

EXECUTIVE AGENCY RECORDS REPORT

PRELIMINARY STRATEGIC PLAN

(Required by Sec. 5, Act No. 71 of 2005)

Secretary of Administration

State Archivist

January 15, 2006

EXECUTIVE RECORD STRATEGIC PLAN (January 15, 2006)

EXECUTIVE SUMMARY

Section 5 of Act No. 71 (2005) charged the secretary of administration and the state archivist “to jointly develop a comprehensive strategy for the management of all records created by state agencies.” The strategy should include analysis of current records management programs required under 3 V.S.A. §218; the use and management of electronic records; and the development of records management training.

Current Records Environment

The analysis of the current records environment within agencies underscores the need for comprehensive changes in the State’s recordkeeping practices. Surveys and interviews revealed:

- a general lack of awareness of recordkeeping mandates including, but not limited to, 3 V.S.A. §218;
- records management, when it exists, is associated with the physical storage of inactive records rather than with the active management of records and information from point of creation to ultimate disposition;
- record and information management is, at best, inconsistently incorporated into information technology decisions; and,
- training is not systematic and emphasizes strategies for storing inactive records.

The proposed strategies are *prospective*, emphasize consistent, point of creation management of records, and are closely linked with the Strategic Enterprise Initiative (SEI) recently initiated by the Agency of Administration.

Strategic Enterprise Initiative (SEI)

Based on the findings and recommendations put forth in the Vermont Institute on Government Effectiveness, Inc. (VIGE) Report of Sept. 8, 2005, the SEI is a state government wide effort to examine every function and business process for its relationship to mission, its effectiveness and its efficiency. It is driven by the necessity to control the cost of government while at the same time ensuring that government performs its mission with improved effectiveness. Key concepts are:

- Adopting an “enterprise approach” to government; that is, developing systems and business processes that serve the broadest possible array of similar functions across State government;
- Taking advantage of the upcoming “retirement bubble” and ongoing turnover in the State workforce to keenly examine how State positions are used and, through workforce planning and workforce development, improve the utilization of the workforce while reducing its growth;
- Making investments in information technology systems that support both the enterprise approach and better, more efficient use of the workforce.

EXECUTIVE RECORD STRATEGIC PLAN (January 15, 2006)

The strategies proposed in this report on State records management are congruent with those of the SEI. Indeed, an enterprise approach to records management, including both workforce planning and development and investment in enterprise information technology systems, is the only way in which the current disarray in this arena can be effectively addressed.

Goal

Goal: The systematic management of information across agencies so that records and information are effectively managed from point of creation in accordance with law with the result that agencies:

- keep records only as long as required by law or to serve program needs, protect rights, and assure accountability;
- provide appropriate access to public records in a timely and efficient manner.
- use records as an essential business asset for service delivery and evaluation.

Summary of Strategies

1. Establish and support a records management authority function in the Executive Branch that will:

- assign specific responsibility for compliance with 3 V.S.A. §218 and other recordkeeping requirements.
- establish policies for how records are created, captured, maintained, used and disposed based on legal, regulatory, operation and strategic needs.
- work collaboratively with State Archives, Department of Information and Innovation (DII), and Buildings and General Services (BGS) to develop common management tools.
- establish a plan for meeting legal, regulatory, operational and strategic needs; that is integrated with the strategic enterprise initiative.
- establish compliance requirements that must be met by each agency or department.
- provide office staff with access to professional records and information managers.
- systematically implement the records and information management plan throughout every agency or department through use of recordkeeping systems, processes, tools, services and training.
- monitor, review and update records and information policies and plans to ensure procedures and practices support agency needs and maximize opportunities for efficiency.

2. Form an inter-agency record and information management group to coordinate and implement an enterprise (executive agency-wide) approach. This group will:

- identify policies and practices that are suitable for an enterprise approach across individual agencies and departments.
- identify where funding restrictions, unique functional requirements, or security concerns create compelling reasons for decentralized approaches.

EXECUTIVE RECORD STRATEGIC PLAN (January 15, 2006)

- work collaboratively with State Archives, DII, and BGS to identify and select standards and best practices most appropriate for an enterprise approach.
- establish compliance requirements that must be met by every agency or department.
- monitor, review and update records and information policies and plans to ensure procedures and practices support agency needs and maximize opportunities for efficiency.

3. Coordinate with judicial and legislative branches to regularly exchange information on records and information management issues and policies in order to support, where practicable, an enterprise (government-wide) approach to records and information management.

- identify records and information that are created, maintained, used, or disposed of among more than one or all three branches of government to eliminate redundancies and apply consistent management policies and practices where appropriate.
- recognize opportunities for policies and standards that support the consistent management of records and information through information sharing.

EXECUTIVE RECORD STRATEGIC PLAN (January 15, 2006)

1. Introduction

This report, written in response to Section 5 of Act 71 (2005), describes the current complex and confusing statutory situation regarding records and information management both in state and federal mandates; the current inadequate knowledge, attention and resources available to address this issue, exacerbated by the increasing dependence on information technology tools and systems that diffuse the responsibility for records management knowledge and practice among virtually all public sector workers; and finally proposes three recommendations as a preliminary plan of implementation to put in place the structure to comprehensively address records and information management in state government. Two of those recommendations focus on the executive branch; the third recognizes and addresses the interdependence of all three branches.

The report was prepared under the guidance of a work group established and co-chaired by the Deputy Secretary of Administration and the Deputy Secretary of State. Key to the process was the State Archivist, who drafted this report. Group members included, in addition to the co-chairs and the State Archivist, members of State Archives staff and managers from the Department of Buildings and General Services, including the Director of the Internal Services Division and the Director of Public Records. The Secretary of State's Office also provided critical support for a skilled consultant who assisted in the assessment and analysis of the current situation and the development of the recommendations.

