STATE OF IDAHO

RECORDS MANAGEMENT GUIDE

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CHAPTER 1: INTRODUCTION AND PURPOSE

In May, 1998 the Department of Administration formed a Records Management Plan Task Force. Members of this group were charged with developing a records management policy, statute and plan for the State of Idaho. Idaho Code Section 67-5752 gives the Director of the Department of Administration the responsibility of developing a statewide records management program. This Records Management Guide is the product of the intent of Idaho Code and the cohesive effort of the Task Force, based on the following:

VISION:

To enable access to public records through a records management system designed for consistency across the various areas of state government.

GOALS:

- To promote coordination and collaboration in records management among all areas of state government.
- To establish uniformity in standards, guidelines, retention policies, security, etc., of records management through the various areas of state government.

We gratefully acknowledge the efforts of the Task Force members from the following agencies for their assistance in creating this guide:

- Department of Administration
- Department of Fish and Game
- Idaho State Library
- Office of the State Controller
- Tax Commission
- Office of the Secretary of State
- Department of Water Resources
- Department of Labor
- Legislative Services
- Department of Correction
- Department of Transportation
- Idaho State Archives
- City of Boise
- Division of Financial Management
- Information Technology Resource Management Council
- Department of Law Enforcement

RECORDS

A record is recorded information, in any form, including data in computer systems, created or received and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

PURPOSE

The purpose of this “Record Management Guide” is to assist Idaho officials in fulfilling their responsibility for the guardianship of public records and to identify ways to reduce time, effort, and money, through the implementation of a successful records management plan. This guide provides a unifying structure for organizing records management programs throughout Idaho State Government. An organized records management program establishes policies and procedures for the storage, research, retrieval, retention, protection, and destruction of records in the normal course of business. Record management sharpens the focus on relevant information resources and saves time, space, and equipment.

The records retention schedule in this guide will be reviewed and modified, if necessary, on a yearly basis. The schedule is designed to be a reference in designing individualized agency retention schedules and to provide a level of uniformity in records retention throughout Idaho. All agency retention schedules need to be regularly reviewed by agency officials and the initial schedule or any future modifications must be approved by the State Record Center, the State Archivist, and the Legislative Auditor before being implemented. The State Record Center, Department of Administration should be contacted if there are suggestions as to changing or modifying records schedule definitions in this guide. Appropriate focus groups created from concerned state agencies will be formed to help the Department of Administration address these issues each year. State Agencies can greatly benefit by applying the procedures outlined in this guide.

This "Records Management Guide" has several important objectives:

- To implement standardized records management concepts within all state agencies,
- To establish standardized file management procedures,
- To safeguard vital records,
- To preserve records that have historical/archival value,
- To transfer inactive records to lower cost storage areas, and
- To establish regular and approved destruction of records that have served their purpose (have limited retention value).

The Idaho Records Management Guide is comprised of standardized records management and retention information used for administrative, fiscal, governance, and operational records throughout State government. Additional copies of this guide can be obtained through http://www2.state.id.us/adm/purchasing or by contacting the State Record Center (telephone 208-327-7060).

THE CHALLENGE

The challenge with records is that our ability to control information has not kept pace with our capacity to produce volumes of records. For example, who in your agency knows:

- The total volume of records being held?
- What portion(s) of those records are active, inactive, or obsolete?
- How rapidly those records are growing?
- How many forms are being used?
- How much time is required to prepare each form?
- How many reports are being produced and who receives them?
- How much time it takes to file, reference and re-file records?

The absence of answers to these questions may have substantial unseen impact on your agency.

THE SOLUTION -- “RECORDS MANAGEMENT”

"Records management" is a general term which encompasses a number of activities and techniques that make records-keeping easier, more efficient, and more cost effective. These activities include, but are not restricted to, files, forms, and reports management, essential records protection, non-current records storage, record scheduling and retention, micrographics, computer files, and other alternative long-term storage, etc. Any or all of these techniques may be incorporated into a specific program to meet the needs of your agency.

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CHAPTER 2: RESPONSIBILITIES AND RECORD TYPES

AGENCY RESPONSIBILITIES

In keeping with the Vision statement of this Guide, each agency is responsible for maintaining proper accessibility of their records. State records need to be accessible by the agency staff, by other agencies, and by the public. Electronic filing should match manual systems and vise versa in order to guarantee accessibility. This Guide provides processes and policy statements which also enable the Vision of consistent records management across the various areas of state government, however it is the agency responsibility for internal enforcement of their individual records management program.

PUBLIC RECORDS LAW RESPONSIBILITIES

The Idaho Public Records Law grants every person, during regular office hours, the right to copy and examine any public record of the state except as otherwise provided by law. A Public record includes, but is not limited to, any writing containing information relating to the conduct or administration of the public's business prepared, owned, used or retained by any state or local agency regardless of physical form or characteristic. Agencies are urged to become familiar with the Public Records Law. This can be achieved by obtaining a copy of the ***Idaho Public Records Law Manual*** through the Office of the Attorney General.

DEPARTMENT OF ADMINISTRATION RESPONSIBILITIES

***Idaho Code 67-5751 Records Management*.**

"The director of administration may develop subject to the provisions of chapter 52, title 67, Idaho Code, rules and procedures pertaining to the management of all state records." "Records" shall mean; any document, book, paper, photograph, sound recording, or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official state business. Library and archive material made, acquired, or preserved solely for reference, exhibition, or historical purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records as used in this section.

Rules, or if rules are not adopted, guidelines and procedures shall be established:

(a) Pertaining to retention periods for all state records.

(b) Establishing a standard filing system for all state agencies.

(c) Prescribing conditions and procedures for destruction of state records.

(d) Ensuring efficient utilization of manpower, building space, and supplies with regard to paper flow and forms usage.

(e) Pertaining to proper and efficient utilization of microfilming services."

DEFINITION OF A RECORD

A Record is a document produced during the routine course of business which notes the occurrence of an event or activity of the agency operation. A record can exist in a number of formats, including various sizes of paper (original or photocopy), microfilm or any microform, electronic media, optical disk media, CD, mylar, sepia, blueline, photograph, audio and video tape, punched cards, books, maps.

TYPES OF RECORDS

The record type determines requirements for accessibility, storage, etc. Records should be classified into one of the following categories:

- Vital/Historical or Archival Records are irreplaceable and do not have the same value as the original when reproduced.
- Important Records could be reproduced after considerable delay and at substantial expense.
- Useful Records would cause inconvenience if lost, but could readily be replaced.
- Non-essential Records have been previously determined by Retention Schedules to be eligible for destruction.

VITAL RECORDS

State Government must always be concerned with the protection of Vital Records. Additionally, the absolute security of Vital Records should be a primary objective.

Vital Records are identified as those documents necessary for:

- The continuation and/or reconstruction of operation of an agency.
- The reconstruction of the financial and/or legal status of the agency.
- The fulfillment of financial obligations to employees and outside interests.

To identify Vital Records, the first determination is whether the record would be needed after a disaster in reconstructing the function and operation of that agency. The following factors should be considered:

- What would be the effect on business if a particular record disappeared?
- What effect would the destruction of records have on the general public's interest.
- Would the loss of these records hinder the recovery of monies needed to replace buildings and equipment?
- What delays would occur in production, sales, and services?
- What difficulties would occur in replacing destroyed records?

HISTORICAL OR ARCHIVAL RECORDS

Idaho Code Section 67-5751A and 67-4126 requires that all public records designated as having historical or archival value must be either transferred to the State Archives or retained by the office of record in accord with standards established by the State Archivist.

Contact the State Archivist for appraisal, transfer, and other assistance on archival and records management matters.

IMPORTANT RECORDS

Most of the records that are classified as important have specific regulatory statutes of limitations. Each agency will have to decide what records are considered important. The following is an example of medical incident reports:

Medical Incident Reports: The statute of limitations on lawsuits against medical care providers is:

- Eight (8) years after last treatment; or
- Eight (8) years after any problems resulting from medical treatment could reasonably be discovered; or
- Three (3) years after the patient reaches age 18, whichever is longer.

Each state agency should retain its copy of Medical Incident Reports for eight (8) years for incidents involving adults, and eight (8) years after the patient reaches the age of 18 for incidents involving minors.

USEFUL RECORDS

Many records are retained in either active or inactive storage to aid office staff in tracking events, transactions, decisions, etc. in the normal process of business. Standards in filing, retention schedules, and storage mediums are among the decisions that must be made with this type of record.

Special consideration should be made for *Electronic Imaged Records:* While electronic imaging may be legally used for recording, producing, reproducing, maintaining, and storing public records, the choice to use electronic storage systems for government records must be based on sound records management requirements.

ACTIVITY LEVELS

The activity level of a record must be considered when establishing retention schedules for records. These activity levels normally fall into the following categories (subject to agency requirements):

Active Record

A record that is generated or received in the current year or the preceding years which must be referred to or inspected once a month or more.

Semi-Active Record

A record that is referred to or inspected on an occasional basis.

Inactive Record

A record that is seldom, if ever, referred to or inspected.

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CHAPTER 3: COMPONENTS OF A RECORDS MANAGEMENT PROGRAM

A records management program is comprised of seven basic components. Each component has multiple avenues of information, procedures, and policies which your agency can choose to use.

Public Access and Information:

Your agency is required to provide public access to its policies and procedures, as well as the indexes to all records which are classified as being open for public inspection. Each record series should be classified according to the legal status of its accessibility for public inspection so that agency staff can respond efficiently and confidently to each public disclosure request. Additionally, each agency should have a consistent, formalized procedure for responding to public disclosure requests. (See Appendix, Section 4)

Current Records Storage:

Current records storage should be organized in such a way as to permit rapid access to active records and easy flow of records from active to inactive or non-current record storage, and to destruction or archival. Processes should be simple and understandable to the employees responsible for operating the system, and should also be consistent with methods set out in this guide book.

Non-Current Records Storage:

Whenever possible, each agency should have a non-current records storage center away from the agency's active office area. The active reference life of most record series varies from one to two years. Older, less active records should be shifted to cost-efficient, accessible, non-current records storage centers for the remainder of the required retention periods.

Multi-media Records Management:

Public records include are stored on all types of mediums (microfilm, electronic, etc.) and require procedures to ensure that access to those records is maintained for the duration of the established retention periods. The retention periods must be based on the informational content of the records and not the medium in which the records are stored.

Essential Records Protection:

Security copies should be stored off-site so that working copies of records can be replaced if they are lost or destroyed (see Vital/Historical Records).

Disaster Preparedness:

Each agency should have a plan and procedure for identifying and recovering records damaged by fire, flood, earthquake, or other disaster (see Appendix 6).

Records Disposition:

A records management program should insure an orderly and ongoing disposition of records from creation to destruction.

RECORDS INVENTORY

Agencies which have not systematically "inventoried" the records in their files in 3 to 5 years, may find that the accumulation of records is crowding people and equipment out of office space. Most offices retain up to 70% more records than they need--and retain paperwork much longer than is needed. On a national average, 19 out of 20 documents in files that are over 5 years old are never looked at again.

