

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Issued to: Public Utility Commission

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Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

AGENCY SPECIFIC RECORD SCHEDULE FOR: Public Utility Commission

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

Adopted by: Signature on file. Approved and signed by Chair Anthony Roisman on 9/21/2020

Anthony Roisman, Chair / Public Utility Commission *Date*

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1323.1108: Public Good Adjudication Records

SRS-1323.1108: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the adjudication of matters to determine the greatest benefit of the people of the state of Vermont.

Classification: Public good (Adjudicating)

Retention: Complaints, final orders or decisions, declarations, dockets, and petitions are archival records and shall be retained permanently. Archival records are eligible for transfer into the Vermont State Archives once case is completed/closed, plus three (3) years. Case is considered completed/closed once the Public Utility Commission delivers a final decision regarding Certificates of Public Good and/or Certificates of Consent, and any amendments or appeals are final.

Retain exhibits and pleadings until case is complete/closed plus three (3) years, then destroy unless exhibit or pleading is incorporated by reference into the final decision. Exhibits or pleadings that are incorporated by reference into the final decision shall be retained permanently and are eligible for transfer into the Vermont State Archives once case is completed/closed, plus three (3) years.

Retain subpoenas until case is completed/closed, plus three (3) years, then destroy.

Retain agreements and waivers until expired plus three (3) years, then destroy.

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of adjudicating public good may be weeded as appropriate in accordance with SRS-1719.1000 (Public Utility Commission's Transitory Records).

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1323.1108 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1323.1108.5 Agreements Public Access: <i>General</i>	Use for written arrangements between parties regarding a course of action. Includes assurance of discontinuance.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)
SRS-1323.1108.24 Complaints Public Access: <i>General</i>	Use for formal written expressions of dissatisfaction. Includes grievances, and formal pleadings that initiate administrative or civil action.	Permanent (Archival)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives

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<p>SRS-1323.1108.133 Decisions Public Access: <i>Redact</i></p>	<p>Use for final decisions issued by the Commission. Includes orders, certificates of public good, and certificates of consent; amendments; petitions; transcripts and supporting material; exhibits or pleadings incorporated by reference into the final decision; emergency waivers issued in the absence of a Certificate of public good. Certificates of public good and any amendments shall be filed for record or recorded with the designated office of record.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1323.1108.32 Declarations Public Access: <i>Redact</i></p>	<p>Use for formal statements intended to create, preserve, assert, or testify to a right or document a fact. Includes affidavits, depositions, and oaths.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1323.1108.117 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, databases, and similar systems that provide for the systematic and regular recording of cases.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1323.1108.40 Exhibits Public Access: <i>Redact</i></p>	<p>Use for documentary information presented at an administrative hearing for the purpose of establishing the truth or falsity of an allegation or fact. Includes maps, and studies presented to the Commission. For exhibits incorporated by reference in the final decision retain permanently, use "Decisions." Does not include physical or 'non-record' exhibits.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1323.1108.50 Notices, Legal Public Access: <i>General</i></p>	<p>Use for formal announcements, notifications, or warnings that are required by law.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1323.1108.67 Petitions Public Access: <i>General</i></p>	<p>Use for formal written applications or requests made to the Commission requesting action on certain matters. Includes withdrawn petitions, proposals, and supporting materials.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1323.1108.126 Pleadings Public Access: <i>Redact</i></p>	<p>Use for all written statements of claims, defenses or positions by parties in a case, including legal briefs, as well as formal written applications or motions requesting action on certain matters. For pleadings that comprise the initiation of the adjudication process, use "Complaints." For pleadings incorporated by reference in the final decision retain permanently, use "Decisions."</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>

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SRS-1323.1108.121 Subpoenas Public Access: <i>General</i>	Use for subpoenas issued by the Commission in public good adjudication cases.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
SRS-1323.1108.150 Waivers Public Access: <i>General</i>	Use for written statements renouncing, abandoning, or surrendering some legal claim, right, or privilege. For emergency waivers issued in the absence of a Certificate of public good, use "Decisions."	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)

SRS-1323.1108 was approved by the Vermont State Archivist on 10/3/2018.

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SRS-1864.1002: Public Utility Commission Accounting Records

SRS-1864.1002: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the system of recording and summarizing business and financial transactions and analyzing, verifying, and reporting the results associated with services provided by the Public Utility Commission.

Classification: State Commission: Public Utilities (Accounting)

Retention: Retain records associated with financial transactions until audit has been completed or closed in accordance with State and Federal laws and regulations.

Ledgers or systems that serve as the formal repository of an agency's financial accounts and transaction (general ledger) shall be retained until the repository is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value. Supporting documentation, such as invoices, receipts, vouchers, etc., shall be destroyed after audit provided that all legal recordkeeping requirements established by State and Federal law have been met.

A copy of an agency's most recent audit report must be retained at all times and earlier reports shall be retained three years from the date of receipt and then destroyed, unless they have significant administrative value. If administratively significant, retain permanently and follow the retention requirements for Reports in SRS-1864.1102 (State Commission: Public Utilities, Administrative Policy Records). Accounting reports with significant administrative value shall also be retained permanently in accordance with Reports in SRS-1864.1102.

Management Letters received following an audit shall be retain permanently and follow the retention requirements for Correspondence (Substantive) in SRS-1864.1102.

