


VERMONT Secretary of State



FY2017 Performance Targets

The Vermont State Archives & Records Administration

The Vermont State Archives and Records Administration (VSARA), a division of the Office of the Secretary of State is responsible for preserving and providing access to permanent state records in the Vermont State Archives; operating the State Records Center for inactive state paper and microfilm records, including security copies of municipal land records; and issuing retention requirements for state and local government records through the State Records Management Program. In addition, VSARA carries out several administrative functions on behalf of the Secretary of State including but not limited to: recording state deeds and leases; authenticating documents for foreign use; serving in the role of legislative clerk when the General Assembly is in session; and processing filings pursuant to the Administrative Procedure Act. VSARA also certifies vital records that are five years or older on behalf of the Department of Health.

Staff

VSARA is served by 15 full-time permanent employees, including its director – the Vermont State Archivist – and one full-time employee who spends a portion of her time assisting the Secretary of State’s Corporations division with records requests. In 2015, VSARA also supervised a Corporations division temporary employee.

Populations Served

The Vermont State Archives and Records Administration (VSARA) has two primary populations it serves. The first is the public. This includes Vermont citizens, corporations and organizations as well as those from other states and countries. The second population served by VSARA is public agencies, most directly Vermont public officials and employees at both the state and local levels.

Mission, Vision & Goals

It is the mission of the Vermont State Archives & Records Administration to provide, protect, promote, and preserve Vermont public records, in collaboration with other public agencies, for the benefit of the citizens collectively served. Our vision is that Vermont public records, the cornerstone of government transparency and a knowledgeable and informed populace, are recognized and managed as public assets.

Strategic Goals

VSARA’s goals are:

- 1) The public has access to authentic and reliable records for as long as needed to protect interests and to assure government accountability.

- 2) Public agencies have the tools and resources necessary to manage their records and information in an effective and efficient manner.
- 3) Records of continuing value are preserved and accessible to current and future generations.
- 4) Low-cost, secure repositories for public records, regardless of format, are available at an enterprise or statewide level.

1 Outcomes and Measures

Since its creation in 2008, VSARA continues to grow and progress; nonetheless many of VSARA's activities can only be measured through ways that are qualitative rather than quantitative. In addition, much of VSARA's work is dictated by the demands of the public and public agencies – over which VSARA has little or no control. This means that there is a delicate balance between transactions that need to be performed and having the staff necessary to perform those transactions on a regular – and sometime daily – basis.

Transactions

VSARA collects statistics for approximately 40 distinct records-related transactions performed by staff on a daily or regular basis. These statistics are used to assess trends and patterns as well as performance. In FY2015, VSARA completed a total of 74,404 records-related transactions, which resulted in a 15% increase in workload in comparison to the previous fiscal year. Outcomes impacted by an increase in workload are explained in further detail under their respective areas.

Staffing

As the result of staff cuts across State government, VSARA's staffing level is 35% less than it was when VSARA was created in 2008. Following a 25% turnover in existing staff in 2014 and early 2015, over the last year, VSARA has focused much of its attention on rebuilding knowledge, skills and abilities in several core areas.

Despite these less than desirable staffing levels, VSARA continued to work on areas in which efficiencies could be made such as: training agency records officers and liaisons, as well as municipal offices, on effective records management principles and practices; increasing the preservation of and access to archival public records; and decreasing dependencies on VSARA staff and resources for copies and similar labor-intensive processes, particularly for informational copies of vital records. To this extent, VSARA met or exceeded its FY2015 targets in several areas. In some areas, however, VSARA did not meet its FY2015 targets – largely due to staffing issues and having to balance multiple demands with limited staff.

1.1 Major Services to the Public

VSARA has two major services to the public that are mandated by statute. They are in the areas of:

1. Vital Records
2. Archival Records

1.1.1 Vital Records

Pursuant to [18 V.S.A. § 5002](#), the State Archivist is responsible for providing access to vital records transmitted and stored in the State Records Center by the Department of Health (VDH) “for use by the public” In addition, the State Archivist has the authority to issue certified copies of vital records. When these vital records duties and responsibilities were transferred to VSARA in July 2008 from the Department of Buildings and General Services (BGS), the average wait time to receive a copy of a vital record was 4-6 weeks.

Today, VSARA processes vital record certification requests submitted through an online request portal or by mail within one business day. On average, it takes a VSARA staff person about 5-10 minutes to process a request using surrogates or copies of vital records stored in the State Records Center by VDH. In 2008, VSARA staff used microfilm surrogates but now most Vermont vital records are available online through Ancestry.com and FamilySearch.org. Requests for informational copies are also processed within 5-10 minutes and provided to the public at no cost.

When the Department of Health entered into an agreement with Ancestry.com to digitize and create an electronic index of its vital records, VSARA negotiated free online access for Vermonters through www.vermont.gov. After the site went live in late 2012, the number staff hours needed to provide informational copies pursuant to Vermont’s public records laws began to significantly decrease while the public’s access to these valuable records was dramatically increased. Although VSARA cannot control the number of requests it receives for certified copies of vital records, it can control requests for informational copies. In 2014, a more focused effort to direct citizens looking for informational copies of vital records to Ancestry.com and FamilySearch.org was made – and this strategy that paid off:

Between FY2011 and FY2015, VSARA reduced the number of staff hours spent on informational requests from 400+ hours a year to just 58 hours a year.

