



# Open Records: Governance, Retention and Public Access

## *The Information Governance (IG) Maturity Model*

Tanya Marshall, State Archivist  
*Vermont Office of the Secretary of State*

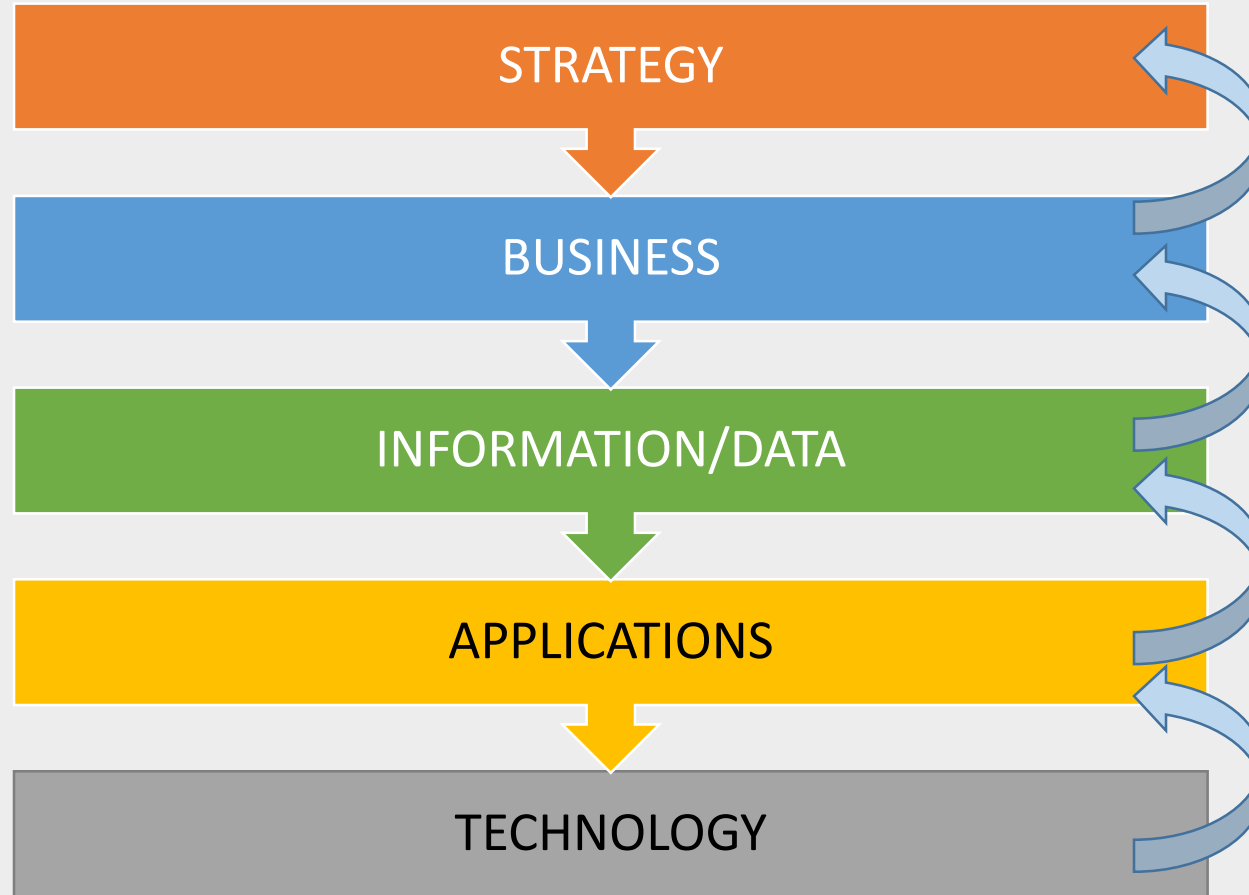


# What is Information Governance?

While there are many different definitions depending on the discipline (business, legal, IT, records), all the definitions generally mean and say the same thing:

