pardons; application; notice; hearing; decision [related to supervision of adult inmates at the correctional facilities]	No

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28 V.S.A. § 811	Work camps; reduction of term [related to care of inmates]	No
28 V.S.A. § 812	Denial of good time [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 813	Restoration of reductions [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 853	Punishment; maintenance of records; recommendation of transfer [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 903	Access to treatment pending appeal; rule [related to supervision of adult inmates at the correctional facilities]	Yes
CVR 13-130-002	Inmate Discipline [related to Department of Corrections]	No
CVR 13-130-003	Disposition of Personal Property (44-13) [related to Department of Corrections]	No
CVR 13-130-006	Inmate Procedure to Marry [related to the Department of Corrections]	No
CVR 13-130-009	Telephone Use [related to Department of Corrections]	No
CVR 13-130-010	Transportation (1031) [related to Department of Corrections]	No
CVR 13-130-013	Good Time (973) [related to Department of Corrections]	No
CVR 13-130-014	Supervised Community Sentence (SCS) [related to Department of Corrections]	No
CVR 13-130-015	Earned Reduction of Term #316 [related to Department of Corrections]	No
CVR 13-130-017	#255-Reporting of Offender Information [related to Department of Corrections]	No
CVR 13-130-021	Out of State Transfer [related to Department of Corrections]	No
CVR 13-130-023	Community Notification [related to Department of Corrections]	No
CVR 13-130-026	Granting Reintegration Furlough [related to Department of Corrections]	No
CVR 13-130-034	Custody, Control, and Preservation of Information related to Risk Assessment and Needs Screening [related to Department of Corrections]	No
CVR 13-130-035	Release to Furlough without Approved Housing [related to Department of Corrections]	No
CVR 28-050-002	Sex offender registry [related to Department of Public Safety]	No

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28 V.S.A. § 251	Duration of probation	No
28 V.S.A. § 252a	Review of probation conditions	No
28 V.S.A. § 253	Modification of conditions; revocations [related to probation]	No
28 V.S.A. § 254	Attendance at treatment facility [related to probation]	No
28 V.S.A. § 255	Discharge [related to probation]	No
28 V.S.A. § 256	Graduated sanctions for technical violations [related to probation]	No
28 V.S.A. § 301	Summons or arrest of probationer	No
28 V.S.A. § 302	Notice;hearing [related to revocation of probation]	No
28 V.S.A. § 303	Grounds for revocation [related to revocation of probation]	No
28 V.S.A. § 304	Disposition alternatives upon violation of probation	No
28 V.S.A. § 305	Duration of alternative sentence [related to revocation of probation]	No
28 V.S.A. § 352	Supervised community sentence	No
28 V.S.A. § 910a	Reparative boards; functions	No
CVR 13-130-018	Supervision fees for offenders under field supervision by the DOC	No
CVR 13-130-028	Graduated sanctions for violations of probation	No
CVR 13-130-031	Graduated sanctions for technical violations of probation in lieu of court referral [related to Department of Corrections]	No

SRS-1825.1103: Patient Medical Files	<i>Review for Exemption?</i>
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12 V.S.A. § 1612	Patients' privilege [related to court procedure]	Yes
12 V.S.A. § 511	Civil action [related to limitation of time for commencement of actions]	No
12 V.S.A. § 551	Minority, insanity or imprisonment [related to limitations on time for commencing actions]	No
16 V.S.A. § 136	Wellness program; Advisory Council on Wellness and Comprehensive Health	No

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16 V.S.A. § 1387	Possession and self-administration of emergency medication	No
16 V.S.A. § 1388	Medical inspection generally; health services	No
16 V.S.A. § 1422	Periodic hearing and vision screening; guidelines	No
16 V.S.A. § 1431	Concussions and other head injuries	No
18 V.S.A. § 1761	Duty of reasonable care; negligence; liability [related to lead poisoning prevention]	No
18 V.S.A. § 1881	Disclosure of protected health information prohibited [related to health care privacy]	Yes
18 V.S.A. § 8003	Personal needs of patient [related to release and discharge]	No
18 V.S.A. § 8006	Visits [related to health]	No
18 V.S.A. § 8007	Conditional discharges [related to health]	No
18 V.S.A. § 8008	Revocation of conditional discharge [related to health]	No
18 V.S.A. § 8009	Administrative discharge [related to health]	No
18 V.S.A. § 8402	Hospitalization [related to mentally ill users of alcohol or drugs]	No
18 V.S.A. § 8403	Length of treatment [related to mentally ill users of alcohol or drugs]	No
18 V.S.A. § 8404	Conditional discharge [related to mentally ill users of alcohol or drugs]	No
18 V.S.A. § 8405	Outside visits [by mentally ill users of alcohol or drugs]	No
20 U.S.C. § 1232f	Records [related to general provisions concerning education]	No
20 U.S.C. § 1232g	Family educational and privacy rights	Yes
20 U.S.C. § 1232h	Protection of pupil rights	Yes
28 V.S.A. § 801	Medical care of inmates [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 801a	Pregnant inmates [related to care of inmates]	No
28 V.S.A. § 801b	Medication-assisted treatment in correctional facilities [related to care of inmates]	No