Transitory records created or received by the Public Utility Commission may be weeded as appropriate in accordance with SRS-1864.1000 (State Commission: Public Utilities' Transitory Records.)

Public Access: General

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1864.1002 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1864.1002.10	Use for final reports received at the conclusion of an audit by another agency or independent entity. Includes audits related to Federal awards. Retain most recent audit reports at all times and use this schedule for audit reports that have been superseded. For Management Letters received following an audit, retain permanently and follow the retention requirements for Correspondence (Substantive) in SRS-1864.1102 (State Commission: Public Utilities, Administrative Policy Records).	Temporary (Legal)	RETAIN UNTIL: Superseded
Audits			PLUS: 3 Year(s)
Public Access: General			THEN: Destroy (General)

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<p>SRS-1864.1002.53 Correspondence (Substantive) Public Access: <i>Redact</i></p>	<p>Use for correspondence that has significant administrative value and/or supports decisions related to the management of the Public Utility Commission's economic activities and financial transactions. For management letters received following an audit and other correspondence that has significant administrative value, retain permanently and use the retention requirements for Correspondence (Substantive) in SRS-1864.1102 (State Commission: Public Utilities, Administrative Policy Records).</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1864.1002.32 Declarations Public Access: <i>General</i></p>	<p>Use for delegations of authority. Includes memorandums for appointed individuals to continue following any Commission Chair or appointing authority change. Retain most current delegation of authority at all times and use this schedule for records of earlier appointments.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1002.48 Inventories Public Access: <i>General</i></p>	<p>Use for annual physical inventories of agency assets.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1002.49 Invoices Public Access: <i>General</i></p>	<p>Use for documents created by a vendor, grantee or another agency to initiate payment. Includes statements, inter-departmental transfers and other requests for payment.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1002.175 Ledgers Public Access: <i>Review</i></p>	<p>Use for registers or systems that serve as the formal repository of the Public Utility Commission's financial accounts and transactions.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Confirm</p>
<p>SRS-1864.1002.75 Purchase orders Public Access: <i>General</i></p>	<p>Use for authorizations to vendors to deliver goods and services, which upon acceptance constitute purchase contracts.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1002.77 Receipts Public Access: <i>General</i></p>	<p>Use for documents that provide evidence of money received and deposited. Includes deposit tickets, bank receipts, and similar records.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>

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<p>SRS-1864.1002.144 Reports Public Access: <i>General</i></p>	<p>Use for reports and similar narrative statements about the Public Utility Commission's financial transactions and activities. Includes self-assessment questionnaires, expenditure reports, and related documentation of the Public Utility Commission's financial activities required by law or regulation. For reports that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1864.1102 (State Commission: Public Utilities, Administrative Policy Records).</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1002.84 Requisitions Public Access: <i>General</i></p>	<p>Use for requests for a purchase order that create pre-encumbrances of funds.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1002.101 Vouchers Public Access: <i>General</i></p>	<p>Use for documents that serve as the basis for cutting checks or generating payments and recording financial transactions to pay a vendor.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1002.102 Warrants Public Access: <i>General</i></p>	<p>Use for written pay orders that instruct a state or local government treasurer to pay the warrant holder on demand or after a maturity date. Includes the certificate demonstrating approval for payment by the State Treasurer.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Audit Complete PLUS: 0 Year(s) THEN: Destroy (General)</p>

SRS-1864.1002 was approved by the Vermont State Archivist on 9/9/2020.

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SRS-1864.1102: Public Utility Commission Administrative Policy Records

SRS-1864.1102: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the administration of utilities and/or the formulation or development of policy. Does not include rulemaking pursuant to the Administrative Procedure Act.

Classification: State Commission: Public Utilities (Administering)

Retention: Administrative policy records shall be retained by the Public Utility Commission as specified in this schedule.

Records appraised as permanent (archival) shall be retained permanently and are eligible for transfer to the Vermont State Archives and Records Administration when retention requirements have been met.

Transitory records created or received by the Public Utility Commission may be weeded as appropriate in accordance with SRS-1864.1000 (Public Utility Commission's Transitory Records.)

Public Access: Review

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1864.1102 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1719.1102.4 Agendas Public Access: <i>General</i>	Use for written lists or programs of things to be done or considered. Minutes must accurately reflect the agenda otherwise agendas should follow the retention for minutes. Includes significant supporting material.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Destroy (General)
SRS-1864.1102.5 Agreements Public Access: <i>General</i>	Use for formal agreements, such as interagency agreements and memorandums of understanding, concerning Public Utility Commission's policies and procedures. Includes significant supporting material. Use "Grants" for agreements related to Federal awards.	Permanent (Archival)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Archives
SRS-1864.1102.141 Authorizations Public Access: <i>Review</i>	Use for instruments and similar authorizations, granted to the Public Utility Commission in accordance with law by a competent authority body to engage in some transaction, business, or occupation, or to do some act that relates to the administration of the Commission or the development of policy. For certificates of public good issued by the Commission, retain permanently and use the retention requirements for Decisions in SRS-1323.1108 (Public Good Adjudication Records.)	Permanent (Archival)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Archives