***Managing your records and information in a disciplined, coordinated and measurable manner through a combination of people, processes and infrastructure.***

# People, Processes and Infrastructure



# Information Governance (IG) Maturity Model

LEVEL	DESCRIPTION
<b>LEVEL 1 (Sub-Standard)</b>	IG and recordkeeping best practices are not addressed at all, are addressed minimally, or are addressed in an ad hoc manner.
<b>LEVEL 2 (In Development)</b>	Developing recognition of IG but recordkeeping practices are ill-defined, incomplete, just beginning to take shape, or only marginally effective.
<b>LEVEL 3 (Essential)</b>	Key basic components of a sound IG principles and practices are starting to take place through policies and procedures for essential functions/processes.
<b>LEVEL 4 (Proactive)</b>	Proactively integrating IG into its operation. IG issues and considerations are being integrated into business decisions.
<b>LEVEL 5 (Transformational)</b>	IG is integrated into operations and business process and compliance with administrative, legal and recordkeeping requirements are routine.

Source: *ARMA International Information Governance Model*

# Generally Accepted Recordkeeping Principles®

The **General Accepted Recordkeeping Principles®** (the Principles) represent a high-level framework under which records and information of any organization (for-profit, not-for-profit, government, etc.) should be managed – a best practice. Each Principle is as important as the other and they have become the pillars of effective information governance.

<b>ACCOUNTABILITY</b>	<b>INTEGRITY</b>	<b>COMPLIANCE</b>	<b>RETENTION</b>
<b>TRANSPARENCY</b>	<b>PROTECTION</b>	<b>AVAILABILITY</b>	<b>DISPOSITION</b>

Source: *ARMA International*

# ACCOUNTABILITY

Senior staff member oversees IG program and delegates responsibilities to appropriate individuals. Office adopts policies and procedures to guide personnel and ensure that the program can be audited.

<b>Level 1 (Sub-Standard)</b>	<b>Level 3 (Essential)</b>	<b>Level 5 (Transformational)</b>
Information assets are managed in a disparate fashion or not managed at all. No senior person is responsible for the Office's records and information (RIM) program or the program is not fully resourced.	Pursuing a broader-based IG program to direct information-based processes throughout the Office. Records manager is a recognized senior-level role and manager is actively engaged with strategic RIM initiatives. Goals for accountability have been defined.	High regard for IG and Records Manager and IT Manager are essential members of governing body. Goals for accountability are routinely met as well as regularly reviewed and revised as needed.

# TRANSPARENCY

Business processes and activities, including IG program and recordkeeping requirements, are documented. Documentation is available to all staff and interested parties and is verifiable.

<b>Level 1 (Sub-Standard)</b>	<b>Level 3 (Essential)</b>	<b>Level 5 (Transformational)</b>
Business and records and information management (RIM) processes are ill-defined with no clear documentation available. There are no established controls for managing information and processes are inconsistent or non-existent.	Business and RIM processes are documented and employees are educated on the importance of transparency. Transparency is part of the Office culture and emphasized in all training. Office has clear defined goals related to transparency.	Leadership and senior management place transparency as a key part of IG. Software and related resources meet programmatic needs. Transparency goals are routinely met as well as regularly reviewed and revised as needed.

# INTEGRITY

The IG Program is designed in a way to assure that records and information created by the Office or received and managed by the Office have a reasonable and suitable guarantee of authenticity and reliability.

<b>Level 1 (Sub-Standard)</b>	<b>Level 3 (Essential)</b>	<b>Level 5 (Transformational)</b>
There are no systematic audits or defined processes to show the authenticity or reliability of a record (origin; time of creation or receipt; content). Methods to verify the integrity of a record are ad hoc and vary within the Office.	The Office has a formal process to assure that a required level of authenticity and chain for custody can be applied to each of its systems and processes. Authenticity can be demonstrated and the Office has established goals for record integrity.	There is a formal defined process for introducing new recordkeeping systems. Integrity controls in systems and processes are reliably and systematically audited. Goals for integrity are routinely met as well as regularly reviewed and revised as needed.