The first step in establishing an effective records management program is to inventory the current records. Think of a records inventory as a way to identify public records that are an asset or of value to your agency. A records inventory has two goals: 1) the identification of records, and 2) the analysis of the records.

The identification of records should provide the following information:

- What types of records are presently filed.
- The present location of all records.
- The present condition of all records.
- The pieces of equipment presently used or available for storing records (number of file drawers and filing inches).
- An estimate of the total cubic or square feet of records stored or the number of microfilm containers, boxes of punched data processing cards, reels of data processing magnetic tapes, etc.

The analysis of the records should answer:

- Are records being stored in the most efficient media?
- What types of storage should be used?
- Is the proper equipment/space/ personnel available for storing records?
- Has a retention period been established for your records?
- What impact does the records have on other sections?

FILES MANAGEMENT SYSTEM

When addressing an organization's records challenges, one of the questions often asked is; "What is a files management system?" A files management system is the system by which we organize office records to enable more efficient creation, use, storage, retrieval, and disposal of records.

WHY A STANDARDIZED FILING SYSTEM IS IMPORTANT

Integrity/Continuity of Records: Records remain complete and accessible despite changes in agency organization, personnel, and records keeping technology.

Efficiency: Minimize time wasted searching for information.

Communication: A common filing language fosters cooperation in the retrieval and exchange of information throughout the agency and state government in general.

Records Retention and Disposition: Separates records with different retention values to assist retention and disposition activities.

ESSENTIAL ELEMENTS OF FILING

Simple: Easy filing system enables quick and accurate records filing and retrieval.

Logical: File headings are descriptive and arranged in natural sequence.

Usable: File headings relate to the function of records and the way the files are used.

Flexible: Accommodates expansion or contraction of records volume, different records-keeping technologies, the transfer of inactive records to non-current storage, and the destruction of obsolete records.

RECORDS SERIES CONCEPTS

A record series is a group of records, performing a specific function and organized in a succession of similar, correlated, or corresponding items, occurrences, or events. A record series will usually have the following characteristics:

- A sequence of documents that have a progressive order or arrangement.
- A common sequence that relates to a particular subject or function, results from the same activity, or documents a specific kind of transaction.
- Is files as a unit and may be transferred or destroyed as a unit.
- May consist of a single type of form or a number or a number of different types of records.
- Has a filing order that must be maintained when using the information, inventorying or transferring the records.

Records should also be classified into one of the following categories:

- Vital Records are irreplaceable and do not have the same value as the original when reproduced.
- Important Records that could be reproduced after considerable delay and at great expense.
- Useful Records that would cause inconvenience if lost, but could readily be replaced.

- Non-essential Records that were previously determined by Retention Schedules to be eligible for destruction.

FILES CLASSIFICATION

Records should be grouped according to the retention values and functions to which they relate in order to allow efficient filing, retrieval, maintenance, and disposal.

The primary classification of files should be by function or record series. Secondary and tertiary classifications allow for records each primary classification to be arranged in the sequence in which they may most easily be filed and retrieved. Commonly used arrangements include: alphabetical, numeric, chronological, subject, location, number, and agency.

A file classification system should:

- Relate to the Way the Records are Used. The classification system should conform to the user's requirements for information, and incorporate the terms most commonly used when referencing the files.
- Be Complete. Suitable classifications should be established for all existing records.
- Be Flexible. The classification outline should accommodate additional file headings and the deletion of obsolete file headings.
- Be Precise and Exclusive. Each file heading should describe the file contents and be phrased so as to be as exclusive as possible. (Minimize the number of terms used in file headings.)

FILES MANAGEMENT SYSTEM

The following is a general outline for establishing a file management system. More detailed discussion if found in Chapter 5 of this Guide.

1. ***Conduct a thorough files inventory.*** Designate an "office of record" that is responsible for safeguarding the official record copy and providing copies to satisfy public and administrative needs.
2. ***Define the files management system.***
   - What are the functions and purposes of the files?
   - Who uses the records?
   - What kinds of information do the files hold?
   - What technology and media is used?
   - Is the system centralized or decentralized?

   Files should be located in a **centralized** file system when records:
   - Are referenced by several offices.
   - Need to be combined to assure that a complete picture is available.
   - Can be in close proximity to users of the file.
   - Require the security of central filing.

Centralized file systems also (i) minimize duplication of equipment, (ii) allow for full-time supervision, (iii) develop staff with specialized skills, and (iv) minimize cost.

Files are usually located in a **decentralized** file system when:

- Files are used by one person or office (when the office is at a distant location) and seldom need to be combined with other files for future reference.
- Information is required to be readily available at the work station.
- Retrieval rate is high.
- The centralized filing system may be located in a distant location from the work activity.

A decentralized file system is 1) may reduce protection for confidential information, 2) allows the records to be convenient and in close proximity, and 3) enhances team efforts.

3. ***Define the primary file classifications:***
   - What is the record type or series?
   - Is each one given a separate classification?
4. ***Define the secondary and tertiary classifications and arrangements:***
   - Alphabetical?
   - Numeric?
   - Chronological?
   - Subject?
   - Location?
   - Agency?
5. ***Develop a standard files classification outline:***
   - Work with staff to develop file headings.
   - Compile and review the outline.
   - Distribute the outline to all agency staff.
   - Train records keepers and users.
   - Implement the files classification system throughout the agency.
6. ***Evaluate and select standard filing media, equipment, and supplies:***
   - Paper
   - File cabinets
   - Guides
   - Fasteners
   - Folders Tabs
   - Labels
7. ***Evaluate and select microfilm standards:***
   - Roll or Fiche

- Manual or computer-assisted retrieval
- Reels
- Boxes
- Labels

8. ***Evaluate and select audio/visual standards:***

- Tape: size, format
- Film: size, format
- Storage containers
- Labels

9. Evaluate and select electronic/digital standards:

- Storage formats
- Software

10. ***Develop files maintenance, reference, and disposition procedures:***

- Maintenance
- Receiving and Logging
- Sorting
- Routing
- Indexing and coding
- Cross referencing files

11. ***Develop control procedures:***

- Out cards and charge-out documentation
- Routing slips

12. ***Develop cut-off procedures to facilitate records transfer and disposal***

13. ***Establish a records retention schedule for all files***

RETENTION SCHEDULING

WHAT IS A RECORDS RETENTION SCHEDULE?

One way of communicating how long records should be retained is to establish a record retention schedule. A record retention schedule designates the period of storage time for standard agency records and can also serve as the disposition authority for these record series when the time has lapsed.

The record retention schedule is a master plan for records storage and ultimate disposal. Each line item in the Records Retention Schedule, when approved, identifies the retention policy for a particular records series.

Active records are to be kept in offices during their useful life. Inactive records are to be transferred to some type of archives or destroyed according to the record retention schedule.

The retention schedule should list:

- The type of record,
- The title with a brief description,
- The office of record,
- How long the records are to be kept in active status,
- Transfer to archival storage times (if needed),
- When the record should be destroyed.

Idaho Code does not clearly define the retention requirement for most records. The law classifies records as permanent, semi-permanent, or temporary. *Permanent* records are to be kept for not less than ten (10) years after creation. *Semi-permanent* records must be kept for five (5) years after creation or completion of the matter for which the record is held. *Temporary* records do not have a specified period, but is usually less than five (5) years. Temporary records that are subject to audit or are not related to permanent records can be disposed of per approved retention schedules.

Because of these broad designations, the practical effect of Idaho Code is that governing bodies may adopt retention schedules based on their own legal, financial, administrative, or historical needs, which then are approved by the Department of Administration, State Archives, and the Legislative Auditor. These schedules should be filed with the Department of Administration (see Appendix 9).

IDENTIFY RETENTION VALUES

The Records Officer, with the assistance of agency management, begins by assessing the value of each agency records series.

A part of this process is to review the current retention practices, compare these to legal requirements, and then determine the appropriate records management policies and retention schedules for the inventoried records.

Some additional policies that may be established are:

- Customary record keeping practices,
- Designation of the office or record,
- Destruction of duplicate copies,
- Definition of record copy, and
- Responsibilities for the record copy.

The following value assessments determine the records storage and management needs:

Administrative Value:

Records have administrative value, as long as they provide information needed for current or future work. Generally, 80% of the references made to a record occur within one year from the date it is created. The administrative value of most records is exhausted within two years. However, some records are unique and provide information about an agency's origin, organization, policies and functions and therefore have a long term administrative value.

Legal Value:

Records have legal value, as long as they provide enforceable documentation of the agency's rights and obligations. Ordinances, resolutions, official court documents such as orders, subpoenas, contracts and agreements are examples of records of primary legal value. Some records have permanent legal value. The legal value of records, such as contracts and agreements, are limited by the time they remain in effect and the statute of limitations on the agency's liability for the terms and conditions that they document. The standard retention period for contracts and agreements is termination plus six years. The best approach toward assigning a retention period on legal value is 1) know the applicable laws, and 2) adopt a consistent management approach for retention and destruction.

Fiscal Value:

Records have fiscal value, as long as they provide information needed to track agency finances and document its financial transactions. Examples of records with primary fiscal value include budgets, apportionments, ledgers, periodic accounting reports, vouchers, and warrants. Fiscal records that also have legal or official value, such as primary copies of budgets, ledgers, and vouchers have long-term retention value; while fiscal records with periodic audit review must be retained in readily available files at least until their audit value is ended. Retention of audited records varies depending on audit schedules and requirements.

Historical/Research/Archival Value:

Some records have long term historical/research value because they provide significant documentation concerning the development of the agency's mission, policies, programs, and the area(s) it serves through time. Once the agency's administrative, legal, and fiscal needs have passed, the records should be transferred to the State Archives for long term preservation and public research use.

Material with "NO" Retention Value:

This material does not need to be filed and may be destroyed after a short retention. Includes drafts, worksheets, checklists, routine replies, telephone messages, blank forms, publications, and extra copies of documents created for convenience or public distribution.

IMPLEMENTATION OF A RECORDS RETENTION SCHEDULE

Develop General Working Records Retention Schedules: The Records Officer should work with the Records Coordinator from each unit to develop a records inventory and a working retention schedule which reflects the records actually kept by each functional unit. Identify the records, which your agency absolutely must have in order to maintain or re-establish its authority and business operations. Archival records should also be identified. Copies of relevant or sample schedules should be distributed to each functional unit.

Basic Information Needed for the Records Retention Schedule: **For each record series entry:**

- What is the records series title?
- What records does the series include - forms, correspondence, reports, case files?
- What function and purpose does it fulfill?
- Is it an original or a copy?
- If other copies or the original exist elsewhere, which office of record has retention responsibility for the primary copy?
- What retention values does it have - administrative, legal, fiscal, research?
- Is it subject to audit?
- Is it summarized in other records?
- How frequently is it referenced?
- What is its volume?
- What are the inclusive dates of the records currently held by the agency?
- What volume of new records is created each year?