The 85% reduction in staff time has provided VSARA with much needed time to focus on certified copy requests (up 13% from FY2014) and responsibilities related to other statutory filings, including administrative rules, record authentications, and, in 2015 in particular, new

notary appointments following the end of the current term.¹ In FY2015, VSARA processed and indexed 13,424 notary appointments – an almost 1000% increase in appointment filings in comparison to FY2014 when VSARA processed 1,259 notary appointments.

Vital Records Performance Measures	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Adjusted	FY 2017 Target
Requests certified copies of vital records	4,671	5,133	5,651	5,625	6,369	7452	8718
Requests for informational copies	2,339	1,925	1,496	733	348	452 ²	452
Self-service onsite for informational copies ³	714	487	427	258	182	176	171
Self-service online for informational copies ⁴	n/a	n/a	4,320,417	6,157,837	4,722,424	4,800,000	4,800,000
<i>Rate of Change</i>							
Certifications issued by VSARA	n/a	10%	10%	-.5%	13%	17%	17%
Requests for informational copies	n/a	-18%	-22%	-51%	-53%	30%	0%
Self-service onsite for informational copies	n/a	-32%	-12%	-40%	-30%	-3.2%	-3.2%
Self-service online for informational copies	n/a	n/a	n/a	43%	-23%	2%	0%

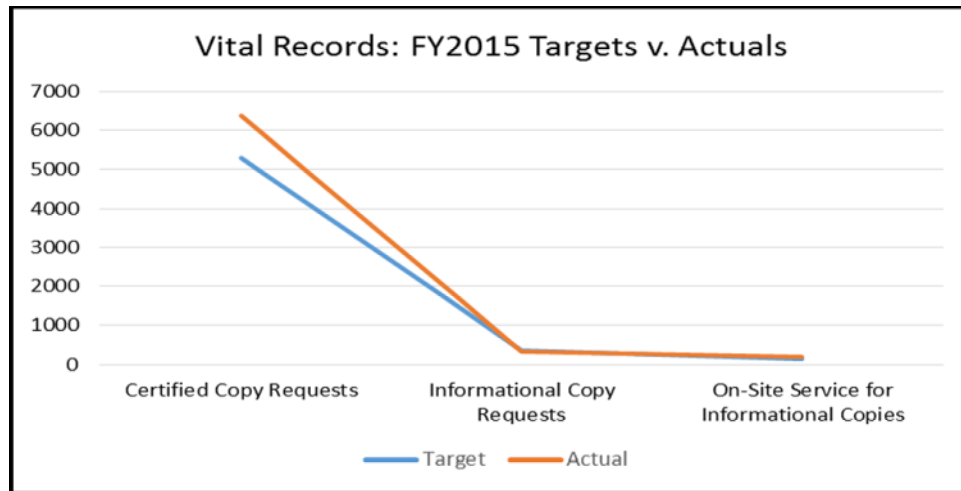
¹ All notaries serve for the same four year term and their terms all expire on the same day. There is no renewal process and all notaries have to apply and be appointed by the assistant judge in their respective county for the next term. Pursuant to 24 V.S.A. § 183, county clerks must file a copy of all appointments made in their respective county with the Secretary of State, who is responsible for indexing the appointments and certifying an appointment upon request.

² In early FY2016, there was an unexpected spike in requests for informational vital records, which appears to be related to a significant drop in self-service online access. In the summer of 2015, researchers reported issues with Ancestry.com through the MyVermont.gov web portal. VSARA is investigating.

³ Measured by research visit rather than individual records

⁴ Measured by individual record page views per calendar vs. fiscal year. This number only reflects records accessed through Ancestry.com as FamilySearch.org does not provided statistical data that can be used for this measure.

FY15 Targets to FY15 Actuals Comparison for Vital Records



1.1.2 Archival Records

Pursuant to 3 V.S.A. § 117, the State Archivist shall “take custody of archival records” and “arrange, describe, and preserve archival records, and promote their use by government officials and the public.”

January 2015 marked the first time VSARA’s Archives Unit, which also administers VSARA’s Reference Room, was staffed by three full-time archivists instead of two. This additional resource was needed to meet demands for services in the Reference Room which, as projected, not only increased in comparison to FY2014 but slightly exceeded its FY2015 targets. With a few exceptions, this means VSARA no longer has to rely on staff from other VSARA units to support work related to VSARA’s Reference Room; however, it does mean that one other VSARA unit – Records Analysis – lost an equally needed position as a result of this change.

In comparison to FY2014, VSARA saw an overall increase of 18% in core reference functions such as responding to requests for reference services and copies of records as well as providing access to records through the Reference Room. Public record copy requests, in particular, jumped by 68% in FY2015 in comparison to FY2014. An analysis of transactions for the first five months of FY2016 show demands increasing at a rate higher than anticipated in several core areas, therefore FY2016 targets have been adjusted accordingly. FY2017 targets have been projected using the same rate of change as the current fiscal year.

With the majority of staffing hours going to services directly related to public demands, there were limited resources available to solicit and process new accessions in FY2015. Therefore the drop in accessions from FY2014 (-76%) has a direct correlation to the increase in record requests in FY2015 (68%). This is illustrative of how outcomes and measures in one area are affected by demands made in another. An increase in accessions for FY2016 are projected due to some unexpected transfers of court records from building and court consolidations in late 2015 and early 2016.

