



# **FPR & FWD RECORDS MANAGEMENT POLICY AND GUIDELINES**

Effective Date: 1/26/2018

Signed, Commissioner Michael C. Snyder

Signed, Commissioner Louis P. Porter

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## RECORDS MANAGEMENT POLICY

### I. PURPOSE

All Vermont public agencies are responsible for creating, managing and disposing records in accordance with State and Federal laws and regulations. This policy is to ensure that all Department of Forests, Parks and Recreation (“FPR”) and Department of Fish and Wildlife (“FWD”) employees conform to and are aware of those mandates.

### II. SCOPE

All of the Departments records are public records defined by 1 V.S.A. §317 as: “any written or recorded information, regardless of physical form or characteristics, which is produced or acquired in the course of public agency business.”

### III. POLICY STATEMENT

It is the policy of FPR & FWD to comply with 1 V.S.A. Chapter 5, Subchapter 3 (often referred to as “Vermont’s Public Records Law”). All written or recorded information, regardless of physical form, shall be managed in accordance with general record schedules approved by the Vermont State Archivist.

### IV. UNIFORM LAWS, STANDARDS AND PROCEDURES

1. [1 V.S.A. §315-320: Access to Public Records, including 1 V.S.A. §317a: Disposition of Public Records](#)
2. [3 V.S.A. §117: Vermont State Archives and Records Administration](#)
3. [3 V.S.A. §218: Agency/Department Records Management Program](#)
4. [04 000 CVR 002: Uniform Schedule of Public Record Charges for State Agencies](#)
5. [Archives and Records Management Handbook issued by VSARA](#)

### V. RECORD SCHEDULES

General Record Schedules (GRS) and Agency-Specific Record Schedules (SRS) shall govern the management of records, specifically access, retention and disposition. In limited circumstances, disposition orders issued by the Vermont Public Records Advisory Board may be used.

#### a. General Record Schedules (GRS)

General Record Schedules (GRS) are approved by the Vermont State Archivist for any public agency that creates or receives the records listed in the schedules. GRS are available online at <http://vermont-archives.org/records/schedules/general/>.



To use GRS, agency records officers must notify VSARA and develop an internal policy for their use. A Notice of Adoption was filed with VSARA by the FPR Records Officer on November 19<sup>th</sup>, 2009. A Notice of Adoption was filed by the FWD Records Officer on January 18<sup>th</sup>, 2013.

**b. Agency- Specific Record Schedules (SRS)**

Agency-Specific Record Schedules (SRS) are approved by the Vermont State Archivist for specific records. The Department’s SRS is available online at: <http://vermont-archives.org/records/schedules/agency>

**c. Disposition Orders (Dos)**

Disposition orders were issued to Vermont public agencies between 1938 and 2008 by the Vermont Public Records Advisory Board and its predecessors. Disposition orders may still be applied to Department records if the requirements of the order do not conflict with current legal or administrative requirements of the Department and have not been superseded by a record schedule. FPR & FWD’s disposition orders can be found here [http://vermont-archives.org/records/schedules/pdf/FPR & FWD\\_AllDispositionOrders\\_20120426.pdf](http://vermont-archives.org/records/schedules/pdf/FPR & FWD_AllDispositionOrders_20120426.pdf).

**VI. MICROSOFT OFFICE 365, ONEDRIVE AND SKYPE FOR BUSINESS**

Microsoft Office 365 or Office 365 is a cloud-based service that includes a suite of Microsoft Office applications and products (Word, Excel, Powerpoint, Outlook, SharePoint, OneNote, and more) to support email, document creating and storage, and online collaboration. Microsoft Office 365 provides subscription plans that include access to Microsoft Office, and applications for creating and managing records and for related services, such as video conferencing and electronic mail. As part of a subscription plan, Microsoft Office 365 also provides secure online storage for records and information.

While accounts for the State of Vermont’s Microsoft Office 365 tenant are provided and managed by the Vermont Agency of Digital Services, the Agency retains legal control and control of access of records and information created, received, managed, and/or stored by it in Microsoft Office 365. These records and information are to be managed in accordance with Vermont’s Public Records Act.

OneDrive for Business (OneDrive) is a personal user area intended for use and access by one individual. Skype for Business (Skype) is an instant messaging application for less formal and quick communications. The Vermont Agency of Natural Resources authorizes the use of OneDrive and Skype; however, these applications and user areas shall only be used by ANR staff for records and information that clearly fall under GRS-1000.1000 (Transitory Records).



OneDrive is only to be used for transitory records. This does not mean that transitory records cannot and should not be created and/or managed elsewhere. Drafts and similar

transitory records requiring an ANR staff member to share a document for collaboration and editing should not, for example, be managed through the staff member’s OneDrive account but instead through SharePoint or another recordkeeping system.

Skype for Business Instant Messaging should not be used for any meetings subject to Vermont’s Open Meeting laws.

For more information about transitory records, see ANR CO’s Records Management Guideline for Transitory Records (GRS-1000.1000) below.

**VII. RECORDS MANAGEMENT GUIDELINES**

The Records Management Guidelines incorporated into this policy shall be used for the systematic management of records within the Departments.

FPR & FWD divisions may develop their own internal policies and procedures for applying GRS. Retention time frames shall meet or exceed the minimum retention requirements in the GRS and be based on legal and administrative requirements.

