

Senate Government Operations Committee: Agency Records Management Programs

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INTRODUCTION

This written testimony is being submitted in response to a request from the Senate Government Operations Committee for a status update on agency and department records management programs.

The Vermont State Archives and Records Administration (VSARA) is charged with administering the Statewide Records and Information Management (RIM) Program for all Vermont public agencies in accordance with *Generally Accepted Recordkeeping Principles*[®] and other industry standards and best practices. The Statewide RIM Program, which calls for the sound and effective management of public records and information, regardless of format, by all public agencies, is cross-referenced in the Vermont Public Records Act (PRA) in 1 V.S.A. § 317a.

If not familiar with *Generally Accepted Recordkeeping Principles*[®], they are listed in the table below. There is also an industry standard called the *Information Governance Maturity Model* for measuring the proficiencies or “maturity” of a public agency in each Principle on a scale of “1” (sub-standard) to “5” (transformative). These measurements provide great insight into an agency’s capabilities for fulfilling requirements under the PRA as well as the state’s broader records and information management laws.¹

Accountability	Transparency	Integrity	Protection
Compliance	Availability	Retention	Disposition

¹ The *Generally Accepted Recordkeeping Principles*[®] and the *Information Governance Maturity Model* are industry standards maintained by ARMA International. www.arma.org

AGENCY/DEPARTMENT RECORDS MANAGEMENT PROGRAMS

While all Vermont public agencies are expected to have records and information management programs, administrative agencies and departments under the Governor have specific requirements under statute (3 V.S.A. § 218) to maintain active and continuing records management programs approved by VSARA. Approval comes through an agency or department's collaboration with VSARA's records and information management (RIM) specialists to meet state recordkeeping requirements enacted under Act 100 of 2018, Act 96 of 2008, and related strategic plans, including the *2006 Preliminary Strategic Plan for Executive Branch Records* and the *2012 Act 59 Legislative Report*.

Compliance with 3 V.S.A. § 218 and related laws have a direct correlation with an agency or department's ability to assure the needs of Vermonters dependent on their services are being met in the most efficient and effective way possible, including requests to inspect or copy agency or department's records and information. Performance is largely based on an agency or department's capabilities to govern its records and information in a disciplined, coordinated and measurable manner through a combination of people, processes and infrastructure.

The following table is VSARA's *Agency and Department Records Management Program Status Report* as of December 31, 2019. It includes the following information: (1) date of most recent record schedule ("Last Schedule"); (2) whether or not the agency has participated in VSARA's Targeted Assistance Program ("Targeted Assistance"); and (3) Information Governance Maturity Level ("Maturity Level"). Schedules dated 2008 or later have been approved by the State Archivist and conform to current statutory requirements as enacted under Act 100 of 2018 and Act 96 of 2008. The Maturity Level listed is an aggregate of the agency or department's measurements in all eight *Generally Accepted Recordkeeping Principles*[®].

This Program Status Report *does not* include constitutional officers, the legislative or judicial branches of state government, or local government; however, similar assessments are available for individual constitutional officers as well as the legislative and judicial branches. Some public agencies also have more detailed assessment reports available due to their participation in VSARA's Targeted Assistance Program (TAP).

Agency/Department	Last Schedule	Targeted Assistance	Maturity Level
Administration, Agency of	1995	No	Level 1
<i>Buildings and General Services, Dept. of</i>	1999	No	Level 1
<i>Finance and Management, Dept. of</i>	2011	Yes, previously in TAP	Level 1
<i>Human Resources, Dept. of</i>	2012	Yes, previously in TAP	Level 1
<i>Libraries, Dept. of</i>	1996	No	Level 1
<i>Taxes, Dept. of</i>	2015	Yes, previously in TAP	Level 3
Agriculture, Food and Markets, Agency of	1997	Yes, currently in TAP	Level 1
Commerce and Community Development, Agency of	2000	No	Level 1
<i>Economic Development, Dept. of</i>	2011	Yes, previously in TAP	Level 2
<i>Historic Preservation, Div. for</i>	2010	Yes, previously in TAP	Level 2
<i>Housing and Community Development, Dept. of</i>	1999	No	Level 1
<i>Tourism and Marketing, Dept. of</i>	None	No	Level 1
Digital Services, Agency of	1984	No	Level 1
<i>Vermont Center for Geographic Information</i>	1998	No	Level 1
Education, Agency of	2013	Yes, previously in TAP	Level 1
Financial Regulation, Dept. of	2004	No	Level 1

Agency/Department	Last Schedule	Targeted Assistance	Maturity Level
Human Services, Agency of²	2019	Yes, currently in TAP	Level 2
<i>Aging and Independent Living, Dept. of</i>	2019	Yes, currently in TAP	Level 2
<i>Children and Families, Dept. for</i>	2018	Yes, currently in TAP	Level 2
<i>Corrections, Dept. of</i>	2019	Yes, currently in TAP	Level 2
<i>Health, Dept. of</i>	2019	Yes, currently in TAP	Level 3
<i>Human Services Board</i>	2018	Yes, currently in TAP	Level 2
<i>Mental Health, Dept. of</i>	2018	Yes, currently in TAP	Level 3
<i>Vermont Health Access, Dept. of</i>	2019	Yes, currently in TAP	Level 3
Labor, Dept. of	1997	No	Level 1
Liquor and Lottery, Dept. of	2011 (Liquor); 2004 (Lottery)	Yes, previously in TAP (Liquor only)	Level 1
Military, Dept. of	1970	No	Level 1
Natural Resources, Agency of	None	No	Level 1
<i>Environmental Conservation, Dept. of</i>	2012	Yes, previously in TAP	Level 2
<i>Fish and Wildlife, Dept. of</i>	2003	No	Level 1
<i>Forests, Parks and Recreation, Dept. of</i>	2013	Yes, previously in TAP	Level 2
Public Safety, Dept. of	2019	Yes, currently in TAP	Level 2

² Since the summer of 2018, VSARA has allocated one full-time records and information management specialist to the Agency of Human Services under an agreement that the Agency will hire the specialist as the Agency's first records manager by July 2020. VSARA's position will then be reallocated to the Department of Public Safety under a similar agreement.

<i>Agency/Department</i>	<i>Last Schedule</i>	<i>Targeted Assistance</i>	<i>Maturity Level</i>
<i>Public Service, Dept. of</i>	2003	No	Level 1
<i>Transportation, Agency of</i>	2016	Yes, previously in TAP	Level 1
<i>Motor Vehicles, Dept. of</i>	1999	No	Level 1