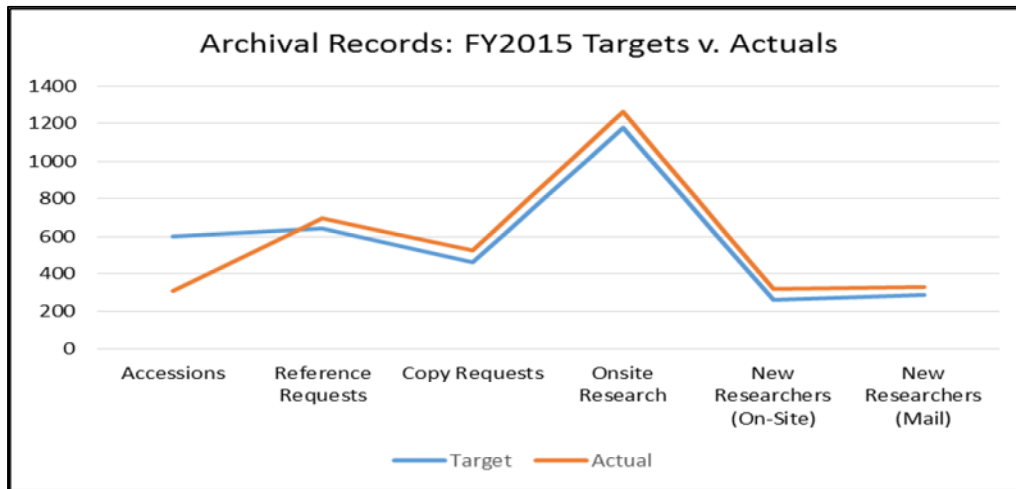
Archival Records⁵	FY2011 Actual	FY2012 Actual	FY2013 Actual	FY2014 Actual	FY2015 Actual	FY2016 Adjusted	FY2017 Target
Paper records accessioned into Vermont State Archives (cubic feet)	309	730	681	1,293	305	470	724
Requests for reference services	689	609	618	607	696	890	1139
Requests for informational copies	134	153	224	315	528	491	456
Records researched onsite	702	687	1,214	1,177	1,261	1601	2033 ⁶
New researchers registered onsite	619	454	430	349	316	300	285
New researchers registered by mail ⁷	1,116	968	681	502	328	450	617
<i>Rate of Change</i>							
Accessioned into Vermont State Archives	n/a	136%	-7%	90%	-76%	54%	54%
Requests for reference services	n/a	-12%	1%	-2%	15%	28%	28%
Requests for informational copies	n/a	14%	46%	41%	68%	-7%	-7%
Records researched onsite	n/a	-2%	77%	-3%	7%	27%	27%
New researchers registered onsite	n/a	-27%	-5%	-19%	-9%	-5%	-5%
New researchers registered by mail	n/a	-13%	-30%	-26%	-35%	37%	37%

⁵ With a few exceptions, almost all of VSARA accessions have been in paper format. This will change with the opening of the state's first digital archives in 2016.

⁶ Douglas and Shumlin records will be open/available January 2017. At this time, it is difficult to project demand.

⁷ There was a significant shift in FY2015 to requests for archival records by the scholar and academic communities as well as other researchers. In the past, most requests were for informational copies of vital records.

FY15 Targets to FY15 Actuals Comparison for Archival Records



1.2 Major Services to State Agencies

VSARA has two major services to the state agencies that are mandated by statute. They are in the areas of:

1. Agency Records Management Programs
2. Low-Cost Secure Storage for Agency Records

1.2.1 Agency Records Management Programs

Pursuant to 3 V.S.A. § 218, the head of each state agency or department is responsible for establishing, maintaining, and implementing an active and continuing records management program approved by the State Archivist; and designating a member of his or her staff as the records officer for his or her agency or department⁸. In 2009, VSARA introduced the concept of records liaisons to assist records officers and expand the number of state employees receiving

⁸ While not required by law, constitutional officers and the judicial and legislative branches have followed the spirit of this law for the past 40 years.

record schedule training. On average, there are more than 600 records officers and records liaisons in the State Government, across all three branches, at any given time.

Related, the State Archivist shall “cooperate with the heads of State agencies or public bodies to establish and maintain a program for the appraisal and scheduling of public records;” and “maintain a record center to hold inactive records in accordance with records schedules approved by the State Archivist” (3 V.S.A. § 117). In FY2015, two vacancies in the Archives unit resulted in three vacancies in the Records Analysis Unit (two existing staff members transferred to the Archives Unit and one position was already vacant). This significantly impacted VSARA’s abilities to provide services to agency records programs in FY2015 as three new employees needed to be hired as well as trained. VSARA’s records analysis unit did not become fully staffed until March 2015.

As of January 2016, VSARA has three full-time records analysts. One of the analysts is a digital records analyst/archivist who largely focuses on functions and services related to electronic records management and long-term digital preservation (digital archives) and therefore splits his time between services to state agencies and services to the public. The decision to repurpose this position was largely based on the expectation that agencies and departments would have their own full-time records managers by 2016, as outlined in the [2012 report to the Legislature by the Secretary of Administration](#)⁹.

