

**Vermont Secretary of State
Office of Vermont State Archives**

**FOURTH ANNUAL REPORT
on
ARCHIVAL RECORDS MANAGEMENT**

Deborah L. Markowitz, Secretary of State

D. Gregory Sanford, State Archivist

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Vermont State Archives
26 Terrace Street
Montpelier, VT 05609-1101
(802) 828-2363
www.vermont-archives.org

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Report of the State Archivist 2006

This is the fourth annual report of the State Archives as required by 3 V.S.A. §117(3)(c). It covers the Archives' activities during calendar year 2006.

Records are the most valuable resource owned by the State. Government records document legal obligations, program development and service delivery, as well as economic, environmental, and social trends. This information can guide policy development and program measurement. It can inform citizens about the actions of their government and about economic, environmental and social realities and opportunities.

The State, however, has not consistently managed records and information in ways to achieve these results. Records are often difficult to locate and access within and across agencies and departments. The ability to develop longitudinal perspectives is retarded by this persisting lack of management. Citizens can be frustrated in trying to locate information.

There is growing concern about this lack of management. Act 132 of 2006 required analysis of current record and information management practices and of how government responds to public record requests. The Governor's strategic enterprise initiative for information management fostered studies on how workflow and business processes can be made more effective. The move by some agencies to implement content management systems forced understanding that such systems can only be effective if comprehensive and up to date record management programs are in place.

In 2006 the Archives developed working relationships with the records management program within Buildings and General Services and with the Department of Information and Innovation to better coordinate shared management responsibilities. We added additional agency and municipal partners, notably the Agency of Natural Resources, Human Resources, and the Town of Colchester. Through these and other partnerships the Archives continued to build tools to assist the development of comprehensive record management plans. Specific developments will be laid out in the following report.

Respectfully submitted,

Gregory Sanford
State Archivist

PART I

OVERVIEW OF THE STATE ARCHIVES

While the secretary of state was first assigned archival duties in 1782, it was not until 2003 that the general assembly enacted the authorities necessary for effective archival management (Act #3, 2003; 3 V.S.A. §117). Vermont was the last state to enact such authorities.

Archival records are institutional records with a continuing legal, administrative or historical value. *Archival management* is “the systematic identification and management of archival records to assure their authenticity and accessibility from point of creation to ultimate disposition” (3 V.S.A. §117(a)(1)). Disposition includes transfer to the custody of the archives.

Records management, which is not defined in Vermont statutes, is defined by the Federal government as the “managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations” (36 CFR 1220.14).

While Vermont does not define records management it does require agencies to “establish, maintain, and implement an active and continuing program for the effective management, preservation, and disposition of records” (3 V.S.A. §218(b)) and assigns the commissioner of BGS and secretary of state authorities for approving components of those programs.

Appraisal, the analysis of records to determine how long they retain legal, administrative or informational values, is essential to both archival and records management. Authority to appraise records resides with the archives (3 V.S.A. §117(a)(3)).

As the above illustrates, Vermont fragments components of records management between the archives and BGS. The advent of information technology further diffuses the broad authorities over the management of records. The secretary of administration, for example, shall annually submit a technology plan to the general assembly. The plan shall address the “creation, collection, processing, storage, management, transmission or conversion of electronic data, documents or records” (3 V.S.A. § 2222((a)(10)(A)). In addition the agency of administration oversees the Department of Information and Innovation and has a director of strategic change responsible for the Strategic Enterprise Initiative. During 2006 the archives worked to improve communication and, where possible, coordination among these programs. It did so through partnerships and, in the case of BGS, through a memorandum of understanding to provide unified guidance on recordkeeping to agencies.

As in past reports, the overview must include reference to the inadequacy of the archives’ current physical space in terms of capacity and in providing a safe environment for the State’s most valuable records. Without better capacity and security a professional archival management program cannot be implemented or sustained. A 2006 Capital

Construction appropriation of \$650,000 provided for site assessment and final designs for a new archives and research facility.