Reduction of Retention Periods:

Generally, retention periods for official public records are fixed by law and cannot be reduced. However, retention periods for office files and memoranda are often more flexible. Retention periods for office files and memoranda should also be listed on the records retention schedules for approval by the Department of Administration.

Developing Records Retention Schedules:

After the records inventory is complete, a record retention schedule should be developed. Records are created primarily to accomplish actions, to report or record the actions, or to pass on information. Objective appraisal of records should include considering the functions performed by the record, and deciding when those functions are no longer needed. The questions that must be asked are:

- How is the record made, and from where did it originate?
- What does it accomplish?
- What are the chances of it being needed? If it were needed, could it be reconstructed, and if so, how difficult would it be?
- Is the information available elsewhere?
- How serious would it be if we were unable to locate a particular record 5 or 10 years from now?
- Does the record protect the rights of the State or a citizen?

The actual or potential value of the records should be weighed against the cost of maintaining them. The retention period for most records is a specified number of years plus the current year unless expressed in terms of months.

The retention schedule should identify: (i) how long records need to be kept; (ii) what form they are kept in; (iii) where they are kept; and (iv) why they are kept that long (see Appendix 2).

Submitting Proposed Retention Schedules:

The proposed records retention schedules that has been prepared by the agency and signed by the agency's Attorney should be sent to the Department of Administration, State Record Center (SRC). SRC personnel, in conjunction with the Legislative Auditor and the State Archives will review applications for one-time records disposal and all schedules of records retention and destruction.

The State Archives shall be given a period of ten (10) working days after the date of the review and before the records are otherwise disposed of, to select for its custody such records as it may deem to be of continuing historical value. Records that are not selected shall be disposed of in accordance with procedures established by the State Record Center.

Central Records Management may revise, alter, approve or reject any schedule or application, or portion thereof and may designate disposal dates and methods of disposal of records when such are not specifically provided in this section.

Approval of Records Retention Schedules:

Approved records retention schedules authorize the destruction of the records listed thereon after the expiration of the required retention period. No further authorization or approval is required

Exceptions: Records must not be destroyed until after the completion of audits and until disputed items are settled. No record that is subject to a pending audit should be destroyed, regardless of the published destruction schedule. Additionally, records that address disputed items or issues must not be destroyed, regardless of retention or destruction schedules, until the disputation is completely resolved. This is particularly important under rules of *discovery* (Federal Rule Civ. P.34(a)) where a state agency has an obligation to preserve and provide information that is of interest to legal proceedings.

Internal Working Schedules:

Agencies may find it useful to develop “internal working schedules” which may more closely reflect the agency's organization and the distribution of its records. The "internal working schedules" must cite the disposition authority number, schedule number and item number from the overall schedule, but otherwise may be formatted to meet the needs of your office. The "internal working schedule" carries the same authority in law as the General Records Retention Schedule provided the overall schedule is cited.

STORAGE RISKS

Storing records for any period of time faces many problems, but with a little forethought and the use of appropriate storage standards, state agencies can efficiently maintain their records.

MAJOR CAUSES OF DETERIORATION FOR STORED RECORDS

HEAT:

Heat increases the reaction time by which chemicals are absorbed by paper. Heat can warp magnetic tapes and disks and can cause the recording emulsions to separate from the carrier bases of all photographic media.

HUMIDITY:

Humidity by itself does not harm most recording media, including paper. In fact, without some moisture, paper and film lose flexibility, become brittle, and susceptible to damage. High humidity and heat promote mold growth. Wide variations in the moisture content of paper causes the individual fibers expand or contract, stressing the paper and accelerating deterioration.

LIGHT:

Radiant energy, particularly ultraviolet light, reacts photo-chemically with impurities in paper (acids, glues, starch, and dyes) to oxidize the fibers, causing yellowing, brittleness, and weakening of the paper. Long-term exposure to ultraviolet light causes fading of photographic dyes and almost all writing and printing inks.

INSECTS AND RODENTS:

Books and paper are subject to attack by silverfish, hookworms, termites, book lice, cockroaches, firebats, which feed and thrive on cellulose, leather, glues and cloth. Mice, rats and squirrels will shred paper, leather, and vellums for nest building purposes, and the acids in rodent droppings can damage paper.

ACIDS:

Chemicals are introduced to paper during manufacture and later by contact with atmospheric pollutants or acids in storage containers, folders, wood shelving, and other paper records. This process, called hydrolysis, produces acids which break down paper fibers, cause brittleness and yellowing, and ultimately disintegration.

ELECTROMAGNETIC Disruption

The presence of magnetic fields will have a damaging effect on electronic storage media such as tapes or disks. These media also fall victim to many of the same causes of deterioration as paper documents.

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CHAPTER 4: ESTABLISHING A RECORDS MANAGEMENT PROGRAM

Most agencies have various information and records management systems that may include computer records, electronic imaging systems, microfilm-based records, paper documents, and other records. An effective records management program will help the agency be successful, responsive to the people they serve, and legally defensible. Accomplishing those objectives requires records managers and other agency leaders to have the current information about the development and management of records. The organization's leaders and managers should integrate records management throughout the organization.

To establish an efficient records management program, the following questions should be considered:

- Is one person in the agency responsible for the management of records? Who?
- Are there specific procedures for the management of records? Are the procedures available to those who need them? What are they?
- Are standard classification systems used for all agency records or are individualized systems used?
- Are inactive records stored in office space? Why?
- Are there frequent delays in finding information? Why? How frequent?
- Are additional copies of records stored at several different locations within the agency? Why?
- Is there a specific retention schedule to identify how long records must be retained? Who is responsible for reviewing retention schedules and updating the information? When was it last updated?
- Is there a training program for office and records personnel?

RECORDS MANAGEMENT PROGRAM STRATEGIES

The following strategies should be considered for establishing and managing a successful records management program.

Determine the scope of the proposed Records Management Program.

The scope should be based on the size and complexity of the agency, resources, and record requirements. Establish a “Records Management Team” to gather information on how records are currently managed in the agency and identify problem areas.

Develop a Program Statement.

The program statement should describe the program's mission, goals, objectives, and the resources necessary to successfully carry out the program. Ask the State Archivist, other

agencies with successful records management programs, and key agency personnel for input.

Appoint a Records Officer.

The Records Officer will coordinate the development and maintenance of the records management program. Larger agencies may require a full time dedicated position to accomplish this task; smaller agencies may assign Records Officer responsibilities to an existing position. Agencies with successful records management programs can be used as examples for the appropriate level of staff support.

Announce the Records Management Program.

Before implementation, the head of the agency should make an official announcement about the program. The announcement should state the program mission, identify the Records Officer, and mandate cooperation throughout the agency.

Appoint a Records Management Review Committee (OPTIONAL).

The committee can provide program oversight and advice for the Records Officer and serve as liaisons to the technical areas of the agency.

Assign "Records Coordinators" in each functional section of the agency.

The coordinators should be administrative people within their sections who are interested in the development of a quality records management program and who will be effective liaisons between their sections and the records officer.

Provide orientation to Records Coordinators and other key personnel.

Explain the program and distribute pertinent materials to Records Coordinators, department heads, and other concerned staff.

Complete a comprehensive "records inventory".

Complete a comprehensive "records inventory" of all of the organization's records, current records management practices, and document the costs of present systems. The inventory should be coordinated with the Records Officer, the Records Coordinators and the functional section managers.

Review and rank the organization's sections.

Review and rank the organization's sections in order of their importance to the mission of the organization. Determine which sections best serve the people the agency intends to serve and which sections contribute most to the "bottom line" so that the records management program's priorities can be directed where they will make the most significant impact.

Identify and then evaluate the adequacy.

Identify and then evaluate the adequacy of the current "mixes of records storage media" for the high priority sections. List all record series contained in paper systems, magnetic media, optical media, microfilm, and other record media. Personnel at all levels should be

interviewed for their vision of record management needs and priorities for the organization.

Identify the current advantages, disadvantages.

Identify the current advantages, disadvantages, specific annual costs, and impacts on users and customer service for each of the systems. The "mix of media" can be improved substantially within most organizations. Determine where access to documents is essential for both staff and people served. Analyze the workflow, especially the high-volume work routines and evaluate whether the current system meets the needs when rapid access of documents is essential – and especially if rapid and simultaneous access to the same documents is needed at two or more locations. This type of situation may be an application for electronic imaging systems. Remember that "user need" should have a major influence on determining what the mix of records media should be.

Determine where improved records and information could be a basis.

Determine where improved records and information could be a basis for improved service to the people served by the organization. Take steps to upgrade and improve filing systems whenever feasible. Paper filing systems can be improved substantially through conversion to shelf filing, color-coding, computer indexing, bar coding, and file tracking systems using new and emerging technologies. Determine where applications may exist for "imaging systems" (which can be microfilm-based, magnetic-based, or optical-based systems). Inventory where semi-active and especially inactive records and information are currently stored and managed, apply retention schedules to eliminate what can be eliminated, and then either create an appropriate internal system for inactive records management or "outsource" the function to the State Record Center.

Establish Records Management policies and procedures.

Include the program statement, agency policies and who is affected by them, the glossary of terms, records management responsibilities of all functional units and personnel, and a full explanation of program procedures. A basic model for records management program policies and procedures can be found in the Appendices of this guide book.

Implement a "records management software".

Implement a "records management software" or a records management database within the agency. (Optional) Agencies are urged to contact the Department of Administration, Division of Purchasing for information on current statewide contracts for document management software. Agencies are also urged to become familiar with Department of Defense Software Standards 5015.5. There is an amazing array of well-developed and tried-and-proved off-the-shelf records management software packages available for use in the smallest and largest of organizations. This type of organized listing and management allows for multi-field indexing of records stored on all potential media, computer-based retention flagging and management, bar-coded records for file tracking and management, active records systems management, inactive records management, archives management, and a host of related functions.

Develop/implement a comprehensive organization-wide "records retention schedule."

Conduct a "preliminary file purge" on an organization-wide scale, after approval by agency management. The purge should focus on cleaning out unneeded duplicate copies of records, supplies, and items that should not have been put into the storage and retrieval systems.

Establish forms management procedures.

First, collect two copies of each form that exists within the agency, including two sample copies of each form currently in electronic formats. Eliminate all outdated forms that are no longer in use. Prioritize the remaining forms in order of highest volume use and evaluate which forms should become electronic forms. Develop a computer database of all forms approved for use within the organization – including listings with specific information about paper document forms and templates or examples of on-screen-electronic forms.

Create a "Records Management manual".

Create a "Records Management manual" by working with record coordinators, task force members, and the records officer to explain how records are managed and eventually eliminated in "the normal course of business." The manual should include all appropriate records keeping statutes and regulations (state and federal), a glossary of terms, general records retention schedules, disaster preparedness guidelines, essential records protection guidelines, security and microfilm storage guidelines, electronic records and files management guidelines, as well as all program policies, procedures and forms. Sample materials may be obtained from your State Archivist or from other agencies with successful programs.

Inform, orient, educate.