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<p>SRS-1864.1102.19 Calendars Public Access: <i>General</i></p>	<p>Use for schedules of Public Utility Commission meetings and related events. For calendars of Public Utility Commission meetings that have significant administrative value, use "Minutes."</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1102.53 Correspondence (Substantive) Public Access: <i>Redact</i></p>	<p>Use for any correspondence transmitted or received by the Public Utility Commission that has significant administrative value and/or documents policy development. Includes opinions, memoranda of decisions and significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Archives</p>
<p>SRS-1864.1102.32 Declarations Public Access: <i>Review</i></p>	<p>Use for official agency statements, including proclamations and similar written documents, that formally set forth the basis of authority and scope of activities of the Public Utility Commission and defines the obligations, liabilities, duties, and rights of those affected. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1719.1102.173 Grants Public Access: <i>General</i></p>	<p>Use for documentation of awards of financial assistance from a government agency to carry out a public purpose of support or stimulation authorized by a law. Includes cost reimbursement contracts and other agreements. Starting date of retention period is based on the day the single or last expenditure report is submitted to the awarding agency for the funding period specified in the grant award. For grant proposals and reports that have significant administrative value, use "Reports."</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1102.59 Minutes Public Access: <i>Redact</i></p>	<p>Use for records of what was said and done at an open meeting held by the Public Utility Commission, as required pursuant to 1 V.S.A. § 312, and/or for minutes documenting policy development. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1719.1102.50 Notices, Legal Public Access: <i>General</i></p>	<p>Use for official, written statements, notices, or announcements that are required by law.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1102.69 Plans (reports) Public Access: <i>Review</i></p>	<p>Use for strategic plans and similar planning documents, usually required by State or Federal law, documenting the Public Utility Commission's goals, objectives and plans for the future. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives</p>

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<p>SRS-1864.1102.70 Policies Public Access: <i>Review</i></p>	<p>Use for written statements that outline the Public Utility Commission's guiding principles or general courses of action. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1864.1102.72 Press releases Public Access: <i>General</i></p>	<p>Use for official Public Utility Commission statements distributed to the press that relate to the commission's administration and/or the formulation or development of policy.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1864.1102.73 Procedures Public Access: <i>General</i></p>	<p>Use for sets of substantive instructions or procedures that govern the administration of the Public Utility Commission and/or policy development. Does not include rules adopted pursuant to the Administrative Procedure Act.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1864.1102.144 Reports Public Access: <i>General</i></p>	<p>Use for annual reports and similar reports, usually required by State or Federal law, documenting activities and accomplishments of the Public Utility Commission. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1864.1102.116 Studies Public Access: <i>General</i></p>	<p>Use for studies conducted by or for a public agency or program that relate to the Public Utility Commission's administration and/or the formulation or development of policy. Includes significant supporting material.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>

SRS-1864.1102 was approved by the Vermont State Archivist on 9/9/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1864.1012: Public Utility Commission Budget Records

SRS-1864.1012: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the planning, coordination, and allocation of financial resources and expenditures by the Public Utility Commission.

Classification: State Commission: Public Utilities (Budgeting)

Retention: Budgets as adopted and reports and recommendations about or supporting the magnitude and allocation of proposed Public Utility Commission budgets, as well as analyses of expenditures and revenues after the close of a budget cycle, shall be retained until the fiscal year covered by the budget ends, plus an additional three (3) years, then destroyed. For budgets and reports that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1864.1102 (Public Utility Commission's Administrative Policy Records).

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 budgeting process may be weeded as appropriate in accordance with SRS-1864.1000 (Public Utility Commission's Transitory Records).

Public Access: Review

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1864.1012 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1864.1012.17 Budgets Public Access: <i>General</i>	Use for the official estimated or intended expenditures of the Public Utility Commission for a given period along with proposals for financing those expenditures. Also use for formal adjustments to budgets during the budget cycle. For budgets that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1864.1102 (Public Utility Commission's Administrative Policy Records).	Temporary (Legal)	RETAIN UNTIL: Fiscal Year Ends PLUS: 0 Year(s) THEN: Destroy (General)
SRS-1864.1012.50 Notices, Legal Public Access: <i>General</i>	Use for formal warnings and notices associated with meetings and/or votes on budget matters.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1864.1012.69 Plans (reports) Public Access: <i>General</i>	Use for cost allocation plans, which, if associated with revenues obtained from federal grants, must be retained in accordance with the federal Common Rule.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)

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SRS-1864.1012.144

Reports

Public Access: *General*

Use for reports and recommendations about or supporting the magnitude and allocation of proposed budgets, as well as analyses of expenditures and revenues after the close of a budget cycle. For reports that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1864.1102 (Public Utility Commission's Administrative Policy Records).

Temporary (Administrative)

RETAIN UNTIL: Fiscal Year Ends

PLUS: 3 Year(s)

THEN: Destroy (General)

SRS-1864.1012 was approved by the Vermont State Archivist on 9/9/2020.

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SRS-1864.1126: Public Utility Commission Contract Files

SRS-1864.1126: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, formal agreements, including contracts and leases, entered into by the Public Utility Commission in order to secure goods and services.

Classification: State Commission: Public Utilities (Contracting)

Retention: Contract files document the history of the contract including, but not limited to, the bidding process, contract drafting and approvals, and final authorizations. With the exception of legal notices and reference sources, retain all contracting files until the contract has expired plus three (3) years, then destroy by shredding.