# PROTECTION

The IG Program is designed in a way to assure that records and information created by the Office or received and managed by the Office have a reasonable and suitable guarantee of protection.

<b>Level 1 (Sub-Standard)</b>	<b>Level 3 (Essential)</b>	<b>Level 5 (Transformational)</b>
No or little consideration for information security or variation in security needs. Records and information are stored haphazardly with variation in security. No centralized controls for access and access controls, if any, are assigned by the author or recipient.	There is a formal written policy for protecting records and having centralized access controls. Training for employees is available and security considerations are well-defined. The Office has well-defined goals for protecting records and information.	Leadership and senior management value and emphasize information security and carry out auditing and continuous improvement processes. Inappropriate disclosures or record losses are rare. Goals for protection are routinely met as well as regularly reviewed and revised as needed.

# COMPLIANCE

The IG Program is designed in a way to assure that records and information created by the Office or received and managed by the Office comply with legal requirements as well as the Office's own policies and procedures.

<b>Level 1 (Sub-Standard)</b>	<b>Level 3 (Essential)</b>	<b>Level 5 (Transformational)</b>
There is no clear understanding of what records the Office is obligated to create, receive and/or keep. Different groups within the Office manage records and information based on their own understanding and decisions. There is no central oversight, guidance or processes.	Key legal requirements are identified and used to guide decisions on information creation and capture. Compliance is measurable and Office has defined specific goals for compliance.	Leadership and senior management clearly recognize the need for compliance and carry out auditing and continuous improvement processes. Goals for compliance are routinely met as well as regularly reviewed and revised as needed.

# AVAILABILITY

Records and information are maintained in a manner that assures timely, efficient and accurate retrieval and production as needed.

<b>Level 1 (Sub-Standard)</b>	<b>Level 3 (Essential)</b>	<b>Level 5 (Transformational)</b>
<p>Records and information are not readily available when needed. It takes time to find the correct or complete record, if found at all. There is a lack of finding aids, indices, metadata, etc. It is not always clear where the information is located.</p>	<p>There is a standard on how and where information is stored, protected and made available. There are clear policies and procedures for the handling of records and information. System and infrastructure contribute to the availability of information.</p>	<p>Leadership and senior management provide support to improve the availability of information and there is a measurable return of investment for updating systems and processes. Availability goals are routinely met as well as regularly reviewed and revised as needed.</p>

# RETENTION

Records and information are retained for an appropriate amount of time based on legal, fiscal, operational and historical requirements.

