

Title: Record Retention

Issuance Date: April 3, 2023

(Must be reviewed annually)

Applicable Regulations, Guidelines, and AHS Policy:

Vermont statute or rule:

- <https://legislature.vermont.gov/statutes/section/03/005/00117>
- <https://legislature.vermont.gov/statutes/section/01/005/00317>
- <https://legislature.vermont.gov/statutes/section/01/005/00317a>

Purpose:

The purpose of this procedure is to educate and ensure all DVHA staff are aware of the Public Records Retention timelines to establish a plan for preservation, retention, storage, retrieval of and access to records of the Department of Vermont Health Access.

Procedure:

DVHA Public Officer assigns two Records Liaisons in each unit to serve as their unit's records retention experts for the records created. This is done by having them sign the Record Liaison Appointment form and send it to DVHA Public Records Officer to sign and forward it to VSARA.

The liaisons selected will register with the Vermont Secretary of State. The Record Officer works with liaisons to ensure complete understanding of record schedules. Liaisons work within the unit to destroy, transfer, archive, or otherwise maintain records in compliance with the Records Retention manual and policy posted on the DVHA intranet.

The Operations Team works with the TAP team, including the VSARA Records Analyst and AHS RIM Specialist to interview units and establish the records created in their workflow.

Standard Operating Procedure

It is the responsibility of all DVHA staff to meet all legal expectations defined in 1 V.S.A. § 317a:

“Public records in general and archival records in particular should be systematically managed to provide ready access to essential information, to promote the efficient and economical operation of government, and to preserve their legal, administrative, and informational value.”

The Operations Team works as part of TAP team with AHS RIM Specialist and with the DVHA unit to:

- Inventory existing records and records created through unit’s business processes.
- Create special records schedules as needed.
- Work with the team to implement or amend schedules, procedures, and policy as necessary to accommodate records retention schedule needs.

This is performed as a team in regularly scheduled meetings.

The liaisons create an internal procedure document related to the department procedure and policy which guides the unit staff on the management of their specific records type.

When records have reached the internal use requirement, but still must be maintained under the schedule, they may be sent to VSARA. Complete the VSARA-05 and VARSA-04 forms to arrange the pick-up and storage.

Complete the file and keep copies for record retention. This will be needed to re-call and manage those records. When complete, forward VSARA-04 and 05 to the Secretary of State’s record center. VSARA will keep those files and notify the department close to the destruction date. On or shortly after the destruction date, VSARA will shred those documents.

All DVHA staff must understand the adopted policy and procedures posted on the DVHA intranet. The procedure and the policy are the management requirements and is created based on statutes, citations, and research.

Revision History:

Date	Summary of Revisions
12/27/2019	Reviewed and no changes are needed.
2/2/2022	Reviewed and updated links. Updated the entire document into the new template.
1/17/2023	Reviewed and updated links. Updated the entire document into the new template.

Table 1 Revision History