In the event that a division has not developed an internal policy, FPR & FWD employees shall follow the Records Management Guidelines contained within this document.

Any internal policy or procedure for applying GRS must be approved by the FPR & FWD Records Officers.

**VIII. REVISION HISTORY**

This policy supersedes any Department records management policies and practices in existence prior to its effective date. All earlier revisions of this document are superseded by this revision.

Date	Reason	Responsible Party
1/14/13	Original FPR policy	Ryan Horvath
4/7/14	Joint FPR & FWD policy	Ryan Horvath/Mary Diego
1/16/18	Microsoft Office/OneDrive	Niels Rinehart/Will Duane



## RECORDS MANAGEMENT GUIDELINES

### I. INTRODUCTION TO RECORDS MANAGEMENT

All records created in the course of business both to and from the Departments, including notes, photos, emails and other electronic communications, are public records and have specific legal retention requirements. By following these guidelines we can legally and transparently dispose of documents that have reached the end of their retention requirement and no longer have any value to the departments.

Records management only works effectively when all staffers are involved in the process. These guidelines were created to make records management accessible to all staff and simplify the General Records Schedules.

There are three actions that can happen to records when they have reached the end of their retention time; “destroy,” “confirm,” or “archive.” Record types that are designated as “destroy” are always temporary in value, at the end of the retention time they will be shredded. Record types that are designated as “confirm” may in some cases be archival, they will be reviewed on a case by case basis by an archivist and the FPR & FWD Records Officers. Record types that are designated as “archival” will always be sent to VSARA and retained permanently.

The destruction of any record that has any litigation holds or other legal requirements is prohibited. If you have a question whether a record could be subject to litigation please consult with counsel.

There are programs within the departments that will have different record retention requirements because of laws that apply just to that program (often a result of federal funding). The administrators of these programs can contact the FPR or FWD Records Officer to create a program specific records retention guideline. Example of this type of guideline is [Appendix D: Forest Legacy Requirements](#).

These guidelines are derived from the General Records Schedules with guidance and advice from VSARA.

If there are any questions or concerns about any of the Records Management Guidelines please contact the FPR or FWD Records Officer. For a list of current ANR Records Officers and Records Liaisons, visit <http://anr.vermont.gov/public-records>.



## II. TRANSITORY RECORDS (GRS-1000.1000)

**Transitory Records** are only need for a limited period of time in order to complete a routine action or prepare or update a formal or on-going record. They are not subject to any specific legal recordkeeping requirements, explicit or implied, and are administratively obsolete after the specific action or process to which they relate is complete. Drafts, notes, reference material, and similar records are examples of transitory records.

The custodian of a transitory record is responsible for determining whether and when a specific record is obsolete and can be destroyed. The following types of records can be destroyed when no longer needed administratively provided that the records are not subject to any specific legal requirements or if they are or could reasonably be subject to litigation. If you have a question whether a record could be subject to litigation please consult with counsel.

- ***Routine Correspondence:*** Incoming and outgoing correspondence that is part of a regular routine function and has limited value or need after the routine action is completed.
- ***Drafts:*** Preliminary or tentative versions of a document that have no additional value to the drafter or the department. This includes drafts that have been superseded by another document.
- ***Notes:*** Notes that have been taken to aid personal memory or for later review. Includes short, informal notes such as phone messages.
- ***Publications and Reference Sources:*** Information that is intended primarily for consultation and is for reference or informational purposes only.
- ***Requests:*** Requests and responses for forms, publications, records, and other FPR & FWD information that do not require any administrative review before, or further action after, the information is provided.
- ***Worksheets:*** Forms, checklists, and other similar worksheets used to prepare or update other records or informally track a workflow.

Examples and details of each type of records can be found in [Appendix A](#).

### ***Special Note on Transitory Records:***

**The staff member best able to identify transitory records is YOU! If you are about to hand off a project or a folder you must first weed out all transitory documents that you may have put in the folder as reference. This is the single most important step in identifying and disposing of transitory records!**



### III. OPERATIONAL/MANGEMENT RECORDS (GRS-1000.1103)

**Operational/Managerial Records** relate to the internal management or operation of a specific program, process, or function required to be carried out by FPR & FWD. They support day-to-day operations and internal workflows and processes. Informal agreements, calendars, internal reports, and similar records are examples of operational/managerial records.

If you are responsible for the day-to-day operations of a specific program, process, or function and your Division has not established any specific retention time frames for managerial/operation records, the following types of operational/managerial records can be destroyed after retention requirements have been met provided that the records are not subject to any specific legal requirements or a legal retention hold. If you have a question whether a record could be subject to litigation please consult with counsel.

- ***Informal Agreements***: Three (3) years after the agreement expires.
- ***Calendars***: One (1) year after the calendar year ends
- ***Internal Plans (Reports) and Studies***: Three (3) years after the report or study has been completed
- ***Procedures***: Three (3) years after the procedure has been superseded by a revised or new procedure
- ***Internal Reports***: Three (3) years after the calendar year ends

Regardless of your position in the FPR & FWD, if you (1) received any of the above records for reference or informational purposes only and (2) know that the individual or individuals responsible for the day-to-day operations of a specific program, process, or function are properly managing the records in accordance to GRS-1000.1103 or a Division policy, your copies are duplicates and considered Transitory Records (GRS-1000.1000).

