

# Agency of Natural Resources

Central Office

## Records Management Policy

Effective: January 26, 2018



Signed, Secretary Julia S. Moore, P.E.



**AGENCY OF NATURAL RESOURCES**

*Respect. Protect. Enjoy.*

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# RECORDS MANAGEMENT POLICY

## PURPOSE

All Vermont public agencies are responsible for creating, managing and disposing of records in accordance with State and Federal laws and regulations. This policy is to ensure that all Agency of Natural Resources Central Office (“ANR CO” or “Agency”) employees conform to and are aware of those mandates. This document, outlining policy and guidelines, pertains only to the records of the Agency of Natural Resources Central Office and does not extend to the departments which are housed within the Agency; The Department of Environmental Conservation; Fish & Wildlife; and Forest Parks and Recreation. Each department has a unique records management policy which can be obtained by contacting the individual Departments.

## SCOPE

All ANR CO 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.”

## POLICY STATEMENT

It is the policy of ANR CO 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.

## UNIFORM LAWS, STANDARDS AND PROCEDURES

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

## 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.

## **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 Agency Records Officer on December 3, 2013.

## **Agency- Specific Record Schedules (SRS)**

Agency-Specific Record Schedules (SRS) are approved by the Vermont State Archivist for specific records. Currently, ANR CO does not have any SRS. SRS for Departments within the Agency can be found here at <http://vermont-archives.org/records/schedules/agency>.

## **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. DOs may still be applied to Agency records if the requirements of the orders do not conflict with current legal or administrative requirements of the Agency and have not been superseded by a record schedule. ANR CO does not have any DOs. DOs for Departments within the Agency can be found here <http://vermont-archives.org/records/schedules/orders/>.

## **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.

## **RECORDS MANAGEMENT GUIDELINES**

The Records Management Guidelines incorporated into this policy shall be used for the systematic management of records within the Agency of Natural Resources Central Office.

ANR CO 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, ANR CO employees shall follow the Records Management Guidelines contained within this document.

Any internal policy or procedure for applying GRS must be approved by the ANR CO Records Officer.

## **REVISION HISTORY**

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

# RECORDS MANAGEMENT GUIDELINES

## INTRODUCTION TO RECORDS MANAGEMENT

All records created in the course of business both to and from the Agency Central Office, 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 Agency.

Records management only works effectively when all staff members 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 destroyed. 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 ANR CO Records Officer. Record types that are designated as *archive* 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 department 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 ANR CO Records Officer to create a program specific records retention guideline.

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 ANR CO's Records Officer. For a list of current ANR Records Officers and Records Liaisons, visit <http://anr.vermont.gov/public-records>.

## TRANSITORY RECORDS (GRS-1000.1000)

**Transitory Records** are only needed 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.

It is appropriate to use OneDrive for Business for Transitory Records.

- **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 Agency. 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 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!**



## 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.

Retain records associated with financial transactions until audit has been completed or closed in accordance with State and Federal laws and regulations. Registers or systems that serve as the formal repository of an agency's financial accounts and transaction (general ledger) shall be retained until the repository is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value. Supporting documentation, such as invoices, receipts, vouchers, etc., shall be destroyed after audit provided that all legal recordkeeping requirements established by State and Federal law have been met. A copy of an agency's most recent audit report must be retained at all times and earlier reports shall be retained three years from the date of receipt and then destroyed, unless they have significant administrative value. If administratively significant, retain permanently and follow the retention requirements for Reports in GRS-1000.1102. Accounting reports with significant administrative value shall also be retained permanently in accordance with Reports in GRS-1000.1102. Management Letters received following an audit shall be retain permanently and follow the retention requirements for Correspondence (Substantive) in GRS-1000.1102.

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.

- **Audits:** Retain until superseded then three (3) years – Destroy (General)
- **Bonds:** Retain until audit complete – Destroy (General)
- **Substantive Correspondence:** Retain until audit complete – Destroy (Shred)
- **Declarations:** Retain until audit complete – Destroy (General)
- **Inventories:** Retain until audit complete – Destroy (General)
- **Invoices:** Retain until audit complete – Destroy (General)
- **Ledgers:** Retain until superseded - Confirm
- **Purchase Orders:** Retain until audit complete – Destroy (General)
- **Receipts:** Retain until audit complete – Destroy (General)
- **Reports:** Retain until audit complete – Destroy (General)
- **Requests:** Retain until audit complete then one (1) year – Destroy (General)
- **Requisitions:** Retain until audit complete – Destroy (General)
- **Vouchers:** Retain until audit complete – Destroy (General)
- **Warrants:** Retain until audit complete – Destroy (General)
- **Worksheets:** Retain until audit complete – Destroy (General)

## AUDIT RECORDS (GRS-1000.1007)

**Audit Records** record evidence of activities and transactions that relate to or affect, in a specific manner, audits conducted by the Agency to examine and verify accounts and records and/or to certify that a practice or set of practices are being conducted in accordance with established principles.