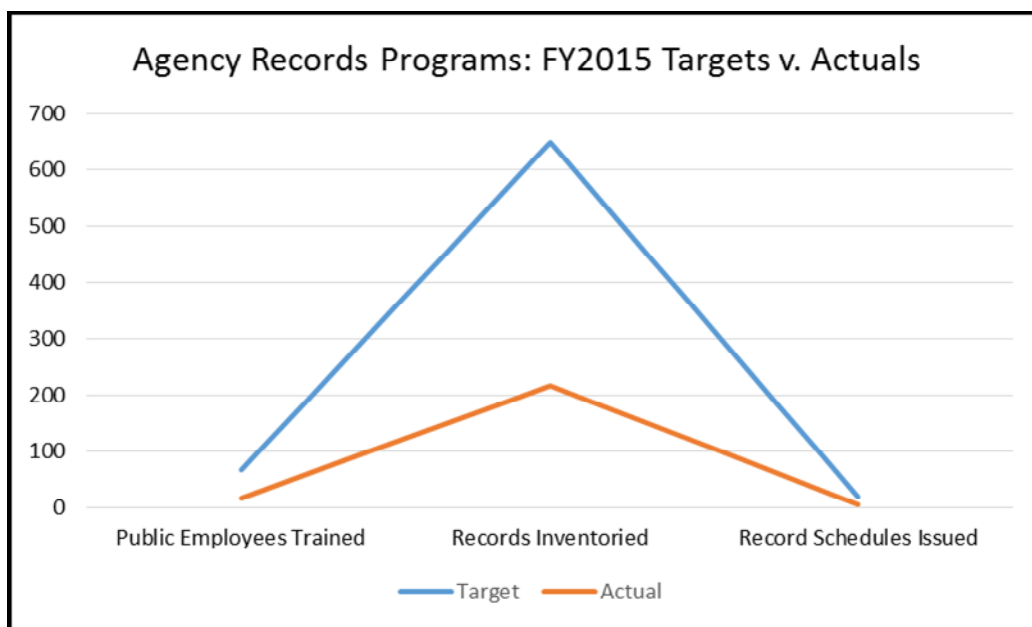
Nevertheless, as of January 2016, there is only one full-time records manager in state government (Agency of Transportation). As a result, agencies and departments continue to rely heavily on VSARA records analysts for day-to-day and general records management guidance. Consultative hours provided by VSARA increased drastically in FY2015 and are anticipated to increase by more than 300% in FY2016. If agencies and departments do not begin to better resource their agency records management programs, the demand on VSARA will continue to increase and VSARA will need to determine how to best support this demand.

Records Analysis	FY2011 Actual	FY2012 Actual	FY2013 Actual	FY2014 Actual	FY2015 Actual	FY2016 Adjusted	FY2017 Target
Records officers/ liaisons trained	37	92	84	109	16	67	100
Records inventoried	756	506	1,126	527	217	397	700
Record schedules issued	14	32	25	3	5	5	10
Consultative Hours	n/a	n/a	224	116	200	832	1000
<i>Rate of Change</i>							

⁹ As required by Sec. 13, Act No. 59 of 2011

Records officers/liasons trained	n/a	148%	-9%	30%	-85%	317%	49%
Records inventoried	51%	-33%	123%	-53%	-59%	83%	76%
Record schedules issued	n/a	129%	-22%	-88%	67%	0%	100%
Consultative Hours	n/a	n/a	n/a	-48%	72%	316%	20%

FY15 Targets to FY15 Actuals Comparison for Agency Record Programs



1.2.2 Low-Cost Secure Storage for Agency Records

While agencies have been gradually improving their respective records management programs, much work still needs to be done. Applying new record schedules to existing or incoming records has allowed VSARA to stabilize growth within the State Records Center to an extent; however, agency and departments have not been complying at the rate needed to assure that this finite space remains available for all eligible records. The number of boxes destroyed should be level to- or more than – to the number of records transmitted for storage in any given year.

Yet, in FY2015, transfers of records into the State Records Center exceeded destruction by almost 50%, leaving the vacancy rate in the State Records Center at one of its lowest rates in

almost seven years¹⁰. While transfers for the first part of FY2016 are lower than this same time last fiscal year, VSARA initiated several projects with various state agencies in 2015 in an attempt to bring more equilibrium into the State Records Center for both transfers and destructions. Projects include updating the record retention schedules used by state agencies for their records in the State Records Center; conducting records audits to find and manage records that are overdue for destruction; and identifying permanent, archival records in the State Records Center that are eligible for transfer into the State Archives (which is a separate storage area located in the same building as the State Records Center).