Staff

The archives has three professional archivists and two administrative assistants. The administrative assistants also supervise Vermont notaries; provide clerical oversight of the secretary of state's rulemaking responsibilities under the Administrative Procedures Act; and fulfill the Legislative Clerk duties as set out in 3 V.S.A. §106(4) and (5).

MISSION

Document the rights of citizens, the actions of government, and the history of public policy by:

- Supporting the efficient and effective management of essential government information;
- Appraising recorded information, regardless of format, for evidentiary and archival value;
- Systematically receiving a comprehensive, reliable, and authentic body of State archival records;
- Promoting and enhancing the use of the State's archival records by Vermont's government and citizens.

GOALS

- Advocate for openness and accountability in government.
- Ensure the preservation of, and access to, evidence of key government transactions through the development and implementation of a sustainable archival management program for all of state government.
- Provide expert advice and guidance on the principles and practices of archives, records, and information management.
- Support state institutions, political subdivisions, and individuals engaged in archival management and historical research.

AUTHORITY

The primary statutory authority for the state archives can be found in 3 V.S.A. §117 and in the broader accountability requirements of Article VI, Chapter I of the Vermont Constitution.

During 2006 the archives continued to make significant strides toward creating the knowledge, partnerships and tools required for the effective management of State records and information. While the year's accomplishments are too extensive to enumerate in detail, the following list of performance measures provides a sense of the progress made this year.

Archives and Research Facility

Take custody of archival records 3 V.S.A. §117(g)(7)

- The ability to take custody of archival records has long been stymied by the current inadequate archives' facility. On-going records appraisal has identified, to date, 15,000 cubic feet of archival records eligible for immediate deposit with the archives. The current archives' vault, which is full, has a capacity of 1,500 cubic feet, the smallest capacity among all state archives. The 2006 Capital Construction Act included \$650,000 for site assessment and final designs for a new archives and research facility to be located on the "triangle" off of Dog River Road. Truex Cullins and Partners were awarded the contract and are working with BGS and the Archives. Construction funds will be sought during 2007.

Information Requests

Permit the public to inspect, examine and study the archives §117(g)(9)

(In 2006 the archives changed how it tracked requests making accurate comparisons to previous years totals impossible)

- The archives staff responded to approximately 3,000 information requests during 2006.
- Information requests are increasingly made via telephone or e-mail rather than onsite visits. Two-thirds of all requests were made by phone or e-mail.
- The archives website was visited 235,680 times between January and December 2006.
- Indicating the interest in guidance for managing public records, the managing records section of the archives web site received 38,312 visits during 2006.
- The online notary public guide information section received 13,991 visits between February and December 2006.
- Notices of proposed administrative rules, first put on-line in October 2004, were visited over 8,140 between July and December 2006.

Establish Archival Management Programs

Cooperate with agencies to establish archival management programs 117(g)(3)

- A focus in 2006 was to tighten cooperation with the Department of Buildings and General Services and the Department of Information and Innovation, the other two entities with broad, cross-government authorities for advising on recordkeeping. The goal was to create uniform, standards-based advice from all three programs. In September the archives signed a memorandum of understanding with BGS to coordinate advice. The archives, DII and BGS are

also working together on record management standards to guide agencies seeking to implement content management systems.

- In addition to partnerships established last year, the archives is working with Human Resources and the Agency of Natural Resources for the development of comprehensive record and information management plans. This builds on the 2006 joint report of the secretary of administration and archives on comprehensive record and information plans for executive agencies. The report is at: <http://vermont-archives.org/publications/legislative/pdf/LegReport06.pdf>
- The archives established a partnership with the Town of Colchester to assist with their efforts to create an e-municipal government model. The archives also worked with the towns of Guildhall and Wilmington and created a prototype database to help index municipal land records.
- The archives worked with the Legislative Council on the public records study mandated by Act 132 of 2006.
- The archives continued to work with, and provide administrative support for, the Municipal Land Records Commission (Sec. 49(b), Act #66, 2003) to develop the systematic management of municipal land records. The archives maintains the Commission's website at: <http://vermont-archives.org/records/vtmlrc/> Dick Pecor, Colchester's information technology specialist, was appointed the archives representative to the Commission. The Commission is working with the indexing database the archives developed as a possible model.