Registers that provide for the systematic and regular recording of Public Utility Commission contracts shall be retained until the register is superseded and then destroyed by shredding.

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 Public Utility Commission's contracting process may be weeded as appropriate in accordance with SRS-1864.1000 (Public Utility Commission's Transitory Records).

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1864.1126 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1864.1126.141 Authorizations Public Access: <i>Redact</i>	Use for written approvals, includes all permissions required under Bulletin 3.5.	Temporary (Administrative)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
SRS-1864.1126.149 Bids Public Access: <i>Redact</i>	Use for bids, proposals, and quotes received by the Public Utility Commission in response to a request for proposal.	Temporary (Administrative)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
SRS-1864.1126.21 Certificates Public Access: <i>Redact</i>	Use for certificates and similar statements of qualifications related to Public Utility Commission contracts, includes Form AA-14: Contract Summary and Certification Form.	Temporary (Administrative)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)

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SRS-1864.1126.26	Use for signed original contract and all amendments.	Temporary (Administrative)	RETAIN UNTIL: Expired
Contracts			PLUS: 3 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-1864.1126.53	Use for correspondence that has significant administrative value and/or supports Public Utility Commission decisions related to the award or administration of contracts.	Temporary (Administrative)	RETAIN UNTIL: Expired
Correspondence (Substantive)			PLUS: 3 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-1864.1126.133	Use for written decisions includes any selection justifications or explanations.	Temporary (Administrative)	RETAIN UNTIL: Expired
Decisions			PLUS: 3 Year(s)
Public Access: <i>General</i>			THEN: Destroy (Shred)
SRS-1864.1126.32	Use for written explanations and justifications required under Bulletin 3.5 that do not relate to selection, including reasons why contract packages were not received within the timeline specified and explanations of extended contract duration.	Temporary (Administrative)	RETAIN UNTIL: Expired
Declarations			PLUS: 3 Year(s)
Public Access: <i>General</i>			THEN: Destroy (General)
SRS-1864.1126.50	Use for evidence that the opportunity to bid was broadly publicized and that there was public notification of the Public Utility Commission's decision.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
Notices, Legal			PLUS: 1 Year(s)
Public Access: <i>General</i>			THEN: Destroy (General)
SRS-1864.1126.62	Use for recommendations related to a contract, includes those forwarded by the Finance and Management Department following its review of the contract package.	Temporary (Administrative)	RETAIN UNTIL: Expired
Opinions			PLUS: 3 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-1864.1126.69	Use for contracting plans providing alternatives to any requirement in Bulletin 3.5, where applicable.	Temporary (Administrative)	RETAIN UNTIL: Expired
Plans (reports)			PLUS: 3 Year(s)
Public Access: <i>Redact</i>			THEN: Destroy (Shred)
SRS-1864.1126.80	Use for general information and reference material used in the drafting, award, and/or administration of Public Utility Commission contracts.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
Reference sources			PLUS: 1 Year(s)
Public Access: <i>General</i>			THEN: Destroy (General)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1864.1126.81 Registers Public Access: <i>Redact</i></p>	<p>Use for formal lists of pre-qualified vendors includes lists of vendors who have requested bid documents or who have been solicited to provide bids.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1864.1126.139 Requests Public Access: <i>Redact</i></p>	<p>Use for written requests to the Secretary of Administration to waive provisions of Bulletin 3.5.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1864.1126.83 Requests for proposals Public Access: <i>Redact</i></p>	<p>Use for all bid documents associated with the Request for Proposal package, includes cover pages, Public Utility Commission descriptions, statements of work, requirements, and any changes or clarifications following a pre-bid conference.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1864.1126.150 Waivers Public Access: <i>Redact</i></p>	<p>Use for written evidence that provisions of Bulletin 3.5 have been waived, including any waivers issued by the Secretary of Administration, Director of Risk Management, or Attorney General.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1864.1126.104 Worksheets Public Access: <i>Redact</i></p>	<p>Use for recorded evidence supporting the Public Utility Commission's decision. Includes worksheets used ranking each bidder's qualifications.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)</p>

SRS-1864.1126 was approved by the Vermont State Archivist on 9/9/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1864.1103: Public Utility Commission Operational/Managerial Records

SRS-1864.1103: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the day-to-day operations of the Public Utility Commission and internal workflows and processes. Does not include rulemaking pursuant to the Administrative Procedure Act.

Classification: State Commission: Public Utilities (Managing)

Retention: Operational plans, reports, and studies shall be retained until completed/closed plus three (3) years, then destroyed.

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received during day-to-day operations of the Public Utility Commission may be weeded as appropriate in accordance with SRS-1864.1000 (Public Utility Commission's Transitory Records).