The work group also coordinated closely with the Court Administrator's office, which was similarly charged regarding records and information management for the judicial branch in Act 71 (2005). The work group wants to acknowledge the excellent work of that office, through its assistance by the State Archives' staff, to develop and share the framework for records and information management that became the basis for the work plan to be carried out through the recommendations in this report (Appendix A).

2. Responsibility for Managing Records and Information

Vermont's public records law (1 V.S.A. §§315-320) is linked to the constitutional requirement that "all officers of government...are...at all times, in a legal way, accountable to" the people. The provisions of Title 1, which apply to all branches of government, define "public record," set out the right of, and procedures for, access to public records, and list 35 classes of records that may be exempt from public disclosure. Mandates specific to records are scattered throughout the statutes¹, as are additional exemptions to public disclosure beyond those enumerated in 1 V.S.A. §317(c).² There are an increasing number of federal requirements governing access to records, usually associated with privacy and security concerns.

¹ The "official correspondence" of governors, for example, is addressed in 3 V.S.A. §4.

² An August 2003 survey of the statutes by the State Archives identified 124 such exemptions. The survey can be found at: <http://www.vermont-archives.org/records/right-to-know/overview.html>

EXECUTIVE RECORD STRATEGIC PLAN (January 15, 2006)

The responsibility of executive agency and department heads to manage their records systematically is set out in 3 V.S.A. §218. The responsibilities for the commissioner of buildings and general services for administering the State's records management program and the procedures for disposing of public records are in Chapter 11 of Title 22. The responsibilities for managing the State's archival records can be found in 3 V.S.A. §117. Information technology oversight is set out Chapter 15 of Title 22.

The myriad statutes governing recordkeeping are not always known by agency staff. In some cases there is demonstrated confusion over the meaning of statutes, perhaps most notably over what is an allowable charge for producing copies of public records (3 V.S.A. §316) and over the respective mandates of the records programs (State Archives or Public Records). Some laws are archaic; for example, the denial of filing cabinets for not managing records (3 V.S.A. §219) is not meaningful in an information technology environment. There is no link between statutes governing recordkeeping and information technology (Chapter 15, Title 22).

Such issues undermine the goals for managing public records found in 3 V.S.A. §218(a), notably that *“public records in general and archival records in particular need to be systematically managed to preserve their legal, historic, and informational value, to provide ready access to vital information, and to promote the efficient and economical operation of government.”*

3. The Current Environment

An environmental scan of executive branch records revealed the absence of a framework for systematically managing records and information. Myriad laws and procedures govern recordkeeping exist but there is rarely an authoritative position with the knowledge and responsibility for assuring compliance. Agency staff have genuine concern for the records they maintain but often lack a broader understanding of agency or inter-agency information flows and do not have access to tools that can guide effective management practices. Where management exists it is often dependent on a caring individual, which is cause for concern in light of the looming workforce retirement bubble.

These barriers to effectively managing information are being exacerbated by the growing complexity of government services, the increasing volume of information generated or received by government, and the rapidly evolving framework of state and federal requirements driven by privacy and security concerns.

The growing dependence on information technology is a particular area of concern as mandates and procedures do not keep pace with technology implementation. The need for sustained and systematic information management in order to bridge the quick cycle of technological obsolescence is not addressed in current system design nor are the costs and procedures needed to preserve the authenticity and accessibility of electronic records consistently applied.

EXECUTIVE RECORD STRATEGIC PLAN (January 15, 2006)

While the state has spent many millions of dollars on the purchase, implementation, and upgrading of information technology, little has been spent on analyzing the creation, maintenance and management of the records within those technologies. Consequently there are increasing costs for IT systems that do not recognize recordkeeping requirements. These costs can be from IT systems that fail in whole or in part to meet business requirements to increasing litigation over access to databases, e-mail and other electronic formats. Without addressing *information*, IT is just *technology* and the goals of increased effectiveness in workflow and service delivery will remain difficult to achieve.

The problems Vermont is facing are not unique and are nicely summarized in a 2004 federal report on the barriers to the effective management of government information:³

- Records and information are not managed as agency business assets.
- Records management is not viewed as critical to agency mission. It is either not incorporated into business processes, or not incorporated early enough, particularly as those processes are automated.
- Marginal support for records management has led to a lack of training, tools, and guidance for all staff within agencies.
- The records management and information technology disciplines are poorly integrated within agencies.

The congruence of record and information management with information technology issues is underscored by the shared concerns and approaches between this report and those expressed in the September 2005 report of the Vermont Institute on Government Effectiveness. These include identification of common:

Barriers:

- Dispersed Infrastructure (no global view of information; persistence of information “silos”)
- Lack of coordinated planning
- Low overall investment in information management/technology
- Enterprise knowledge sharing is hidden

Approaches:

- Enterprise management (global approach)
- Systems approach
- Top to bottom review of business processes, personnel functions, and customer requirements to identify process changes and service improvements

³ Electronic Records Policy Working Group, “Barriers to the Effective Management of Government Information on the Internet and Other Electronic Records: A Report to the Interagency Committee on Government Information” (June 28, 2004).

4. Strategic Plan for Addressing Executive Agency Records

Given the historic absence of systematic record and information management and the current lack of a recordkeeping culture that can sustain good management practices the plan should be implemented in phases. The following recommendations focus on the initial phase of supporting record and information management as integral to the functions and business processes of executive agencies. The actual steps within the strategic plan are provided as Appendix A.

The three initial recommendations are:

- to establish information and records management as a high level function with authority to guide the integration of, and make improvements to, records management among all executive agencies;
- to create an inter-agency body for the exchange of information on recordkeeping analyses and solutions resulting in a consistent enterprise approach within executive agencies that is implemented and supported;
- to coordinate, where appropriate, research and development of an enterprise management system across branches of government.

The three recommendations are interdependent. Appendix D provides a graphical representation of how the recommendations fit together.