Examples and details of each type of records can be found in [Appendix B](#).





#### IV. ADMINISTRATIVE POLICY RECORDS (GRS-1000.1102)

**Administrative Policy Records** relate to the administration of FPR & FWD and the formulation or development of policy. They have the potential to have continuing value if they provide evidence of deliberations, decisions, and actions relating to policy or major administrative issues. Formal agreements, strategic plans, policies and procedures, and similar records are examples of administrative policy records.

The Commissioner, Operational Director, and Division Directors are usually the creators or recipients of Administrative Policy Records. In limited circumstances, unit supervisors, professional staff, and specialists may create or receive administrative policy records.

If your Division has not established any specific retention time frames for Administrative Policy Records, the following records are archival and shall be permanently preserved. These records should be transferred to VSARA after the following time periods.

- **Formal Agreements:** Retain until expired, plus three (3) years.
- **Substantive Correspondence and Studies:** Retain until completed, plus three (3) years.\*
- **Meeting Minutes:** Retain until calendar year ends, plus three (3) years.
- **Plans, Policies, and Procedures:** Retain until superseded, plus three (3) years.
- **Annual and Similar Reports:** Retain until calendar year ends, plus three (3) years.

The following types of administrative policy records can be destroyed after retention requirements have been met provided that the records are not subject to any specific legal requirements or a legal retention hold. If you have a question whether a record could be subject to litigation please consult with counsel.

- **Agendas:** If agenda is accurately reflected in the meeting minutes, one (1) year after the calendar year ends
- **Calendars:** One (1) year after the calendar year ends
- **Legal Notices:** One (1) year after the notice was issued
- **Press Releases:** One (1) year after the calendar year ends

Examples and details of each type of records can be found in [Appendix C](#).



## V. CONTRACT FILES (GRS 1000.1126)

**Contract Files** document the history of the contract including, but not limited to, the bidding process, contract drafting and approvals, and final authorizations. These files usually have temporary administrative and legal value.

The Business Office is usually the creator or recipient of Contract Files. In limited circumstances, unit supervisors, professional staff, and specialists may create or receive Contract Files records.

If you are responsible for maintaining contract files and your Division has not established any specific retention time frames for contract files, the following types of contract files can be destroyed after retention requirements have been met provided that the records are not subject to any specific legal requirements or a legal retention hold. If you have a question whether a record could be subject to litigation please consult with counsel.

- **Authorizations:** Three (3) years after the contract has expired.
- **Bids:** Three (3) years after contract has expired.
- **Certificates:** Three (3) years after contract has expired.
- **Contracts:** Three (3) years after contract has expired.
- **Substantive Correspondence:** Three (3) years after contract has expired.
- **Decisions, Declarations, and Lists:** Three (3) years after contract has expired.
- **Legal Notices:** One (1) year after contract is completed/closed.
- **Opinions:** Three (3) years after contract has expired.
- **Plans/Reports:** Three (3) years after contract has expired.
- **Reference Sources:** One (1) year after contract is completed/closed.
- **Registers:** Three (3) years after it is superseded.
- **Requests, includes Requests for Proposals:** Three (3) years after contract has expired.
- **Waivers:** Three (3) years after contract has expired.
- **Worksheets:** Three (3) years after contract has expired.



## VI. GRANT MANAGEMENT RECORDS (GRS 100.1110)

**Grant Management Records** record the activities and transactions that relate to or affect, in a specific manner, the granting of funds, including pass-through funds, by FPR & FWD for a specific purpose. This records schedule **does not** include administrative, operational, and fiscal records of FPR & FWD, or the granting program itself, or records of any grants received by FPR & FWD.

Records related to federal grants, such as the Forest Legacy Program, should be treated with special care. Federal standards maintain that these records are held in perpetuity. See [Appendix D](#) for the specific requirements of the Forest Legacy program. See [Appendix E](#) for the specific requirements of the Land and Water Conservation Fund program.

Final reports received from grantees that have significant administrative or historic value, should be retained permanently and follow the retention requirements for reports in the Administrative Policy Records (GRS-100.1102).

Grant registries documenting requests received and award decisions may have continuing value and shall be retained until superseded and then appraised by the Vermont State Archives and Records Administration.

If you are responsible for maintaining grant management records and your Division has not established any specific retention time frames for grant management records, the following types of grant management records can be destroyed after retention requirements have been met provided that the records are not subject to any specific legal requirements or a legal retention hold. If you have a question whether a record could be subject to litigation please consult with counsel.

- **Agreements:** Three (3) years after grant is expired.
- **Applications:** Three (3) years after grant is completed/closed.
- **Audits:** After calendar year ends plus three (3) years.
- **Invoices:** Three (3) years after grant is completed/closed.
- **Reports:** Three (3) years after grant is completed/closed.
- **Supporting Material:** Three (3) years after grant is completed/closed.
- **Waivers:** Three (3) years after grant is completed/closed.
- **Worksheets:** Three (3) years after grant is completed/closed.

Records related to funds granted for the purchase of real property or equipment shall be retained until the real property or equipment is no longer owned or in the possession of the grantee plus an additional three (3) years, then destroyed.



## VII. BUDGET RECORDS (GRS 1000.1012)

**Budget Records** record the evidence of activities and transactions that relate to or affect, in specific manner, the planning, coordination, and allocation of financial resources and expenditures.

