

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Issued to: Lieutenant Governor, Office of

Last Revised: 12/13/2016



Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

AGENCY SPECIFIC RECORD SCHEDULE FOR: Lieutenant Governor, Office 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 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 (Lieutenant Governor, Office 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 stating 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. Within the same agency, duplicates or copies of records shall not be retained longer than the original records.
- Adoption:** This agency specific record schedule is in effect for the agency (Lieutenant Governor, Office of) at the time the incumbent takes office and includes any records created or produced as part of the transition into his or her role as an elective or appointive official. If, at any time, this agency specific record schedule does not address all the records created or produced in the course of agency business or the requirements related to the following records have changed, this schedule will need to be revised accordingly by the Vermont State Archives and Records Administration.

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SRS-1645.1102: Administrative Policy Records

SRS-1645.1102: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the administration of the office of the Lieutenant Governor, including the formulation or development of policy.

Classification: State office: Lieutenant Governor (Adminstrating)

Retention: Administrative records of the office of the Lieutenant Governor are permanent (archival) and shall be transferred into the legal custody of the Vermont State Archives and Records Administration for permanent preservation no later than the Lieutenant Governor's last day in office.

If serving more than one term, the Lieutenant Governor may transfer administrative records into the legal custody of the Vermont State Archives and Records Administration at the end of each term.

Public Access: General

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1645.1102 (see APPENDIX E for related legal references)

Record Category/Type	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1645.1102.19 Calendars Public Access: <i>General</i>	Use for the Lieutenant Governor's calendar of meetings and related events.	Permanent (Archival)	RETAIN UNTIL: Calendar Year Ends PLUS: 0 Year(s) THEN: Archives
SRS-1645.1102.53 Correspondence (Substantive) Public Access: <i>General</i>	Use for any correspondence produced or received by the Lieutenant Governor or a senior member of his or her staff that has significant administrative value and/or documents policy development. Includes opinions and memoranda of decisions. Includes significant supporting material.	Permanent (Archival)	RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Archives
SRS-1645.1102.69 Plans (reports) Public Access: <i>General</i>	Use for strategic plans and similar planning documents documenting the goals, objectives and plans for the office of the Lieutenant Governor. Includes significant supporting material.	Permanent (Archival)	RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Archives
SRS-1645.1102.71 Presentations Public Access: <i>Review</i>	Use for written or recorded evidence of speeches and similar presentations delivered by the Lieutenant Governor. Includes significant supporting material.	Permanent (Archival)	RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Archives

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SRS-1645.1102.72 Press releases Public Access: <i>General</i>	Use for official statements distributed to the press that relate to the administration of the office of the Lieutenant Governor's administration, including the formulation or development of policy.	Permanent (Archival)	RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Archives
SRS-1645.1102.144 Reports Public Access: <i>General</i>	Use for annual and similar reports documenting activities and accomplishments of the office of the Lieutenant Governor. Includes significant supporting material.	Permanent (Archival)	RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Archives

SRS-1645.1102 was approved by the Vermont State Archivist on 11/29/2016.

SRS-1645.1103: Operational/Managerial Records

SRS-1645.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, managing the day-to-day operations of the office of the Lieutenant Governor such as internal workflows and processes.

Classification: State office: Lieutenant Governor (Managing)

Retention: Operational/managerial records shall be retained by the office of the Lieutenant Governor as specified in this schedule or until the Lieutenant Governor's last day in office, whichever is shorter, and then destroyed.

Public Access: General

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1645.1103 (see APPENDIX E for related legal references)

Record Category/Type	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1645.1103.19 Calendars Public Access: <i>General</i>	Use for staff calendars schedules of meetings and related events.	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1645.1103.145 Logs Public Access: <i>General</i>	Use for records documenting or tracking performance or use of equipment, space, or information for internal control purposes.	Temporary (Administrative)	RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Destroy (General)

SRS-1645.1103 was approved by the Vermont State Archivist on 11/29/2016.

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SRS-1645.1000: Transitory Records

SRS-1645.1000: This schedule is reserved for records that are created and received in the course of business by the office of the Lieutenant Governor but transitory in nature meaning that 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: State office: Lieutenant Governor (GENERAL)

Retention: Transitory records shall be retained by the office of the Lieutenant Governor as specified in this schedule or until the Lieutenant Governor's last day in office, whichever is shorter, and then destroyed.