4.1 Establish and support a single records and information management authority function in the Executive Branch.

Description: Records and information management (RIM)⁴ is the systematic management of records and information in accordance to law; in support of business processes and operational needs; and in a manner that preserves their authenticity and accessibility, from point of creation to ultimate disposition. It is based on the systematic analysis of laws and other record mandates, workflows, and the creation and use of records and information. This analysis should precede and be incorporated into system design so records are managed from point of creation (particularly, but not exclusively, in an electronic record environment it is expensive and often ineffective to retroactively apply management requirements). A break out of the RIM function is provided as Appendix B, while knowledge requirements for RIM professionals are included as Appendix C.

In the past records were managed by secretarial and other support staff, often through central files. The introduction of IT into offices has decentralized the management of records by eroding secretarial and clerical roles. In effect, everyone is now a “records manager”, responsible for the creation and maintenance of their own records.

While there are numerous laws, procedures and other requirements in place, the absence of an authoritative position with direct responsibility for RIM means these mandates and

⁴ Records have content, context and structure and are created or received as part of an agency’s business transactions. Consequently they are evidence of those transactions. Information is a broader term and can embrace databases, certain web presentations and other, primarily electronic, formats.

EXECUTIVE RECORD STRATEGIC PLAN (January 15, 2006)

analyses are largely unknown and unimplemented. Record officers, identified under 3 V.S.A. §218, often lack the authority, resources or training to create and sustain an RIM program. They rarely have input into IT development and their role is primarily limited to preparing records for transfer to the record center.

Recommendation: Establish and support a single authoritative RIM function within the executive branch. The function would guide the implementation and enforcement of records management strategies, policies and procedures, including requirements for archiving information maintained in electronic format, particularly in the planning, design, and operation of information systems. The RIM function should be linked to SEI implementation.

Timeline: A records and information management position will be established within the executive branch during FY 07.

4.2 Form an inter-agency record and information management group to coordinate and implement an enterprise (executive branch-wide) approach.

Description: To ensure that consistent and effective records and information management policies and practices are established throughout the executive branch, it is important that representatives of the major executive branch organizations work together, under the leadership of the single authority, to develop a framework for planning, implementing, and evaluating RIM initiatives across the executive branch. In the current environment executive branch entities lack a larger view of records and information flows or issues resulting in ad hoc, agency or department-specific responses. The study by the Vermont Institute on Government Effectiveness, Inc. noted that, “Unfortunately there is no one person or office responsible for aggregating and sharing best practice behaviors and process improvement results across state government. Each “silo” of government is largely left to learn, gather, spend, report and consider opportunities for organizational, technological and process changes by itself.”⁵

Recommendation: Form an inter-agency record and information management group, consisting of agency heads, charged with managing their records under 3 V.S.A. §218, or their managerial level designees, and led by the single records management authority, to coordinate and implement an enterprise approach to RIM. This group shall identify and support enterprise opportunities; identify and consistently manage records that are shared across agency/department boundaries; and share and evaluate best practices and other work products related to RIM. The group should work collaboratively with the State Archives, BGS, and DII to appraise records/functions, identify standards, and otherwise support RIM requirements.

Timeline: Inter-agency group will be formed during the second half of FY 07 or early FY 08, contingent on the implementation of step 4.1.

⁵ Vermont Institute on Government Effectiveness, Inc, “Summary of Change Recommendations” (September 8, 2005). The “heterogeneous” or “silo” nature of government information and information systems was previously noted in the Vermont Information Strategy Plan launched by the administration of Governor Richard Snelling in 1991.

4.3 Coordinate with judicial and legislative branches to regularly exchange information on records and information issues and policies in order to support, where practicable, an enterprise (government-wide) approach to records and information flow, policies and practices.

Description: While the “separation of powers” is often referred to and invoked, the three branches of government are not cut off from one another; in fact, they interact continuously and necessarily. Records and information routinely cross from one branch to another (the inter-play between Child Support Services and the Family Court is but one example). They also share common work flow practices and recordkeeping mandates. Often, however, they are unaware of these common records, mandates, and workflows. In preparing this report, cases were discovered where confidentiality requirements understood and applied within one branch were unknown or unrecognized by other branches that receive those records as part of their own processes. In another situation one branch destroyed records, unaware that data from those records was used by another branch for federal reporting requirements. There are numerous cases of the redundant preservation or reformatting (microfilming or scanning) of identical records within each branch. In other words there is little or no communication across the branches of government on the consistent management of identical records.

Recommendation: Establish a mechanism that ensures coordination of RIM activities across all three branches of government. Coordination includes information sharing on RIM activities and best practices; identification of records and information subject to inter-branch sharing with a goal of eliminating redundancies and assuring consistent recognition of legal requirements; where appropriate, adopting enterprise policies, procedures and practices. An inter-branch group of high level RIM professionals, similar to the one proposed for the executive branch above in the first recommendation, should be considered. The group should work collaboratively with the State Archives, BGS, and DII to appraise records/functions, identify standards, and otherwise support RIM requirements, when appropriate.

Timeline: Contingent on steps 4.1 and 4.2 and the parallel work being done in the judicial and legislative branches an inter-branch working group will be created in late FY 07 or early FY 08.

It is noteworthy to point out that these three recommendations are sequential and that the success of each succeeding one depends in significant part on the effective implementation of the preceding one. Taken together, they form a concentric structural strategy through which the State can address current problems and challenges that it faces in records and information management.

The mandate for this study included a request for recommending “any statutory changes that will reduce the amount of records maintained and stored by state agencies.” First, regarding the reduction of stored records, the proposed management plan should accomplish some reductions among records currently maintained and stored by agencies by developing and clarifying policies governing the disposition of records (for example,

EXECUTIVE RECORD STRATEGIC PLAN (January 15, 2006)

in developing elements of this plan for executive agencies and the judiciary the Archives frequently found that 30% to 60% of the records in post-1970 files were being unnecessarily preserved or reformatted). Second, and more important, implementation of the plan is necessary in order to more thoroughly understand both the scope and impact of current state and federal records statutes and also to provide for a deeper and more enlightened consideration of statutory changes needed to achieve the goal of effectively managing records and information for the long term.