Budgets as adopted and 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, shall be retained until the fiscal year covered by the budget ends, plus an additional three (3) years, then destroyed. For budgets that have significant administrative value, retain permanently and use the retention requirements for Reports in the Administrative Policy Records schedule (GRS-1000.1102).

The following Budget Records can be destroyed after retention requirements have been met provided that the records are not subject to any specific legal requirements or a legal retention hold. If you have a question whether a record could be subject to litigation please consult with counsel.

- **Budgets:** Three (3) years after fiscal year ends.
- **Legal Notices:** One (1) year after grant is completed/closed.
- **Plans:** Three (3) years after grant is completed/closed.
- **Reports:** Three (3) years after fiscal year ends.

Plans are cost allocation plans, which, if associated with revenues obtained from federal grants, must be retained in accordance with the Common Federal Rule. A chart of all the Common Rules and how they apply to funds received from different federal agencies can be found [here](#).

Reports are reports and recommendations about or supporting the magnitude and allocation of expenditures and revenues after the close of a budget cycle. For reports that have significant administrative value, use the retention requirements for Reports in the Administrative Policy Records (GRS-1000.1102).



## VIII. ACCOUNTING RECORDS (GRS 1000.1002)

**Accounting Records** record the evidence of activities and transactions that relate to or affect, in a specific manner, the recording, measuring, interpreting, and communication of financial transactions and data.

If you are responsible for maintaining Accounting Records and your Division has not established any specific retention time frames for accounting records, the following types of accounting records can be destroyed provided that the records are not subject to any specific legal requirements or a legal retention hold. If you have a question whether a record could be subject to litigation please consult with counsel.

- **Bonds:** Three (3) years after the end of the fiscal year.
- **Substantive Correspondence:** Three (3) years after the end of the fiscal year.
- **Declarations:** Three (3) years after the end of the fiscal year.
- **Inventories:** Three (3) years after the end of the fiscal year.
- **Invoices:** Three (3) years after the end of the fiscal year.
- **Purchase Orders:** Three (3) years after the end of the fiscal year.
- **Receipts:** Three (3) years after the end of the fiscal year.
- **Reports:** Three (3) years after the end of the fiscal year.
- **Requests:** Three (3) years after the end of the fiscal year.
- **Requisitions:** Three (3) years after the end of the fiscal year.
- **Vouchers:** Three (3) years after the end of the fiscal year.
- **Warrants:** Three (3) years after the end of the fiscal year.
- **Worksheets:** Three (3) years after the end of the fiscal year.

Ledgers, registries that serve as the formal repository of an agency's financial accounts and transactions, are conditionally archival. When they have been superseded, they should be reviewed and either sent to the archives or destroyed.

Completed Audits may be destroyed three (3) years after they have been superseded.



## IX. STATE LANDS RECORDS (GRS-1254.1114,1103,1146)

**State Land Records** record the evidence of the activities and transactions that relate to or affect in a specific manner, the acquisition, management and relinquishment of specific lands or any right and interest therein by the Departments.

In accordance with MOA entered into on July 9<sup>th</sup>, 2012 regarding the *Administration of State Lands Under the Jurisdiction and Management of the Agency of Natural Resources through its Departments for Forests, Parks and Recreation; Fish and Wildlife; and Environmental Conservation*, FPR Lands Division will serve as the central repository for all State Lands Records.

Nearly all of the records are archival and used on a regular basis. The exceptions to this rule are the Licenses and Special Use Permits for the use of State Lands.\* Licenses are to be destroyed 6 years after the expiration date and Special Use Permits are to be destroyed 3 years after the expiration date provided that the records are not subject to any specific legal requirements or a legal retention hold. If you have a question whether a record could be subject to litigation please consult with counsel.

All records related to the acquisition or relinquishment of land must be submitted to the Lands Division upon the completion of the project. The preference is that these records are sent digitally to the [Lands Administrative and Records Coordinator](#), but paper records will still be accepted. Any records related to the management of State Lands, or anything that documents actions taken on State Land, must also be submitted to the Lands Division, these records should be sent electronically.

All official records will be stored electronically and may be accessed at [YDrive/ANR\\_Lands/LandRecords](#). There is a very helpful ReadMe file that will help you in searching for records.

\* These types of License and Permits are different from those in the “Land Use and Related Permits” Guideline, because these are specifically in relation to activities on State Lands.



## X. INVESTIGATION RECORDS (GRS-1000.1110)

**Investigation Records** record evidence of activities and transactions that relate to or affect, in a specific manner, the systematic examination of an issue to determine its facts, typically in response to a formal request of complaint.

An example of a program in FPR that would be covered under this record schedule is the Acceptable Management Practices (AMP) Program. AMP is covered by this process because it is a complaint driven process. For AMP specific guidelines see [Appendix F](#).

All Investigative Records have a retention time of six years after the investigations is completed or closed. Once they reach the end of their retention time then the custodian of the document must refer to specific program guidance

One investigative record that will always be considered archival is registers, or databases where investigating activities are tracked. This shows the history of what a program has done and makes is so that we do not have to keep all of the other records.

For reports that have significant administrative value such as Annual Reports, use the retention requirements for Reports in the Administrative Policy Records (GRS-1000.1102).

Provided that the records are not subject to any specific legal requirements or a legal retention hold, they will follow the procedure below for conditionally archive records. If you have a question whether a record could be subject to litigation please consult with counsel.