For routine or recurring audits to ensure internal compliance with agency policies and procedures use GRS-1000.1103 (Operational/ Managerial Records).

Final reports issued at the conclusion of a financial or performance audit or other independent examination, as well as supporting materials such as auditors' working papers and requests or petitions to conduct an audit, shall be retained until the audit is complete, plus three (3) years and then destroyed. If a report has significant administrative value, retain permanently and use the retention requirements in GRS-1000.1102 (Administrative Policy Records).

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 auditing process may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory Records).

If you are responsible for maintaining audit records and your Division has not established any specific retention time frames for audit records, the following types of audit 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.

- **Contracts:** Retain until expired, then three (3) years – Destroy (General)
- **Legal Notices:** One (1) year after audit is completed – Destroy (General)
- **Petitions:** Three (3) years after audit is completed – Destroy (General)
- **Reports:** Three (3) years after audit is completed or permanent retention if have administrative value – Destroy (General)
- **Schedules:** When the schedule has been superseded – Destroy (General)
- **Supporting Material:** Three (3) years after audit is completed – Destroy (Shred)

## 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 – Destroy (General)
- **Legal Notices:** One (1) year after grant is completed/closed – Destroy (General)
- **Plans:** Three (3) years after grant is completed/closed – Destroy (General)
- **Reports:** Three (3) years after fiscal year ends – Destroy (General)

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).

## ADMINISTRATIVE POLICY RECORDS (GRS-1000.1102)

**Administrative Policy Records** relate to the administration of the Agency 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. Does not include rulemaking pursuant to the Administrative Procedure Act. Examples and details of each type of records can be found in [Appendix B](#).

The Secretary and Division Directors are usually the creators or recipients of Administrative Policy Records. In limited circumstances, professional staff and specialists may create or receive 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.

- **Authorizations:** Retain until expired, then three (3) years – Archives
- **Declarations:** Retain until completed, then three (3) years – Archives
- **Formal Agreements:** Retain until expired, then three (3) years - Confirm
- **Substantive Correspondence (Includes Significant Supporting Material):** Retain until completed, plus three (3) years -Archives
- **Meeting Minutes:** Retain until calendar year ends, plus three (3) years – Archives
- **Plans:** Retain until superseded, plus three (3) years – Archives
- **Policies:** Retain until superseded, then three (3) years – Confirm
- **Procedures:** Retain until superseded, then three (3) years – Confirm
- **Annual and Similar Reports:** Retain until calendar year ends, plus three (3) years – Archives
- **Studies:** Retain until completed/closed, then three (3) years – Archives
- **Waivers:** Retain until expired, then three (3) years – Confirm

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.

- **Accounts (Statements, Routine):** Retain until completed/closed then three (3) years – Destroy (General)
- **Agendas:** If agenda is accurately reflected in the meeting minutes, Retain until the calendar year ends, then one (1) year – Destroy (General)
- **Calendars:** Retain until the calendar year ends, then one (1) year – Destroy (General)
- **Grants:** Retain until calendar year ends, then three (3) years – Destroy (General)
- **Legal Notices:** Retain until completed/closed, then one (1) year – Destroy (General)
- **Press Releases:** Retain until the calendar year ends, then one (1) year – Destroy (General)

## 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 the Agency. 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. Do not include rulemaking pursuant to the Administrative Procedure Act.

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 – Destroy (General)
- ***Calendars***: One (1) year after the calendar year ends – Destroy (General)
- ***Logs***: Retain until superseded – Destroy (General)
- ***Internal Plans (Reports)***: Retain until completed then three (3) years – Destroy (General)
- ***Studies***: Three (3) years after the study has been completed – Destroy (General)
- ***Procedures***: Three (3) years after the procedure has been superseded by a revised or new procedure – Destroy (General)
- ***Internal Reports***: Retain until closed, then three (3) years – Destroy (General)

Regardless of your position in the ANR CO, 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 C](#).