Inform, orient, educate, and continue to secure the support of office, secretarial, clerical and other personnel within the organization. Provide opportunities for "records management updates" and gather input related to records management needs, objectives, and priorities. Communicate new legislation affecting the organization, systems changes, and other important records management-related events.

RECORDS OFFICER RESPONSIBILITIES

RECORDS OFFICER

The Records Officer is an integral part of the Records Management Program. This individual coordinates the agency- wide Records Management Program, including:

- Essential records protection.
- Public access and disclosure of public records.
- Protection of public record integrity and access during information systems planning/ design.
- Designation of non-current records storage.
- Securing off-site microfilm storage.
- Disaster preparedness for agency records systems.
- Transfer of historically valuable records to the State Archives.
- Disposal of records which have reached the end of their retention period.

To implement the Records Management Program, the Records Officer:

- Provides technical assistance to, and oversees the work of, the Records Coordinators.
- Educates and advises Department personnel on records management procedures and practices.
- Compiles agency retention schedules and distributes all program information, forms, and materials.
- Represents the agency with the Department of Administration and State Archives.

RECORDS COORDINATOR RESPONSIBILITIES

RECORDS COORDINATOR

Another important assignment is the Records Coordinator. The Records Coordinator:

- Acts as liaison between the agency Records Officer and (department/division/office) staff.
- Identifies and recommends measures to protect essential records.
- Implements public disclosure procedures and practices.
- Monitors the integrity and accessibility of public records in all formats including electronic information systems.
- Coordinates preparations of records for non-current storage.
- Adapts and proposes records retention schedules.
- Oversees the disposal of records that have reached the end of the established retention period.
- Provides input on record locations and recovery priorities for the Disaster Preparedness Plan.

The Records Coordinator should compile and maintain activity reports that would include:

Compile statistics including:

- The number of public disclosure requests.
- The volume of records held in active office files at the beginning of the reporting period.
- The volume of records transferred to a non-current storage facility.
- The volume of records accessioned to the State Archives.
- The volume of records which have reached the end of their retention period and should be destroyed.
- The amount of filing space emptied for reuse.
- The net volume of records held in active office files at the end of the reporting period.
- The number of reference requests for records in non-current storage.
- The proportion of essential records security copies stored at off -site facilities.

Cost Savings/Cost Avoidance

- The cost of file space released for reuse.
- The cost of floor space converted or released.
- The cost of staff time saved by effective records filing, storage, and disposition.

CONDUCTING A RECORDS INVENTORY

SCHEDULING THE INVENTORY

Prior to inventorying each section's records, the staff's work load schedule and level of participation must be determined.

The section staff should be informed that the inventory will itemize all records found in the office, regardless of whether the record is in file cabinets, on top of cabinets, in electronic form on personal computers, etc. Long-term employees will also be asked if they are aware of off-site records storage. Any objections, comments, or suggestions that the section staff may have will be referred to the section supervisor and the Records Officer.

Prior to starting the detailed inventory, a detailed floor plan will be drawn. Each file cabinet, desk drawer, or other storage device will be tagged with an alpha/numeric designation which is also noted on the floor plan.

INVENTORY METHOD

The same inventory methods should be used for every office. Important elements include: 1) planning for the inventory, 2) supplies, 3) drawing a detailed floor plan, 4) completion of corresponding inventory worksheets, 5) measurement of the records storage space, and 6) instructions for the inventory clerks.

- Planning for the inventory involves:
  - Securing managerial support.
  - Communicating overall records inventory objectives and procedures.
  - Assigning and training inventory team(s).
  - Scheduling areas or office to be inventoried.
- Supplies need not be expensive and should include:
  - Tape measures/rulers,
  - Pencils/pens/paper tablets, and
  - Removable adhesive labels.

    (Take care when selecting adhesive labels; not all are removable and should be tested for adhesion qualities.)
- The floor plan is crucial to an organized inventory. Make pencil sketches of the office floor plan that include cabinets, desks, tables, or boxes that are used to store records. Record a number on the map for each identified object. A removable adhesive label can be attached to the filing equipment if permitted. Some office personnel may object to labeling their furniture. Respect their wishes whenever possible.
- Inventory worksheets can be as simple as a legal or letter tablet or as elaborate as computerized forms. Many worksheets outline the information that is to be collected during the inventory. The following Records Inventory Worksheet is an example of the type of information that should be gathered.

RECORDS INVENTORY WORKSHEET					
Date:			Inventory Personnel:		
Office/Section Name:					
Floor Plan Identification No.:			Drawer/Shelf/Etc. No.: (1 of 4)		
Type of Storage:	Filing Cabinet –Letter/Legal	Shelves – Open/Closed	Drawers	Microfilm/ Card/Fiche	Non Standard:
Record Classification Type:					
Active or Inactive Records			Number of public access requests:		
Method of Filing: Alpha Numeric Other:					
Record Series:	Oldest:		Most Recent:		
Are files labeled? Yes No Storage Label Name:					
Acronyms/Abbreviation Used:					
Total Volume:	Volume Used:		Volume Unused:		
Purpose for keeping the record:					
Comments:					

- Measurement of records should begin with the total volume of the storage unit (drawer, shelf, etc.). Estimate the volume to the nearest cubic or linear foot. The measurements are used later to plan records storage space needs.

QUANTITY	DESCRIPTION	CU. FT.
1	Letter size file cabinet drawer	1.5
1	Legal size file cabinet drawer	2.0
1	Legal size desk drawer	2.0
1	Letter size commercial box (12”x10”x15”)	1.5
1	Legal size commercial box (12”x10”x24”)	2.0
15	Linear inches of letter size files	1.0
12	Linear inches of legal size files	1.0
12	Linear inches of computer printout (12”x11”x15”)	1.0

- Instructions to the inventory clerks should include:
  - Upon arriving at any location, introduce yourself to the office manager, or contact person and explain that you are here to begin the records inventory. Ask to be shown where the records are located. Ask to be introduced to any other staff who may have custody or control of the records. If there are any problems contact the office manager, contact person, or the Records Officer. Do not attempt to resolve problems that may arise.
  - Draw a detailed floor plan and assign numbers to the various storage units shown on the plan. Affix numbered adhesive labels to the storage units if permitted.
  - Complete as many Inventory Worksheets for each applicable storage unit as may be needed. Add any additional information that may be useful for later analysis.
  - Use common names for similar record types in any office. (Vendor Payments, Payment Vouchers, Bills, Invoices, etc.)
  - Before leaving an inventoried area, check your worksheet data for completeness and ask for copies of any forms used within the office. Be sure to remove all adhesive labels and pick up any supplies that you were using. Notify the office manager or contact person that you are finished.
  - When you have completed the physical inventory of a section/office, verify that all worksheets are complete and accurately reflect the actual physical records. (Check that each storage unit has the correct amount of corresponding worksheets.) Put the floor plan and all of the inventory worksheets into one file. (Some worksheet data may be combined at a later date or further investigated, but this is all that is required to complete the records inventory.)
  - Send a copy to the office manager or contact person to verify that the inventory is complete. If additional information is needed, the office manager or contact person should contact the Records Officer for further assistance.
  - Submit completed records inventory data files to the Records Officer no later than one week after completion of the physical inventory.

STORING RECORDS

To ensure that your records are usable for the required retention periods and reasonably well protected from disaster, use the following guidelines:

Ideal Storage Guidelines:

- Store records in metal filing cabinets or on metal shelving; avoid wooden cabinets/ shelving.
- Keep to a minimum the exposure of records to sunlight, strong indirect natural light, and strong artificial light, particularly fluorescent light.
- Maintain a relatively constant temperature between 60 and 70 degrees Fahrenheit.
- Maintain a constant relative humidity between 45% and 55%.
- Control dust and chemical vapors.
- Store records on cabinets/shelving raised four to six inches above floor level (distance shown to be effective against potential water damage from fire-fighting efforts or minor floods).
- Maintain a fire-suppression system (water sprinkler), and/or a fire detection and alarm system wired directly to the local fire department.
- Place chemical fire extinguishers (preferred to sprinkler systems due to possible water damage) conspicuously in file storage areas.
- Maintain an intrusion alarm system to protect against theft and vandalism.

UNIFORM FILING SYSTEM

By order of the Idaho Code, Section 67-5751, Central Records Management, under direction of the Director, Department of Administration, was given responsibility to establish statewide guidelines for a uniform filing system. Information for setting up such a system follows.

RULES OF FILING

Rules of filing apply to the correct use of guides, folders, labels, cards, and equipment.

GUIDES

Guide means "to direct the course or motion of." A guide should direct the eye to a location in a file.

To be effective, a guide must:

- Designate the location where a given record is to be filed and found.
- Increase the accuracy of filing and finding.
- Provide support for the folders.
- Provide forward visibility so the user can sight the records without fatigue as he/she retrieves a record.

FOLDERS

Folders are used to provide housing for records and to protect and support papers in an orderly manner.

Folders can be purchased in different weights of cardboard or pressboard or for special uses.

The location of the tab on the folder is also very important. There are end tab folders and top tab folders.

End tab folders should be used with open-shelf or shelf file equipment.

Top tab folders should be used with conventional vertical file equipment or with equipment in which the folder must be suspended on both sides.

LABELS

Self-adhesive labels are used on the tab of the folder. They should identify material housed within the folder.

Information must be typed properly on labels for them to effective.

USE OF GUIDES, FOLDERS AND LABELS

Following are some important rules to follow in using file guides, folders and labels:

1. File behind the guide.

   Records and folders should always be filed behind the guide. The guide directs you to the proper location of a record. The natural movement in locating is forward, which facilitates filing and finding since it requires only one continuous motion.

2. Select the proper number of guides.

   As an aid in selecting the proper number of guides, consider the following:

   - The number of folders to be filed.
   - The volume of records per folder.
   - The activity of the records; i.e., the number of requests for reference filed daily.

3. The tab is at the back of the folder when the folder is in the upright position.

   Records should be filed in order from front to back within the folder. The most recent material in an alpha file should be filed in front. This is the information most referred to.

   Numerical records should be arranged in the same manner, or in numerical order if more than one number is housed in a folder.

   Filing in a predetermined order reduces time required to search for information and helps maintain file integrity.

4. No more than 3/4" of paper in each folder.

   Do not file more than 3/4" of paper within each file folder. The standard manila folder is designed for 3/4" capacity.

If a folder is of such volume that more than 3/4" of paper accumulates, divide it either by date, project sequence, folder number, or use a larger folder.

A numerical label may be used on the folder to indicate folder number or date.

5. Use of heavyweight folders or pockets.

   Heavy pressboard folders or expansion pockets should be used for filing large volumes of specific types of records which need to be kept together.

6. Special folders.

   At times fastener folders, pocket folders, or other folders with a specialty feature are needed. At all times such folders should be justified. . . operating time and cost wise.

   Fastener folders may be justified when 1) records have a permanent retention period or legal value; and 2) when records travel from the office to outside locations.

7. Miscellaneous folders.

   Miscellaneous folders should be used in alphabetic files to house records of less active names or titles. When a file pertaining to one subject contains one to three documents, use of miscellaneous folders should be considered.