## **XI. MONITORING RECORDS (GRS-1000.1063)**

**Monitoring Records** record evidence of activities and transactions that relate to or affect, in a specific manner, monitoring compliance with statutory and regulatory requirements and/or orders, permits, licenses, and similar authorizations issued by or under the statutory authority of a public agency.

A general guideline for monitoring records will not be put in place, because monitoring activities are so varied and often very specific. Each program has specific requirements and will have guidelines tailored to them. When these are completed they will be added as appendices.

An example of a program in FPR that would be covered under this record schedule is the Use Value Appraisal (UVA) Program. UVA is a program that FPR administers by statute, and one in which FPR is responsible for monitoring landowner compliance. This guideline is currently under construction.

If you are responsible for a monitoring program please get in touch with the Record Officer for your department. For a list of current ANR Records Officers and Records Liaisons, visit <http://anr.vermont.gov/public-records>.





## **XII. LAND USE AND RELATED PERMITS (GRS-1482.1104)**

**Land Use and Related Permits** record the evidence of activities and transactions that relate to or affect, in a specific manner, permitting the division of a parcel into two or more parcels, the construction, reconstruction, conversion, structural alteration, relocation, or enlargement of any of any building or structure, or any mining, excavation, or landfill and any change in the use of any building or other structure, or land, or extension of use of land. While not specifically mentioned in this GRS forestry activities are also covered.

An example of a program in FPR that would be covered under this record schedule is the Heavy Cut. Heavy Cut is covered by this process because, while not strictly a permitting program, land owners are required to apply to FPR prior to conducting a heavy cut and must receive authorization to proceed. For specific guidance on the Heavy Cut Program records please see Appendix G.

All Land Use and Related Permits records will be kept for 15 years after the completion of the permitted activity. With the following exceptions all records may be destroyed,

- *Decisions*
- *Correspondence*
- *Supporting Material*

Provided that the records are not subject to any specific legal requirements or a legal retention hold, they will follow the guidelines specified in program specific appendices. If you have a question whether a record could be subject to litigation please consult with counsel.

For reports that have significant administrative value, use the retention requirements for Reports in the Administrative Policy Records (GRS-1000.1102).



### **XIII. ENFORCEMENT RECORDS (GRS-1000.1033)**

**Enforcement Records** are recorded evidence of activities and transactions that relate to or affect, in a specific manner, enforcing compliance with statutory and regulatory requirements, including local ordinances. Includes enforcement actions related to orders, permits, licenses, and similar authorizations issued by or under the statutory authority of a public agency but does not include judicial, administrative, or legislative adjudicative proceedings.

The Law Enforcement Division is the only group that the Enforcement Records governs. Due to their unique requirements of sensitive information not all of these records will be accessible to the general public or other divisions in the Department these records will be kept in the Department of Public Safety CAD System

- *Deer Damage Claims* 6 years
- *Bear Damage Claims* 6 years
- *Bobcat Bounty Certificates* 3 years
- *Reports: Revocation* 10 years
- *Town Clerk Reports* 3 years
- *Expired Closed Streams* 5 years
- *Warden Daily Reports* 5 years
- *Hatchery Reports* 5 years
- *Certificates of Posted Land* 3 years
- *Investigative Reports* 3 years
- *Conservation Camp Files* 3 years
- *Hunter Firearms Training* 3 years
- *Fish and Game Statistical Reports* 7 years
- *Non-resident License Applications* 3 years
- *Fish and Game Invoice Sheets* 3 years
- *Fish and Game Ledger Books* 3 years
- *Federal Project Documents* 3 years
- *Warden's Activity Reports* 3 years
- *Permanent License Applications* 1 year
- *Commissioner's Correspondence* 10 years
- *State Water Fowl Prints* Retained until Sold



## APPENDIX A

### Transitory Records (GRS-1000.1000): Record Description and Program Examples

Record Category	Description and Examples	
<b>Correspondence (Routine)</b>	Use for any correspondence, produced or received, that is routine in nature and not subject to any specific legal requirements. Includes transmittal letters and correspondence from other agencies that is received for general information purposes only.	
	FPR & FWD Program examples: 1. Transmittal memos/letters/e-mail/facsimile  2. Outgoing requests for information 3. Date triggered bulletins and reminders received (e.g. DHR communications, IT updates) 4. Reminder communications of actions to be taken or items due 5. E-mail: Junk or non-business received or sent 6. Non project specific ANR/FPR & FWD emails	Obsolete: 1. When the correspondence does not add information to that contained in the transmitted or attached material 2. After response received and deemed complete 3. When the trigger date has passed  4. When the response date has passed  5. Upon receipt 6. After reading and responding as required
<b>Drafts</b>	Use for all preliminary or tentative versions of a document that were not shared outside of the agency, not put into practice, or are not the current draft. Drafts that are legally required, acted upon, or applied must be retained according to their intended record type (i.e. policies) as listed in another general record schedule or an agency-specific record schedule. Drafts that are subject to a litigation hold or other legal requirements must be retained.	
	FPR & FWD Program examples: 1. Draft documents created by staff but not published inside or outside the organization. Documents include but are not limited to initial draft memos, permits, licenses, procedures, policies contracts, deeds, and title insurance documents.	Obsolete: 1. When abandoned or superseded.
<b>Notes</b>	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.	
	FPR & FWD Program examples: 1. Project or study notes  2. Calendar and personal planner notes 3. Personal meeting notes	Obsolete when: 1. Incorporated into written document or entered into information tracking system. 2. No longer needed for reference 3. No longer needed for reference or when transcribed/approved version is available
<b>Publications</b>	Use for reproduced or published material received from other offices which require no action; are not required for documentary purposes; and are not part of a case upon which action is being taken or will be taken.	
	FPR & FWD Program examples: 1. Catalogues, trade journals, other publications or newspapers. Also resource, product or seminar brochures 2. Maps or surveys from other departments (Agency of Transportation and US Geological Survey).	Obsolete when: 1. Outdated or superseded  2. No longer needed for reference