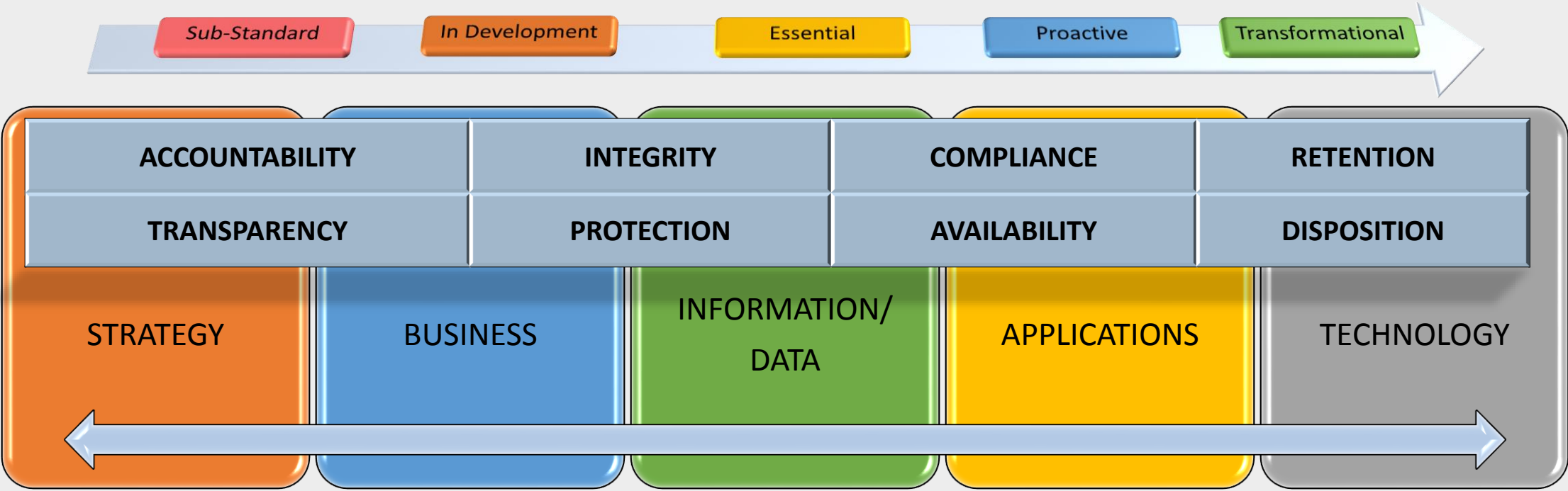
<b>Level 1 (Sub-Standard)</b>	<b>Level 3 (Essential)</b>	<b>Level 5 (Transformational)</b>
<p>There is no current, documented record retention schedule or policy. Legal requirements that should define retention are not known or identified. Employees are either keeping everything or making their own decisions on when to destroy Office records and information.</p>	<p>The Office has record retention schedules or policies and they are systematically starting to be applied within the Office. Employees are knowledgeable about the policies and understand their responsibilities. The Office has defined retention goals.</p>	<p>Retention requirements are applied holistically and uniformly across the whole Office and to all records and information. Goals related to the retention of records are routinely met as well as regularly reviewed and revised as needed.</p>

