

Vermont State Archives & Records Administration

Introduction to Records and
Information Management

September 13, 2018

Agenda

- ▶ Overview of VSARA
- ▶ Discussion of public records, employee responsibilities
- ▶ Introduction to records and information management (RIM)
- ▶ Components of a strong records program
- ▶ Final questions

Vermont State Archives & Records Administration (VSARA)





Management of public records

1 V.S.A. § 317a

“A custodian of public records shall not destroy, give away, sell, discard, or damage any record in his or her charge, unless specifically authorized by law or under a record schedule...”

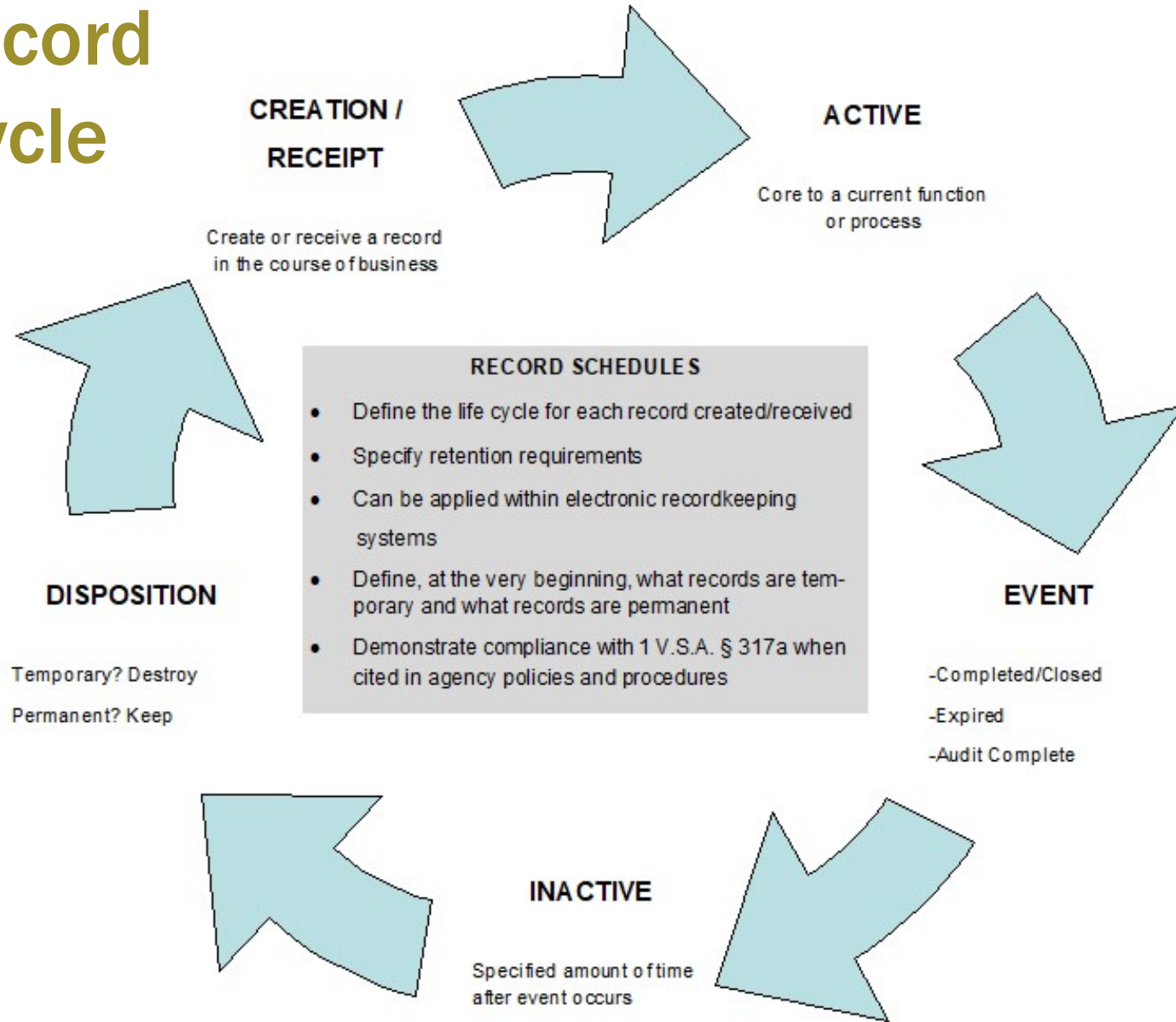
Agency/Department Records Management Program

3 V.S.A. § 218



“...each State agency or department shall establish, maintain, and implement an active and continuing program approved by the Vermont State Archives and Records Administration for the effective management, preservation, and disposition of records...”