   Miscellaneous folders are used to prevent over accumulation of file folders for less active material. If a specific file accumulates four or more documents in a miscellaneous folder, either (i) the account has become active enough to start an individual folder; or (ii) records need to be purged from the miscellaneous folder.

8. Allow adequate work space in equipment.

   Records should not have to be forced into a folder or folders into a file drawer. If this is happening, the work space in the equipment is inadequate.

   Overcrowded files encourage the accumulation of unfilled records on desk tops, in desk drawers, and in personal files.

9. Label the equipment.

   Standard file procedures require that the drawers, compartments, or sections of equipment be correctly labeled and identified to describe the record content.

10. Typing Labels.

Clean typewriters keys are a must for clean, distinct, and easily read labels. Use one type style and ribbon color for all labels.

Misspelling, erasures, strikeovers, and handwriting should never be permitted on labels.

When typing names, use all upper case for the surname; use upper and lower case for the given name. Set a tab in the middle of the label and begin all given names at this place. When typing company names, use all upper case except for the words "Company," "Incorporated," "Limited," etc. When the company name is made up of a person's name, use all caps on the surname only. these practices increase speed and ease of reading.

Omit all periods, commas and other forms of punctuation.

Spell out in full the company, association, individual name, or title. Do not use abbreviations. EXCEPTION: When titles are used to distinguish sex, marital status, etc., in identical names, Mr., Ms., Mrs. are alphabetized in abbreviated form. (See Rule #5 under alphabetizing.)

Type the surname first, then the given name and initial. The same rule applies when the firm is composed of a surname and given name.

EXAMPLE: LARSON John Company

A. Typing labels for End Tab Folders.

Type two identical labels for each folder.

Start typing labels two spaces from the left edge, above and as close to the color band or top of label as possible.

If more than one line of typing is required, begin the second line directly above the first line in block form.

EXAMPLE: Boise Idaho 83720
3076 Easton
HETT JEFFERY L

When properly completed, index names will read upward when approaching from the left of the file and downward when approaching from the right. Two or more people can the same file section at one time.

B. Typing labels for Top Tab Folders.

Top tab folders require one label per folder. Begin typing two spaces form the left edge, as close to the top of the label (or the color band) as possible.

If more than one line of typing is required, begin the second line directly below the first line in block form.

. DOE John
. 111O West Capitol Avenue
. Boise Idaho 83720

It is essential that the preceding rules be followed correctly to maintain accurate control of records and to insure optimum filling service.

EQUIPMENT

There are more variables to consider when purchasing equipment for records storage than the cost of specific piece of equipment. Among these are:

1. How much floor space is required for the equipment?

   The amount of aisle space needed for equipment with the drawers open to allow access and freedom to move in the aisles must be taken into consideration.

2. What type of records will be stored in the equipment?

   Some equipment is designed for specific sizes of records or specific types of media; however, there is equipment available in which various types of records can be stored.

3. What is the capacity (in linear inches, or number of mag tapes, etc.) of the equipment in relation to the floor space required?

   The cost of storage per linear inch of material can be substantially reduced if more than the outright purchase price is considered.

4. How accessible is the material in a specific type of equipment?

   Highly active records should be stored in equipment that can be accessed by more than one person. This reduces the number of times personnel have to wait for information; making the office more productive.

5. Is it easy to file and retrieve material?

   The material must be visible and easily reached to aid in filing and retrieval.

If the preceding variables are considered, personnel time required for records maintenance can be reduced, the optimum use of floor space can be obtained, and a better "fit" of the equipment to the media can be obtained.

MANUAL FILE SYSTEMS

VERTICAL FILES

A variety of equipment for records storage is available today. The most common is the vertical file, or the "four-drawer" filing cabinet.

Vertical files are among the least efficient methods of records storage. The floor space required for vertical files is high in relation to the volume of records that can be stored.

It is also difficult for some personnel access material stored in the fourth or fifth drawer of a vertical file. Personnel must reach over the top of a file drawer and pull material upward and towards them to retrieve it Filing requires the opposite motion.

This motion shortens the vertical space that can be used. There is greater potential for misfiles; therefore, the integrity of the system is poor.

It is virtually impossible for more than one person to access vertical files at the same time. This increases the cost of the system in terms of personnel time, greatly reducing productivity.

LATERAL FILES

A lateral file, like a vertical file, has drawers that pull out, On a lateral file the drawers pull out on the long side, rather the narrow side.

They require approximately the same amount of overall floor space as vertical files and increase filing capacity by 40 - 60 inches. Lateral files purchase price is approximately twice that of vertical files. The cost per inch of material stored increases with lateral files.

Visibility can be greater when using lateral files if end-tab folders are used. This helps increase productivity.

Two personnel could access the same drawer of material in a lateral file at the same time; however, when one drawer of a lateral file is pulled out it locks all other drawers, preventing them from being pulled out, or opened.

When all factors are considered lateral files are the most expensive manual file equipment to utilize for a file system.

OPEN-SHELF FILES

Open-shelf files require the least amount of floor space per inch of material stored. It is easy to purchase accessories for open-shelf files that allow conversion of one or more shelves for storage of various sizes or forms of media. This makes them very versatile.

The purchase price of open-shelf files is approximately 18% higher than that of vertical files and 26% lower than lateral files. NOTE: These figures are based on retail price lists that were in effect in July, 1980.

Twice as much material can be stored in less overall floor space in comparison to vertical files. This substantially reduces the cost of the equipment per filing inch.

Two or more persons can access material on open-shelf files at the same time, increasing productivity of both support personnel and management. The motion of filing and retrieving information is improved, reducing further the amount of time involved in accessing material.

End-tab file folders and guides must be used to ensure optimum access to records. This makes material on open-shelf files highly visible. Fewer misfiles occur when proper indexing and labeling is used; therefore, file integrity is improved.

Open-shelf files can be purchased with or without doors and, if purchased with doors, they can be gang locked.

Open-shelf files can be used as office partitions where necessary without detracting form the physical environment. This increases their value when filing equipment is needed in an active office area that requires some privacy!

SHELF FILES

Shelf files store a high volume of records in less floor space than the file cabinets already discussed. They generally do not have doors on them and are open in the back with support rods to prevent folders form falling off the back. Shelf files should not be used for records requiring security.

Shelf files are not stand-alone units. They must be anchored to the wall or floor. They are not movable as assembled units and are not useful for storage of odd-sized materials or materials other than letter and legal-sized documents.

The material stored on shelf files is highly visible and accessible. They are not very useful in an office that has a great deal of walk-through activity. They detract a great deal from an office setting.

MECHANIZED FILES

Mechanized files are shelves or rotary wheels that make available to the user a specific row of records at the push of a button.

Mechanized files are very expensive to purchase in comparison to manual file systems. As the word mechanized suggest, there is potential to run into mechanical problems.

1. Power may be lost. If this should happen, there must be a way to manually rotate the files to retrieve material.

2. The motor that operates the file may burn out. Manual operation is essential here also.

3. Perhaps there is not enough volume to completely fill all shelves. This would cause an imbalance and create mechanical problems. To alleviate this the records must be balanced by weight, without regard to the file system. This defeats accurate records maintenance and the organization of a system.

To ensure upkeep of mechanized files, a service contract is needed. This adds to the cost of the system.

Prior to purchasing mechanized files, careful cost-benefit study should be completed.

MARKING THE RECORD FOR FILING

To ensure proper maintenance of the file system, all records must indicate the name or title under which they will be filed.

The user must indicate that the record is to filed and where. The user will request the information for future reference; that is why they must be responsible for the identifying that the record is to be filed.

To indicate the proper file location, either underscore the name or title under which the record will be filed; or, write the name or title in the upper right-hand corner. Use a cored pencil or pen to do this.

Authorization to file is indicated by writing the word "file" and the initials of the individual authorizing the filing in the upper right-hand corner.

Cross-referencing should also be indicated by placing an "X" next to the name or title that will be cross-referenced and underscoring with a colored pen or pencil.

PREPARATION FOR FILING

When the records area receives records for filing, certain preparatory steps must be followed before placing the record in a folder.

Clerks that do the filing should have certain timesaving tools available. They are:

1. A sorter to arrange records in the proper sequence before filing.
2. A colored pencil to complete the marking and coding of records.
3. A stapler to fasten records that are to be filed together. Paper clips should never be used to fasten records that are to be filed.
4. A staple remover to remove unnecessary staples and clips from groups of papers.
5. Transparent tape to mend torn paper.
6. A rubber fingertip to help handle paper faster.
7. Scissors to trim uneven edges.

Documents should always be checked for (1) authorization to file; (2) cross-reference; and (3) follow-up.

Never assume that papers should be filed together because they are fastened together. Check for this also.

Place documents in the folder. Complete cross-reference filing either by filling out cross-reference cards (see Cross-reference control) or by placing the document itself in a folder for cross-reference. This should be done based on the type of cross-reference requirements.

File only one copy of a letter or memo unless otherwise indicated.

MAINTENANCE

Properly indexing and labeling folders and guides, using the correct supplies and the best equipment is useless if the system is not maintained.

Records retention schedules help determine what to dispose of and when; however, other controls are necessary to use the active system properly. Four main controls follow.

CROSS-REFERENCE CONTROL

When the user asks for a record under two or more headings, a cross-reference is needed. This directs the searcher to an area(s) where the needed information is filed.

Two types of cross-reference should be used:

1. SEE: Means "there is nothing here, look elsewhere."

2. SEE ALSO: Means "part of the information is here and related information is elsewhere."

As filed: EMPLOYEES
SEE: PERSONNEL

There are three methods of completing cross-referencing.

1. Preparation of cross-reference cards. Cards should be contrasting color so they are easily seen in the folder.

2. Preparation of cross-reference sheets. They should be 8 1/2" X 11" in size and of contrasting color.

3. Permanent cross-reference guides or folders.

Cross-reference control prevents the loss, misplacement and misfiling of records that may be referred to by more than one name, subject, or title. It should:

1. Identify the name or subject under which the cross-reference sheet is filed.

2. Identify the date of the papers being cross-referenced.

3. Give a brief description of the material.

4. Identify where the cross-reference may be located.

All filing should be done under the correct name or title.

Cross-reference controls are most commonly used in alphabetic or subject files.

CHARGE-OUT CONTROL

Charge-out control prevents the loss of information and assures it is returned to the file 99% of the time without delay and extra labor. It names the borrower and pinpoints the location of information removed from the files.

Without charge-out control, personnel:

1. Continuously search for papers that have never reached the files.
2. Are uncertain of their ability to deliver all information of a specific transaction.
3. Are unable to verify the location of records.
4. Are accused of inefficiency and are continuously on the defensive because of unfair complaints.

Charge-out control:

1. Helps organize the work and the worker.
2. Locates all information and puts it at the fingertips of the user.
3. Eliminates retention of "convenience copies" because a permanent file copy is always available to the users.
4. Helps the staff and support personnel complete routine assignments because the records are easily located in a few seconds time.
5. Helps measure work performance and efficiency of all staff personnel under direct supervision.
6. Establishes confidence in the ability of support personnel to locate records.