# DISPOSITION

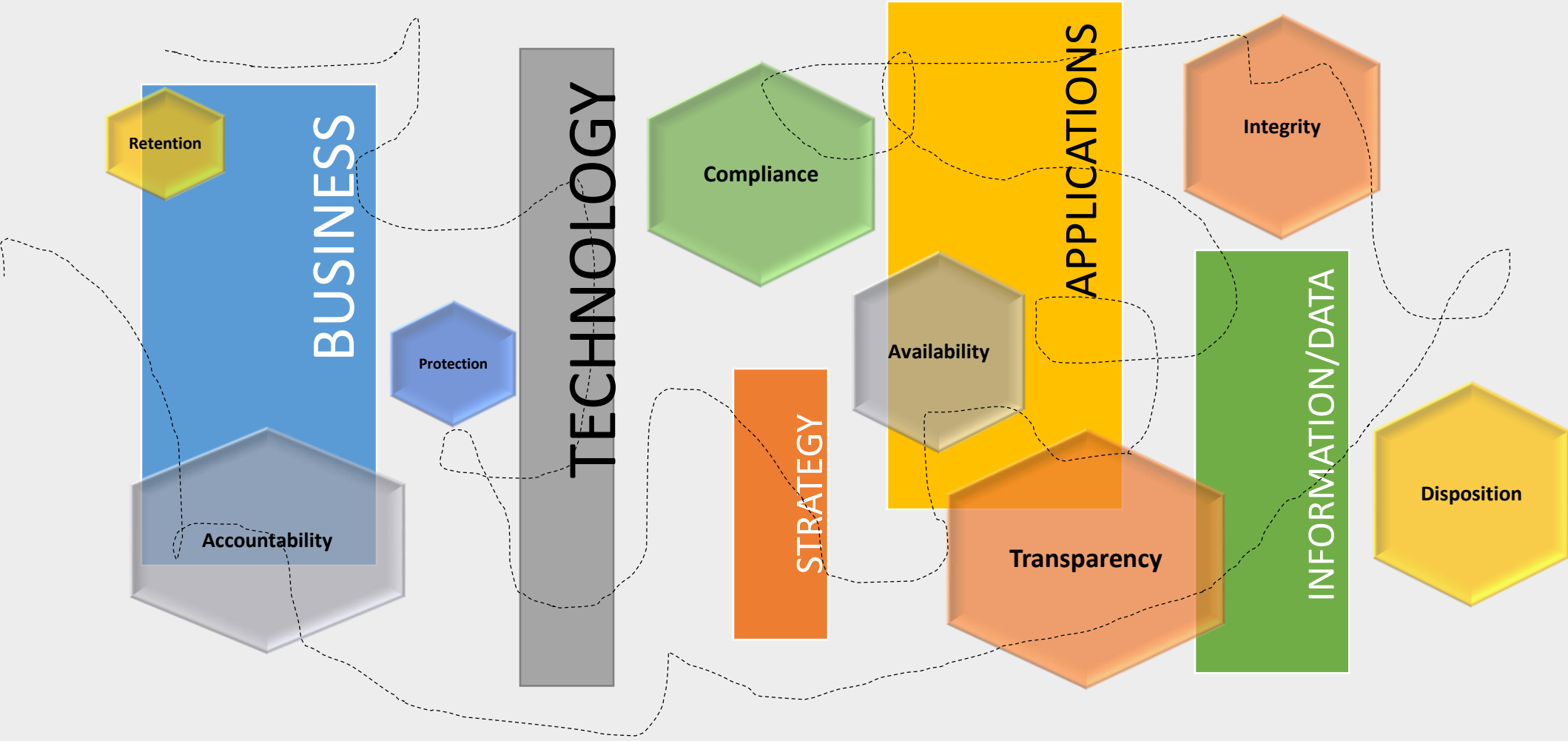
Records and information are securely and appropriately disposed when retention requirements in a schedule or policy have been met.

Level 1 (Sub-Standard)	Level 3 (Essential)	Level 5 (Transformational)
<p>There is no documentation of the processes (if there are any) used to guide or direct the transfer or destruction of records and information. The processes for suspending disposition in event of a legal hold are non-existent or inconsistent within the Office.</p>	<p>Official procedures for the disposition of records and information, including legal holds, have been developed. The Office has defined goals specific to disposition even though policies and processes for disposition may not yet be standardized across the Office.</p>	<p>The disposition process covers all records and information in all media and formats. Disposition is integrated into all systems and processes and is consistently applied. Disposition goals are routinely met as well as regularly reviewed and revised as needed.</p>

# INFORMATION GOVERNANCE PROGRAM



# No Information Governance Program





## Information Governance: Opportunities for Collaboration



**National Association of Government Archives & Records Administrators (NAGARA)** [www.nagara.org](http://www.nagara.org)

*E-Records Forums*: One day workshop in your state or region. Reach a number of government officials and employees with specialized digital records curriculum prepared in collaboration with a local host. Registration fees cover all costs.



**Council of State Archivists (CoSA)** [www.statearchivists.org](http://www.statearchivists.org)

*State Electronic Records Initiative (SERI)*: The SERI Governance Subcommittee, in a potential collaboration with ARMA, is looking to partner with another government association to develop an adaptation of the IG Maturity Model to better meet the needs of state government.

**Joint Annual Meeting in Austin, TX (July 22-25, 2015) with Jason R. Baron, Esq. as opening plenary speaker!**



Tanya Marshall, State Archivist  
Vermont State Archives & Records Administration  
Vermont Office of the Secretary of State  
[tanya.marshall@sec.state.vt.us](mailto:tanya.marshall@sec.state.vt.us)