Develop Standards

Develop and coordinate standards, procedures and techniques for archival records 117(g)(4)

- The archives created a "managing records" section to its web page (go to: <http://vermont-archives.org/records/>). The section includes links to what standards exist, guidelines for managing records, and tools such as a database to Vermont's public records laws.
- As noted, the archives drafted a memorandum of understanding with BGS. The memorandum, which was signed in September, commits BGS and the archives to being "unified in their advice, assistance, and information to public agencies concerning archives, records and information management;" to adhering to industry standards; and to sharing resources (See Appendix C).
- The archives continued to build a relational database for establishing better controls over archival records and for assisting agencies in identifying and scheduling records. Key to the database is a controlled vocabulary so record types, business activities, functions, etc are consistently described across agencies. Tables within the database also help identify laws governing record requirements within agencies and across government; existing disposition orders issued by BGS over the years; and other information needed for establishing comprehensive record management plans. The database is being built through the partnerships with a goal of creating an online version accessible to agencies.

Recognition

Recognition of the archives as a service within government resulted in increasing requests for assistance on everything from managing records to right to know and access to public records questions. The “managing records” section of the archives web site, which includes the “right to know” database, received 38,312 visits since July

In July the archives received a certificate of appreciation from the Council of State Archivists for its contributions to a national guide on managing gubernatorial records.

This past year was particularly productive as the archives continued to implement the new archival management authorities that went into effect on July 1, 2003. The archives' most pressing need, a modern archives and reference facility, was examined through a site selection process funded by a 2005 Capital Construction appropriation. Consequently the 2006 legislature approved \$650,000 for site assessment and final design for a facility on the Dog River Road in Montpelier.

As noted in the third annual report the first efforts to implement the new archival authorities focused on analysis of the current recordkeeping practices across government and the identification and development of tools to assist agencies in managing their records (<http://vermont-archives.org/publications/annual/pdf/3rdAnnualReport.pdf>). That work continued in 2006 through more refined *analysis* of recordkeeping within our partners' organizations. This work contributed to further development of *tools* for managing records within the archives custody and within partner agencies. A third major effort in 2006 was to better *coordinate services* among the three entities with broad recordkeeping authorities, the archives, BGS, and DII. The final major effort was to *enhance access* to government records and information.

Analysis

During 2006 analysis focused on recordkeeping within three partner organizations: Natural Resource, Human Resources, and the Town of Colchester. All three had already embarked on their own analysis, primarily within the context of planning for new information technology (IT) systems. These established efforts provided opportunities for the archives to test the six step process developed for implementing comprehensive records retention and disposition policies (Appendix A). Analysis fell within the first three of those steps (program assessment, knowledge, and evaluation) and was greatly aided by the partners' ongoing record and information management analyses.

In each case analysis included the partner's current record program; what state and federal mandates governed the records; what businesses processes were in place and what record types each produced; and what internal and external information flows occurred. Since the organizational structures that produce records change over time some initial analysis was done on agency histories and functions (since functions are more stable than bureaucratic structures). An agency history, for example, allowed us to identify the changing administrative placements and titles of the executive branch planning office. Functional analysis allows views of a function, such as permitting, across agencies and over time.

Though on the surface the three partners were entirely distinct, analysis revealed commonalities. For example, Human Resources manages records such as personnel records that are common across agencies. To understand the mandates and processes used by Human Resources in managing personnel records will allow for the development of consistent statewide management practices and for ending duplication of efforts and costs. Similarly, working with ANR and Colchester gave understanding of how permitting information and records needed to be coordinated between municipal and state entities.