Charge-out procedure must include these fundamental rules to be observed at all times:

1. No record or folder shall be removed from the file until a complete charge-out record has replaced the material removed. This charge-out record <u>must</u> show.
    a. The title or name of the material or folder removed.
    b. The subject matter of the record.
    c. The date of the record.
    d. The name of the borrower.
    e. The date removed from the files.

2. When it becomes necessary to reroute records from the original borrower to another person, reroute forms must be used. This form contains complete charge-out information and is placed in the appropriate file, changing the charge-out guide to name the new borrower.

3. Personnel should be specifically assigned to records maintenance. Only records personnel should remove records from the file and return to the file.

4. Regular checks and follow-ups should be made for all records removed from the files. In many cases, a definite time limit should be set on the time that material requested from the file may be kept. If the time limit is five days, a check should be made on the morning of the sixth day. Records personnel will collect the records charged or grant the borrower an extension of time.

   Follow-up of the charged records prevents their loss and misplacement and encourages the user to expedite handling. It also emphasizes the importance of housing all records in the files unless they are required for immediate work.

5. Records that are used daily by personnel and held at the desk because of telephone calls, service requirements or developments of a transaction should be controlled by a charge-out folder. No time limit is set in this situation.

6. When folders or letters charged out are returned to the file, the operator removes the out guide and cancels the charge by crossing out the notation and disposes of the charge card.

Misfiled or misplaced documents carry an expensive price tag. When this is recognized, the value of charge-out control is very apparent.

Charge-out control must be utilized by all levels of management to be effective.

FOLLOW-UP CONTROL

Every office, its executives and supporting staff are confronted with unfinished transactions. Files created to store such work are referred to as "suspense," "tickler", "hold," "jog up," "reminder," or "date" files.

Records requiring follow-up are usually the most important. Delay or neglect in their handling results in a loss in public confidence, money, and in personal embarrassment.

Follow-up control is devised to:

1. Protect records

2. Keep records in the proper place in the file.

3. Produce records quickly.

4. Guarantee handling of important matters as scheduled.

Follow-up control assures:

1. Completion of routine tasks and emergency assignments.

2. That retention and active use of workable ideas are not lost or busied in personal files.

3. Forward planning for conferences and meetings; completion of assignments.

4. That people do not have to rely on memory alone.

5. That a manager using follow-up controls effectively will gain a reputation for knowing things.

The follow-up date is scheduled according to the requirements of the individual transaction.

No executive, manager or other office personnel should accumulate and retain papers on the desk top, deck drawer or side drawer files that are to be handled at a future date. They are placed in the proper file with a name and date notation to indicate when they are to receive further attention and by whom.

Date control in follow-up makes it possible for the individual to schedule a given amount of work across the desk each day. Follow-up control organizes the work and the worker.

USE OF COLOR FOR LABELS

Color control, used properly, speeds filing and finding, increases accuracy, reduces misfiles, aids in location of misplaced folders and is a pleasant system to work with.

The use of color designations should be kept simple and definitive. Use color only to clarify. The use of color to mean too many things can only confuse.

Each color should be distinctive so that it will not be confused with another similar color.

Use of color should be kept subsidiary to the indexing arrangement.

Establish the most efficient system first, and then add color designations afterwards.

ALPHABETICAL CONTROL

There are many ways to achieve alphabetical color control. For highly active files that have large volume, the most efficient color coding system utilizes two color bands in conjunction with color-band name labels. The two color bands indicate the first two letters of the name or title of the folder. This coding virtually eliminates misfiles because of the color bands that are found.

NUMERICAL CONTROL

For numerical files each number is assigned a color with up to six digits color-coded on the folder tab. This system is almost misfile-proof.

ALPHABETIZING

An alphabetic file, when left to guesswork, is inaccurate and virtually impossible to manage.

The Association of Records Management and Administrators has developed standards for alphabetical filing.

1. Letter by Letter.

   All titles on folders should be arranged letter by letter, in sequence of the English alphabet.

As written:	As filed:	
A Johns & Sons, Inc.	JOHNS	A & Sons Incorporated
Jim Johnson	JOHNSON	Jim
Johnson & Johnson Company	JOHNSON &	JOHNSON Company

2. Word by Word.

   When the title of two or more files have the same primary unit; the secondary unit is used to determine the order in which the folder would be placed behind the guide.

As written	As Filed:	
Bob Anderson	ANDERSON	Bob
Bill Anderson	ANDERSON	Bill
Bart Anderson	ANDERSON	Bart

3. Nothing before something.

A surname alone will be filed ahead of the same surname which also has a given name or initial. The nothing before something rule emphasizes the need to establish consistent filing procedures.

As written:	As Filed:
Anderson	ANDERSON
B A Anderson	ANDERSON B A

4. Unit by Unit.

The unit method establishes a standard for filing names that are made up of compound words (to include hyphenated words) or prefixes.

Hyphenated words and prefixes are treated as one filing unit.

A. Compound words

As written:	As filed:
Dyna-Kleen	ADDOX Incorporated
Helen Gurley-Brown	DYNAKLEEN
Addo-X, Inc.	GURLEY-BROWN Helen
Guttenberg, Inc.	GUTTENBERG Incorporated

Each word in compound geographic terms is separate filing unit, including prefixes.

As written:	As filed:
Los Angeles Coliseum	LOS ANGELES COLISEUM
San Haven Hospital	SAN HAVEN HOSPITAL

B. Prefixes

As written:	As filed:
D'Angelo	DANGELO
McDonald Corporation	MCDONALD Corporation
Van Huevlen	VAN HUEVLN

5. Titles, appendages, Degrees.

A. Titles when followed by only one name are filed as written:

As written:	As filed:
Sir Charles	SIR CHARLES
Queen Elizabeth	QUEEN ELIZABETH
Father Patrick	FATHER PATRICK

B. Name appendages, as Sr., Jr., IV , etc., are considered as separate filing units. Appendages are the last filing unit, with numerical designations in numerical sequence.

As written:	As filed:
Art Andersen	ANDERSEN Art
Art Andersen, Jr.	ANDERSEN Art Junior
Art Andersen, 3rd	ANDERSEN Art 3rd
Art Andersen, IV	ANDERSEN Art IV

C. College and university degrees, when required for Identification, are treated as the last filing Unit.

As Written:	As filed:
J R Smith	SMITH J R
J R Smith, M. D.	SMITH J R DDS
J R Smith D. D. S.	SMITH J R MD

D. Use the titles Mr., Mrs., Miss, Ms. or military ranks only when it is necessary to distinguish sex, marital status, etc., in identical names. When used, these titles are the last filing unit.

The use of Mr., Mrs., and Ms, as file units are an exception to the rule "do not use abbreviations."

As written	As filed:
Ms. Bobby Riggs	RIGGS Bobby Lieutenant
Mr. Bobby Riggs	RIGGS Bobby Miss
Lt. Bobby Riggs	RIGGS Bobby Mr.
Miss Bobby Riggs	RIGGS Bobby Ms.

6. Abbreviations.

Rule #5 identified which titles can be abbreviated when used as a filing unit.

Type all other abbreviated words in full on the label and index in order of complete spelling.

As Written:	As filed:
Mt. Rushmore Monument	MOUNT RUSHMORE MONUMENT
St. Paul's Brotherhood	SAINT PAUL BROTHERHOOD
John Smith & Bros.	SMITH JOHN & BROTHERS

7. Apostrophe.

A. The Apostrophe "s" ('s) denotes possession but does not alter the name. Disregard its use in filing.

As written:	As filed:
Johnson's Drug	JOHNSON DRUG
Erhart's Flying Service	ERHART FLYING SERVICE

B. The "s" apostrophe (s') is part of the name. Do not type the apostrophe on the label; however, the "s" should be typed on the label.

As written:	As filed:
Ness' Corner Grocery	NESS CORNER GROCERY
Martens' Gift Shop	MARTENS GIFT SHOP

8. Firm Names.

A. Firm names that do not have an individual's full name as part of the firm name should be indexed as written.

As written;	As filed:
Gold Seal Company	GOLD SEALCompany
General Motors Corporation	GENERAL MOTORS Company

B. When the individuals full name is part of the firm name, the name of the individual is transposed.

As written:	As filed:
Wm. Clairmont, Inc.	CLAIRMONT William Incorporated
Dave Gunther, Ltd.	GUNTHER Dave Limited

EXCEPTION: When a firm named for an individual is so well known that to transpose the names would cause confusion, file as written:

As written:	As filed:
Montgomery Ward Company	MONTGOMERY WARD Company
J. C. Penny Company	J C PENNEY Company

9. Correspondence.

A. Individual.

Correspondence from individuals should be filed with the (1) surname as the primary filing unit; (2) the given name as the secondary filing unit; and (3) the middle initial or name as the tertiary filing unit.

B. Firm Correspondence.

Correspondence from firms should be filed by company name rather than individual name.

A letter received from James Martin, Sales Representative for Chrysler Corporation is filed under Chrysler Corporation. (It is cross-referenced under James Martin.)

C. Correspondence from Subsidiaries or Divisions.

Correspondence received from subsidiaries or divisions of large companies should be filed under the division or subsidiary.

Example: General Motors Corporation, Frigidaire should be filed under Frigidaire.

D. Correspondence from Subsidiaries or Divisions.

Correspondence received from the same organization at more than one location should be filed by city and state or state and city.

As written:	As filed:
National Biocentric, Inc.	NATIONAL BIOCENTRIC Incorporated Bismark North Dakota
National Biocentric, Inc.	NATIONAL BIOCENTRIC incorporated Saint Paul Minnesota

10. Company Terms.

Each word in a name containing compass terms is considered as a separate filing unit.

As written:	As filed:
Southwest Conference	SOUTH WEST CONFERENCE
Northwest Orient Airlines	NORTH WEST ORIENT AIRLINES

11. Conjunctions and Prepositions.

Conjunctions and prepositions are not considered filling units but they are included when writing the title.

As written:	As filed:
School for the Deaf	SCHOOL for the DEAF
Johnson & Johnson	JOHNSON & JOHNSON

12. Using "THE" in Titles

Use of the word "the in a title is disregarded in indexing, but is included when writing the title.

As written:	As filed:
The Deli	DELI THE
The Office, Inc.	OFFICE Incorporated The

13. Banks

Names of banks are filed by the geographical location when the locations are part of the name. If the location is not part of the name, they are filed as written.

As written:	As filed:
Bank of Burleigh County	BURLEIGH COUNTY BANK of
Bismarck State Bank	BISMARCK STATE BANK
First National Bank	FIRST NATIONAL BANK

14. Institutions.

When the location is part of the name of a college, school, library, hospital, or hotel, the location is the primary filing unit. Otherwise they are filed under the identifying title.