## GRANT MANAGEMENT RECORDS (GRS 1633.1110)

**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 the ANR CO for a specific purpose. This records schedule **does not** include administrative, operational, and fiscal records of the Agency, or the granting program itself, or records of any grants received.

Records related to federal grants, should be treated with special care. Federal standards maintain that these records are held in perpetuity.

If a grant is extended beyond the original end date, Grant Management Records must be retained for the appropriate amount of time from the new end date, rather than the original.

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-1000.1102).

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:** Retain until expired then three (3) years – Destroy (General)
- **Applications:** Retain until completed/closed then three (3) years – Destroy (General)
- **Audits:** Retain until completed/closed then three (3) years – Destroy (General)
- **Decisions:** Retain until completed/closed then three (3) years – Destroy (General)
- **Invoices:** Retain until completed/closed then three (3) years – Destroy (General)
- **Registers:** Retain until superseded – Confirm
- **Reports:** Retain until completed/closed then three (3) years – Destroy (General)
- **Supporting Material:** Retain until completed/closed then three (3) years – Destroy (General)
- **Waivers:** Retain until completed/closed then three (3) years - Destroy(General)

## 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, other staff members 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 – Destroy (Shred)
- **Bids:** Three (3) years after contract has expired – Destroy (Shred)
- **Certificates:** Three (3) years after contract has expired – Destroy (Shred)
- **Contracts:** Three (3) years after contract has expired – Destroy (Shred)
- **Routine Correspondence:** Retain until obsolete – Destroy (General)
- **Substantive Correspondence:** Three (3) years after contract has expired – Destroy (General)
- **Decisions:** Three (3) years after contract has expired – Destroy (Shred)
- **Declarations:** Three (3) years after contract has expired – Destroy (General)
- **Lists:** Three (3) years after contract has expired – Destroy (Shred)
- **Legal Notices:** One (1) year after contract is completed/closed – Destroy (Shred)
- **Opinions:** Three (3) years after contract has expired – Destroy (Shred)
- **Plans/Reports:** Three (3) years after contract has expired – Destroy (Shred)
- **Reference Sources:** One (1) year after contract is completed/closed – Destroy (General)
- **Registers:** Three (3) years after it is superseded – Destroy (Shred)
- **Requests, includes Requests for Proposals:** Three (3) years after contract has expired - Destroy (Shred)
- **Waivers:** Three (3) years after contract has expired – Destroy (Shred)
- **Worksheets:** Three (3) years after contract has expired – Destroy (Shred)

## 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 State of Vermont.

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.\* The following retention rules apply, 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.***

### *Land Acquisition*

With the exception of legal notices and registers, retain records related to a land acquisition for a minimum of six (6) years after the land or any right and interest therein is relinquished to an entity other than the State of Vermont and then destroy unless the land acquisition itself is considered major or significant. Registers or systems that provide for the systematic and regular recording of land acquisition activities shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value. Retain Legal Notices until closed plus one additional year.

### *Land Management*

Retain conveyances and substantive correspondence related to a specific state land and plans (drawings) of any structures on the land for a minimum of six (6) years after the land or any right and interest therein is relinquished to an entity other than the State of Vermont and then destroy unless the land or its management and use is considered major or significant. For major or significant lands, contact the Vermont State Archives and Records Administration (VSARA) for further appraisal; records must meet the criteria of major or significant in "Vermont Archival Records" to be identified as permanent (archival).

### *Land Relinquishment Records*

With the exception of legal notices and registers, retain records related to a land relinquishment for a minimum of six (6) years after the land or any right and interest therein is relinquished to an entity other than the State of Vermont and then destroy unless the land relinquishment itself is considered major or significant. For major or significant land relinquishments, contact the Vermont State Archives and Records Administration (VSARA) for further appraisal; records must meet the criteria of major or significant in "Vermont Archival Records" to be identified as permanent (archival).



All records related to the acquisition or relinquishment of land must be submitted to the Lands Division upon the completion of the project. 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. Each of the district offices will continue to hold paper copies of the lands records, but the 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.

## INVESTIGATION RECORDS (GRS 1000.1100)

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.

With the exception of legal notices and registers, retain records related to an investigation for a minimum of six (6) years after the investigation is officially completed or closed and then destroy by shredding unless the final report has significant administrative value or the investigation itself is considered major or significant.

