

## **Requesting a New or Modified Disposition Order**

Effective Date: August 1, 2008

(Procedure VSARA00002)

### **I. OVERVIEW/DESCRIPTION**

The Vermont State Archives and Records Administration (VSARA) is mandated by law to establish comprehensive record schedules for all public agencies.

Some public agencies may wish to continue apply existing disposition orders to their records. Existing disposition orders may be applied; however, such agencies are responsible for determining whether the existing disposition order accurately describes the records and meets current administrative and legal requirements.

The disposition order system was discontinued by Act 96 of 2008. Public agencies wishing to establish a new disposition order or modify an existing disposition order will be transitioned to the new record scheduling system. In accordance with Act 96 of 2008, this procedure provides guidelines for requesting new or modified records retention requirements.

### **II. AREAS OF RESPONSIBILITY**

*Agency/Department Head:* Implements and sustains a record schedule in accordance with requirements established by VSARA as part of the agency/department's records management program (3 V.S.A. § 218).

*Records Analyst:* Prepares draft record schedule, in collaboration with records officer, after appraising records to determine their value and retention requirements.

*Records Officer:* Serves as the primary records liaison between the agency/department and VSARA for records scheduling.

*State Archivist:* Approves record schedules based on appraisal decisions made by the records analyst and draft schedule prepared by the records officer and records analyst.

### **III. PROCEDURE STEPS/CHECKLIST**

#### A. Records Officer

1. Sends a written request (e.g. memo submitted by e-mail or regular mail) for updating a records retention requirement to the records analyst at the Vermont State Archives and Records Administration.
  - i. Written request includes description of the records, the format of the records (paper and electronic), and any known legal requirements.
2. Collaborates with the record analyst and reviews analyst's initial appraisal results and recommendations to proceed with scheduling. If the records officer decides to proceed with scheduling, the records officer will follow the recommendations outlined by the analyst.

#### B. Records Analyst

1. Acknowledges receipt of request and places request in appraisal queue. (*Please note:* agencies participating in the Targeted Assistance Program are given priority in the appraisal queue but requests for new or modified records retention requirements will be entered in the next available slot).
2. Conducts an initial appraisal of the value and retention requirements of the records in accordance with professional records and information practices and principles; VSARA's appraisal criteria; and any applicable general schedules issued by VSARA.
3. Provides records officer with results of initial appraisal and recommendations for proceeding with scheduling.

#### C. State Archivist

1. Reviews appraisal decisions made by the records analyst and the draft record schedule prepared by the records analyst and records officer.
2. Approves the record schedule.

#### D. Agency/Department Head

1. Implements and sustains the record schedule within the agency or department.

### **IV. DEFINITIONS**

*Appraisal:* The identification, classification and management of records to assure their authenticity and accessibility from creation to ultimate disposition (3 V.S.A. § 117).

*Public Agency:* 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 (1 V.S.A. § 317).

*Record Schedule:* A "manual, directive, or policy containing descriptions of and disposition instructions for retention, access, and management" of records (3 V.S.A. § 117).

## V. GETTING HELP

The Vermont State Archives and Records Administration (VSARA) provides records training, assistance and services to public agencies.

<i>If you need help with....</i>	<i>Contact....</i>
...updating records program or records retention requirements	Records Analysis and Policy Development Unit <a href="mailto:rim@sec.state.vt.us">rim@sec.state.vt.us</a>
...locating records stored at the State Records Center	State Records Center Supervisor <a href="mailto:recordscenter@sec.state.vt.us">recordscenter@sec.state.vt.us</a>

## VI. APPLICABILITY AND AUTHORITY

This procedure is for requesting new or modified records retention requirements and pertains to all Vermont public agencies as defined by 1 V.S.A. § 317.

This is a new procedure and therefore supersedes any State of Vermont practices in existence prior to its effective date.

The Vermont State Archivist is the statutory authority for records retention and for this procedure on new or modified records retention requirements. This procedure was reviewed and approved by the Vermont State Archivist on July 31, 2008. It was revised on October 12, 2010. The next review date is October 2012.

## VII. REFERENCES

*Act 96 of 2008:*

<http://www.leg.state.vt.us/docs/legdoc.cfm?URL=/docs/2008/acts/ACT096.HTM>

*Vermont Statutes Annotated:* <http://www.leg.state.vt.us/statutes/statutes2.htm>

*Vermont. Public Records Division.* Record Series PRA-326: Disposition Orders, 1938-2004.

**REVISION HISTORY**

2010-10-12 Updated contact information in "Getting Help" section