5. Conclusion

It is important to be clear that the plan laid out in this report is focused on the future, both immediately and for the long term. It is a prospective plan; it is imperative that the State change its practices and implement sound records management now and moving forward. Only after there is a well developed, implemented and institutionalized records management system in place can we reasonably turn back to sorting through the last 75 years of accumulated records. What is required is that the present poor state of affairs in this arena be addressed thoughtfully and thoroughly, across all of state government. The plan proposed will move us toward that goal.

APPENDIX A:
RECORDS AND INFORMATION MANAGEMENT STRATEGIC PLAN

The attached chart describes the actual steps within the strategic plan.

VERMONT STATE ARCHIVES

STEPS FOR IMPLEMENTING A COMPREHENSIVE RECORDS RETENTION AND DISPOSITION POLICY

STEPS	GOALS	METHODS	TOOLS	PRIMARY BENEFIT
Program Assessment	<ul style="list-style-type: none"> ▪ Understand current practice ▪ Recognize problems ▪ Assess needs ▪ Identify change elements¹ 	<ul style="list-style-type: none"> ▪ Interviews ▪ Observation ▪ Document analysis ▪ Cross-case analysis ▪ Narratives 	<ul style="list-style-type: none"> ▪ Data collection form ▪ Analytical benchmarks ▪ Record inventories ▪ Statistics, studies, and reports ▪ Report to decision-maker 	Recognition of specific records management problems and/or needs and stimulus for creating a records management program
Knowledge	<ul style="list-style-type: none"> ▪ Increase awareness of records management ▪ Explain benefits of records management ▪ Illustrate how RM can be used ▪ Link RM function to information flow 	<ul style="list-style-type: none"> ▪ Publicize information ▪ Group discussion ▪ Cross-case analysis ▪ Information flow analysis 	<ul style="list-style-type: none"> ▪ Website for Program ▪ Meetings ▪ Statistics, studies, and reports ▪ Report to decision-maker 	Exposure to the concept of records management and tools that can facilitate the management process
Evaluation	<ul style="list-style-type: none"> ▪ Identify where records are generated ▪ Complete an initial archival appraisal ▪ Recommend retention periods ▪ Distribute an initial records schedule 	<ul style="list-style-type: none"> ▪ In-depth function analysis ▪ Member checks ▪ Cross-case analysis ▪ Concept mapping 	<ul style="list-style-type: none"> ▪ Appraisal database ▪ Meetings ▪ Statistics, studies, and reports ▪ Report to decision-maker 	Illustrates the advantages of a records management program while also addressing questions of compatibility and complexity
Decision	<ul style="list-style-type: none"> ▪ Classification of all records ▪ Understand the legal requirements ▪ Understand work functions ▪ Comprehensive records schedule 	<ul style="list-style-type: none"> ▪ Legal analysis ▪ Group discussion ▪ Workflow analysis ▪ Full archival appraisal 	<ul style="list-style-type: none"> ▪ Appraisal database ▪ Meetings ▪ Initial records schedule ▪ Statistics, studies, and reports 	Commitment to establish a records management program with greater understanding of records and management needs
Implementation	<ul style="list-style-type: none"> ▪ Systems compatibility ▪ Redesign and/or restructure where needed ▪ Gradual execution of RM tools ▪ Records management is incorporated as a regular activity 	<ul style="list-style-type: none"> ▪ Systems analysis ▪ Workflow analysis ▪ Group discussion ▪ Trials ▪ Publicize information 	<ul style="list-style-type: none"> ▪ Trustworthy systems checklist ▪ Statistics, studies, and reports ▪ Workshops ▪ Focus groups ▪ Website, manuals, etc. 	Formalized adoption of a records management program
Confirmation	<ul style="list-style-type: none"> ▪ Records schedule is actively used ▪ Mechanism for keeping program current ▪ Oversight 	<ul style="list-style-type: none"> ▪ Publicize information ▪ Group discussion ▪ Annual review 	<ul style="list-style-type: none"> ▪ Website for Program ▪ Scheduled workshops ▪ Certification process 	An active records management program that is regularly updated and evolving as needed

¹ Change elements can include any of the following: strategies, policies, processes, tasks, services, service delivery, staffing issues, financial resources, training and development, structure, collaborations, and culture.

VERMONT STATE ARCHIVES

Archival appraisal: Research method for identifying records of permanent value by appraising the complexity and relative importance of government functions, subsequent sub-functions, programs, activities, and tasks that the records support.

Concept mapping: Concept mapping is a technique to visualize the structure of information – how concepts are interrelated. Concept mapping can be used in various applications, including brainstorming ideas, designing a complex structure, analyzing processes, and communicating a multifaceted system.

Cross-case analysis: Cross case analysis enables the evaluation of multiple cases in many divergent ways, which would not be possible within a single case analysis. The case comparison can be made against predefined categories, in search of similarities, differences, or reoccurring patterns, or by classifying the data according to data sources.

Document analysis: Document analysis is the process of examining a set of documents that are used to support specific business goals and objectives. A document could be in any form, ranging from a technical manual used to support operations to a website or more formal publication to a specific record or even an e-mail message. Document analysis is generally applied with other research methods.

Function analysis: Analysis of related activities and/or projects that are part of a process for which an organizational unit is responsible. It is also the principle purpose a program is intended to serve. Function may also be referred to as a PROCESS.

Group discussion: A data collection method used to develop a deeper understanding of a particular issue, gather multiple viewpoints, and assess areas of consensus.

Information flow analysis: An analysis of how information (a record) is received, shared, stored, controlled, used, and transmitted by an organization.

Interviews: A data collection method used to develop a deeper understanding of a particular issue. Interviews are can be structured, semi-structured, or unstructured.

Legal analysis: An examination of a record's legal and regulatory requirements, including any restrictions on use. Legal analysis is used to establish retention periods, limit restriction periods, and identify potential statutory changes.