As legal mandates, record types, etc were identified within each partner's organization they were added to a database created by the archives. Using professional standards a thesaurus of record type names was developed so that each agency can use the same nomenclature to identify the same types of records.

Tools

As noted, information gathered from the analyses was entered by archives staff into a database. Where controlled vocabularies were established, such as with record types, the archives created drop down lists to facilitate entry of consistent information.

The database will allow the archives and its partners to run reports that can be the basis for comprehensive record schedules and for easily identifying information and records. The database will become a major tool for creating and sustaining such schedules (each agency, for example, can update changing mandates simply by updating the database and running new reports).

As the databases are populated and tested the archives will make them available as online tools that agencies can use to meet their record management responsibilities under 3 V.S.A. §218. Other online versions will enhance the accessibility of records by providing comprehensive views of public records, the information they contain, and any restrictions on access.

One database tool that did go online in 2006 was the archives database on right to know/public record laws. The database allows the user to search by agency or category in order to determine what records are exempt, or by extension, open. The database can be found at: <http://vermont-archives.org/records/access/database/index.htm>. This not only provides agencies with a view of some of their record mandates but also allows citizens to better understand what records are accessible.

The archives also began to provide guidance on managing records through its website (<http://vermont-archives.org/records/>). The desire for such advice is demonstrated by the 38,000 visits to this site since it was put up in July. As more guidelines are developed they will be added to the site.

Coordinate Services

Historically a barrier to effective record and information management has been the fragmentation of core functions among different entities. The first crucial step to effective record and archival management is appraisal. Under 3 V.S.A. §117(a)(3) the authority to appraise resides with the archives. Approval of agency record plans is shared by BGS and the archives. Providing guidelines and advice on records management, including rule making, is also divided between BGS and the archives.

Fragmentation has led to different or even contradictory practices and recommendations, confusing agencies about where to seek authoritative and consistent advice. Common in the 1930s, administratively distinct archival and records management services are now recognized as barriers to effective point of creation to ultimate disposition management. In 1985 records management was transferred from the federal General Services

Administration to the National Archives, creating the National Archives and Records Administration. Similar consolidation has occurred at the state-level and Vermont is now one of only twelve states that have not consolidated archival and records management (consolidation is usually, but not exclusively, under the archives). The January 2007 report of the Legislative Council on Public Records Requirements in Vermont noted the problems with fragmentation and called for consideration of uniting record and archival management under the secretary of state.

The advent of information technology has led to further fragmentation of responsibilities, with the secretary of administration having responsibility for electronic records (3 V.S.A. §2222((a)(10)(A)). This responsibility is primarily carried out by the Department of Information and Innovation.

While a long term goal remains of consolidating the record and information management functions of BGS and the archives, in 2006 a memorandum of understanding committed the two programs to coordinating their advice to agencies. One result was a general agreement to replace the old system of disposition orders issued by BGS with record schedules.

Disposition orders in large measure reflect the longstanding misidentification of records management as managing the physical volume of records. As records filled office space agencies would seek BGS's approval to transfer to the record center, microfilm, or destroy their records. The information value, legal mandates or business needs were not consistently applied. In addition a disposition order was often not sought until long after records were created, rather than established from the point of the record creation. Over the last 70 years some 11,000 separate disposition orders were created. Many were approved on an ad hoc, agency by agency basis. Consequently similar records within and across agencies were given different or conflicting disposition orders. Many agencies simply kept adding new records to old disposition orders, making it impossible to identify and retrieve records. In some cases agencies continue to apply 60 year old disposition orders though their business processes and mandates have changed significantly.

A record schedule, which is based on a comprehensive record inventory, focuses on the value of record content and develops a consistent way to incorporate mandates and business processes from the point of creation to final disposition. Record schedules are standard in most businesses and governments.

While a general agreement was reached switching the record schedules, the new system has not yet been implemented.

The third broad authority for managing records--the management of informational technology--should remain under the secretary of administration, but there must be similar coordination with the traditional records programs. IT systems, after all, are used to create, store, transmit, and manage records and information. Without comprehensive record and information programs the effective design and implementation of IT cannot occur.