As written:

University of North Dakota
School of Hope
St. Alexius Hospital
Church of Latter Day Saints
Hughes Junior High School

As filed:

NORTH DAKOTA UNIVERSITY OF
HOPE SCHOOL of
SAINT ALEXIUS HOSPITAL
LATTER DAY SAINT S CHURCH of
HUGHES JUNIOR HIGH SCHOOL

15. Nicknames

Nicknames with no recognizable surname are indexed and filed as written.

As written:	As filed:
Orphan Annie	ORPHAN ANNIE
Mac the Knife	MAC the KNIFE
Jack the Ripper	JACK the RIPPER

16. Government

A. Federal

Federal records are indexed and filed first under United States Government followed by department or bureau; arranged alphabetically according to title. In the case of indexing a bureau or division of a governmental department, always cross-reference under the department

As Written:	As filed:
HEW	UNITED STATES GOVERNMENT HEALTH EDUCATION and WELFARE DEPARTMENT of

As written	As filed:
Department of Energy	UNITED STATES GOVERNMENT ENERGY DEPARTMENT of

B. State

State government records are indexed and filed under the name of the state.

As written:	As filed:
State of North Dakota	NORTH DAKOTA State of
Tax Division of Illinois	ILLINOIS TAX DIVISION of
Commonwealth of Kentucky	KENTUCKY Commonwealth of

C. County.

County records are indexed and filed under the name of the county and then the identifying title or word.

As written:	As filed:
Clerk of District Court, Mountrail County Benson County, North Dakota	MOUNTRAIL COUNTY DISTRICT COURT CLERK of BENSON COUNTY North Dakota

D. Foreign government.

Records on foreign governments are indexed and filed under the name of the country and then by department, bureau or division.

As written:	As filed:
British RAF	GREAT BRITAIN ROYAL AIR FORCE
Republic of China	CHINA Republic of
Chancellor of Germany	GERMANY Chancellor of

17. Numbers in alphabetic Files

Names that begin with numbers should be spelled out and filed accordingly.

As written:	As filed:
3M Company	THREE M COMPANY
1st National Bank	FIRST NATIONAL BANK

Other filing systems are: (1) numeric, (2) subject, and (3) geographic.

NUMERIC FILING

Numeric filing utilizes numbers to identify records instead of names or subjects. Cross-indexes are needed when a name or subject has reference significance.

Numeric filing is effective when there is a large volume of records that:

1. Have frequent activity.
2. Require extensive cross-referencing.
3. Require extensive expansion.

Some organizations that might have application for numeric filing are:

1. Legal organizations for records of litigation. The Attorney General's Office uses a numeric system for opinions.
2. Engineering organizations for projects and plans.
3. Financial organizations for purchase orders, vouchers, etc.

Numeric filing has advantages and disadvantages. Some of these are:

⏩ ADVANTAGES:

- Control through the index
- Positive numbers
- Unlimited expansion
- Control with cross-reference
- Minimum shifting of Material

⏩DISADVANTAGES:

- Indirect reference and filing
- No provision for miscellaneous data
- Obsolete numbers
- Cumbersome index
- High labor cost

The basic numeric systems are:

1. Straight numeric.
2. Middle digit numeric.
3. Terminal digit numeric.

Middle digit numeric systems are arranged with the 3rd and 4th digits as the primary filing unit, the 1st and 2nd numbers as the secondary filing unit and the 5th and 6th numbers as the final unit.

The number 123456 would have 34 as the first filing unit, 12 as the second filing unit, and 56 as the third or final unit. The 56 would determine its sequence in the folder.

Terminal digit systems place emphasis on the 5th and 6th numbers as the primary filing unit.

The number 23-43-19 would be filed in a primary block section along with all other numbers that end in 19. Within the primary block, it would be filed along with all numbers that end in 43-19.

Terminal digit order

23-43-19
24-43-19
28-43-19

In the above example "25-43-19", "26-43-19", and "27-43-19" were purposely omitted to demonstrate the use of numeric files when numbers have become obsolete. To reuse those numbers the index would require extensive changes, making the cost of the system extremely high.

SUBJECT FILING

A subject file provides for grouping of records according to their informational content, rather than by individual name or organizational name.

Subject files bring together reports, meetings, procedures, policies, budgets, contracts, specifications, formula projects, special departmental activities, etc. Subjects should be carefully selected and arranged alphabetically.

Never use miscellaneous folders in a subject file.

Subject filing requires the use of indexing and, usually, extensive cross-referencing. At times, records will cover several different subjects. This makes choosing of the subject heading difficult. Frequent reference to the index is required.

If the subject files are used, the most specific term which describes the subject should be used.

GEOGRAPHIC FILING

A geographic filing system arranges records by location.

The locations can be:

1. County or State
2. Region or District
3. City
4. Street

Each group is arranged in alphabetic sequence.

CHAPTER 5: DEFINITIONS

GLOSSARY OF RECORDS AND INFORMATION MANAGEMENT TERMS

- A -

ACADEMY OF CERTIFIED ARCHIVISTS (ACA)
An independent, nonprofit certifying organization of professional archivists that participates in the definition and advancement of professional archival education, concepts, and issues. It also identifies and promotes understanding of archival goals, ethics, and standards.

ACCESS
Permission and means to use a record. The approach to any means of storing information, e.g., index, catalog, computer.

ACCESS TIME
The time between the instant at which information is requested and the time at which it is delivered.

ACCURACY RATIO
A measure of the number of requested documents that are actually found after a search.

ACID-FREE PAPER
Paper having a pH of 7.0 or greater that has been treated with an alkaline substance capable of neutralizing acids. Acid-free paper may become acidic through contact with acidic material or atmospheric pollutants. Also called *acid neutral*.

ACTIVE RECORD
Record needed to perform current operations. Subject to frequent use and usually located near the user. Can be accessed manually or on-line via a computer system. See also CURRENT RECORD and INACTIVE RECORD.

ACTIVITY RATIO
The relationship between the size of a file (manual or computer) and the frequency of retrievals over a set period of time.

ADDRESS
A name or number that designates a specific storage location, other data source, or destination.

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ADMINISTRATIVE RECORD

A record that is related to budget, personnel, supply, and similar administrative or facilitative operations common to all organizations. It is distinguished from an operational record that relates to an organization's specific functions. See also OPERATIONAL RECORD.

ADMINISTRATIVE VALUE

The usefulness of a record to the originating group in the conduct of its business.

ALPHABETIC FILING

The arrangement, in alphabetic order, of records or entries. See ARMA's publication *Alphabetic Filing Rules*.

ALPHANUMERIC

1. A classification system that uses a combination of letters and numbers, in combination with punctuation marks, to develop codes for classifying and retrieving information.
2. A classification system that uses ASCII characters, numbers, and letters in that order. See also SUBJECT-NUMERIC.

AMERICAN LIBRARY ASSOCIATION (ALA)

An association of professional librarians and others committed to protecting public access to information in all forms. Through a broad-based program of legislative advocacy, public awareness, and professional education, ALA provides leadership and support to more than 100,000 school, public, academic, and special libraries. See also CANADIAN LIBRARY ASSOCIATION.

AMERICAN NATIONAL STANDARDS INSTITUTE (ANSI)

A private national standards organization in the United States that coordinates the development and maintenance of various industry standards. ANSI serves as the United States' representative to the International Organization for Standardization (ISO).

AMERICAN STANDARD CODE FOR INFORMATION INTERCHANGE (ASCII)

The most widely utilized computer coding method to convert computer processable data using a seven-bit code providing 128 possible character combinations. The ASCII format can be recognized and understood by other computers and communications devices allowing computers to talk to each other as long as they use compatible modem equipment and transmit/ receive at the same speed.

ANALOG

A signal in the form of a continuously varying physical quantity, such as voltage, that reflects variations in some quantity such as loudness of the human voice. See also DIGITAL.

ANNOTATION

A note added or attached to an original record.

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APERTURE CARD

An electronic data processing card with a rectangular hole specifically designed as a carrier for a film image or images.

APPRAISAL

See RECORDS APPRAISAL.

ARCHIVAL INTEGRITY

The certification of a recording medium that has been tested to last longer than the mandated term of retention is said to have "archival integrity."

ARCHIVAL QUALITY

1. The ability of a recording medium to permanently retain its original characteristics.
2. The ability of a medium to resist deterioration for a lengthy, specified time.
3. The extent to which something will or will not last for an extended period of time. See also DURABILITY.

ARCHIVAL STANDARDS

Standards set by such agencies as the U.S. Bureau of Standards or the American National Standards Institute (ANSI) to ensure permanence of microfilm, paper, or electronic images.

ARCHIVES

1. The records created or received and accumulated by a person or organization in the course of the conduct of affairs, and preserved because of their historical or continuing value.
2. The building or part of a building where archival materials are located.
3. The agency or program responsible for selecting, acquiring, preserving, and making available archival materials. See also BUSINESS ARCHIVES.

ARCHIVING

1. Used for electronic records, it is the procedure for transferring information from an active file to an inactive file, storage medium, or facility.
2. Act of creating a backup copy of computer files. See also BACKUP.

ARCHIVIST

A person professionally educated, trained, experienced, and engaged in the administration of archival materials, including the following activities: appraisal and disposition, acquisition, preservation, arrangement and description, reference service, and outreach.

ARTIFICIAL INTELLIGENCE (AI)

The field of computer science that deals with the development of systems that mimic human intelligence such as problem solving, etc.

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ASSOCIATION FOR CANADIAN ARCHIVISTS (ACA)

Based in Ottawa, this association has a four-fold focus: providing leadership for everyone engaged in the preservation of Canada's Documentary Heritage; encouraging awareness of archival activities and developments and the importance of archives to modern society; advocating the interests and needs of professional archivists before government and other regulatory agencies; communicating to further the understanding and cooperation among members of the Canadian archival system and other information and culture-based professions.

ASSOCIATION FOR INFORMATION AND IMAGE MANAGEMENT (AIIM)

An organization whose principal mission is to develop standards for microforms and information storage technologies involving images. It is also a standards-setting body for these disciplines.

ASSOCIATION OF RECORDS MANAGERS AND ADMINISTRATORS (ARMA)

The principal educational records and information management organization in the United States and Canada, and one of the organizations accredited by the American National Standards Institute to develop records management standards.

ASYNCHRONOUS

A communication method in which data is sent as soon as it is ready, having no set pattern, cycle, or speed of transmission. See also SYNCHRONOUS.

AUDIT

See RECORDS AUDIT.

AUTHENTICATION

1. The verification of the identity of a person or process.
2. In a communication system, authentication verifies that messages really come from their stated source.
3. The act of establishing that a record has been finalized and is ready for distribution as evidence of the organization's activities.

AUTOMATIC INDEXING

The automated selection of key words from a document in order to develop index entries.

AUTOMATIC RECORDS SYSTEM

Any system that applies computer technology to any or all records management tasks such as the creation, collection, processing, maintenance, retrieval, use, storage, dissemination, and disposition of records.

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- *B* -

BACKFILE CONVERSION
The process of identifying, indexing, coding, and/or inputting a large volume or backlog of documents into a newly designed record keeping system. See also FILE CONVERSION.