<b>Reference Sources</b>	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.	
	FPR & FWD Program examples: 1. Information, guidance, or maps kept only for quick reference or convenience. 2. Outdated policies and administrative procedures that direct work processes. 3. Public Hearing Notices	Obsolete when: 1. No longer needed for reference 2. Superseded or revoked. 3. Required action has been taken.
<b>Requests</b>	Use for requests and responses for forms, publications, records, and other agency information that do not require administration review before, or further action after, the form, publication, record, or other agency information is provided.	
	FPR & FWD Program examples: 1. Orders for maps, bulletins, publications 2. For reporting forms, application forms, training hour reports 3. Requests for copies of records 4. Requests for file review or for information 5. Work orders (IT, BGS, DII, etc)	For all examples, obsolete after response to request is completed or sent.
<b>Worksheets</b>	Use for forms, checklists and other worksheets used to prepare or update a formal or ongoing record or informally track workflow.	
	FPR & FWD Program examples: 1. Data entry checklists, monitoring report logs, checklists of expiring certificates, licenses and/or permits 2. Task and to do lists – personal reminder information Data entry or action checklists to track progress of an activity 3. Printed database outputs used for proofreading and quality control purposes	For all examples obsolete when activities complete or data logged into system.



## APPENDIX B

### Operational/Management Records (GRS-1000.1103): Record Description and Program Examples

Record Category	Description and Examples	
<b>Agreements</b>	Use for informal agreements concerning internal and interagency coordination, general management, internal workflows and/or processes. Includes significant supporting materials, including meeting minutes and substantive correspondence.	
	FPR & FWD Program examples: <ol style="list-style-type: none"> <li>1. Minutes detailing agreed upon actions to be taken.</li> <li>2. Memos informing staff about agreements about future projects.</li> </ol>	Expired When: <ol style="list-style-type: none"> <li>1. The described action is taken.</li> <li>2. The project is completed.</li> </ol>
<b>Calendars</b>	Use for schedules of meetings and related events.	
	FPR & FWD Program examples: <ol style="list-style-type: none"> <li>1. Outlook Calendars</li> </ol>	Obsolete: <ol style="list-style-type: none"> <li>1. At the end of the calendar year.</li> </ol>
<b>Plans (reports) and Studies</b>	Use for planning documents, studies and other evaluations related to day-to-day operations, internal workflows and processes. Includes significant supporting materials, including meeting minutes and substantive correspondence.	
	FPR & FWD Program examples: <ol style="list-style-type: none"> <li>1. Project Plans</li> <li>2. Inventories</li> </ol>	Completed/Closed when: <ol style="list-style-type: none"> <li>1. The project is completed.</li> <li>2. The inventory is superseded</li> </ol>
<b>Procedures</b>	Use for sets of instructions and directives that govern general management and/or internal workflow and processes. Includes significant supporting materials, including meeting minutes and substantive correspondence.	
	FPR & FWD Program examples: <ol style="list-style-type: none"> <li>1. Long Range Management Planning Binder</li> </ol>	Superseded when: <ol style="list-style-type: none"> <li>1. A new Binder is approved.</li> </ol>
<b>Reports</b>	Use for internal reports, including statistical reports, that are used to communicate and/or document general management, internal workflows and processes. Includes significant supporting materials, including meeting minutes and substantive correspondence.	
	FPR & FWD Program examples: <ol style="list-style-type: none"> <li>1. Staff reports</li> <li>2. Presentations at meetings</li> </ol>	Obsolete: <ol style="list-style-type: none"> <li>1. At the end of the calendar year.</li> <li>2. At the end of the calendar year.</li> </ol>