If the investigative report has significant administrative value, use the retention requirements for Reports in GRS-1000.1102 (Administrative Policy Records) and retain only the report permanently. For major or significant investigations, gather all existing records and contact the Vermont State Archives and Records Administration (VSARA) for further appraisal; records must meet the criteria of major or significant in "Vermont Archival Records" to be identified as permanent (archival).

Registers or similar systems that provide for the systematic and regular recording of complaints and investigation activities shall be retained until the register is superseded and then appraised by VSARA for continuing value.

Legal notices shall be retained as specified in this record schedule, but transitory records created or received as part of an investigation may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory 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.

- ***Complaints:*** Retain until six (6) years after investigation completed/closed – Confirm
- ***Decisions:*** Retain until six (6) years after investigation completed/closed – Confirm
- ***Evidence:*** Retain until six (6) years after investigation completed/closed – Confirm
- ***Notes:*** Retain until six (6) years after investigation completed/closed – Confirm
- ***Legal Notices:*** Retain until one (1) year after investigation completed/closed – Destroy (General)
- ***Registers:*** Retain until superseded – Confirm
- ***Reports:*** Retain until six (6) years after investigation completed/closed – Confirm
- ***Supporting Material:*** Retain until six (6) years after investigation completed/closed – Confirm

## 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.

Monitoring agreements and plans, including waivers, shall be retained until expired, plus three (3) years, and then destroyed. Declarations and other formal statements related to compliance may be destroyed when superseded by a more recent statement. The latest statement received shall be retained until the monitoring plan or agreement has expired, plus three (3) years, and then destroyed.

Retain reports and similar narratives issued by the agency, including relevant supporting material, until the report is completed, plus an additional three (3) years, and then destroy if the report does not have significant administrative value. If a report has significant administrative value, retain permanently and use the retention requirements for Reports in GRS-1000.1102 (Administrative Policy Records).

Registers or systems that provide for the systematic and regular recording of monitoring information or activities 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 monitoring process may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory 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.

- ***Agreements:*** Retain until expired then three (3) years – Destroy (General)
- ***Declarations:*** Retain until superseded – Destroy (General)
- ***Logs:*** Retain until superseded then one (1) year – Destroy (General)
- ***Legal Notices:*** Retain until completed/closed then one (1) year – Destroy (General)
- ***Plans (Reports):*** Retain until expired then three (3) years – Destroy (General)
- ***Registers:*** Retain until superseded – Confirm
- ***Reports:*** Retain until completed/closed then three (3) years – Destroy (General)
- ***Supporting Material:*** Retain until obsolete – Destroy (General)
- ***Waivers:*** Retain until expired then three (3) years – Destroy (General)

## 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.

Decisions, relevant supporting material, and substantive correspondence concerning the permitting of land development must be retained until the permit is denied, revoked, or expired and compliance with the conditions outlined in the permit is no longer required. Following the revocation or expiration of a land development permit, retain records for an additional fifteen (15) years and then destroy if permit (and any amendments and revocations) have been recorded in local land records. Permit denials are not required to be recorded and shall be retained for a minimum of three (3) years after the date of denial.

Registers or systems that serve as the official list of land development permits shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration (VSARA) for continuing value. For decisions, relevant supporting material, and substantive correspondence related to expired or revoked permits that have not been recorded in local land records or permits that provide legal status, rights, and entitlements that do not expire, contact the Vermont State Archives and Records Administration (VSARA) for further appraisal and possible transfer into the Vermont State Archives.

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 permitting process may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory 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.

- ***Applications***: Retain until completed/closed then three (3) years – Destroy (General)
- ***Authorizations***: Retain until expired – Destroy (General)
- ***Certificates***: Retain until superseded then three (3) years – Destroy (General)
- ***Correspondence (Substantive)***: Retain until expired then fifteen (15) years – Confirm
- ***Decisions***: Retain until expired then fifteen (15) years – Confirm
- ***Legal Notices***: Retain until completed/closed then fifteen (15) years – Destroy (General)
- ***Registers***: Retain until superseded – Confirm
- ***Supporting Material***: Retain until expired then fifteen (15) years - Confirm

## 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.

With the exception of agreements, legal notices, and registers, retain records related to an enforcement action for a minimum of six (6) years after the enforcement action is officially completed or closed and then destroy by shredding unless a report has significant administrative value or the enforcement action itself is considered major or significant.