Public Access: General

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1864.1103 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1864.1103.5 Agreements Public Access: <i>General</i>	Use for informal agreements concerning the day-to-day operations of the Public Utility Commission such as internal agreements related to workflows and processes. Includes relevant supporting material.	Temporary (Administrative)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)
SRS-1864.1103.19 Calendars Public Access: <i>General</i>	Use for staff calendars and schedules of meetings and related events. For the official Public Utility Commission calendar use the retention requirements for Calendars in SRS-1864.1102.19 (Public Utility Commission Administrative Policy).	Temporary (Administrative)	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1864.1103.145 Logs Public Access: <i>General</i>	Use for records documenting or tracking performance or use of equipment, space, or information for internal control of the Public Utility Commission.	Temporary (Administrative)	RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Destroy (General)
SRS-1864.1103.69 Plans (reports) Public Access: <i>General</i>	Use for planning documents related to day-to-day operations of the Public Utility Commission such as internal workflows and processes. Includes relevant supporting material.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1864.1103.73 Procedures Public Access: <i>General</i></p>	<p>Use for sets of instructions related to the managing the day-to-day operations of the Public Utility Commission, includes internal workflows and processes.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1103.144 Reports Public Access: <i>General</i></p>	<p>Use for internal reports, including statistical reports, that are used to communicate and/or document general day-to-day operations of the Public Utility Commission. Includes relevant supporting material.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1864.1103.116 Studies Public Access: <i>General</i></p>	<p>Use for studies and other evaluations conducted by or for the Public Utility Commission that relate to the Commission's general management, internal workflows and processes. Includes significant supporting material, such as meeting minutes and substantive correspondence.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>

SRS-1864.1103 was approved by the Vermont State Archivist on 9/9/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1864.1000: Public Utility Commission Transitory Records

SRS-1864.1000: This schedule is reserved for records that are created and received in the course of business by the Public Utility Commission but transitory in nature meaning that that they are: (1) 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 Commission: Public Utilities (GENERAL)

Retention: Transitory records shall be retained by the Public Utility Commission as specified in this schedule and in accordance with the Commission's records and information management policy.

Public Access: General

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1864.1000 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1864.1000.187 Blanks Public Access: <i>General</i>	Use for blank forms or other pre-printed worksheets that have no markings, are not written or printed on and have not been filled out.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
SRS-1864.1000.28 Correspondence (Routine) Public Access: <i>General</i>	Use for any correspondence, produced or received, that is routine in nature and not subject to any specific legal requirements. Includes transmittal letters that do not add information to that contained in the transmitted material and correspondence from other agencies that is received for general information purposes only.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
SRS-1864.1000.37 Drafts Public Access: <i>General</i>	Use for preliminary or tentative versions of a document. Drafts that are acted upon or put into practice must be retained according to their intended record type (i.e. policies) using the retention requirements specified in the record schedule on which that intended record type is listed.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
SRS-1864.1000.60 Notes Public Access: <i>General</i>	Use for brief statements of a fact or experience, written down for review, or as an aid to memory, or to inform someone else. Includes short, informal notes such as phone messages.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1864.1000.74 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-1864.1000.80 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-1864.1000.139 Requests Public Access: <i>General</i></p>	<p>Use for requests and responses for forms, publications, records, and other Public Utility Commission 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-1864.1000.104 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: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)</p>

SRS-1864.1000 was approved by the Vermont State Archivist on 9/9/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1333.1063: Public Utility Monitoring Records

SRS-1333.1063: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, monitoring compliance by public utilities with statutory and regulatory requirements and/or Public Utility Commission orders.

Classification: Public utilities (Monitoring)

Retention: Retain monitoring agreements until expired, plus three (3) years, and then destroy. Retain declarations and other formal statements submitted to the Commission, including relevant supporting material, until superseded by a more recent statement, plus an additional three (3) years, and then destroy if the declaration does not have significant administrative value. If a declaration has significant administrative value, retain permanently and use the retention requirements for Reports in GRS-1719.1102 (Public Utility Commission's Administrative Policy Records).

Registers or systems that provide for the systematic and regular recording of monitoring information or activities shall be retained permanently.

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of monitoring public utilities may be weeded as appropriate in accordance with GRS-1719.1000 (Public Utility Commission's Transitory Records).

Public Access: Redact

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1333.1063 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1333.1063.5 Agreements Public Access: <i>General</i>	Use for written agreements related to monitoring public utilities. Includes protective agreements requiring confidentiality and significant supporting materials.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)
SRS-1333.1063.32 Declarations Public Access: <i>Redact</i>	Use for formal statements and similar narratives submitted by public utilities in compliance with statutory and regulatory requirements and/or orders. Includes annual reports and relevant supporting material submitted with the declaration. For annual reports that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1719.1102 (Public Utility Commission's Administrative Policy Records).	Temporary (Legal)	RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Destroy (Shred)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1333.1063.50	Use for official, written statements, notices, or announcements that are required by law.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Notices, Legal			PLUS: 1 Year(s)
Public Access: <i>General</i>			THEN: Destroy (General)
SRS-1333.1063.69	Use for monitoring plans, includes schedules.	Temporary (Legal)	RETAIN UNTIL: Expired
Plans (reports)			PLUS: 3 Year(s)
Public Access: <i>General</i>			THEN: Destroy (General)
SRS-1333.1063.81	Use for registers, databases, and systems that provide for the systematic and regular recording of monitoring public utility information or activities.	Permanent (Archival)	RETAIN UNTIL: Superseded
Registers			PLUS: 0 Year(s)
Public Access: <i>Redact</i>			THEN: Archives
SRS-1333.1063.144	Use for reports and similar narratives issued by an authoritative body about monitoring public utilities, includes relevant supporting material. For reports that have significant administrative value, retain permanently and use the retention requirements for Reports in SRS-1719.1102 (Public Utility Commission's Administrative Policy Records).	Temporary (Legal)	RETAIN UNTIL: Completed/Closed
Reports			PLUS: 3 Year(s)
Public Access: <i>General</i>			THEN: Destroy (General)

SRS-1333.1063 was approved by the Vermont State Archivist on 1/8/2020.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1333.1150: Rate setting and Tariff Records for Non-Adjudicated Case

SRS-1333.1150: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the examination and setting of levels of payment for public utility services.

