

<p style="text-align: center;">STATE OF VERMONT AGENCY OF HUMAN SERVICES DEPARTMENT OF CORRECTIONS</p>	Records Retention and Disposition		Page 1 of 3						
<p>CHAPTER: ADMINISTRATIVE SERVICES</p>	#252	Supersedes: #252 Records Retention & Disposition, dated 8/27/82							
<p>Local Procedure(s) Required: No Applicability: All staff (including contractors and volunteers) Security Level: "B" – Anyone may have access to this document.</p>									
<p>Approved:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 33%; border: none;"> <p>_____</p> <p>James W. Baker, Commissioner</p> </td> <td style="width: 33%; border: none;"> <p style="text-align: center;">_____</p> <p style="text-align: center;">Date Signed</p> </td> <td style="width: 33%; border: none;"> <p style="text-align: center;">_____</p> <p style="text-align: center;">Date Effective</p> </td> </tr> <tr> <td style="border: none;"></td> <td style="border: none; text-align: center;"> <p>May 26, 2021</p> </td> <td style="border: none; text-align: center;"> <p>6/10/2021</p> </td> </tr> </table>				<p>_____</p> <p>James W. Baker, Commissioner</p>	<p style="text-align: center;">_____</p> <p style="text-align: center;">Date Signed</p>	<p style="text-align: center;">_____</p> <p style="text-align: center;">Date Effective</p>		<p>May 26, 2021</p>	<p>6/10/2021</p>
<p>_____</p> <p>James W. Baker, Commissioner</p>	<p style="text-align: center;">_____</p> <p style="text-align: center;">Date Signed</p>	<p style="text-align: center;">_____</p> <p style="text-align: center;">Date Effective</p>							
	<p>May 26, 2021</p>	<p>6/10/2021</p>							

PURPOSE

The purpose of this policy is to establish and maintain a records and information management program, including retention and disposition of records, for the Department of Corrections (DOC).

AUTHORITY & REFERENCES

3 V.S.A. § 218.

POLICY

It is the DOC’s policy to maintain records that are necessary and required by law for efficient and effective operation. This DOC policy further provides for the preservation of records of permanent, historical value and the effective removal, or destruction, of obsolete or inactive records to best utilize its limited space.

GENERAL GUIDELINES

A. Records Oversight Structure

1. The DOC shall designate a Records Officer (RO) from its staff. The RO shall provide general oversight of the DOC’s records and information management program.
2. The RO shall collaborate closely with the designated representative from the Vermont State Archives and Records Administration (VSARA.)
3. Each work site’s site manager shall appoint two Records Liaisons (RLs) to maintain on-site records, under the direction of the RO, this directive, and the Specific Record Schedules (SRS).

B. Records Liaison

1. RLs shall assume responsibility for managing records produced or maintained at their designated site in accordance with the SRS.
2. RLs shall store records on site and maintain them in an organized fashion.
3. RLs shall familiarize themselves with this directive and the SRS.

C. Specific Record Schedules

1. "Records" refers to documentation of any format, including but not limited to paper, logbooks, digital, video, and audio.
2. The RO shall create and maintain the SRS in consultation with the DOC General Counsel and VSARA.
3. The RO shall regularly update the SRS to incorporate new record types, changes in statutory obligations, or other relevant changes.
4. The RO shall assume responsibility for notifying RLs of any SRS updates.
5. RLs shall refer to the SRS for each record type's defined retention period to determine how long a record must be stored after it is completed or closed.

D. Record Types

1. RLs shall refer to the SRS to determine whether to retain, transfer to the State Archives, or destroy each record type. Record Types may include, but are not limited to:
 - a. Transitory Records;
 - b. Administrative Policy Record;
 - c. Operational/Managerial Record;
 - d. Accounting Records;
 - e. Patient Medical Records;
 - f. Offender and Inmate Records; and
 - g. Offender Probation Records.
2. The RO shall note the specific records that meet the definition of "Major and Significant" (i.e., something that is archival) and, therefore, eligible for permanent retention by VSARA. This shall include records pertaining to:
 - a. Level C offenses; and
 - b. High risk sex offenders or any sex offender that is required to submit their name to a registry for the remainder of their life.
3. The RO shall refer to the SRS for record type definitions and examples.
4. RLs are expected to contact the RO if any record type is unclear.

E. Annual Transfer and Destruction

1. RLs shall, each January, identify on-site records that have reached the end of their retention period.
2. RLs shall provide the RO with written notice of all records scheduled for destruction and those scheduled for transfer to the State Record Center.
3. The RO shall review the RL's written notice and authorize final disposition of the relevant records within 30 days of receipt of the notice.

4. RLs shall complete the disposition in accordance with this authorization.
5. RLs shall shred records authorized for destruction.

F. Reference to Records

1. The DOC serves as the custodian of DOC records stored at the State Records Center, though VSARA assumes responsibility for record safekeeping.
2. DOC staff shall make requests for any records stored at the State Records Center (including inactive records) through VSARA. Requests are subject to VSARA operational guidelines. Please see the VSARA website for record request forms.
3. DOC staff shall return records withdrawn from the State Records to VSARA as soon as staff no longer need them.