If a report has significant administrative value, use the retention requirements for Reports in GRS-1000.1102 (Administrative Policy Records) and retain only the report permanently. For major or significant enforcement actions, gather all existing records and contact the Vermont State Archives and Records Administration (VSARA) for further appraisal; records must meet the criteria of major or significant in "Vermont Archival Records" to be identified as permanent (archival).

Registers or similar systems that provide for the systematic and regular recording of enforcement activities shall be retained until the register is superseded and then appraised by VSARA for continuing value. Other records shall be retained as specified in this record schedule, with the exception of transitory records. Transitory records created or received as part of an enforcement action may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory 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.

- **Agreements:** Retain until expired then six (6) years – Confirm
- **Complaints:** Retain until completed/closed then six (6) years – Confirm
- **Correspondence (Substantive):** Retain until completed/closed then six (6) years – Confirm
- **Decisions:** Retain until completed/closed then six (6) years – Confirm
- **Legal Notices:** Retain until completed/closed then one (1) year – Destroy (General)
- **Orders:** Retain until completed/closed then six (6) years – Confirm
- **Registers:** Retain until superseded – Confirm
- **Reports:** Retain until completed/closed then six (6) years – Confirm
- **Supporting Material:** Retain until completed/closed then six (6) years – Confirm
- **Waivers:** Retain until completed/closed then six (6) years – Confirm

## LENDING AND LOAN RECORDS (GRS 1633.1157)

**Lending and Loan Records** are recorded evidence of activities and transactions that relate to or affect, in a specific manner, the lending of public funds by a public agency or pass-through public agency for a specific purpose, activity and/or project. Currently this procedure applies to the DEC Underground Storage Tank Loan Program and the Facility Engineering Division design and construction of Facilities and Infrastructure for ANR. Does not include administrative, operational and accounting records of the lending authority or the lending program itself or records of any loans received by a public agency.

Unless otherwise specified on this schedule, lending and loan records shall be retained until the loan agreement has expired and the loan period is completed/closed, plus an additional three (3) years, then destroyed. Loans involving the purchase of real property or equipment may, for some lending programs, require the real property or equipment to no longer be owned or in the possession of the loan recipient before the loan is completed/closed. Completed/closed means lending/loans records are retained until the loan agreement has expired and the loan has been fully repaid.

For final reports received from loan recipients that have significant administrative value, retain permanently and follow the retention requirements for Reports in GRS-1000.1102 (Administrative Policy Records).

Registers, databases or similar systems that provide for the systematic and regular recording of activities related to the lending of funds shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration (VSARA) for continuing value.

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.

- **Agreements:** Retain until expired then three (3) years – Destroy(General)
- **Applications:** Retain until completed/closed then three (3) years - Destroy(General)
- **Audits:** Retain until completed/closed then three (3) years - Destroy(General)
- **Decisions:** Retain until completed/closed then three (3) years - Destroy(General)
- **Registers:** Retain until superseded – Confirm
- **Reports:** Retain until completed/closed then three (3) years - Destroy(General)
- **Supporting Material:** Retain until completed/closed then three (3) years - Destroy(General)
- **Waivers:** Retain until completed/closed then three (3) years - Destroy(General)

## PROFESSIONAL SERVICES – LICENSING (GRS 1181.1059)

**Professional Services – Licensing** are recorded evidence of activities and transactions that relate to or affect, in a specific manner, professional licensing and certification programs including: Designer License; Wastewater Treatment Facility Operator Certification; Waste Haulers; Water Supply Operator Certification; and Well Driller Licensing programs.

Retain decisions and any critical supporting documents until the applicant or licensee has passed away or 50 years from the date of denial or license expiration, whichever is less. Registries, recording books, and similar records and systems are to be retained permanently.

Applications shall be retained until they are no longer needed administratively and then destroyed. Authorizations shall be retained until superseded by a final decision or one year after the authorization expires, whichever is less. Renewal certifications shall be retained until expired plus one year, then destroyed.

Any application, authorization or certificate that is also considered as the only evidence of a final decision shall follow the retention requirements for decisions. Incomplete applications shall be retained until the time frame for completing the application has expired and then destroyed when longer needed administratively.

Procedural records, such as legal notices, pleadings and reports shall be retained until the process or procedure by which they were created is completed or closed, plus the retention time specified in this schedule, and then destroyed. Reports required by law to be generated shall be retained for one year following the date of issuance, then destroyed.

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.