Member checks: Member checks are used to confirm that the perceived findings from the in-depth records analysis are consistent with the creator's understanding of the records, their functions, or the manner in which they were created or are used.

Narratives: Recounting of an individual or organizational unit's particular experience.

Observation: A data collection method used to develop a deeper understanding of a particular issue within the context that it exists.

Systems analysis: Systems analysis is an explicit formal inquiry of everything from hardware to organizational structure that helps identify the best course of action and the best decision. Aspects of systems analysis include: feasibility, cost-effectiveness, risk-benefit, behavior modification and usability, and data/information structuring. Systems analysis is comparable to operations research.

Workflow analysis: Workflow analysis is a method used to examine a business process, in whole or part, during which documents, information or tasks are passed from one participant to another for action, according to a set of procedural rules.

APPENDIX B:
RECORDS AND INFORMATION MANAGEMENT FUNCTION

The attached outline describes the core activities and tasks of the records and information management function.

VERMONT STATE ARCHIVES

I. FUNCTION:

Establish and maintain a records management program.

II. CORE ACTIVITIES AND TASKS:

A. *Policy*

- Establish policies for how records are created, captured, maintained, and disposed based on legal, regulatory, and operational and strategic needs.
- Review policies on a regular basis to ensure that they are current and account for any changes in legal or regulatory requirements, business or operational processes, and information needs.
- Establish compliance requirements that must be met by agency or department.

B. *Plan*

- Establish a plan for meeting legal, regulatory, and operational and strategic needs by clearly defining objectives and performance targets.
- Develop short- and long-term goals.
- Provide adequate resources for achieving short-and long-term goals.
- Establish compliance requirements that must be met by agency or department.

C. *Staff*

- Assign overall responsibility for records and information management to a senior manager who has office-wide influence and appropriate strategic and managerial skills.
- Provide office staff with access to skilled records and information management staff:
 - *Internal*: Establish a skilled workforce through recruitment, training, and development; or
 - *External*: Hire qualified consultants, establish networking opportunities, and create partnerships with qualified staff in other areas of State government
- Ensure that staff have records and information management skills appropriate with the complexity of the office and tasks for which staff are responsible
- Establish compliance requirements that must be met by agency or department.

VERMONT STATE ARCHIVES

D. Implement

- Systematically implement records and information management plan throughout an agency or department through use of recordkeeping systems, processes, tools, services, and training.
- Ensure that records and information management processes are aligned with operational needs so that they are effective.
- Understand an agency or department's recordkeeping culture or attitude and devise an implementation plan accordingly.
- Establish compliance requirements that must be met by agency or department:
 - Are records made, captured, and maintained in accordance with legal, regulatory, and operational and strategic needs?
 - Do electronic systems meet identified requirements for creating and maintaining records?
 - Do all records, regardless of format, have authorized retention and disposition policies?
 - Is staff trained in records and information management practices and procedures appropriate to their positions and responsibilities?
 - Does staff have appropriate access to qualified records and information management professionals?

E. Monitor and review

- Monitor, review, and update records and information management policies and plans to ensure that procedures and practices support the needs of the agency or department.
- Identify and maximize opportunities for improvement by adapting objectives and performance targets according to changes in legal, regulatory, and operational and strategic needs.
- Establish compliance requirements that must be met by agency or department.

APPENDIX C:
RECORDS AND INFORMATION MANAGEMENT PROFESSIONALS

The attached list is from the Institute of Certified Records Managers (ICRM) and describes the necessary skills and knowledge needed to create and sustain a successful records and information management program. In addition to the Institute and its certification program, a number of graduate schools offer degree programs in archives, records, and information management.

PART 1
**MANAGEMENT PRINCIPLES AND THE RECORDS &
INFORMATION (RIM) PROGRAM**

- A. Principles of Management
 - 1. Management functions
 - a. Planning
 - b. Organizing
 - c. Directing
 - d. Controlling
 - e. Staffing
 - 2. Management theories and concepts
 - a. Classical management
 - b. Human resources
 - c. Behavioral science
 - d. Management science
 - e. Quality management
 - f. Modern management
 - g. Management by objectives
 - h. Management by exception
 - i. Other management theories
 - 3. Decision making
 - 4. Goals and objectives
 - 5. Organizational structure and span of control
 - a. Line
 - b. Line and staff
 - c. Matrix
 - d. Committee
 - e. Team
 - f. Network
 - g. Informal
- B. Human Resources/Staffing
 - 1. Recruitment
 - 2. Training and education
 - 3. Appraising
 - 4. Job descriptions
 - 5. Employee relations
 - 6. Temporary personnel
 - 7. Consultants
 - 8. Outsourcing
- C. Financial Considerations in Records & Information Management
 - 1. Estimating resources
 - 2. Program budgeting
 - a. Types of budgets
 - b. Cost analysis
 - 3. Cost justification and proposal writing
 - 4. Forecasting and benchmarking
 - 5. Auditing and evaluation
 - a. Accuracy, activity, efficiency ratios
 - b. Return on investment
 - c. Payback period
 - d. Break-even analysis
 - 6. Writing requests for proposals/quotations/information
- D. Development of Records & Information Management
 - 1. Definitions and objectives
 - 2. The life cycle concept
 - 3. History of records & information management
 - a. Early archival and records programs
 - b. Current issues and legislation
 - 4. The evolving information society
- E. Planning a Records & Information Management Program
 - 1. Scope and policy
 - 2. Techniques for conducting a study
 - 3. Integrated systems approach
 - 4. Role of RIM manager and staff
 - 5. Management support and program marketing
 - 6. Management by goals and objectives
 - 7. Mergers, acquisitions, divestitures, joint ventures
- F. Organizing a Records & Information Program
 - 1. Determining functions
 - 2. Assigning responsibilities and authorities
 - 3. Organizational placement
 - 4. Risk management
- G. Directing and Controlling a Records & Information Management Program
 - 1. Setting goals and determining objectives
 - 2. Work measurement
 - 3. Reports and follow up
 - 4. Evaluation of program/audits
- H. Program Implementation Cycle
 - 1. Marketing records & information management
 - 2. Standards and guidelines
 - 3. Records & information management manuals
 - 4. Policies and procedures
 - 5. Training and orientation
 - 6. Technical assistance and support
 - 7. Information security
- I. Legal Considerations
 - 1. Legislative and regulatory
 - a. Privacy issues
 - b. Freedom of information
 - c. Other
 - 2. Intellectual property
 - a. Copyrights
 - b. Patents
 - c. Trademarks
 - d. Trade names
 - e. Trade secrets
 - f. Other
 - 3. Contracts
- J. Ethics and Ethical Responsibilities
 - 1. Concept of professionalism
 - 2. ICRM Code of Ethics
 - 3. Social responsibilities of organizations
- K. Global Concerns
 - 1. Standards and models
 - 2. Multi-national issues
 - 3. Security issues/concepts