Classification: Public utilities (Rate setting)

Retention: Decisions and petitions are archival records and shall be retained permanently. Decisions are eligible for transfer into the Vermont State Archives once the case is completed/closed, plus three (3) years. Petitions for rate change are eligible for transfer into the Vermont State Archives once superseded, plus three (3) years. Case is considered completed/closed once the Public Utility Commission delivers a final decision regarding a tariff and all appeals are final.

Retain supporting material until the case is completed/closed plus three (3) years, then destroy unless supporting material has significant value to the final decision. If supporting material has significant value to the final decision retain permanently as part of the decision.

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of ratesetting for public utilities may be weeded as appropriate in accordance with SRS-1719.1000 (Public Utility Commission's Transitory Records).

Public Access: General

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1333.1150 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1333.1150.182 Assessments Public Access: <i>General</i>	Use for written statements or recommendations issued by the Department of Public Service proposing investigation related to ratesetting.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
SRS-1333.1150.133 Decisions Public Access: <i>General</i>	Use for final decisions that determine whether a tariff is just and reasonable. Includes letters of approval sent by the clerk and substantive supporting material.	Permanent (Archival)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives
SRS-1333.1150.32 Declarations Public Access: <i>General</i>	Use for formal statements submitted to the Commission related to the ratesetting of public utilities.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

<p>SRS-1333.1150.50 Notices, Legal Public Access: <i>General</i></p>	<p>Use for official, written statements, notices, or announcements that are required by law.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)</p>
<p>SRS-1333.1150.67 Petitions Public Access: <i>General</i></p>	<p>Use for petitions made to the Public Utility Commission related to rate changes. Includes cancellations, revisions and amendments, schedules of rates, tariffs, tolls for any service provided.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1333.1150.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for supplemental records created or received during the course of ratesetting. Includes testimony, additional filings, and similar records. For supporting material that has significant value to the final decision, use "Decisions."</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)</p>

SRS-1333.1150 was approved by the Vermont State Archivist on 11/13/2018.

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-1323.1108: Public Good Adjudication Records		<i>Review for Exemption?</i>
1 V.S.A. § 310	Definitions [related to public information]	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 public information]	No
1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 317a	Management of public records	No
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
10 V.S.A. § 7020	State regulation; responsibilities and authority [related to disposal of low-level radioactive waste]	No
16 U.S.C. § 824o-1	Critical electric infrastructure security	Yes
20 V.S.A. § 9	Emergency powers of Governor	No
30 V.S.A. § 102	Petition; hearing; certificate [related to public service corporations, other than railroads; formation, financing, eminent domain]	No
30 V.S.A. § 103	Transmission to Secretary of State; record; effect [related to public service corporations, other than railroads; formation, financing, eminent domain]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

30 V.S.A. § 104	Amendment of articles, certificate by Commission [related to public service corporations, other than railroads; formation, financing, eminent domain]	No
30 V.S.A. § 106	Ownership of stock in other corporations [related to public service corporations, other than railroads; formation, financing, eminent domain]	No
30 V.S.A. § 107	Acquisition of control of one utility company by another; supervision	No
30 V.S.A. § 108	Issue of bonds or other securities [related to public service corporations, other than railroads; formation, financing, eminent domain]	No
30 V.S.A. § 109	Sales and leases; hearings [related to public service corporations, other than railroads; formation, financing, eminent domain]	No
30 V.S.A. § 110a	Inclusion of communications facilities [related to public service corporations, other than railroads; formation, financing, eminent domain]	No
30 V.S.A. § 111	Petition; notice of hearing [related to public service corporations, other than railroads; formation, financing, eminent domain]	No
30 V.S.A. § 111a	Preexisting utility lines	No
30 V.S.A. § 112	Findings; dams; assessment of damages; jury trial	No
30 V.S.A. § 113	Compensation; where party cannot be found [related to public service corporations, other than railroads; formation, financing, eminent domain]	No
30 V.S.A. § 114	Copy of order; record [related to public service corporations, other than railroads; formation, financing, eminent domain]	No
30 V.S.A. § 11a	Electronic filing and issuance [related to public service]	No
30 V.S.A. § 18	Production and examination of books; witnesses [related to public service]	No
30 V.S.A. § 20	Particular proceedings; personnel [related to public service]	No
30 V.S.A. § 202	Electrical energy planning	Yes
30 V.S.A. § 208	Complaints; investigations; procedure [related to public service]	No
30 V.S.A. § 208a	Selection of telecommunications carrier [related to public service]	No

