

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Issued to: Green Mountain Care Board

Published: 10/18/2024



Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

AGENCY SPECIFIC RECORD SCHEDULE FOR: Green Mountain Care Board

- 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 (Green Mountain Care Board) 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 Chair Owen Foster on 10/09/2024

Owen Foster, Chair / Green Mountain Care Board

Date

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-2065.1107: Accountable Care Organization Records

SRS-2065.1107: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the certification and annual eligibility verifications of accountable care organizations and their budgets.

Classification: Accountable care organizations (Certifying)

Retention: Decisions related to initial certifications to accountable care organizations to operate in this State shall be retained for the life of the organization, plus ten (10) years, and then destroyed.

Retain applications, declarations, and certificates until completed/closed, plus ten (10) years, and then destroy by shredding. Completed/closed means the annual accountable care organization certification and budget review cycle has concluded.

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

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

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-2065.1107 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-2065.1107.8 Applications Public Access: <i>Redact</i>	Use for applications for certification submitted to the Board by accountable care organizations. Includes substantive correspondence and significant supporting material.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-2065.1107.21 Certificates Public Access: <i>Redact</i>	Use for the Board's written statements issued to accountable care organizations for continued eligibility for certification. Includes significant supporting material. For initial certifications to accountable care organizations to operate in this State, use Decisions.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
SRS-2065.1107.133 Decisions Public Access: <i>Redact</i>	Use for the Board's final, written decision on applications and proposed budgets. Includes initial certifications issued by the Board, any subsequent decisions to limit, suspend, or revoke the certifications of accountable care organizations, and significant supporting material.	Temporary (Legal)	RETAIN UNTIL: Life of Asset Ends PLUS: 10 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-2065.1107.32	Use for annual eligibility verifications and proposed budgets submitted to the Board by accountable care organizations.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Declarations			PLUS: 10 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-2065.1107.50	Use for official, written statements, notices, or announcements required by law.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
Notices, Legal			PLUS: 1 Year(s)
Public Access: <i>General</i>			THEN: Destroy (General)
SRS-2065.1107.144	Use for reports and similar narrative statements by the Board related to the certification and budget review of accountable care organizations. Includes analyses of certification applications and proposed budgets.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
Reports			PLUS: 10 Year(s)
Public Access: <i>General</i>			THEN: Destroy (General)
SRS-2065.1107.36	Use for supplemental records, not otherwise specified in this schedule, related to applications for certification and annual eligibility verifications. Includes written or recorded questions and comments at public hearings.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Supporting material			PLUS: 10 Year(s)
Public Access: <i>General</i>			THEN: Destroy (General)

SRS-2065.1107 was approved by the Vermont State Archivist on 3/19/2024.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1520.1107: Certificate of Need Records

SRS-1520.1107: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the certification of new health projects as defined by 18 V.S.A. § 9434.

Classification: New health care projects (Certifying)

Retention: Retain applications, substantive correspondence, and decisions concerning a health care project as long as result of the project is in effect, plus three (3) years, then destroy.

Dockets tracking certificate of need requests shall be retained until superseded, then appraised by the Vermont State Archives and Records Administration for continuing value.

Other records shall be retained until a decision concerning a new health care project is made and then as specified in this schedule with the exception of transitory records. Transitory records created as part of a certificate of need request may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory Records).

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1520.1107 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1520.1107.8 Applications Public Access: <i>General</i>	Use for Certificate of Need applications for new health care projects. Includes all supporting material gathered and submitted as part of the application process.	Temporary (Legal)	RETAIN UNTIL: Life of Asset Ends PLUS: 3 Year(s) THEN: Destroy (General)
SRS-1520.1107.141 Authorizations Public Access: <i>General</i>	Use for preliminary authorizations issued prior to a Certificate of Need final decision.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)
SRS-1520.1107.21 Certificates Public Access: <i>General</i>	Use for Certificates of Need issued for new health care projects.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1520.1107.53 Correspondence (Substantive) Public Access: <i>General</i></p>	<p>Use for any correspondence transmitted or received that has significant administrative value and/or supports decisions related to the award of a Certificate of Need. Includes the initial letter of intent.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Life of Asset Ends PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1520.1107.133 Decisions Public Access: <i>General</i></p>	<p>Use for Certificate of Need award decisions.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Life of Asset Ends PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1520.1107.117 Dockets Public Access: <i>General</i></p>	<p>Use for formal abstracts or listings of all actions and pleadings filed pursuant to a proceeding. Includes docket books and similar registers.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>
<p>SRS-1520.1107.50 Notices, Legal Public Access: <i>General</i></p>	<p>Use for official, written statements, notices, or announcements that are required by law, including notice of hearing.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1520.1107.144 Reports Public Access: <i>General</i></p>	<p>Use for reports and similar narrative statements required by the terms and conditions of the Certificate of Need. Includes implementation reports and similar records.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1520.1107.36 Supporting material Public Access: <i>General</i></p>	<p>Use for all records and information submitted to support a certificate of need request as well as data gathered during the review process. Includes hearing recordings or transcripts and public comments.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1520.1107.99 Transcripts Public Access: <i>General</i></p>	<p>Use for transcripts of hearings held concerning the application for a Certificate of Need.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>