PART 2 RECORDS CREATION AND USE

- A. Records Creation
 - 1. Definition and objectives
 - 2. Cost considerations
 - 3. Media considerations
 - 4. Systems analysis
 - a. Feasibility studies
 - b. Workflow surveys
 - c. Documentation
 - 5. Methods of creation
 - a. Manual
 - b. Automated
 - 6. Management and control principles
 - 7. Legal compliance
- B. Documentation of Business Transactions
 - 1. Evidence of business activities
 - 2. Risk assessment
 - a. Litigation
 - b. Security
 - c. Vital records
 - 3. Policies, procedures, and audit
 - 4. Legislative/regulatory environment and compliance
- C. Correspondence Management
 - 1. Definition and objectives
 - 2. Economical input
 - a. Machine entry
 - b. Electronic recording
 - 3. Production
 - a. Text processing
 - b. Form and guide letters and paragraphs
 - c. Format standards
 - d. Speech to type
 - 4. Business writing
 - a. Effective communication
 - b. Organizational image and perception
 - 5. Standards and procedures
 - a. Signature authority and review
 - b. Prompt preparation and short response time
 - c. Format and style
 - d. Copies and distribution guidance
 - e. Pre-classification for filing and retention
 - f. Use of correspondence manual
- D. Documentation of Policies and Procedures
 - 1. Definition and objectives
 - 2. Preparation guidelines
 - a. Clear writing style and format
 - b. Clearance, coordination, and approval
 - c. Permanent versus temporary
 - d. Functional classification and coding
 - e. Documentation files
 - f. Readability formulas
 - 3. Distribution and maintenance
 - a. Distribution lists, codes, and controls
- E. Forms Management
 - 1. Definition and objectives
 - 2. Authority and responsibility
 - 3. Program elements
 - 4. Creating effective forms
 - a. Information and design analysis
 - b. Activity flowcharts
 - c. Procedures analysis
 - d. Combine, eliminate, and revise
 - e. Ease of preparation and use
 - f. Size, format, spacing, and layout
 - g. Instructions, titles, and identification
 - h. Primary and secondary user viewpoints
 - 5. Forms control
 - a. Inventory and catalog
 - b. Classification, coding, and control numbers
 - c. Approval authorities and procedures
 - d. Functional files and history files
 - 6. Production and distribution
 - a. Printing specifications and materials
 - b. Usage analysis and stocking patterns
 - c. Supersession policy
 - d. Production technology
 - 7. Specialty forms
 - a. Pegboard
 - b. Checks
 - c. Tags, labels
 - d. Mailers, envelopes
 - e. Other
 - 8. Electronic forms
 - a. Electronic forms software
 - b. Design considerations
 - c. Machine readable forms
- F. Mail Management
 - 1. Definition and objectives
 - 2. Authority and responsibility
 - 3. Program elements
 - 4. Incoming mail
 - a. Controls
 - b. Sorting
 - c. Routing
 - d. Office codes and distribution guides
 - 5. Outgoing mail
 - a. Marketing of services
 - b. Schedules
 - c. Costs
 - d. Security
 - e. Controls
 - f. International mail
 - 6. Internal and external messenger/courier services
 - 7. Electronic mail and voice mail
 - a. Internal networks
 - b. Public data networks
 - c. Bulletin boards
 - d. Distribution
- G. Reports Management
 - 1. Definition and objectives
 - 2. Reports analysis
 - a. Reports inventory
 - b. Measuring reports costs
 - c. Evaluating effectiveness
 - d. Canceling, combining, revising
 - e. Quality improvement for writing reports
 - f. Relation to information technology
 - 3. Reports control
 - a. Approval authorities and procedures
 - b. Control numbers or symbols
 - c. Authorizing directives
 - d. Functional file
 - 4. Automated reporting systems
 - a. Computer Output Microfilm (COM)
 - b. Computer Output to Laser Disk (COLD)
- H. Reprographics Management
 - 1. Definition and objectives
 - 2. Copiers
 - a. Costs and controls
 - b. Centralized and distributed
 - c. Quality needs analysis
 - 3. Printing facilities
 - a. In-house versus external
 - b. On-demand printing
 - c. Outsourcing
 - d. Advanced systems, costs and benefits
- I. Document Control
 - 1. Configuration technology and traceability
 - a. Drawings
 - b. Specifications
 - c. Standards
 - d. Technical publications
 - e. Vendor manuals
 - 2. Revision authorization
 - a. Signatory responsibility
 - b. Controls
 - 3. Product release vs. R&D prototype
 - 4. Regulatory compliance
 - a. Registration
 - b. Audit
 - 5. Parts lists, databases, indexes
 - 6. Technology
 - a. Systems in use (MRP, PDM, and others)
 - b. Logs and distribution
 - 7. Controlled distribution
- J. Legal Compliance
 - 1. Legal sufficiency
 - 2. Admission in evidence
 - 3. Accountability to government

