



AGENCY SPECIFIC RECORD SCHEDULE FOR: Vermont Occupational Safety and Health Review Board

- Authority:** A custodian of public records shall not destroy, give away, sell, discard, or damage any record or records in his or her charge, unless specifically authorized by law or under a record schedule, as defined in 3 V.S.A. § 117(a)(6), that has been approved by the State Archivist. (1 V.S.A. § 317a)
- Scope:** This agency specific record schedule is applicable only to the records listed on this record schedule that are produced or acquired during the course of agency business. Records are any written or recorded information, regardless of physical form or characteristics, and includes electronic or digital records and data. (1 V.S.A. § 317)
- Use:** This is an agency specific record schedule (SRS). The agency (Vermont Occupational Safety and Health Review Board) may develop its own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. For records required to be retained until OBSOLETE, an internal policy that clearly states specific retention requirements that best meet the agency's administrative needs is highly advised. Specific Record Schedule (SRS) numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a.
- Exemptions:** It is the policy of Title 1, Chapter 5, Subchapter 3 of Vermont Statutes Annotated to provide for free and open examination of records consistent with Chapter 1, Article 6 of the Vermont Constitution. All people, however, have a right to privacy in their personal and economic pursuits, which ought to be protected unless specific information is needed to review the action of a governmental officer. Some records listed on this record schedule may be exempt from public inspection and copying for this reason. Security measures to protect records and information from unauthorized access, use, and disclosure are necessary if the records are exempt pursuant to 1 V.S.A. §§ 315-320. Please see Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.
- Retention:** This agency specific record schedule reflects the retention and disposition requirements for the following records regardless of their media, format, or mode of transmission. Duplicate records within the same agency that are used for specific legal, fiscal, or administrative purposes may be either retained using the retention requirement listed in this schedule or in accordance to an internal policy. Any copies of records made only for convenience of reference or informational purposes may be discarded when no longer needed unless otherwise directed through an internal policy. Duplicates or copies of records shall not be retained longer than the original records.
- Adopted by:** **Signature on file. Signed by Chair Gary McQuesten on 1/9/2024**

Gary McQuesten, Chair / Vermont Occupational Safety and Health Review Board

Date

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SRS-1564.1108: Occupational Safety and Health Review Board Case Files

SRS-1564.1108: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the adjudication of occupational safety and health standards.

Classification: Occupational safety and health standards (Adjudicating)

Retention: Complaints, decisions, dockets, and significant supporting material are archival records and shall be retained permanently. Archival records are eligible for transfer into the Vermont State Archives once completed/closed, plus three (3) years. Completed/closed means the Vermont Occupational Safety and Health Review Board (VRB) has delivered a final decision and all amendments or appeals are final.

Retain declarations, pleadings, orders, and supporting materials for three (3) years after the case is closed and then destroy.

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

SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1564.1108 (see APPENDIX E for related legal references)

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1564.1108.24 Complaints Public Access: <i>General</i>	Use for initiating written or recorded information that formally set forth the essential facts constituting basis of the proceeding. Includes notice of contest, citations, complaints, grievances, and similar records.	Permanent (Archival)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives
SRS-1564.1108.133 Decisions Public Access: <i>Redact</i>	Use for written evidence of final decisions issued by the board related to occupational safety and health proceedings. Includes final orders, agreements, and significant supporting material. For directions or commands delivered during the course of a proceeding that do not serve as final orders, use "Orders."	Permanent (Archival)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives
SRS-1564.1108.32 Declarations Public Access: <i>General</i>	Use for formal statements intended to testify to a right or document a fact. Includes affidavits, depositions, and oaths.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)

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<p>SRS-1564.1108.117 Dockets Public Access: <i>General</i></p>	<p>Use for dockets, recording books, databases, and similar records and systems that provide for the systematic and regular recording of proceedings.</p>	<p>Permanent (Archival)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives</p>
<p>SRS-1564.1108.136 Evidence Public Access: <i>Redact</i></p>	<p>Use for written or recorded information presented in a proceeding for the purpose of establishing the truth or falsity of an allegation or fact. For evidence accepted into the official record of a proceeding, use "Decisions."</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1564.1108.50 Notices, Legal Public Access: <i>General</i></p>	<p>Use for official, written statements, notices, or announcements required by law.</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Destroy (General)</p>
<p>SRS-1564.1108.63 Orders Public Access: <i>General</i></p>	<p>Use for directions or commands, delivered during the course of a proceeding that do not serve as final decisions. Includes scheduling orders, evidentiary rulings, and similar temporary or provisional rulings. For final orders, agreements, or stipulations, use "Decisions."</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)</p>
<p>SRS-1564.1108.126 Pleadings Public Access: <i>Redact</i></p>	<p>Use for written statements of substantive claims and defenses by parties in a proceeding. Includes motions to dismiss, briefs, and similar filings. For pleadings initiating the adjudication process, use "Complaints." For pleadings that are incorporated by reference in the final decision, use "Decisions."</p>	<p>Temporary (Legal)</p>	<p>RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)</p>
<p>SRS-1564.1108.36 Supporting material Public Access: <i>Redact</i></p>	<p>Use for supplemental records, not otherwise specified in this schedule, created or received during the course of a proceeding. Includes pre-trial testimony, additional filings, certifications, hearing recordings, transcripts, receipts, and similar records. For supporting material that has significant value and/or is essential 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-1564.1108 was approved by the Vermont State Archivist on 4/15/2015.

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Appendix A: Appraisal Values

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

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

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Appendix B: Public Access Requirements

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

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

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Appendix C: Retention Requirements

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

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

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Appendix D: Disposition Requirements

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

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

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Appendix E: Legal References

SRS-1564.1108: Occupational Safety and Health Review Board Case Files		<i>Review for Exemption?</i>
1 V.S.A. § 317	Definitions; public agency; public records and documents; exemptions	Yes
18 V.S.A. § 1427	Employee rights [related to occupational health]	No
21 V.S.A. § 206	Inspections and investigations [related to occupational safety and health]	No
21 V.S.A. § 207	Trade secrets [related to occupational safety and health]	Yes
21 V.S.A. § 210	Penalties [related to occupational safety and health]	No
21 V.S.A. § 225	Citations [related to occupational safety and health]	No
21 V.S.A. § 226	Enforcement [related to occupational safety and health]	No
21 V.S.A. § 227	Judicial review [related to occupational safety and health]	No
21 V.S.A. § 230	Occupational safety and health review board	No
21 V.S.A. § 231	Employee rights [related to occupational safety and health]	No
3 V.S.A. § 809	Contested cases; notice; hearing; records [related to administrative procedure]	No
3 V.S.A. § 810	Rules of evidence; official notice [related to administrative procedure]	No
3 V.S.A. § 812	Decisions and orders [related to administrative procedure]	No
3 V.S.A. § 815	Judicial review of contested cases [related to administrative procedure]	No
CVR 24-050-002	Vermont occupational safety and health review board rules of procedure [related to Department of Labor]	No