



### AGENCY SPECIFIC RECORD SCHEDULE FOR: Vermont Criminal Justice Training Council

- Authority:** A custodian of public records shall not destroy, give away, sell, discard, or damage any record or records in his or her charge, unless specifically authorized by law or under a record schedule approved by the state archivist pursuant to subdivision 117(a)(5) of Title 3. (1 V.S.A. § 317a)
- Scope:** This agency specific record schedule is applicable only to the records listed on this record schedule that are produced or acquired during the course of agency business. Records are any written or recorded information, regardless of physical form or characteristics, and includes electronic or digital records and data. (1 V.S.A. § 317)
- Use:** This is an agency specific record schedule (SRS). The agency (Vermont Criminal Justice Training Council) may develop its own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. Records that need to be retained until OBSOLETE must be supported by an internal policy that clearly states a specific retention requirement that best meets the agency's administrative needs. Specific Record Schedule (SRS) numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a.
- Exemptions:** It is the policy of Title 1, Chapter 5, Subchapter 3 of Vermont Statutes Annotated to provide for free and open examination of records consistent with Chapter 1, Article 6 of the Vermont Constitution. All people, however, have a right to privacy in their personal and economic pursuits, which ought to be protected unless specific information is needed to review the action of a governmental officer. Some records listed on this record schedule may be exempt from public inspection and copying for this reason. Security measures to protect records and information from unauthorized access, use, and disclosure are necessary if the records are exempt pursuant to 1 V.S.A. §§ 315-320. Please see Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.
- Retention:** This agency specific record schedule reflects the retention and disposition requirements for the following records regardless of their media, format, or mode of transmission. Duplicate records within the same agency that are used for specific legal, fiscal, or administrative purposes may be either retained using the retention requirement listed in this schedule or in accordance to an internal policy. Any copies of records made only for convenience of reference or informational purposes may be discarded when no longer needed unless otherwise directed through an internal policy. Duplicates or copies of records shall not be retained longer than the original records.
- Adopted by:** Signature on File. Adopted by Executive Director Richard Gauthier on March 2, 2012.

*Richard Gauthier, Executive Director / Vermont Criminal Justice Training Council*

*Date*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1447.1092: Classroom and Testing Records**

*SRS-1447.1092: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the testing of individuals as a precursor for a license, certificate or registration to perform a professional service in law enforcement. This schedule only applies to tests written and administered by the State of Vermont.*

**Classification:** Law enforcement officers (Testing)

**Retention:** Retain examination masters until superseded by new versions of examinations, plus an additional two (2) years, then destroy. If an examination serves as evidence of agency policy retain permanently and use the retention requirements for Policies in GRS-1000.1102 (Administrative Policy Records).

Classroom presentations, reference sources and supporting material for classroom activities shall be retained until no longer needed administratively, then destroyed. For formal training manuals, use retention requirements for Procedures in GRS-1000.1102 (Administrative Policy Records).

Registers or systems that serve as the formal list of applicants and officers shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

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

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1447.1092 (see APPENDIX E for related legal references)**

<b>Record Category/Type:</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1447.1092.38</b> <b>Examinations (documents)</b> Public Access: <i>Review</i>	Use for written instruments (examination masters) used for testing knowledge, aptitude, or skills, including entrance and exit examinations and scenario evaluations. Includes answer keys. If an examination serves as evidence of agency policy retain permanently and use the retention requirements for Policies in GRS-1000.1102 (Administrative Policy Records).	Temporary (Administrative)	RETAIN UNTIL: Superseded PLUS: 2 Year(s) THEN: Destroy (Shred)
<b>SRS-1447.1092.71</b> <b>Presentations</b> Public Access: <i>Review</i>	Use for presentations, lecture notes, videos, slide shows, and similar demonstrations created to prepare students for testing.	Temporary (Administrative)	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)

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<b>SRS-1447.1092.81</b>	Use for systems that track information on individuals registered for courses/examinations and pursuing certification.	Conditional Archival	RETAIN UNTIL: Superseded
<b>Registers</b>			PLUS: 0 Year(s)
Public Access: <i>Review</i>			THEN: Confirm
<b>SRS-1447.1092.144</b>	Use for reports prepared to outline the progress of classes, such as training assistant reports.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
<b>Reports</b>			PLUS: 2 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (Shred)
<b>SRS-1447.1092.86</b>	Use for lists of those who register for classes and testing.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed
<b>Rosters</b>			PLUS: 6 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (General)
<b>SRS-1447.1092.36</b>	Use for instructional materials, such as handouts, worksheets, and summaries, distributed to supplement a class. For formal training manuals, use retention requirements for Procedures in 1000.1102.73.	Temporary (Administrative)	RETAIN UNTIL: Obsolete
<b>Supporting material</b>			PLUS: 0 Year(s)
Public Access: <i>Review</i>			THEN: Destroy (General)

*SRS-1447.1092 was approved by the Vermont State Archivist on 3/2/2012.*

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**SRS-1447.1059: Student Files**

*SRS-1447.1059: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the licensing, certifying or registering of full-time, part-time or in-service law enforcement officers to perform professional services that are regulated by the State of Vermont.*

**Classification:** Law enforcement officers (Licensing)

**Retention:** Retain applications and correspondence related to applications, until the application has been closed and a decision has been made, plus six (6) years, then destroy.

Documentation of decisions, certificates issued, and temporary authorizations issued to an officer shall be retained until the officer's authority to serve has expired, plus six (6) years, then destroyed.