PART 3

RECORDS SYSTEMS, STORAGE AND RETRIEVAL

- A. Basic Concepts
 - 1. Assessing information needs
 - 2. Controlling volume of information
 - a. Determining need to be filed
 - b. Systematic disposition
 - 3. Information retrieval
 - 4. Classifying information
 - 5. Basic file groups
 - 6. Rules of alphabetic order
 - 7. Media selection
- B. Filing Systems
 - 1. Alphabetic
 - 2. Numeric
 - 3. Codes
 - 4. Subject
- C. Information Retrieval
 - 1. Definitions and objectives
 - 2. Indexing
 - a. Search order
 - b. Cross-references
 - c. Manual
 - d. Automated
 - 3. Large project retrievals
 - 4. Computer-assisted retrieval
 - a. Full text storage and access
 - b. Automatic index generation
 - c. Keywords
 - d. Descriptors and captions
 - e. Searching techniques
 - f. Coordinated (inverted) indexing
 - g. Software selection or development
 - h. Bar code technology
- D. Active File Systems
 - 1. Definitions and objectives
 - 2. Design and planning
 - 3. Uniformity
 - 4. Location
 - a. Decentralized
 - b. Centralized
 - c. Decentralized with centralized control
 - 5. Job responsibilities
 - 6. Filing Manual
 - 7. Microform-based active systems
 - a. Advantages and disadvantages
 - b. Integrated microforms
 - 8. Electronic-based active systems
 - a. Advantages and disadvantages
 - b. Integrated microforms
- 9. Hybrid active systems
 - a. Advantages and disadvantages
 - b. Integrated microforms
- E. Active Files Operations
 - 1. Functions and objectives
 - 2. Files station controls
 - 3. Access restriction and control
 - a. Privacy and security requirements
 - b. Protective devices
 - c. Charge-out/retrieval controls
 - d. Other controls
 - 4. Filing procedures
 - 5. Review and maintenance
 - a. Daily filing
 - b. Cross-references and index entries
 - c. Measuring productivity
 - d. Quality controls
 - e. Inventories
 - f. Purging inactive files
 - g. Work analysis and reports
- F. Records Centers Owned and Operated by the Organization
 - 1. Functions and objectives
 - 2. Types of records centers
 - a. Onsite
 - b. Offsite
 - 3. Managing the records center
 - a. Control/security procedures.
 - b. Retention schedule compliance
 - c. Fiduciary/custodial roles
 - d. User/customer requirements
 - e. Staffing requirements
 - 4. Operating the records center
 - a. Accessions
 - b. Locating and indexing methods
 - c. Search and charge-out
 - d. Refiles and interfiles
 - e. Disposal procedures
 - 5. Disaster preparedness
 - 6. Review and evaluation
 - a. Performance statistics
 - b. Work analysis and reports
 - c. User/customer surveys
- G. Commercial Records Centers
 - 1. Vendor selection
 - a. Space and service costs and provisions
 - b. Accessibility and security
- c. Environment and maintenance controls
- d. Other concerns
- 2. Commercial facility usage
 - a. User responsibilities
 - b. Vendor responsibilities
- H. Special Storage Requirements
 - 1. Media
 - a. Microforms
 - b. Electronic
 - c. Paper
 - d. Other
 - 2. Non-standard size items
 - a. Engineering drawings and maps
 - b. Continuous paper records
 - c. Cards and specialty forms
 - d. Other
- I. File Conversions
 - 1. Media Conversions
 - a. Feasibility and cost studies
 - b. Indexes and system design
 - c. Backlog and current records conversion methods
 - d. Post-conversion media disposition
 - 2. Storage methods conversions
 - a. Changing equipment types
 - b. Changing/reconfiguring supplies
 - 3. Automated filing systems conversions

PART 4

RECORDS APPRAISAL, RETENTION, PROTECTION, AND DISPOSITION

- A. Basic Concepts
 - 1. Definitions
 - a. Records
 - b. Company designated legal documentation
 - c. Reference materials
 - d. Personal materials
 - e. Records series
 - 2. Records media and records content
 - 3. Records disposition program
- B. Records Inventory
 - 1. Definitions and objectives
 - 2. Planning the inventory
 - a. Authority, support, publicity
 - b. Organization, staffing, work schedule, and budgeting
 - c. Physical inventory and questionnaires
 - d. Forms and procedures
 - 3. Methods for collecting data
 - 4. Types of data collected
 - 5. Analysis of data collected
- C. Records Appraisal
 - 1. Definitions and objectives
 - 2. Appraisal values
 - a. Operating
 - b. Administrative
 - c. Fiscal
 - d. Legal
 - e. Research
 - f. Archival
- D. Retention Schedules
 - 1. Definitions and objectives
 - 2. Schedule development
 - a. Arrangement: functional or file structure
 - b. Users' input
 - c. Retention committee
 - 3. Retention Development
 - a. Active
 - b. Inactive
 - c. Media consideration
 - d. Retention triggers: calendar or event
 - 4. Approvals
 - a. User office
 - b. Legal counsel
 - c. Administration and management
 - d. Archivist
 - 5. Publication
 - a. Distribution
 - b. Revisions
- E. Schedule Implementation and Administration
 - 1. Definitions and objectives
 - 2. Promotion, support, and training
 - 3. Applying schedules
 - 4. Schedule maintenance
 - 5. Audits
- F. Vital Records Program
 - 1. Definitions and objectives
 - 2. Identification of vital records
 - 3. Risk analysis
 - a. Estimating disaster potential
 - b. Consequences of information loss
 - 4. Protection methods
 - a. Duplication and dispersal
 - b. On-site and remote storage facilities
 - c. Access restrictions
 - 5. Operating procedures
 - 6. Audits
- G. Business Contingency Planning
 - 1. Definitions and objectives
 - 2. Contingency plans
 - a. Classification of disasters
 - b. Responsibility for preparedness
 - 3. Implementation procedures
 - a. Salvage and restoration procedures
 - b. Alternate sites and resources
 - c. Reconstruction
 - d. Program tests and audits
- H. Disposition
 - 1. Definitions and objectives
 - 2. Destruction methods, procedures, and controls
 - 3. Transfer to archives
- I. Archives
 - 1. Definitions and objectives
 - 2. Appraisal for archival value
 - a. Historical and research values
 - b. Evidential and informational values
 - c. Physical condition
 - 3. Arrangement, access, and use
 - a. Provenance and original order
 - b. Service to researchers
 - c. Finding aids, lists, and indexes
 - d. Copyright concerns
 - 4. Conservation and preservation of archival materials and manuscripts
 - 5. Media hardware/software considerations
 - 6. Environmental controls
 - 7. Types of archives
 - a. Public archives
 - b. Private archives
 - 8. Relation to manuscript collections