To achieve coordination the archives and BGS began working with DII through a series of task forces. The umbrella group is the Record Management Task Force consisting of representatives from the archives, DII and BGS. This group participates with agency task forces already working on either strategic enterprise initiatives, analysis of their own record programs, or design of content management systems. The flow between these task forces and the umbrella task force provides essential information and feedback to all parties. This is a step toward the model of record management partnerships developed in the 2006 report by the state archives and secretary of administration (see Appendix B).

The goal of the task force is to identify and establish record management requirements that must be part of all IT design. Achieving that goal would allow all three record authorities to provide common advice and tools to agencies.

Enhance Access

Throughout 2006 the archives worked to enhance awareness of and access to archival records. Three efforts are noted below.

- The record series database. This is an online database on the archives website that allows people to discover what archival records have been preserved. The database allows a user to search by agency, series identification number, or series description. For example, a researcher could type “education” into the description field to find record series that include education in their title. The database is at: <http://vermont-archives.org/research/database/series.asp>
- The “Nye Index” database. This online database references the pre-1800 records held by the archives. A user can search by personal name (Ethan Allen, for example); keyword (petition or Williston, for example) or by date. The database is at: <http://vermont-archives.org/research/database/nye.asp>
- Gubernatorial inaugural and farewell addresses. This is an online, searchable presentation of the full text of all inaugural and farewell addresses. The value of the addresses is that governors usually address the same topics. This provides users with a longitudinal view of how we have defined and addressed education, taxation or other key issues. The texts are found at: <http://vermont-archives.org/govhistory/gov/govinaug/index.htm>.

The solid progress made during 2006 has led to an increasing number of opportunities for the archives. While we maintain sufficient flexibility to take advantage of unanticipated opportunities, during 2006 we have identified four priorities:

- Complete design and begin construction of a new archives facility.
- Continue to support comprehensive approaches to recordkeeping through use of the preliminary strategic management plans developed in 2006.
- Create and test common tools for managing information and records.
- Increase awareness and use of archival records.

Archives and research facility

The greatest challenge remains the inadequate archival and research space. The current space is not only a barrier to implementing an enterprise-wide archival management program, but also threatens the records already at the archives.¹

During 2007 design work should be completed for the facility and initial construction funds will be sought.

A comprehensive approach to recordkeeping

During 2007 the archives will continue to work through the Record Management Task Force and with its partners to complete all six steps within the Comprehensive Records Retention and Disposition plan (Appendix A). The work should result in a refined plan and actual comprehensive schedules for the partner agencies.

The archives will continue to develop tighter coordination among the three broad record authorities. While the goal remains consolidating the management authorities currently fragmented between BGS and the archives, immediate steps will focus on giving force to the memorandum of understanding. For example, the general agreement to replace the old disposition order approach with record schedules must be put into effect. To do so the archives is drafting a series of agreements to guide implementation of record schedules and other, more modern practices.

The archives will also seek better coordination with the strategic enterprise initiative. This is important since some of the information being generated through the initiative, such as agency analyses of their workflow, are crucial for developing comprehensive schedules.

Creating common tools for managing information and records

The experience and information gained through the work with the Records Management Task Force and other partners will continue to be added to the archives

¹ See the Third Annual Report for a fuller description of problems. The report is at: <http://vermont-archives.org/publications/annual/pdf/3rdAnnualReport.pdf>

appraisal databases and made available online. This will create an accessible tool for all agencies so they can come into compliance with their management plans as set out in 3 V.S.A. §218. The archives will also seek new partners to assist in the application of these tools.

Increase awareness and use of archival records

The archives will continue to add to the online record series database so users have consistent, basic information about what archival records are available.

Funding opportunities will be explored for adding post-1800 entries to the Nye Index.