## APPENDIX C

### Administrative Policy Records (GRS-1000.1102): Record Description and Program Examples

Record Category	Description and Examples	
<b>Agendas</b>	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 materials.	
	FPR & FWD Program examples: 1. Agendas for all meetings.	Obsolete: 1. At the end of the calendar year.
<b>Annual and Similar Reports</b>	Use for annual reports and similar reports, usually required by State or Federal law, documenting activities and accomplishments. Includes significant supporting documents.	
	FPR & FWD Program examples: 1. Department and program annual reports	Send to archives: 1. At the end of the calendar year.
<b>Calendars</b>	Use for schedules of meetings and related events.	
	FPR & FWD Program examples: 1. Outlook Calendars	Obsolete: 1. At the end of the calendar year.
<b>Formal Agreements</b>	Use for formal agreements, such as interagency agreements and memorandums of understanding, concerning policies and procedures. Includes significant supporting materials.	
	FPR & FWD Program examples: 1. Memorandums of Understanding 2. Memorandums of Agreement 3. Cooperative Agreements	Expired When: 1. Superseded or end date is reached. 2. Superseded or end date is reached. 3. Superseded or end date is reached.
<b>Legal Notices</b>	Use for official, written statement, notices, or announcements that are required by law.	
	FPR & FWD Program examples: 1. Long Range Management Plan Public hearing notice	Obsolete: 1. At the end of the calendar year
<b>Plans, Policies, and Procedures</b>	Use for strategic plans or similar planning documents, written statements the outline agency or program guiding principles, and sets of substantive instructions or procedures that govern the administration of a public agency and/or policy development.	
	FPR & FWD Program examples: 1. State Comprehensive Outdoor Recreation Plan 2. Land Use Policy	Superseded when: 1. New plan is made every five years. 2. New Policy is approved.
<b>Press Releases</b>	Use for official agency statements distributed to the press that relate to the agency's administration and/or the formulation or development of Policy.	
	FPR & FWD Program examples: 1. Announcement of new policy	Obsolete: 1. At the end of the calendar year.
<b>Substantive Correspondence and Studies</b>	Use for any study or correspondence transmitted or received that has significant administrative value and/or documents policy development.	
	FPR & FWD Program examples: 1. Emails regarding policy 2. Letters 3. Study (example; Study on Existing Research on the Impact of ATV use on State Lands)	Completed/Closed when: 1. Policy is approved. 2. Policy is approved. 3. Policy is approved.



## APPENDIX D

### Forest Legacy Program Record Keeping –Based on the Forest Legacy Program Implementation Guidelines, “Appendix Q” (Revised 2017)

The following specifies what documents the State Lead Agency, FPR, is responsible for in accordance with the State’s recordkeeping policy and the requirements of the Forest Legacy Program for each closed Forest Legacy tract. These documents are separated into two categories: (1) Mandatory – documents that the State is required to obtain and maintain, and (2) Recommended – documents that are good for the State to obtain, but existing federal program guidance does not require it. All final documents shall be held in perpetuity by the State Lead Agency or its designee (required State central archive) in a safe location. Copies of required FLP documents shall be easily accessible for inspection during Quality Assurance Inspections (QAI) or FLP Program Reviews. No later than 3 months after closing, a complete set of documents shall be in its safe location and copies of any outstanding documents forwarded to the Forest Service (see Table 2 below).

All Forest Legacy Program documents must be kept as electronic files in the ANR Land Records or appropriate folders on the Y-drive. Files must be updated periodically so the documents can be accessed using current technology. All original deeds and other recorded documents are kept in hardcopy. Such documents are delivered to the Secretary of State’s office where they are kept in perpetuity per the requirements of that office. Scanned copies of these documents are kept in the ANR Land records.

#### **Mandatory Documents – to be held in perpetuity for each closed tract:**

1. Current landowner contact information (name, address, phone, email). (Y-drive)
2. Original signed Baseline Documentation Report and any updates. (ANR Land Records)
3. Original signed Conservation Plan map and any updates (ANR Land Records)
4. Recorded acquired interest in land (whether conservation easement or fee deed) with signatures and copy of deed for each subsequent landowner. (ANR Land Records, originals to SOS)
5. Final title insurance policy or letter from the State assuring title. (ANR Land Records)
6. Minerals determination (if mineral rights are severed). (ANR Land Records)
7. Final appraisal, with appraisal instructions, and appraisal review report indicating appraisal conformance with Uniform Appraisal Standards for Federal Land Acquisitions (Yellow Book). (Donated tracts can use another documented value analysis and appraisal instructions are not required.) (ANR Land Records)
8. Certification of appraiser and non-Federal review appraiser, in accordance with the Forest Legacy Implementation Guidelines Section 16 – Appraisal and Appraisal Review (usually contained in the appraisal). (ANR Land Records)
9. Current Forest Stewardship or Multi-Resource Management Plan. (Y-drive)
10. Settlement/Closing Statement, including signatures, or other proof of payment (copy of check or electronic funds transfer). (ANR Land Records)
11. Monitoring records/history (not required for fee acquisitions). (Y-drive)



12. Amicable Agreement Acknowledgment or documentation that the landowner has been notified of the appraised value and understands that FLP is a voluntary program. (ANR Land Records)
13. Documentation of establishing value for cost-share tracts if used for cost share. (ANR Land Records)
14. For donated tracts, letter or other form of documentation of the landowner's willingness to use property as cost share for FLP (usually contained in the deed/conservation easement). (ANR Land Records)
15. Copy of Grant documents. (Y-drive)
16. Amendments to conservation easements (ANR Land Records)

**Recommended (to be held in perpetuity for each tract):**

1. Copies of any leases, covenants, or other restrictions on the use of the property. (ANR Land Records)
2. Environmental site inspection/assessment documentation, including hazardous materials review (if inspection completed for the tract). (ANR Land Records)
3. Documentation of transaction/negotiation summary and history: (ANR Land Records)
  - a. Landowner inspection consent agreement (if applicable).
  - b. Option agreement (if State entered into such agreement).
  - c. Notification of county or local government
  - d. Maps of FLP tracts including conservation easement or fee acquisition and cost-share tracts.