PART 5
FACILITIES, EQUIPMENT, SUPPLIES & TECHNOLOGY

- A. Active File Facilities
 - 1. Building design considerations
 - a. Standards
 - b. Layout design
 - c. Space and utilities
 - d. Floor load capacity
 - e. Safety and security
 - f. Environmental controls
 - 2. File cabinets
 - a. Vertical
 - b. Lateral
 - c. Special purpose
 - 3. Shelf filing units
 - a. Stationary shelving
 - b. Movable units
 - 4. Power (mechanized) file units
 - 5. Safes, vaults and security units
 - 6. Visible index records units
 - 7. Supplies
 - a. Folders, tabs, and labels
 - b. Guides
 - c. Out cards and other controls
 - d. Bar codes
 - 8. Shredders/balers
- B. Records Center Facilities
 - 1. Building design considerations
 - a. Standards
 - b. Layout design
 - c. Space and utilities
 - d. Floor load capacity
 - e. Safety and security
 - f. Environmental controls
 - g. Loading docks
 - h. Staging and processing areas
 - 2. Shelving
 - a. Materials
 - b. Spacing and layouts
 - c. Catwalks and ladders
 - 3. Storage containers
 - a. Size and construction
 - b. Strength and quality
 - 4. Materials handling equipment
 - a. Light duty
 - b. Heavy duty
- C. Archives Facilities
 - 1. Building or area design considerations
 - a. Standards
 - b. Layout design
 - c. Space and utilities
 - d. Floor load capacity
 - e. Safety and security
 - f. Environmental controls
- D. Mail Room Facilities
 - 1. Layout and design
 - 2. Equipment
 - 3. Computer software
- E. Micrographics
 - 1. Standards
 - 2. Equipment and supplies
 - a. Film
 - b. Camera
 - c. Processors and duplicators
 - d. Readers and printers
 - e. Hybrid systems
 - 3. Methods and systems
 - 4. Quality controls
 - 5. Storage
- F. Ergonomics
 - 1. Standards
 - 2. Office space and layout
 - 3. Environmental considerations
 - 4. Work station designs
- G. Telecommunications
 - 1. Standards
 - 2. Technologies
 - a. Voice
 - b. Digital
 - c. Video
 - 3. Methods
 - 4. Security
- H. Computers
 - 1. Standards
 - 2. Computer performance and configurations
 - 3. Hardware
 - a. Input/output devices
 - b. Storage
 - c. Peripheral equipment
 - 4. Operating systems
 - 5. Application software
 - a. Software selection
 - b. Database
- I. Imaging Systems
 - 1. Standards
 - 2. Selection criteria
 - 3. Media
 - 4. Recording devices
 - 5. Drives and peripherals
 - 6. Storage devices
- J. Reprographics
 - 1. Standards
 - 2. Selection criteria
 - 3. Printers and duplicators
 - 4. Copiers
 - a. Standard
 - b. Blueprints
 - c. Oversized
 - 5. Computerized reprographics
- K. Preservation, Recovery and Destruction Techniques
 - 1. Preservation
 - a. Paper
 - b. Film
 - c. Electronic or magnetic
 - 2. Recovery
 - a. Paper
 - b. Film
 - c. Electronic or magnetic
 - 3. Destruction
 - a. Paper
 - b. Film
 - c. Electronic or magnetic
- G. Staging and processing areas
- H. Stack area
- I. Research areas
- J. Utilities and diagnostics
- K. Word processing
- L. Systems administration
 - a. Processing
 - b. Backup and recovery
 - c. Security
 - d. Documentation
 - e. Maintenance
- M. Networks
 - a. Internal
 - b. Commercial
 - c. Internet
 - d. Intranet

APPENDIX D:
STATE RECORDS AND INFORMATION MANAGEMENT PROGRAM

The attached diagram provides a graphical representation of how the recommendations made in this report fit together and an enterprise-wide approach to records and information management.

Standards, Professional Knowledge, & Resources

VERMONT STATE GOVERNMENT

STANDARDS ORGANIZATIONS

- American National Standards Institute (ANSI)
- National Information Standards Organization (NISO)
- Association for Information and Image Management International (AIIM)
- International Federation of Library Associations and Institutions (IFLA)
- National Map Accuracy Standards (NMAS)
- International Standards Organization (ISO)
- The Association for Information Management Professionals (ARMA)
- Conference of State Court Administrators and the National Association for Court Management (COSCA/NACM)
- National Institute of Standards and Technology (NIST)
- Integrated Justice Information Systems (IJIS)
- Dublin Core Metadata Initiative (DCMI)
- Institute of Electrical & Electronics Engineers (IEEE)
- American Association of Motor Vehicle

BEST PRACTICES

- National Archives and Records Administration (NARA)
- The Association for Information Management Professionals (ARMA)
- Center for Technology in Government (CTG)
- National Digital Information Infrastructure and Preservation Program (NDIIPP)
- World Wide Web Consortium (W3C)
- United States National Spatial Data

FEDERAL REQUIREMENTS

- Code of Federal Regulations
- Freedom of Information Act (FOIA)
- Health Insurance Portability and Accountability Act (HIPAA)
- Family Educational Rights and Privacy Act (FERPA)
- Intelligence Reform and Terrorism Prevention Act
- And more....