Registers or systems that serve as the formal list of applicants and officers shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

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

**Public Access:** Review

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1447.1059 (see APPENDIX E for related legal references)**

<b>Record Category/Type:</b>	<b>Applicability/Use:</b>	<b>Appraised Value:</b>	<b>Retention/Disposition:</b>
<b>SRS-1447.1059.8</b> <b>Applications</b> Public Access: <b>Review</b>	Use for applications to enter training or to maintain certification. Includes additional documentation, and letters confirming fulfillment of requirements, including medical evaluations. If original application is part of the decision, use retention requirements for Decisions in this schedule.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
<b>SRS-1447.1059.141</b> <b>Authorizations</b> Public Access: <b>Review</b>	Use for provisional certificates and related authorizations that allow an individual to perform a professional service prior to a decision. Also use for minor certificates received by the officer which expire, such as instructor certificates.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 6 Year(s) THEN: Destroy (Shred)

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<p><b>SRS-1447.1059.21</b>  <b>Certificates</b>  Public Access: <i>General</i></p>	<p>Use for written documents that serve as official verification that conditions or requirements for certification have been met and continue to be met. Includes waivers for officers trained out of state that take the place of certificates and affidavits demonstrating annual mandatory training requirements have been met.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Expired  PLUS: 6 Year(s)  THEN: Destroy (General)</p>
<p><b>SRS-1447.1059.53</b>  <b>Correspondence (Substantive)</b>  Public Access: <i>Review</i></p>	<p>Use for correspondence that has significant administrative value and/or is essential to supporting a final decision concerning certification or decertification. Includes executive-level correspondence.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1447.1059.133</b>  <b>Decisions</b>  Public Access: <i>Review</i></p>	<p>Use for recorded evidence of the final decision to grant, deny or revoke certification, including reciprocal assistance agreements and any critical supporting documentation, that is in addition to, or in lieu of, a registry entry. In the event of an appeal, include the final decision of the authoritative body that adjudicated the appeal.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Expired  PLUS: 6 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1447.1059.38</b>  <b>Examinations (documents)</b>  Public Access: <i>Review</i></p>	<p>Use for completed and scored tests, quizzes and evaluations maintained in student and agency files, including entrance and final examinations, provided that scores are recorded in the Register or in Substantive correspondence that will be retained for the entirety of the officer's career.</p>	<p>Temporary (Administrative)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 2 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1447.1059.50</b>  <b>Notices, Legal</b>  Public Access: <i>General</i></p>	<p>Use for notices of decisions, evidence of service of process, and related records.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 2 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1447.1059.126</b>  <b>Pleadings</b>  Public Access: <i>Review</i></p>	<p>Use for petitions, and other written statements of claims and defenses, including any recorded evidence, filed with the license agency regarding the agency's decision to deny, grant or reinstate a license. Includes oaths, transcripts and other recorded material captured as part of an oral proceeding.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed  PLUS: 2 Year(s)  THEN: Destroy (Shred)</p>
<p><b>SRS-1447.1059.81</b>  <b>Registers</b>  Public Access: <i>Review</i></p>	<p>Use for systems that track certificate holders and include certification status, examination scores and other relevant information.</p>	<p>Conditional Archival</p>	<p>RETAIN UNTIL: Superseded  PLUS: 0 Year(s)  THEN: Confirm</p>

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<b>SRS-1447.1059.144</b> <b>Reports</b> Public Access: <i>Review</i>	Use for reports of the names of persons certified and the status of their certification that are required to be compiled and distributed by Federal or State law. If reports are generated as part of a larger requirement retain permanently and use the retention requirements for Reports in GRS-1000.1102 (Administrative Policy Records).	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 2 Year(s) THEN: Destroy (General)
<b>SRS-1447.1059.36</b> <b>Supporting material</b> Public Access: <i>Review</i>	Use for information gathered on the applicant during training, including counseling and injury reports.	Temporary (Administrative)	RETAIN UNTIL: Completed/Closed PLUS: 2 Year(s) THEN: Destroy (Shred)

***SRS-1447.1059 was approved by the Vermont State Archivist on 3/2/2012.***

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## Appendix A: Appraisal Values

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

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

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## Appendix B: Public Access Requirements

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

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



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## Appendix C: Retention Requirements

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

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

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## Appendix D: Disposition Requirements

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

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

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## Appendix E: Legal References

<b>SRS-1447.1092: Classroom and Testing Records</b>		<i>Review for Exemption?</i>
1 V.S.A. § 317(c)(8)	[Public record exemption: test administration records]	Yes
20 V.S.A. § 2355	Powers and duties [of the Vermont criminal justice training council]	No
80 070 CVR 001	Vermont Criminal Justice Training Council Rules and Regulations	No
<b>SRS-1447.1059: Student Files</b>		<i>Review for Exemption?</i>
1 V.S.A. § 317	Definitions; public agency; public records and documents	Yes
10 V.S.A. § 4198	Police powers; training; state game wardens; deputy game wardens	No
10 V.S.A. § 4199	Reciprocal assistance agreements	No
2 V.S.A. § 70	Capitol police department	No
20 V.S.A. § 2222	Federal law enforcement officers; power of arrest for Vermont crimes	No
20 V.S.A. § 2355	Powers and duties [of the Vermont criminal justice training council]	No
20 V.S.A. § 2361	Additional training	No
20 V.S.A. § 2365	Domestic violence training	No
23 V.S.A. § 1203	Administration of [breath] tests; retention of test and videotape	No
24 V.S.A. § 1936a	Constables; powers and qualifications	No
24 V.S.A. § 311	Training requirements [deputy sheriffs]	No
24 V.S.A. § 71b	Courthouse security	No
28 V.S.A. § 551a	Law enforcement powers of correctional officers; training requirements	No
5 V.S.A. § 3757	Qualifications [railroad police]	No
80 070 CVR 001	Vermont Criminal Justice Training Council Rules and Regulations	No

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