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30 V.S.A. § 209a	Qualified cost mitigation charge orders [related to public service]	No
30 V.S.A. § 212b	Review board on retail sales [related to public service]	No
30 V.S.A. § 212d	Access; negotiations; Commission order [related to public service]	No
30 V.S.A. § 212e	Representation of public; production of records [related to public service]	No
30 V.S.A. § 213	Interchange of electric facilities; power shortage [related to public service]	No
30 V.S.A. § 214	Application for interconnection; joint use of facilities, and resolution of transmission disputes	No
30 V.S.A. § 218	Jurisdiction over charges and rates [related to public service]	No
30 V.S.A. § 218c	Least-cost integrated planning [related to public service]	No
30 V.S.A. § 218d	Alternative regulation of electric and natural gas companies	No
30 V.S.A. § 231	Certificate of public good; abandonment of service; hearing	No
30 V.S.A. § 231a	Registration of billing aggregators	No
30 V.S.A. § 248	New gas and electric purchases, investments, and facilities; certificate of public good	No
30 V.S.A. § 248a	Certificate of public good for multiple telecommunications facilities	No
30 V.S.A. § 254	Construction or extended operation of nuclear plant; public engagement process	No
30 V.S.A. § 31	Depositions [related to public service]	No
30 V.S.A. § 4002a	All requirements contracts [related to consolidation of municipal and cooperative districts]	No
30 V.S.A. § 503	Certification [related to cable television systems]	No
30 V.S.A. § 504	Certificates of public good [related to cable television systems]	No
30 V.S.A. § 506	Renewal [related to cable television systems]	No
30 V.S.A. § 509	Amendment and revocation; fines; assurance of discontinuance [related to cable television systems]	No
30 V.S.A. § 512	Assistance to unserved areas [related to cable television systems]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

30 V.S.A. § 516	Modification by the board of cable television tariff requirements	No
30 V.S.A. § 517	Line extensions [related to cable television systems]	No
30 V.S.A. § 6	Powers and duties of clerk [related to public service]	No
30 V.S.A. § 8008	Agreements; attribute revenues; disposition by Commission [related to renewable energy programs]	No
30 V.S.A. § 8092	Rates; terms; conditions [related to communication facilities]	No
30 V.S.A. § 8093	Notification [related to access for the installation and maintenance of communications facilities]	No
30 V.S.A. § 8094	Evaluation of commercial wireless networks [related to communication facilities]	No
30 V.S.A. § 9	Court of record; seal [related to public service]	No
CVR 30-000-014	4.500: Safety of hydroelectric dams	No
CVR 30-000-015	4.100: Small power production and cogeneration	No
CVR 30-000-047	6.100: Gas pipeline safety	No
CVR 30-000-050	7.300: Telephone number resource use	No
CVR 30-000-053	7.600: Telecommunication carrier standards	No
CVR 30-000-054	4.300: Sustainably Priced Energy Enterprise Development Program	No
CVR 30-000-055	5.500: Interconnection procedures for proposed electric generation resources	No
CVR 30-000-2100	Rules of practice [related to rules of public utility commission]	No
CVR 30-000-8000	Cable television	Yes
V.R.C.P. 27	Discovery before action or pending appeal [related to rules of civil procedure]	No

SRS-1864.1002: Public Utility Commission Accounting Records

Review for Exemption?

1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
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STATE OF VERMONT SPECIFIC RECORD SCHEDULE

1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
2 CFR 200	Uniform administrative requirements, cost principles, and audit requirements for federal awards	No
30 V.S.A. § 17	Fees of witnesses; duties of clerk [related to public service]	No
30 V.S.A. § 209	Jurisdiction; general scope [related to public service]	Yes
30 V.S.A. § 22	Tax to finance department and commission	No
30 V.S.A. § 23	Public service reserve fund	No
30 V.S.A. § 24	Payments from special funds; biennial report	No
30 V.S.A. § 3	Public Utility Commission	No
30 V.S.A. § 30	Penalties; affidavit of compliance	No
30 V.S.A. § 6	Powers and duties of clerk [related to public service]	No
32 V.S.A. § 1402	Receipt for fees	No
32 V.S.A. § 163	Duties of the auditor of accounts	Yes
32 V.S.A. § 182	Duties of commissioner [related to fiscal officers and commissions]	No
32 V.S.A. § 401	Accounts	No
32 V.S.A. § 431	Depositories of state funds	No
32 V.S.A. § 461	Disbursements on commissioner's warrants	No
32 V.S.A. § 462	Appropriation required	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

32 V.S.A. § 463	Itemized bills with vouchers required	No
32 V.S.A. § 464	Itemized statements and receipts required	No
32 V.S.A. § 466	Requisitions [related to the public monies]	No
32 V.S.A. § 502	Monies to be paid over without deduction [related to the public monies]	No
32 V.S.A. § 508	Receipts given by state officers	No
32 V.S.A. § 706	Transfer of appropriations	No
Bulletin 3.3, Agency of Administration	Delegation of authority for signing documents	No
VISION Procedure #1	VISION asset management procedure	No
VISION Procedure #2	VISION records retention procedure	No
VISION Procedure #5	Petty cash procedure	No
VISION Procedure #7	VISION general ledger transfers procedure	No

SRS-1864.1102: Public Utility Commission Administrative Policy Records	<i>Review for Exemption?</i>
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1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
2 CFR 200	Uniform administrative requirements, cost principles, and audit requirements for federal awards	No
3 V.S.A. § 835	Procedures and guidance documents [related to administrative procedure]	No
30 V.S.A. § 11a	Electronic filing and issuance [related to public service]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