The archives will identify current issues and, as records are processed, will add online presentations that can help inform public discussion and action on such issues. Two areas being explored, but not yet agreed on, are presentations of the archives map collections (to help with ongoing “ancient road” research) and records from previous State planning efforts (to better understand what past planners wanted to preserve or change and, consequently, provide context for current planning).

CONCLUSION

Vermont is the last state to create statutory authorities for effective archival and information management. Significant progress was made in 2006 in laying the ground work for better management. The remaining challenges are great, driven in part by the State’s increasing dependence on information technology, including the use of the internet for citizen to government and government to government communication and transactions.² Therefore the archives’ focus will remain on establishing prospective practices in order to address the issues associated with government’s reliance on information technology. The retrospective management of records and information can only be applied once the strategic enterprise approach has been implemented. The program outlined for 2007 is ambitious and relies upon continued high level support within the executive branch. We are grateful for the sustained support from BGS Commissioner Tasha Wallis; Robin Orr, the head of the BGS record management program; and Tom Murray and his staff at DII.

² For example, managing web pages in accordance with the public records laws raises special challenges.

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 elements³ 	<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

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.

³ 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.

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.

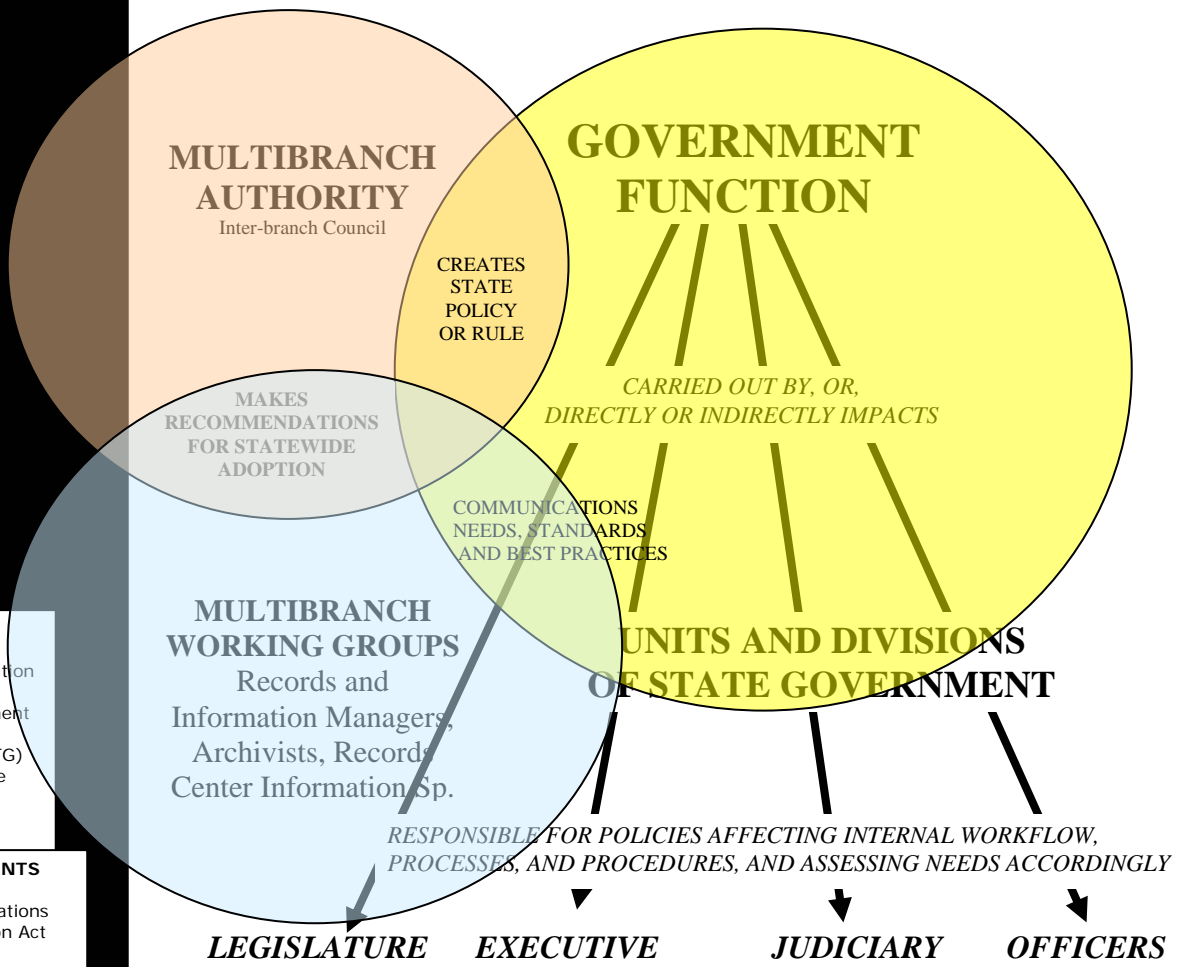
Workflow analysis: Workflow analysis is a method used to examine a business process, in whole or part, during which documents, information or tasks are passed from one participant to another for action, according to a set of procedural rules.