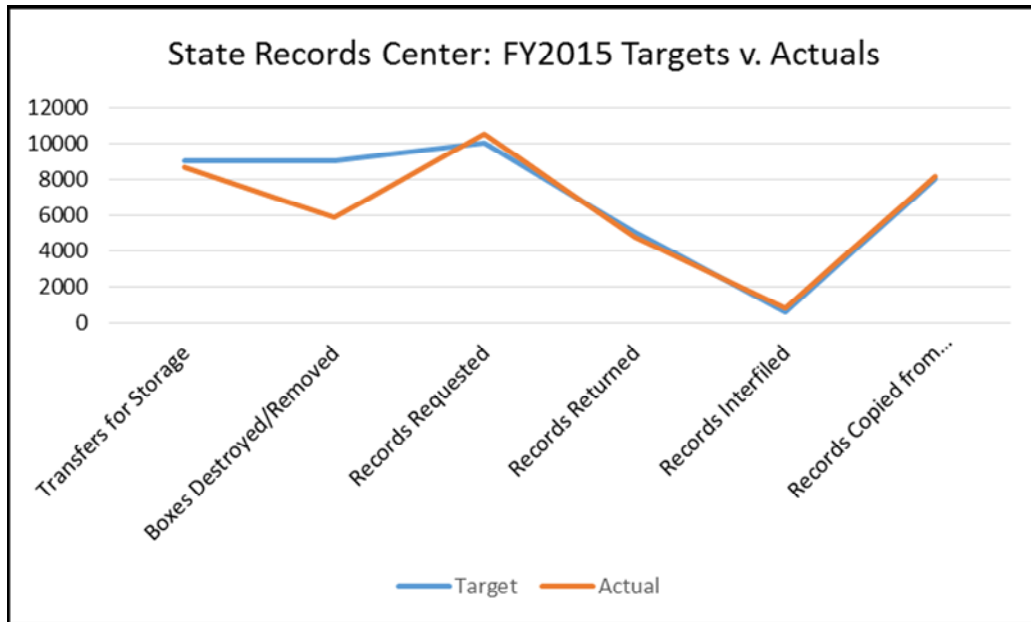
Procedures and strategies put into place in FY2011 to reduce the volume of transitory records being submitted for interfiling continue to be working and VSARA expects to see some additional decreases in the next couple of years before leveling off. In FY2015, VSARA had hoped to start phasing out the service of reconstituting records from microfilm for state agencies, primarily the Vermont Judiciary and the Agency of Human Services; however, demands for this service unexpectedly jumped by 34% this past fiscal year. Most indicators point to recent legislation related to expungements of certain court records, many of which exist only in microfilm. Requests for the first five months of FY2016 appear to be on a downward trend and are more consistent with VSARA's initial projections.

Record Center Performance Measures	FY2011 Actual	FY2012 Actual	FY2013 Actual	FY2014 Actual	FY2015 Actual	FY2016 Adjusted	FY2017 Target
Transferred for storage	11,487	11,273	8,938	8,665	8,683	6,686	8,000
Destroyed or removed from storage	6,058	6,168	11,642	6,908	5,863	9,322	8,000
Records Requested from storage	9,013	11,416	11,906	11,623	10,487	11,116	10,000
Records returned for storage	7,292	5,237	4,210	4,625	4,735	5,303	5,000
Records interfiled in storage boxes	3,447	2,038	1,333	824	854	606	480
Records reconstituted from microfilm	8,421	9,804	9,616	6,088	8,141	4,478	8,000
<i>Rate of Change</i>							
Transferred for	16%	-2%	-21%	-3%	.2%	-23%	20%

¹⁰ In 2015, VSARA learned agencies were advised by Buildings and General Services to box and send active or semi-active records to the State Records Center, even though the records did not meet the criteria for storage in the State Records Center. The lack of adequate storage in new or renovated buildings for active or semi-active records has put an unnecessary strain on both agency and VSARA staff and resources.

storage							
Destroyed or removed from storage	-21%	2%	89%	-41%	-15%	59%	-14%
Requested from storage	-25%	27%	4%	-2%	-10%	6%	-10%
Returned for storage	15%	-28%	-20%	10%	2%	12%	-6%
Interfiled in storage boxes	24%	-41%	-35%	-38%	4%	-29%	-21%
Records reconstituted from microfilm	-16%	16%	-2%	-37%	34%	-45%	79%

FY15 Targets to FY15 Actuals Comparison for Stored Agency Records



2 Conclusion

The Vermont State Archives and Records Administration (VSARA) performs quite well with very limited staff and resources. Many of the functions performed by VSARA, however, are driven by demands and requests that require immediate attention from staff (e.g. agency records arriving at the loading dock waiting for transfer into the State Records Center; walk-ins by the public for copies of records, including certified copies of vital records; and routine calls from public employees for records management advice and guidance). As a result, performance in areas that are equally important to VSARA’s mission and vision but yet more passive in nature

(e.g. archival appraisal and accessioning; records analysis and scheduling; public programming; and general planning) tend to receive less priority – a situation VSARA is always trying to correct.

In addition to vulnerabilities exposed by having fewer staff to manage growing demands, this past year has shown VSARA is also very susceptible to decisions of state government that affect records and information. Often times, these decisions fall short of looking at the broader impact and the processes and procedures necessary to carry out such decisions. Performance by VSARA and the state agencies it seeks to serve would significantly improve if agency records management programs were more advanced and better resourced. While there has been an immense amount of growth in agency records management programs following the creation of VSARA in 2008, several agency programs continue to fall well behind in terms of knowledge and awareness for the effective and efficient management of records and information as well as compliance with the State's records management and archives laws.