30 V.S.A. § 209	Jurisdiction; general scope [related to public service]	Yes
30 V.S.A. § 3	Public Utility Commission	No
30 V.S.A. § 6	Powers and duties of clerk [related to public service]	No
Bulletin 5, Agency of Administration	Policy for grant issuance and monitoring	No

SRS-1864.1012: Public Utility Commission Budget Records	<i>Review for Exemption?</i>
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1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
30 V.S.A. § 209	Jurisdiction; general scope [related to public service]	Yes
30 V.S.A. § 3	Public Utility Commission	No
30 V.S.A. § 5038	Annual reports; audit [related to the Vermont Public Power Supply Authority]	No
30 V.S.A. § 6	Powers and duties of clerk [related to public service]	No
30 V.S.A. § 8015	Vermont clean energy development fund	No
32 V.S.A. § 202	Duties of commissioner [related to fiscal officers and commissions]	No
32 V.S.A. § 301	Department estimate and statement [related to budget]	No
32 V.S.A. § 306	Budget report	No
32 V.S.A. § 307	Form of budget	No
32 V.S.A. § 308	General fund budget stabilization reserve; creation and purpose	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

32 V.S.A. § 309	Capital budget report	No
32 V.S.A. § 310	Form of annual capital budget and long-range capital program plan	No
32 V.S.A. § 312	Tax expenditure report	No
32 V.S.A. § 314	Grant report	No
32 V.S.A. § 701	General appropriation bill	No
32 V.S.A. § 701a	Capital construction bill	No
32 V.S.A. § 702	Exceeding budget	No
32 V.S.A. § 703	Unexpended appropriations	No
32 V.S.A. § 704	Interim budget and appropriation adjustments	No
32 V.S.A. § 704a	Execution of the laws relating to appropriations	No

SRS-1864.1126: Public Utility Commission Contract Files

Review for Exemption?

1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
22 V.S.A. § 901	Creation of department [related to department of information and innovation]	No
3 V.S.A. § 344	Contract administration	No
30 V.S.A. § 209	Jurisdiction; general scope [related to public service]	Yes
30 V.S.A. § 3	Public Utility Commission	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

30 V.S.A. § 6	Powers and duties of clerk [related to public service]	No
Bulletin 3.5, Agency of Administration	Contracting procedures	No

SRS-1864.1103: Public Utility Commission Operational/Managerial Records *Review for Exemption?*

1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
30 V.S.A. § 11a	Electronic filing and issuance [related to public service]	No
30 V.S.A. § 209	Jurisdiction; general scope [related to public service]	Yes
30 V.S.A. § 3	Public Utility Commission	No
30 V.S.A. § 6	Powers and duties of clerk [related to public service]	No

SRS-1864.1000: Public Utility Commission Transitory Records *Review for Exemption?*

1 V.S.A. § 315	Statement of policy; short title [related to access to public records]	Yes
1 V.S.A. § 316	Access to public records and documents	No
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
1 V.S.A. § 318	Procedure [related to access to public records]	No
1 V.S.A. § 319	Enforcement [related to access to public records]	No
1 V.S.A. § 320	Penalties [related to access to public records]	No
30 V.S.A. § 11a	Electronic filing and issuance [related to public service]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

30 V.S.A. § 209	Jurisdiction; general scope [related to public service]	Yes
30 V.S.A. § 3	Public Utility Commission	No
30 V.S.A. § 6	Powers and duties of clerk [related to public service]	No

SRS-1333.1063: Public Utility Monitoring Records *Review for Exemption?*

1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
16 U.S.C. § 824o-1	Critical electric infrastructure security	Yes
30 V.S.A. § 125	Powers; annual report	No
30 V.S.A. § 18	Production and examination of books; witnesses [related to public service]	No
30 V.S.A. § 20	Particular proceedings; personnel [related to public service]	No
30 V.S.A. § 202	Electrical energy planning	Yes
30 V.S.A. § 202k	Telecommunications and Connectivity Advisory Board	No
30 V.S.A. § 203	Jurisdiction of certain public utilities	No
30 V.S.A. § 204	Organization; reports of public utility corporations	No
30 V.S.A. § 209	Jurisdiction; general scope [related to public service]	Yes
9 V.S.A. § 4113	Inventory reporting; confidentiality [related to petroleum inventories; reporting requirements]	Yes
CVR 30-000-3100	Reports [related to Public Utility Commission]	No
CVR 31-000-007	Reporting of energy information [related to Department of Public Service]	Yes

SRS-1333.1150: Rate setting and Tariff Records for Non-Adjudicated Case *Review for Exemption?*

1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
16 U.S.C. § 824o-1	Critical electric infrastructure security	Yes
30 V.S.A. § 225	Rate schedules [related to public service]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

30 V.S.A. § 226	Rates, hearings, bond [related to public service]	No
30 V.S.A. § 227	Suspension, refund [related to public service]	No
30 V.S.A. § 228	Copy of schedules [related to public service]	No
30 V.S.A. § 229	Rebates; exceptions [related to public service]	No
30 V.S.A. § 230	Special rate or rebate; penalty [related to public service]	No
CVR 30-000-2100	Rules of practice [related to rules of public utility commission]	No