The Record Lifecycle

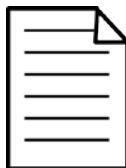


Policy

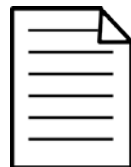
Records Officer



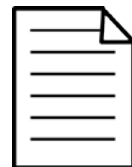
I.T.



Legal



Business/Subject Expert



RIM Specialist

Best Practices

Industry Standards

Generally Accepted Recordkeeping Principles

A TIP CARD

Accountable	Senior executive responsible for overseeing a RIM program
Transparent	Documentation is available to interested parties
Integrity	Public records are managed to ensure a reasonable guarantee of authenticity
Protection	Public records with inspection exemptions are protected from accidental disclosure
Compliance	Retention and access requirements are clearly identified to ensure compliance with laws
Availability	Inspection exemptions are identified in a manner that assures timely, efficient, and accurate response
Retention	Management & retention requirements are appropriate
Disposition	Public records are disposed of appropriately to maintain exemptions

Record Schedules

STATE OF VERMONT GENERAL RECORD SCHEDULE

Issued to: All Public Agencies

GRS-1000.1103: Operational / Managerial Records

Last Revised: 5/6/2014



Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

www.vermont-archives.org/records/schedules

GRS-1000.1103: Operational / Managerial Records

Classification: GENERAL (Managing)

- Authority:** A custodian of public records shall not destroy, give away, sell, discard, or damage any record or records in his or her charge, unless specifically authorized by law or under a record schedule approved by the state archivist pursuant to subdivision 117(a)(5) of Title 3. (1 V.S.A. § 317a)
- Scope:** This general record schedule applies to any agency, board, department, commission, committee, branch, instrumentality, or authority of the state or any agency, board, committee, department, branch, instrumentality, commission, or authority of any political subdivision of the state that produces or acquires the records listed on this record schedule in the course of public agency business. Record means any written or recorded information, regardless of physical form or characteristics, and includes electronic or digital records and data. (1 V.S.A. § 317)
- Use:** State agencies MUST have a Notice of Adoption (VSARA-11) acknowledged by the Vermont State Archivist and on file with the Vermont State Archives and Records Administration (VSARA) prior to using any general record schedule. Use of a General Record Schedule (GRS) to destroy records without proper notification is not permitted. In addition, internal policies must be established to assure that the requirements outlined in any GRS are being applied across the agency. General Record Schedule (GRS) numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a. Local public agencies do not have to submit a Notice of Adoption; however, internal policies should clearly cite any general schedules that have been adopted and associated GRS numbers. If a GRS does not meet an agency's legal or administrative needs, the agency should continue to use any applicable disposition orders that have been issued for its records or seek agency specific record schedules through VSARA's Targeted Assistance Program (TAP).
- Exemptions:** It is the policy of Title 1, Chapter 5, Subchapter 3 of Vermont Statutes Annotated to provide for free and open examination of records consistent with Chapter 1, Article 6 of the Vermont Constitution. All people, however, have a right to privacy in their personal and economic pursuits, which ought to be protected unless specific information is needed to review the action of a governmental officer. Some records listed on GRS-1000.1103 may be exempt from public inspection and copying for this reason. Security measures to protect records and information from unauthorized access, use, and disclosure are necessary if the records are exempt pursuant to 1 V.S.A. §§ 315-320. Please see Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.
- Retention:** GRS-1000.1103 reflects the retention and disposition requirements for the following records regardless of their media, format, or mode of transmission. Duplicate records within the same agency that are used for specific legal, fiscal, or administrative purposes may be either retained using the retention requirement listed in this schedule or in accordance to an internal policy. Any copies of records made only for convenience of reference or informational purposes may be discarded when no longer needed unless otherwise directed through an internal policy. Duplicates or copies of records shall not be retained longer than the original records.

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Please reach out!