OFFICE OF PROFESSIONAL REGULATION

Mission

The Office of Professional Regulation (OPR), within the Office of the Secretary of State, serves approximately 60,000 licensees across 46 professional fields (with over 150 occupational credentials). OPR provides administrative, investigative, and legal assistance to the regulatory programs for these professions. **The mission of OPR is public protection.** We protect the public from unethical, incompetent, or otherwise unprofessional behavior by licensed practitioners in the professions and occupations that are regulated through the Office; to protect the public from practitioners in these fields who are unauthorized to practice; and to ensure equity in licensing, regulation, and discipline by fairly and responsibly administering the rules and statutes pertaining to these professions and occupations.

OPR evaluates and processes approximately 8,000 initial licenses annually, renews approximately 50,000 existing licenses biennially, and receives approximately 800 unprofessional conduct complaints each year, leading to several hundred investigations and approximately 200 prosecutions resulting in disciplinary action.

Our customers are the general public who make use of professional services, as well as the licensees and businesses providing those services. **For licensees, employers and applicants,** we strive to provide an efficient, user-friendly agency where current and potential licensed professionals can easily obtain answers to their questions and quickly obtain a license if they are qualified. **For consumers,** we deliver a population of licensed professionals who have been well vetted and a system of regulation under which they can be assured that unsafe practitioners will be removed from practice.

OPR is focused on the results embodied by the below core performance objectives and related measures, which align with the department's mission and vision.

OPR strives to assure:

- 1. An efficient, effective and user-friendly license application process;**
- 2. Easy public access to information about professions and licensees;**
- 3. Swift, objective, professional, and thorough investigations;**
- 4. Fair, expeditious, and well-respected disciplinary processes;**
- 5. Courteous, knowledgeable, and accessible staff;**
- 6. Clear communication about standards for licensure and practice, this office, and its mission.**

Ever since a new licensing and enforcement tracking system was installed in 2009, we have been focused on standardizing and improving business processes and increasing our efficiency and customer service through initiatives like online renewal of licensure and our newest additions of paperless licensing and online initial applications. We continue to develop and track new workload metrics to help determine case and license processing times. We are currently measuring the following indicators of success:

OBJECTIVES	CURRENT METRIC	DESIRED OUTCOME
<p>Initial licensure duration: New applications for licensure processed quickly, eligibility for licensure thoroughly reviewed. All but the most complex licenses issued within 3 business days.</p>	<p>70%: Reporting functionality not well developed to measure performance to acceptable timeframes. OPR's new software platform (in development) will solve this problem. Performance standards must be set per individual profession in 2016, for the 200+ credential types.</p>	<p>80%: Begin use of online initial application tracking, functionality to improve customer service, decrease processing time and free up OPR staff time for existing hard copy applications.</p>
<p>License renewal duration: Increase use of online renewal to reduce processing duration.</p>	<p>95%: In calendar year 2015, more than 95% of renewal applicants renewed online. Those who participate in online renewal receive rapid turnaround because data entry by staff is not required. This leaves the staff free to process paper applications quickly.</p>	<p>100%: Increasing confidence in, and usage of, online renewal, moving some professions to mandatory online renewal. 100% online participation.</p>
<p>Discipline case duration: Unprofessional conduct complaints processed within one year.</p>	<p>85%: Average processing time has dropped from 240 days to around 180 days for calendar year 2015. There are still numerous cases going beyond one year, which is not unusual for prosecution and contested disciplinary actions.</p>	<p>90%: Better case and staff management with the eLicense system will reduce timelines. 10% of cases may necessarily and appropriately go beyond the one year mark.</p>