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28 V.S.A. § 808a	Treatment furlough [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 901	Evaluation and treatment facilities [related to supervision of adult inmates at the correctional facilities]	No
28 V.S.A. § 903	Access to treatment pending appeal; rule [related to supervision of adult inmates at the correctional facilities]	Yes
28 V.S.A. § 905	Legislative intent [related to services for inmates with serious functional impairment]	No
28 V.S.A. § 907	Mental health service for inmates; powers and responsibilities of commissioner	No
28 V.S.A. § 908	Access to mental health services; notice [related to supervision of adult inmates at the correctional facilities]	No
34 CFR 99	Family Educational Rights and Privacy Act (FERPA)	Yes
42 CFR 2	Confidentiality of alcohol and drug abuse patient records	Yes
42 CFR 403	Special programs and projects [related to public health]	No
42 CFR 482	Conditions of participation for hospitals [related to public health]	No
42 CFR 482.13	Condition of participation: patient's rights.	No
42 CFR 482.24	Condition of participation: medical record services.	No
42 CFR 491	Certification of certain health facilities	No
45 CFR 160	General administrative requirements [related to public welfare]	Yes
45 CFR 164	Security and privacy [related to public welfare]	Yes
CVR 13-130-020	Access to treatment pending appeal #365 [related to Department of Corrections]	No
CVR 13-130-024	The use of administrative and disciplinary segregation for inmates with serious mental illness [related to Department of Corrections]	No

SRS-1685.1103: Student Records

Review for Exemption?

16 V.S.A. § 1075	Legal residence defined; responsibility and payment of education of pupils	No
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16 V.S.A. § 1161a	Discipline [related to attendance and discipline]	No
16 V.S.A. § 1321	Form and contents of register [related to school attendance records]	No
16 V.S.A. § 134	Religious exemption [related to comprehensive health education]	No
16 V.S.A. § 1387	Possession and self-administration of emergency medication	No
16 V.S.A. § 1431	Concussions and other head injuries	No
16 V.S.A. § 166	Approved and recognized independent schools	Yes
16 V.S.A. § 43	Federal education aid funds; administration; local education agency	No
16 V.S.A. § 471	Application of other laws	No
16 V.S.A. § 551	Application of laws to school districts	No
16 V.S.A. § 570	Harrasment, hazing, and bullying prevention policies [related to school districts]	No
16 V.S.A. § 822a	Public high school choice	No
16 V.S.A. § 941	Flexible pathways initiative [related to courses of study]	No
16 V.S.A. § 942	Definitions [related to flexible pathways to secondary school completetion]	No
16 V.S.A. § 944	Dual enrollment program	No
20 U.S.C. § 1232f	Records [related to general provisions concerning education]	No
20 U.S.C. § 1232g	Family educational and privacy rights	Yes
20 U.S.C. § 1232h	Protection of pupil rights	Yes
34 CFR 200	Improving the academic achievement of the disadvantaged	No
34 CFR 99	Family Educational Rights and Privacy Act (FERPA)	Yes
9 V.S.A. § 2443	Definitions [related to student privacy]	Yes
9 V.S.A. § 2443a	Operator prohibitions [related to student privacy]	No

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9 V.S.A. § 2443b	Operator duties [related to student privacy]	No
9 V.S.A. § 2443c	Permissive use or disclosure [related to student privacy]	No
9 V.S.A. § 2443e	Applicability [related to student privacy]	No
CVR 22-000-003	State Board rule 2000 education quality standards	No
CVR 22-000-006	Special education rules	No

SRS-1533.1022: Student Special Education Records *Review for Exemption?*

16 V.S.A. § 261a	Duties of supervisory union board	No
16 V.S.A. § 2942	Definitions [related to special education]	No
16 V.S.A. § 2944	Special education	No
16 V.S.A. § 2957	Special education administrative and judicial appeals; limitations	No
16 V.S.A. § 43	Federal education aid funds; administration; local education agency	No
16 V.S.A. § 563	Powers of school boards; form of vote if budget exceeds benchmark and district spending is above average	No
16 V.S.A. § 806a	Definitions - article II [related to Interstate Compact on Educational Opportunity for Military Children]	No
20 CFR 416	Supplemental security income for the aged, blind, and disabled	No
20 U.S.C. § 1232f	Records [related to general provisions concerning education]	No
20 U.S.C. § 1232g	Family educational and privacy rights	Yes
20 U.S.C. § 1232h	Protection of pupil rights	Yes
20 U.S.C. § 1414	Evaluations, eligibility determinations, individualized education programs, and educational placements	No
34 CFR 104	Non discrimination on the basis of handicap in programs or activities receiving federal financial assistance	No

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34 CFR 300	Assistance to states for the education of children with disabilities [related to education]	No
34 CFR 99	Family Educational Rights and Privacy Act (FERPA)	Yes
CVR 22-000-006	Special education rules	No