SRS-1520.1107 was approved by the Vermont State Archivist on 4/4/2013.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1522.1107: Rate Review Records

SRS-1522.1107: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the certification of the cost of insurance per exposure base unit, or cost per unit of insurance, prior to the application of individual risk variations based upon loss or expense considerations.

Classification: Insurance rates (Certifying)

Retention: Retain rate requests, decisions, reports and substantive correspondence related to a rate decision until superseded by a new rate request, plus one (1) year, then destroy.

Dockets or systems tracking actions related to rate review shall be retained until superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

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

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1522.1107 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1522.1107.53 Correspondence (Substantive) Public Access: <i>General</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the approval, disapproval or modification of insurance rates.	Temporary (Legal)	RETAIN UNTIL: Superseded PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1522.1107.133 Decisions Public Access: <i>General</i>	Use for the decision to approve, disapprove or modify insurance rates. Includes recommendations issued by the commissioner.	Temporary (Legal)	RETAIN UNTIL: Superseded PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1522.1107.117 Dockets Public Access: <i>General</i>	Use for formal abstracts or listings of all actions and pleadings filed pursuant to a rate review proceeding. Includes docket books and electronic registers.	Conditional Archival	RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1522.1107.50 Notices, Legal Public Access: <i>General</i></p>	<p>Use for notices of hearings and all other legal notices issued during the review process.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1522.1107.62 Opinions Public Access: <i>General</i></p>	<p>Use for formal opinions submitted concerning insurance rates up for review.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1522.1107.144 Reports Public Access: <i>General</i></p>	<p>Use for reports and recommendations issued concerning insurance rates up for review.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1522.1107.139 Requests Public Access: <i>General</i></p>	<p>Use for the initial request for rate review and approval and any requests for hearing filed by the insurance provider.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Superseded PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1522.1107.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for all records and information submitted to support a rate request as well as data gathered during review process. Includes hearing recordings or transcripts and public comments.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1522.1107.150 Waivers Public Access: <i>General</i></p>	<p>Use for waivers issued when parties waive their right to a hearing during the rate review process.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired PLUS: 1 Year(s) THEN: Destroy (General)</p>

SRS-1522.1107 was approved by the Vermont State Archivist on 4/4/2013.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Appendix A: Appraisal Values

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

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

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Appendix B: Public Access Requirements

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

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

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Appendix C: Retention Requirements

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

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

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Appendix D: Disposition Requirements

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

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

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Appendix E: Legal References

SRS-2065.1107: Accountable Care Organization Records		<i>Review for Exemption?</i>
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
18 V.S.A. § 9378	Public process [related to Green Mountain Care Board]	No
18 V.S.A. § 9379	Agency cooperation [related to Green Mountain Care Board]	No
18 V.S.A. § 9382	Oversight of accountable care organizations	No
18 V.S.A. § 9573	Medicaid advisory rate case	No
CVR 80-280-005	Rule 5.000: oversight of accountable care organizations	Yes
SRS-1520.1107: Certificate of Need Records		<i>Review for Exemption?</i>
18 V.S.A. § 9433	Administration [related to health care administration]	No
18 V.S.A. § 9434	Certificate of need; general rules [related to health care administration]	No
18 V.S.A. § 9439	Competing applications [related to health facility planning]	No
18 V.S.A. § 9440	Procedures [related to review of certificate of need for health care facility]	No
18 V.S.A. § 9440a	Applications, information, and testimony; oath required [related to health care administration]	No
18 V.S.A. § 9442	Bonds [related to health care facility projects]	No
18 V.S.A. § 9443	Expiration of certificates of need	No
18 V.S.A. § 9444	Revocation of certificates; material change	No
18 V.S.A. § 9446	Home health agencies; geographic service areas	No
SRS-1600.1102: Health Care Systems Administration Records		<i>Review for Exemption?</i>
18 V.S.A. § 9375	Duties [related to Green Mountain Care Board]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1522.1107: Rate Review Records		<i>Review for Exemption?</i>
8 V.S.A. § 4062	Filing and approval of policy forms and premiums	No
8 V.S.A. § 4062b	Medicare supplemental health insurance	No
CVR 80-280-001	Rate review	No