Standards, Professional Knowledge, and 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 Administrators (AAVMA)
 - Federal Records Administration (FRA)
 - State Records Administration (SRA)
 - Government Information Systems (GIS)
 - Technical Information Systems (TIS)
- 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 Infrastructure (NSDI)

- 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)



Memorandum of Understanding (MOU)*Vermont Department of Buildings and General Services**and**The Vermont State Archives, Office of the Secretary of State*

The Vermont Department of Buildings and General Services (hereinafter called BGS) and the Vermont State Archives, Office of the Secretary of State (hereinafter called State Archives) agree as follows:

- I. This MOU is intended to facilitate all communication and collaborative initiatives between BGS and the State Archives for appraising, scheduling, and managing records (3 V.S.A. § 117 and 22 V.S.A. § 453); developing comprehensive records retention and disposition schedules (3 V.S.A. § 117, 3 V.S.A. § 218, and 22 V.S.A. § 454); and approving agency and departments records programs (3 V.S.A. § 218).
- II. All records, information, and data, regardless of format, must be systematically and consistently managed. BGS and the State Archives must be unified in their advice, assistance, and information to public agencies concerning archives, records, and information management including, but not limited to, the development of statewide policies, best practices, and standards.
- III. Comprehensive records retention and disposition schedules are the goal of every State records program. BGS and the State Archives must be unified in their advice, assistance, and information concerning the development of comprehensive records retention and disposition schedules and approval of said schedules.
- IV. The process of developing comprehensive records retention and disposition schedules must adhere to industry standards for appraising, scheduling, and managing records, regardless of format. BGS and the State Archives must be unified in requiring that public agencies devise schedules in accordance with national and international standards.
- V. This present MOU will be supplemented by Agreements for specific activities. Until other agreements are signed, the focus of this MOU will be on establishing a unified approach and process for:
 - a. appraising, scheduling, and managing records, regardless of format;
 - b. developing comprehensive records retention and disposition schedules in accordance with industry standards; and
 - c. approving State records programs.
- VI. BGS and the State Archives are committed to sharing resources and information in support of the efforts outlined in this MOU and agree to consult with each other on any initiatives or proposed changes in resource allocation.

Memorandum of Understanding (MOU)

- VII. This MOU will become effective on the date of signing for a period of one year and will be jointly reviewed and evaluated after one year from the effective date, and can be renewed by mutual consent.

<u>D. Gregory Sanford</u>	<u>9/22/06</u>	<u>Tasha Wallis</u>	<u>9/22/06</u>
D. Gregory Sanford	Date	Tasha Wallis	Date
State Archivist		Commissioner of Buildings and General Services	
<u>William Dalton</u>	<u>9/22/06</u>	<u>Robin Orr</u>	<u>9/22/06</u>
William Dalton	Date	Robin Orr	Date
Deputy Secretary of State		Director of Internal Services, BGS	