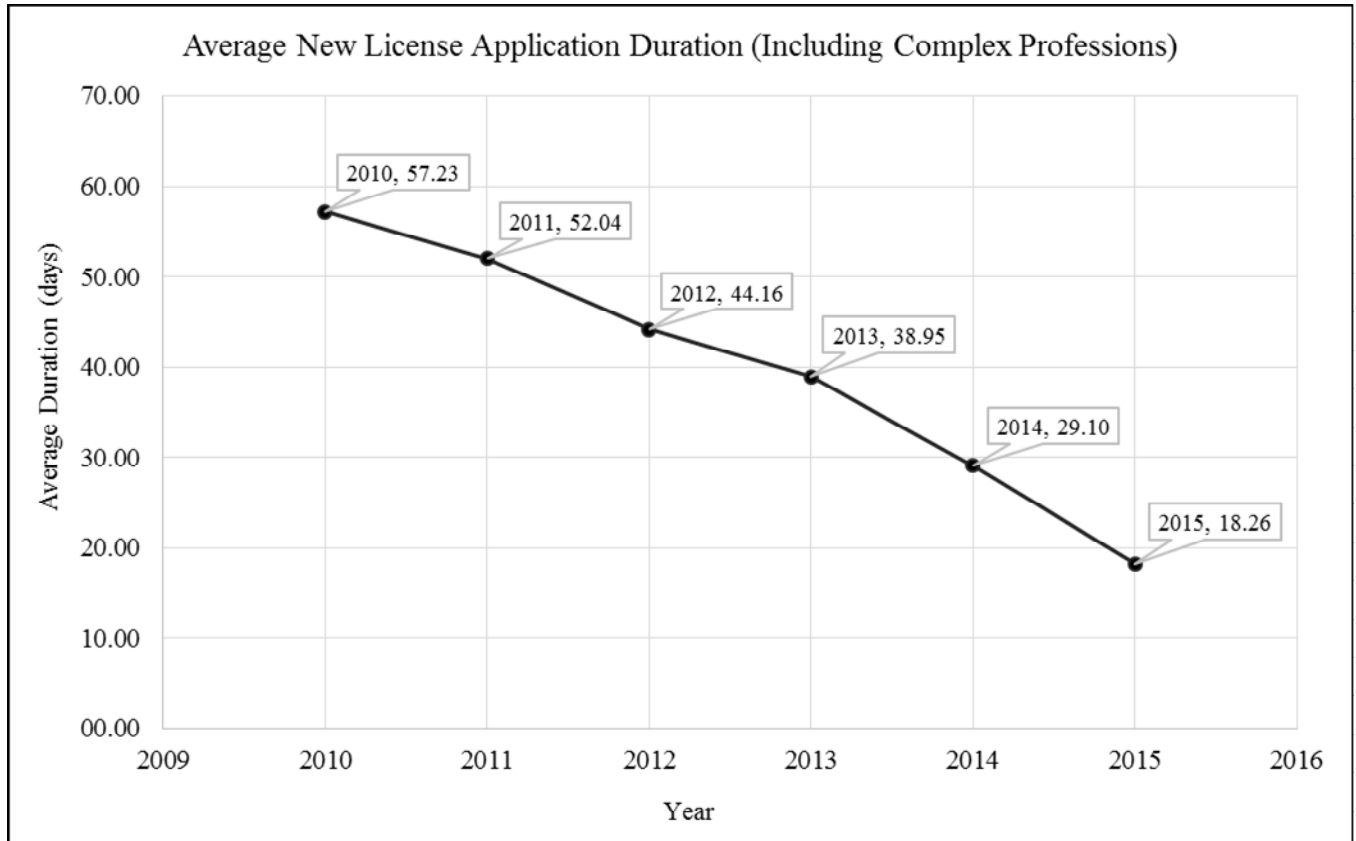
<p>Professional outreach: Outreach efforts will concentrate on improving communications with the professionals we regulate.</p>	<p>Licensee interaction with OPR is improving. Increased use of email and valid email addresses obtained through online renewal facilitate better communication. OPR continues to engage new professionals in the public hearings involved in sunrise assessments.</p>	<p>Increased use of email communication to valid licensee email addresses and expanded use of the new website to reach licensees.</p>
<p>Consumer Outreach: Outreach efforts focus on educating consumers about their rights, and ways to protect their interests.</p>	<p>There is still little focus on consumer outreach. Instead, the focus is on reacting to conduct complaints in this complaint-driven system. The new website allows us to track web traffic.</p>	<p>More information is available with the new website. An interactive site will continue to facilitate and expand consumer activity.</p>

Licensure

Between 1999 and 2015, the number of regulated persons under the jurisdiction of the Office of Professional Regulation (OPR), grew at an average annual rate of 1,556.6 licensees. However, as a result of the license renewal schedule’s annual trends, odd years are on average 1.9% lower than the previous year’s number of total licensees, whereas even years grow by about 7.9% from the previous year’s total.

The nursing professions have always been the largest proportional group of total licensees under OPR jurisdiction. As such, there is a strong correlation between nursing licensees and total licensees. Yet, in 2015 a new policy required all nurses to have a social security number, and resulted in the loss of 2785 international registered nurses (-15.7% of all registered nurses). OPR’s number of total professional licensees in 2015 is 5,930 individuals lower than that of 2014 (5,880 of which were in nursing). This reduction occurred not only as a consequence of the odd-year in the licensure renewal pattern, but also due to 2015’s significant drop in the number of international registered nurses. Moreover, while the growth trend in total licensees is currently measured at +1556.5 individuals per annum, had the new nursing policy not occurred, the growth trend for total licensure would instead measure at +1611.3 individuals each year.

In 2010, the average duration for licensure application processing was 57.23 days, with a median value of 32.5 days and an interquartile range of 42.84 days. In 2015, the average license application duration was 18.26 days, with a median value of 13.63 days and an interquartile range of 16.02 days. OPR’s annual trend for the average duration of license applications is -7.68 days per year. Measurements include the complex professional licenses not included in the above objectives table’s 3-day goal. **This shrinking duration for licensure application processing time is notable, considering the aforementioned increase in the number of annual licensure applications.**