- ***Applications:*** Retain until obsolete – Destroy (Shred)
- ***Authorizations:*** Retain until expired then one (1) year – Destroy (Shred)
- ***Certificates:*** Retain until expired then one (1) year – Destroy (Shred)
- ***Correspondence (Routine):*** Retain until obsolete – Destroy (Shred)
- ***Correspondence (Substantive):*** Retain until expired then fifty (50) years – Destroy (Shred)
- ***Decisions:*** Retain until expired then fifty (50) years – Destroy (Shred)
- ***Legal Notices:*** Retain until completed/closed – Destroy (Shred)
- ***Pleadings:*** Retain until completed/closed – Destroy (Shred)
- ***Registers:*** Retain until completed/closed – Archives
- ***Reports:*** Retain until completed/closed then one (1) year – Destroy (General)

## CONTAMINATED SITES REMEDIATION RECORDS (SRS 1019.1130)

This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the remediation of contaminated properties to eliminate contamination or reduce the amount to an acceptable level.

Retain certificates, decisions, declarations, and orders until regulatory action concerning a specific site is completed, plus an additional ten (10) years, and then transfer to the Vermont State Archives & Records Administration (VSARA) for permanent preservation.

Plans, reports, and supporting material shall be retained until regulatory action concerning a specific site is completed, plus an additional ten (10) years. For major or significant regulatory actions, contact the Vermont State Archives & Records Administration (VSARA) for further appraisal; records must meet the criteria in "Vermont Archival Records" for major or significant in order to be identified as permanent (archival).

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.

- ***Applications:*** Retain until completed/closed then ten (10) years – Destroy (Shred)
- ***Certificates:*** Retain until completed/closed then ten (10) years – Archives
- ***Decisions:*** Retain until completed/closed then ten (10) years – Archives
- ***Declarations:*** Retain until completed/closed then ten (10) years – Archives
- ***Legal Notices:*** Retain until completed/closed then ten (10) years – Destroy (General)
- ***Orders:*** Retain until completed/closed then ten (10) years – Archives
- ***Petitions:*** Retain until completed/closed then ten (10) years – Destroy (General)
- ***Plans:*** Retain until completed/closed then ten (10) years – Confirm
- ***Reports:*** Retain until completed/closed then ten (10) years – Confirm
- ***Schedules:*** Retain until completed/closed then ten (10) years – Destroy (General)
- ***Supporting Material:*** Retain until completed/closed then ten (10) years – Confirm



## APPENDIX A: Transitory Records

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.	
	<b>Examples:</b> 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 emails	<b>Obsolete:</b> 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.	
	<b>Examples:</b> 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.	<b>Obsolete:</b> 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.	
	<b>Examples:</b> 1. Project or study notes  2. Calendar and personal planner notes 3. Personal meeting notes	<b>Obsolete when:</b> 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.	
	<b>Examples:</b> 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).	<b>Obsolete when:</b> 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.	

	<p>Examples:</p> <ol style="list-style-type: none"> <li>1. Information, guidance, or maps kept only for quick reference or convenience.</li> <li>2. Outdated policies and administrative procedures that direct work processes.</li> <li>3. Public Hearing Notices</li> </ol>	<p>Obsolete when:</p> <ol style="list-style-type: none"> <li>1. No longer needed for reference</li> <li>2. Superseded or revoked.</li> <li>3. Required action has been taken.</li> </ol>
<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.	
	<p>Examples:</p> <ol style="list-style-type: none"> <li>1. Orders for maps, bulletins, publications</li> <li>2. For reporting forms, application forms, training hour reports</li> <li>3. Requests for copies of records</li> <li>4. Requests for file review or for information</li> <li>5. Work orders (IT, BGS, DII, etc)</li> </ol>	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.	
	<p>Examples:</p> <ol style="list-style-type: none"> <li>1. Data entry checklists, monitoring report logs, checklists of expiring certificates, licenses and/or permits</li> <li>2. Task and to do lists – personal reminder information Data entry or action checklists to track progress of an activity</li> <li>3. Printed database outputs used for proofreading and quality control purposes</li> </ol>	For all examples obsolete when activities complete or data logged into system.

## APPENDIX B: Administrative Records

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.	
	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.	
	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.	
	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.	
	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.	
	Examples: 1. 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.	
	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.	
	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.	
	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 C: Operation / Management Records

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.	
	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.	
	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.	
	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.	
	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.	
	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>