Public Access: General

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1645.1000 (see APPENDIX E for related legal references)

Record Category/Type	Applicability/Use:	Appraised Value:	Retention/Disposition:
<p>SRS-1645.1000.28 Correspondence (Routine) Public Access: <i>General</i></p>	<p>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.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1645.1000.37 Drafts Public Access: <i>General</i></p>	<p>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 general record schedule or an agency-specific record schedule.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1645.1000.60 Notes Public Access: <i>General</i></p>	<p>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.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>

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<p>SRS-1645.1000.74 Publications Public Access: <i>General</i></p>	<p>Use for reproduced or published material received from other offices which require no action and are not required for documentary purposes. Includes catalogues, trade journals, other publications or papers received which require no action and are not part of a case upon which action is being taken or will be taken.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1645.1000.80 Reference sources Public Access: <i>General</i></p>	<p>Use for sources of information that were intended primarily for consultation and, if used to prepare or update a formal or ongoing record, are cited as needed. Includes duplicate, informational, extra, unofficial, or informal copies of records that were kept only for convenience or quick reference.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1645.1000.139 Requests Public Access: <i>General</i></p>	<p>Use for requests and responses for forms, publications, records, and other agency information that do not require administration review before, or further action after, the form, publication, record, or other agency information is provided.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1645.1000.104 Worksheets Public Access: <i>General</i></p>	<p>Use for forms, checklists and other worksheets used to prepare or update a formal or ongoing record or informally track workflow.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Destroy (General)</p>

SRS-1645.1000 was approved by the Vermont State Archivist on 11/29/2016.

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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-1645.1102: Administrative Policy Records		<i>Review for Exemption?</i>
1 V.S.A. § 310	Definitions [related to common law; general rights]	No
1 V.S.A. § 311	Declaration of public policy; short title	No
1 V.S.A. § 312	Right to attend meetings of public agencies	Yes
1 V.S.A. § 313	Executive sessions	Yes
1 V.S.A. § 314	Penalty and enforcement [related to right to attend meetings of public agencies]	No
1 V.S.A. § 315	Statement of policy [related to free and open examination of 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. § 318	Procedure [related to producing records for inspection]	No
1 V.S.A. § 319	Enforcement [related to the denial of a request for public records]	No
1 V.S.A. § 320	Penalties [related to court orders for the production of any public agency records]	No
1 V.S.A. § 554	National forest lands	No
2 V.S.A. § 951	National Legislative Association on Prescription Drug Prices	No
SRS-1645.1103: Operational/Managerial Records		<i>Review for Exemption?</i>
1 V.S.A. § 310	Definitions [related to common law; general rights]	No
1 V.S.A. § 311	Declaration of public policy; short title	No
1 V.S.A. § 312	Right to attend meetings of public agencies	Yes
1 V.S.A. § 313	Executive sessions	Yes

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1 V.S.A. § 314	Penalty and enforcement [related to right to attend meetings of public agencies]	No
1 V.S.A. § 315	Statement of policy [related to free and open examination of 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. § 318	Procedure [related to producing records for inspection]	No
1 V.S.A. § 319	Enforcement [related to the denial of a request for public records]	No
1 V.S.A. § 320	Penalties [related to court orders for the production of any public agency records]	No

SRS-1645.1000: Transitory Records

Review for Exemption?

1 V.S.A. § 310	Definitions [related to common law; general rights]	No
1 V.S.A. § 311	Declaration of public policy; short title	No
1 V.S.A. § 312	Right to attend meetings of public agencies	Yes
1 V.S.A. § 313	Executive sessions	Yes
1 V.S.A. § 314	Penalty and enforcement [related to right to attend meetings of public agencies]	No
1 V.S.A. § 315	Statement of policy [related to free and open examination of 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. § 318	Procedure [related to producing records for inspection]	No
1 V.S.A. § 319	Enforcement [related to the denial of a request for public records]	No
1 V.S.A. § 320	Penalties [related to court orders for the production of any public agency records]	No