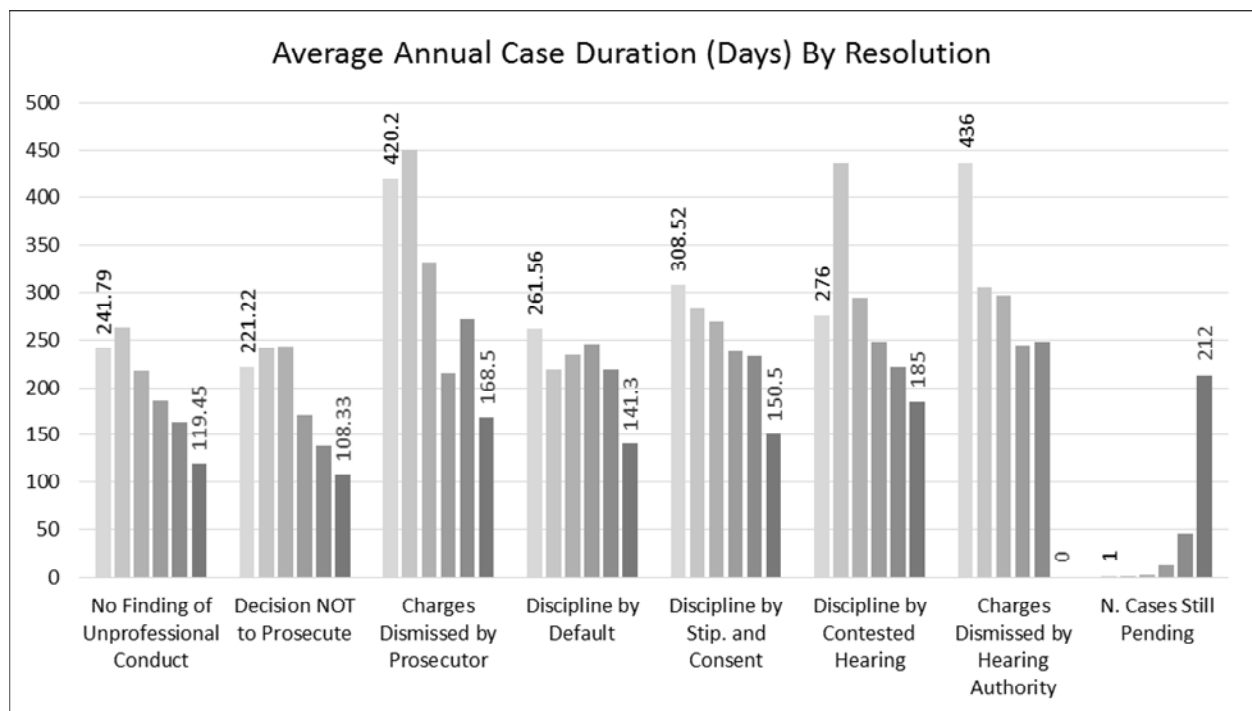


Enforcement

A large portion of 2015’s conduct cases are still pending resolutions. However, between 2010 and 2014, the number of complaints addressed has increased on average, by 27.6 cases per year. The number of annual complaints received correlates strongly ($r^2 = 0.78$) with the number of licensees of that year. As such, the reduction in licensees in 2015 predicts the majority of the reduction in 2015’s conduct cases.

Resolutions Per Total Annual Complaints	2010	2011	2012	2013	2014	2015	Total
Case Not Opened	156	226	194	221	232	191	1220
No Finding of Unprofessional Conduct	122	164	169	151	192	117	915
Decision NOT to Prosecute	169	191	250	191	215	72	1088
Charges Dismissed by Prosecutor	15	20	38	27	11	4	115
Discipline by Default	41	30	42	29	36	10	188
Discipline by Stipulation and Consent	141	125	114	81	52	10	523
Discipline by Contested Hearing	14	22	14	13	18	2	83
Charges Dismissed by Hearing Authority	3	8	9	15	11	0	46
Pending	1	1	3	13	56	212	286
Total	662	787	833	741	823	618	4464

The average duration for an enforcement case to complete, across all possible resolutions, is shrinking. **This increase in efficiency is notable, considering that the average number of complaints addressed per year is growing.**



CORPORATIONS DIVISION

Mission

The Corporations division strives to provide a business friendly environment and to facilitate commerce by administering state law with respect to the registration and maintenance of foreign and domestic corporations, partnerships, limited liability companies, and sole proprietorships doing business in Vermont. Furthermore, the division acts as the State repository for trademark and Tradename registrations, and Uniform Commercial Code liens and related filings.

The division accomplishes an average of 85,000 unique transactions per year and collects approximately \$5.93 million in annual receipts for the services it provides. The Division Staff include four full-time (FT) positions (one FT Reduction in Force occurred as of July 1, 2015) and a ½ time Director (one Director oversees Corporations and Administrative Services as of May 2015). Approximately \$1.6 million of our receipts are annually “swept” to the general fund.

Outcomes and Measures

The division’s primary objective is to continue to make the registration and search processes as fluid and user-friendly as possible through the effective use of technology and training. We continue to ensure process, technology, and Vermont Statute are aligned with current business needs. This past year we installed a kiosk (PC, monitor, and printer) on our first floor for walk-in customers, which has been well received by customers and staff. Previously, walk in customers had to rely on cell phones and other small mobile devices to conduct business online with Staff onsite, this was cumbersome and frustrating for everyone.

Realized benefits:

Our new system has done many things to improve the division’s ability to measure the performance of its services. FY15 was the first full year of online service which provides us with a baseline for the future.

- 1) Customers have access to a myriad of online services 24/7. Full implementation of all features will be completed February 28, 2016.
- 2) It has allowed the division to provide fast, accurate, and reliable services for business formation; trade name and trademark protection; Amusement Ride and Telemarketing registration; and Uniform Commercial Code liens and renewal;
- 3) Reduction in FT staff in FY15 & FY16 while volume and revenue have increased;
- 4) Availability of analytics regarding number of transactions, business and revenue drivers; and
- 5) Automated cash flow.

A major update to the LLC application was initiated and completed in July 2015 in response to Act No. 17 (H.310) in the 2015 Legislative Session. This act adopts a complete revision to the Vermont laws governing limited liability companies, and the naming conventions for all other business entities that may be organized in Vermont.

Fiscal Year 2015 Corporations/Business Services Top 10 Revenue Generators