**Table 2. Mandatory and Recommended FLP Project Documentation for States**

DOCUMENTS	CONSERVATION EASEMENT	FEE PURCHASE	DONATED COST SHARE	DONATED NON-COST SHARE
1. Current landowner info	X	X	X	X
2. Original and updates to Baseline Documentation Report	X		**X	**X
3. Recorded acquired interest in land, CE or fee deed	X	X	X	X
4. Title insurance policy	X	X		
5. Minerals determination	X	X	**X	**X
6a. Final Appraisal with appraisal instructions and technical appraisal review report that meets Yellow Book standards	X	X		
6b. For donated tracts, a documented value analysis			X	X
7. Certification of appraiser and review appraiser qualifications	X	X		
8. Current approved Multi-Resource Management Plan	X	X	X	X
9. Copy of settlement/closing statement and check or EFT statement	X	X		
10. Monitoring Records	X		X	X
11. Amicable agreement acknowledgment	X	X		





12. Documentation establishing value of cost-share tracts	X		X	
13. Landowners willingness to use property as cost share			X	
14. Grant documents required by the State	X	X		
*15. Amendments to conservation easements	X		X	X
**16. Copies of leases, covenants, or other restrictions	X	X	X	X
**17. Environmental site inspection report	X	X	X	X
**18. Documentation of location of transaction/negotiation summary and history (items a.-d.)	X	X		

CE = Conservation Easement

EFT = Electronic Funds Transfer

FLP = Forest Legacy Program.

\*New items – Not required in December 21, 2011, Recordkeeping Policy

\*\*Recommended

## Program Records

The following mandatory program documents are required to be held in perpetuity at the State level. In addition, recommended documents, if kept, are required to be held in perpetuity. (See Table 4 below.)

### Mandatory

1. Self-certifying statement for all fee tracts acquired through the FLP, documenting condition and confirming that they have not been converted to another use. (Y-Drive)
2. State FLP program reviews. (Y-Drive)
3. Quality Assurance Inspections and QAI follow-up reports. (Y-Drive)
4. State Forest Action Plans, including Assessment of Needs incorporated by reference. (ANR Land Records)
5. FLP-applicable State policies, including enforcement policy, monitoring policy, and recordkeeping policies. (ANR Land Records)

### Recommended (to assist with succession planning and continuity of the State FLP)

1. Documentation of the State's policy on FLP, which may include, but is not limited to, FLP promotions and annual solicitation for new FLP projects, and outreach efforts. (Y-drive)
2. Action plans from FLP program reviews and QAIs. (Y-drive)
3. Documentation of State Forest Stewardship Coordinating Committee (SFSCC) meetings. (Y-drive)



**Table 4. State Mandatory and Recommended FLP Program Documentation**

DOCUMENTS	MANDATORY
1. State’s “self-certifying statement” for all fee tracts acquired through the FLP, documenting condition and confirming that they have not been converted to another use	X
2. State FLP program reviews	X
3. Quality Assurance Inspections and QAI follow-up reports	X
4. State Forest Action Plans, including Assessment of Needs incorporated by reference	X
5. FLP-applicable State policies, including enforcement policy, monitoring policy, and record keeping policies	X
6. Document the State’s policy on FLP, which may include, but is not limited to, FLP promotions and annual solicitation for new FLP projects, and outreach efforts	**
7. Action plans from FLP program reviews and QAIs	**
8. Documentation of State Forest Stewardship Coordinating Committee meetings	**

FLP = Forest Legacy Program  
 QAI = Quality Assurance Inspections.  
 \*\*Recommended

**Recommended Recordkeeping Storage Practices**

To ensure the documents are in a “safe location” and held in perpetuity, it is recommended that States follow the industry standards for recordkeeping, as described in Practice 9G of the Land Trust Standards and Practices found at [www.landtrustaccreditation.org](http://www.landtrustaccreditation.org). These standards include:

- Keeping originals and copies of all documents in separate locations;
- Protecting original documents from daily use and from fire, floods, and other foreseeable hazards; and
- Developing systems for any electronically stored documents to ensure the data are updated periodically so the documents can be accessed using current technology.



## APPENDIX E

Land and Water Conservation Fund Program Record Keeping – Source [\*Land and Water Conservation Fund State Assistance Program: Federal Financial Assistance Manual\*](#), Chapter 7, Section D.

- a. Financial records, supporting documents, statistical records, and all other records pertinent to a grant program shall be retained for a period of three years after final payment on a project. The records shall be retained beyond the 3 year period if audit findings have not been resolved.
- b. State and local governments are authorized to substitute electronic copies in lieu of original records.
- c. The Secretary of the Interior and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers, and records of the state and local governments and their subgrantee that are pertinent to a specific project for the purpose of making audits, examinations, excerpts and transcripts.



## **APPENDIX F**

Acceptable Management Practices program guidelines:

All AMP investigation records may be destroyed 6 years after the investigation is completed or closed.

An investigation is completed when a violation is not found upon inspection and the inspection reports have been entered into the AMP database.

In an instance where a violation is found the investigation will be considered completed after the corrective actions have been taken and the database has been fully updated.



## APPENDIX G

Heavy Cut program guidelines:

All Heavy Cut records may be destroyed 15 years after the allowed cutting is completed.

A heavy cut is completed the timber harvesting site has been closed out, no violations have occurred, and the database has been fully updated.

In an instance where a violation is found the heavy cut will be considered completed after the corrective actions have been taken and the database has been fully updated.