
How to Use GRS-1000.1126 for Contracting Records and Files

General Record Schedules (GRS) are developed by the Vermont State Archives and Records Administration to provide consistency in recordkeeping by Vermont public agencies for common functions and activities. Any Vermont public agency may adopt any or all of the requirements in any general record schedule approved by the Vermont State Archivist. Adopting an approved GRS means that the agency agrees to implement the retention and disposition requirements outlined in the GRS (where applicable). An agency does NOT have to create or receive all of the records listed in the GRS to adopt the GRS; however, an agency must create an internal policy on how this schedule is to be used.

To use this GRS, state agencies MUST submit a Notice of Adoption form (VSARA-11) to the Vermont State Archives and Records Administration. Use of a GRS to destroy records is not permitted until a completed VSARA-11 form has been acknowledged by the Vermont State Archivist. Municipal agencies do not need to submit this notice.

All public agencies are responsible for developing their own internal policies and procedures to assure that the requirements outlined in this GRS are being applied across the the agency. Record ID numbers must be cited in all policies (the record ID is located under each record listed on the GRS). Records listed on the record schedule that need to be retained until OBSOLETE must be supported by an internal policy that clearly states a specific retention requirement that best meets the agency or department's administrative needs.

The minimum retention requirements listed in this GRS may only be applied if there are no specific laws or regulations that require a longer period of retention.

Records custodians, officers and liaisons are responsible for evaluating this GRS in concert with business, legal, and information technology staff to ensure that the GRS (1) meets legal requirements specific to the agency and its records and (2) can be effectively carried out by agency employees. If laws or regulations require a longer retention, the internal policy created by the agency for use of this GRS must explicitly state the longer retention. Agencies shall not develop an internal policy with retention requirements lower than the minimum requirements listed in the GRS.

Transferring records to the State Records Center or State Archives requires a transfer agreement (VSARA-12) from the Vermont State Archives and Records Administration and additional documentation. See the ARCHIVES AND RECORDS MANAGEMENT HANDBOOK for related forms, definitions and additional procedures.

The Targeted Assistance Program (TAP) is the proper venue to seek agency specific record schedules if a GRS cannot be effectively applied. Records scheduled to be retained as ARCHIVES are not eligible for transfer into the State Records Center unless they will be transferred to the State Archives when retention requirements have been met.

Archives and Records Management Handbook <http://vermont-archives.org/records/handbook>

GRS-1000.1126: Contract Files

Classification: GENERAL (Contracting)

Scope: Reserved for activities and transactions that relate to or affect, in a specific manner, formal agreements, including contracts and leases, entered into by a public agency in order to secure goods and services.

Directive: 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.

Review Laws: **Yes** *If yes, review legal references for possible exemptions to public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Minimum Retention/Disposition:
Authorizations <i>ID: 1000.1126.141</i>	Use for written approvals, including all permissions required under Bulletin 3.5.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Bids <i>ID: 1000.1126.149</i>	Use for bids, proposals, and quotes received by the agency in response to a request for proposal.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Certificates <i>ID: 1000.1126.21</i>	Use for certificates and similar statements of qualifications related to agency contracts, including Form AA-14: Contract Summary and Certification Form.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Contracts <i>ID: 1000.1126.26</i>	Use for signed original contract and all amendments.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1000.1126.28</i>	Use for general correspondence related to agency contracts.	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1000.1126.53</i>	Use for correspondence that has significant administrative value and/or supports agency decisions related to the award or administration of contracts.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)
Decisions <i>ID: 1000.1126.133</i>	Use for written decisions including any selection justifications or explanations.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Declarations <i>ID: 1000.1126.32</i>	Use for written explanations and justifications required under Bulletin 3.5 that do not relate to selection, including reasons why contract packages were not received within the timeline specified and explanations of extended contract duration.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (General)

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Lists <i>ID: 1000.1126.55</i>	Use for lists of vendors who have requested bid documents or who have been solicited to provide bids.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Notices, Legal <i>ID: 1000.1126.50</i>	Use for evidence that the opportunity to bid was broadly publicized and that there was public notification of an agency's decision.	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (Shred)
Opinions <i>ID: 1000.1126.62</i>	Use for recommendations related to a contract, including those forwarded by the Finance and Management Department following its review of the contract package.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Plans (reports) <i>ID: 1000.1126.69</i>	Where applicable, use for contracting plans providing alternatives to any requirement in Bulletin 3.5.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Reference sources <i>ID: 1000.1126.80</i>	Use for general information and reference material used in the drafting, award, and/or administration of agency contracts.	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
Registers <i>ID: 1000.1126.81</i>	Use for formal lists of pre-qualified vendors.	RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Destroy (Shred)
Requests <i>ID: 1000.1126.139</i>	Where applicable, use for written requests for the Secretary of Administration to waive provisions of Bulletin 3.5.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Requests for proposals <i>ID: 1000.1126.83</i>	Use for all bid documents associated with the Request for Proposal package, including, but not limited to, cover pages, agency descriptions, statements of work, requirements, etc. Includes any changes or clarifications following a pre-bid conference.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Waivers <i>ID: 1000.1126.150</i>	Where applicable, use for written evidence that provisions of Bulletin 3.5 have been waived, including any waivers issued by the Secretary of Administration, Director of Risk Management, or Attorney General.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Worksheets <i>ID: 1000.1126.104</i>	Use for recorded evidence supporting an agency's decision, such as worksheets used ranking each bidder's qualifications.	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)

See attached APPENDIX for legal references.

LEGAL REFERENCES

APPENDIX TO GRS-1000.1126

Disclaimer: Please Read.

State and Federal laws and regulations used in the development of GRS-1000.1126 are listed below. Legal references listed in this appendix do not constitute legal advice and shall not be used as a substitute for the legal advice of legal counsel qualified to give advice on the applicability of this general schedule for an agency's records.

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| > 1 V.S.A. § 310 (Definitions [relating to common law; general rights]) | <i>Review for Exemption:</i> No |
| > 1 V.S.A. § 311 (Declaration of public policy; short title) | <i>Review for Exemption:</i> No |
| > 1 V.S.A. § 312 (Right to attend meetings of public agencies) | <i>Review for Exemption:</i> Yes |
| > 1 V.S.A. § 313 (Executive sessions) | <i>Review for Exemption:</i> Yes |
| > 1 V.S.A. § 314 (Penalty and enforcement [for Vermont open meeting law]) | <i>Review for Exemption:</i> No |
| > 1 V.S.A. § 315 (Statement of policy [for free and open examination of records]) | <i>Review for Exemption:</i> Yes |
| > 1 V.S.A. § 316 (Access to public records and documents) | <i>Review for Exemption:</i> No |
| > 1 V.S.A. § 317 (Definitions; public agency; public records and documents) | <i>Review for Exemption:</i> Yes |
| > 1 V.S.A. § 318 (Procedure [for producing records for public inspection]) | <i>Review for Exemption:</i> No |
| > 1 V.S.A. § 319 (Enforcement [of Vermont public records law]) | <i>Review for Exemption:</i> No |
| > 1 V.S.A. § 320 (Penalties [for denying access to public records]) | <i>Review for Exemption:</i> No |
| > 3 V.S.A. § 344 (Contract administration) | <i>Review for Exemption:</i> No |
| > Bulletin 3.5, Agency of Administration (Contracting Procedures -- 2008 Revision) | <i>Review for Exemption:</i> No |