

State of Vermont Agency of Human Services (AHS)

Policy Title: AHS Records and Information Management (RIM) Policy	Revision Date:
Attachments/Related Documents:	Revision Number:
Name/Title of Authorizing Signature:	Effective Date: 3/11/19

Authorizing Signature: 

PURPOSE:

The Agency of Human Services (hereinafter “AHS”) is the umbrella state agency for all human service functions within Vermont state government and is responsible for strategically leading, establishing and implementing agency-wide policies, procedures and guidelines across its departments and units.

Pursuant to 3 V.S.A. § 3086, AHS is also comprised of the following public agencies: Department for Children and Families; Department of Corrections; Department of Disabilities, Aging and Independent Living; the Department of Health; Department of Mental Health; and Department of Vermont Health Access.

This Records and Information Management (RIM) policy is to ensure all AHS employees are aware of, and conform to, State and Federal laws, rules and regulations for creating, managing and disposing public records.

SCOPE

Pursuant to 1 V.S.A. § 317, all written or recorded information, regardless of physical form or characteristics, produced or acquired in the course of AHS business are public records and therefore subject to this policy.

Relevant Laws, Rules and Standards

1. [1 V.S.A. §§ 315-320](#): Vermont Public Records Act, including [1 V.S.A. § 317a](#): Management of Public Records
2. [3 V.S.A. § 117](#): Vermont State Archives and Records Administration
3. [3 V.S.A. § 218](#): Agency/Department Records Management Program
4. [CVR 04-000-002](#): Uniform Schedule of Public Record Charges for State Agencies
5. [Vermont Records and Information Management Standards and Best Practices](#)

POLICY STATEMENT

It is AHS’ policy to comply with the Vermont Public Records Act or PRA (1 V.S.A. Chapter 5, Subchapter 3) and the Statewide Records and Information Management Program (3 V.S.A. § 117), including record schedules governing the life cycle management, retention, and disposition of public records, as approved by the State Archivist and issued by the Vermont State Archives and Records Administration (hereinafter “VSARA”).

Under no circumstances shall an AHS employee “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, as defined in 3 V.S.A. § 117(a)(6), that has been approved by the State Archivist.” (1 V.S.A. § 317a)

RECORDS OFFICERS

Pursuant to 3 V.S.A. § 218, the AHS Secretary designates a member of his or her staff as the Records Officer for the Agency and each Department Commissioner designates a member of his or her staff as the Records Officer for his or her respective Department to establish, maintain, and implement an active and continuing program approved by VSARA for the effective management, preservation, and disposition of records, regardless of their physical form or characteristics, for which that head is responsible. The names and titles of the individuals designated as Record Officers are made in writing to VSARA using the form prescribed by the State Archivist and the Records Officers’ names and contact information are posted on the appropriate AHS website(s).

In compliance with 1 V.S.A. § 318 of the PRA, the Secretary and each Commissioner also designates their respective Records Officers, or some other person or persons, to be accountable for overseeing the processing of requests for public records received by the Agency or the Department and posts the names and contact information of the person or persons designated on the appropriate AHS website(s).

RECORDS SCHEDULES

Record schedules, as defined in 3 V.S.A. § 117, are policies issued by VSARA and approved by the State Archivist governing the life cycle management, retention, and disposition of public records. The most recent versions of Agency-Specific Record Schedules (SRS) issued to AHS are publicly available and posted online on VSARA’s website.

AHS records officers who have adopted and implemented General Record Schedules (GRS) issued by VSARA and approved by the State Archivist may continue to apply GRS to department records under their respective departments’ internal policies.

In very limited circumstances, disposition orders issued by the Vermont Public Records Advisory Board (PRAB) to AHS prior to 2008 may continue to be used provided that the requirements outlined in the order are still applicable and continued use has been approved by the appropriate AHS Records Officer.

BUSINESS CONTINUITY

AHS’ Continuity of Operations Plan (COOP), particularly sections regarding essential records, shall be consistent with this policy. In terms of the daily operations of AHS, personnel policies related to the onboarding and exiting of Office employees shall also comply with this policy.

Exiting procedures shall include supervisor responsibilities for the effective management of any written and recorded information, regardless of format, in a subordinate’s personal workstation, personal drive and personal email account prior to date of termination. Any records that have met their retention requirements in accordance with an approved record schedule and are authorized for destruction must be purged, under supervision, by an employee’s last day of employment. All other records must be relocated to an appropriate repository until record retention requirements have been met.

For extenuating circumstances, the appropriate AHS Records Officer may authorize a supervisor, up to 30 days, to continue storing records and information in a terminated employee’s personal workstation, personal drive and personal email account after the date of termination for post-termination management purposes.

RECORDS AND INFORMATION MANAGEMENT GUIDELINE (APPENDIX A)

The Records and Information Management Guideline incorporated into this policy as Appendix A shall be used for the systematic management of records within the AHS. AHS Departments are authorized to develop their own internal policies and procedures for applying SRS.

Under no circumstances shall any Department or unit internal policies and procedures differ from the requirements specified in the SRS. Any internal policy or procedure for applying SRS must be approved by the AHS RIM Program Steering Committee. In the event a Department has not developed an internal policy, AHS employees shall follow the Records and Information Management Guideline.

INFORMATION TECHNOLOGY GUIDELINE (APPENDIX B)

The Information Technology Guideline incorporated into this policy as Appendix B shall be a comprehensive and complete listing of all applications approved for use by AHS. The Director of Digital Services for AHS shall be responsible for the accuracy and currency of the Information Technology Guideline.

All information technology applications used in the course of AHS business to produce or acquire written or recorded information, regardless of physical form or characteristics, shall support the AHS's compliance with the PRA and the Statewide Records and Information Management Program.

In the event an application does not readily support the AHS's ability to comply with the PRA and the Statewide Records and Information Management Program, it shall be noted in the Information Technology Guideline.