BACKUP
1. The process of duplicating information primarily for protection in case the original is lost or destroyed.
2. A copy of the record. See also ARCHIVING.

BAR CODE
A coding system of vertical lines or bars set in a predetermined pattern that, when read by an optical reader, can be converted to machine-readable language. Used in tracking locations of files or boxes of records as well as other applications, e.g., libraries, shipping/receiving, shelf stocking, etc.

BASELINE
A specification or product that has been formally reviewed and agreed upon, that thereafter serves as the basis for comparison and further development.

BATCHING
Grouping a series of records by a common factor, such as a period of time or an alphabetical or numerical segment that can be processed at one time.

BAUD RATE
A unit of data transmission speed, expressed in the number of bits per second able to be transmitted.

BENCHMARKING
Identifying and imitating the business practices of the best in the business or world.

BIT
The smallest unit of information recognized by a computer. Eight bits typically represent a character, or byte, as either a one or a zero. See also BYTE, GIGABYTE, KILOBYTE, MEGABYTE, and TERABYTE.

BIT MAP
A graphic image formed by a matrix of dots. The specific number of dots per inch dictates the quality of the image.

BLIP CODE
An optical mark, usually rectangular, that has been recorded on microfilm, appearing below an image, used for counting images or frames automatically. Three different sizes can be used for the subdivision of documents.

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BLOCK-NUMERIC
A record classification system that assigns number ranges to subjects, e.g., Dewey Decimal System.

BOILERPLATE
Common material (such as wording or format) used consistently from one document to another.

BOOLEAN LOGIC
A method of inquiry used in information retrieval systems that use the logical operators *and, or, not, except, if,* and *then* in a variety of combinations to ensure successful search results.

BREAK-EVEN ANALYSIS
A technique used to show relationships among costs, revenues, and outputs.

BROWSABILITY
The ability of an automated index, or collection of records, to lend itself to systematic or random searches.

BUILT-IN DISPERSAL
A method of protecting vital records whereby the records management system calls for the availability of a copy at another location due to regular distribution of the vital record. See also DISPERSAL.

BUSINESS ARCHIVES
The accumulated business records and other materials that document the history of a company. See also ARCHIVES.

BUSINESS FORMS MANAGEMENT ASSOCIATION (BFMA)
A professional educational organization with a program of publications, seminars, and a network of local chapters committed to enhancing the skills of forms professionals.

BYTE
The coding sequence of one character such as *A, 1, $*, etc., represented by eight bits. See also BIT, GIGABYTE, KILOBYTE, MEGABYTE, and TERABYTE.

- C -

CANADIAN LIBRARY ASSOCIATION (CLA)
An association whose mission is to provide leadership in the promotion, development, and support of library and information services in Canada for the benefit of association members, the profession, and Canadian society. See also AMERICAN LIBRARY ASSOCIATION.

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CAPTION

1. A title, heading, short explanation, or description of a document or record.
2. Title of a specific field on a form.

CAROUSEL FILE

See ROTARY FILE.

CARTRIDGE/CASSETTE

A container used for protection and retrieval of record storage media that can facilitate loading and unloading of the media into and out of the required equipment.

CASE FILE

A file containing standardized contents related to a specific action, event, person, place, project, or subject. Sometimes referred to as a *project file* or *dossier.* See also PROJECT FILE.

CASE SENSITIVE

Describes the searchability of automated systems that can distinguish the difference between upper- and lowercase letters.

CATALOG

A set of entries arranged in a definite order that describes and indexes a collection of records. Each entry has sufficient details to identify and describe each item. Also may contain information on where the record can be located.

CATHODE RAY TUBE (CRT)

An electronic device (similar to a television tube) used to convert electronic signals into a visual display.

CENTRAL FILE

The files of several organizational units physically and/or functionally controlled and managed under a centralized service. See also DECENTRALIZED FILE.

CENTRAL PROCESSING UNIT (CPU)

A computer's internal storage, processing, and control circuitry, including the arithmetic-logic unit, the control unit, and the primary storage.

CERTIFICATE OF DESTRUCTION

A formal assertion, in writing, that records have in fact been destroyed.

CERTIFICATION/CERTIFIED COPY

A copy of a document signed and certified as a true copy by the official custodian of the original document.

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CERTIFIED ARCHIVIST (CA)

An archivist who has qualified through the Academy of Certified Archivists for certification by demonstrating mastery of a defined body of knowledge and skills for successful archival practice and meeting a series of defined professional standards.

CERTIFIED RECORDS MANAGER (CRM)

A person in the records management profession who has met the experience, educational, and testing requirements of the Institute of Certified Records Managers. The person is a member in good standing and has the right to use the CRM designation.

CHAIN

A hierarchy of terms in a classification scheme, each term containing all those that follow it from general to specific, e.g., Birds, Perching Birds, Swallows.

CHARACTER RECOGNITION

The ability of a machine to read human-readable text.

CHARGE-BACK

The allocation of costs of a program, function, or service to the user groups who use the services.

CHARGE-OUT

A control procedure to establish the current location of a record when not in the records center or central file, which can be a manual or automated system. See also OUTCARD/GUIDE.

CHIEF INFORMATION OFFICER (CIO)

High-level position in an organization where the person is responsible for all the information needs of the entire organization.

CHIP

A small sliver of silicon (or germanium) etched with electronic circuits that process and store data.

CHRONOLOGIC FILE (CHRON)

Records filed in date sequence either in reverse (latest date on top) or forward (earliest date on top) chronologic order.

CIRCULATION RECORD

A document/file that identifies the borrower, date, and identification of records charged out of a records center, central file, or library.

CLASSIFICATION SYSTEM

A system in which related material is filed under a major subject and its subheadings. Also known as *encyclopedic subject filing*.

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CLASSIFIED INDEX

An index in which the entries are divided into a number of main headings which in turn are subdivided into secondary and/or tertiary headings, each sequence of entries being arranged alphabetically.

CLASSIFIED RECORD (INFORMATION)

See CONFIDENTIAL RECORD.

CLASSIFYING

The act of analyzing and determining the subject content of a document and then selecting the subject category under which it will be filed.

CLIENT/SERVER COMPUTING

1. The use of large and small computers in a network in which one computer provides the back-end processing (the server) and another computer performs the front-end processing (the client).
2. The relationship between computers in a network where the client is the requesting machine and the server the supplying machine.

CLIMATE CONTROL

See ENVIRONMENTAL CONTROL.

CLOSED FILE

1. A file where access is denied to users and retrieval is only performed by authorized personnel.
2. A file on which action has been completed and to which documents are unlikely to be added.

CODE OF ETHICS

A formal statement of the values and behaviors an organization expects from its employees or members.

CODE OF FEDERAL REGULATIONS (CFR)

A codification of the general and permanent rules published in the Federal Register by the executive and other branches/agencies of the federal government of the United States. It is divided into 50 titles that represent broad areas subject to federal regulation. A synopsis of the CFR containing records requirements is available in the *Guide to Record Retention Requirements* published by NARA.

CODING

Act of assigning file designation to records as they are classified. Record may be manual or electronic.

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COLD SITE

An alternative facility that is void of any resources or equipment, except air-conditioning and raised flooring, that can be used as a backup site for disaster recovery. See also HOT SITE.

COLLATING

To combine items from two or more sets into one set that has a specified order, not necessarily the same as any of the original sets.

COLOR CODING

Using color as an identifying aid in a filing system.

COMMERCIAL RECORDS CENTER

A records center that stores the records of several organizations and provides services on a fee basis.

COMPACT DISK–READ-ONLY MEMORY (CD-ROM)

1. A high-density digital disk storage medium commonly used in the entertainment and publishing industries but increasingly being used by organizations to store records.
2. A magneto-optical disk that can only be read; it cannot be written on.

COMPACT SHELVING

See MOBILE-AISLE SYSTEM.

COMPOUND DOCUMENT

A computer-generated document composed of a variety of data types and formats such as text and graphics. It also refers to electronic files that are supported by internal links to other files that are modifiable, e.g., Master Document — Corel WordPerfect or Microsoft Word. See also MULTIPLE DOCUMENT.

COMPRESSION

Electronic activity that compresses data stored electronically. The process whereby unused space is removed from an image during the transmission of digitized data.

COMPUTER LITERATE

Quality attributed to a person who feels comfortable working with computers and understands how to use them.

COMPUTER-ASSISTED DESIGN (CAD)

Computer software in which drawings, graphics, and designs can be created and edited interactively by using a digitizer or mouse to move the cursor around the screen.

COMPUTER-ASSISTED RETRIEVAL (CAR)

Systems that combine the document storage capabilities of micrographics with the indexing and retrieval capabilities of a computer database.

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COMPUTER-INPUT MICROFORM (CIM)
The process whereby computer input can be taken directly from microforms by scanning and character recognition.

COMPUTER-OUTPUT LASER DISK (COLD)
Technique for the transfer of computer-generated output to optical disk so that it can be viewed or printed without use of the original program.

COMPUTER-OUTPUT MICROFILM (COM)
The process that converts and records data from a computer onto microfilm in human-readable format.

CONFIDENTIAL RECORD

1. A record or document requiring protection against unauthorized disclosure, modification, or destruction.
2. In government, a document containing information, the disclosure of which would harm the national security. See also PRIVILEGED RECORD and RESTRICTED ACCESS.

CONSERVATION
The component of preservation that deals with the physical or chemical treatment of documents. Conservation treatment is intended to stabilize materials in their original format by chemical and physical means. See also RECORDS PRESERVATION AND RESTORATION.

CONTINGENCY PLAN
See DISASTER RECOVERY PLAN.

CONTEXTUAL INFORMATION
Information that is in addition to the actual text of the document such as date sent, sender's identity, addressee's identity, routing information, and return receipts.

CONVENIENCE FILE
An unofficial file, containing copies of documents, that is maintained for ease of access and reference, physically located near the point of usage. Usually considered nonrecords. See also PERSONAL FILE and REFERENCE FILE.

CONVERSION
See BACKFILE CONVERSION and FILE CONVERSION.

COORDINATE INDEXING
An indexing scheme by which descriptors may be correlated or combined to show interrelationships, the purpose of which is for more precise retrieval. See also DESCRIPTOR.

COPY
Duplicate of a document prepared simultaneously or separately by the action of duplicating.

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COPY MANAGEMENT

A management control function used to regulate and analyze the purchase, use, and disposal of office copies. Also referred to in the control of creation, use, and disposal of photocopies.

COPYRIGHT

The right vested by law in the author of a document and his/her heirs or assignees to publish or reproduce the document.

CORRESPONDENCE

Any form of addressed communication sent and received, including memos, letters, postcards, etc. See also HOLOGRAPH.

CORRESPONDENCE MANAGEMENT

A management control function used to regulate the volume of correspondence processed and to establish uniform systems for filing maintenance and retrieval.

COST-AVOIDANCE

A management concept whereby approval is sought for a proposal stating that acceptance now will be less costly than another alternative in the future.

COST-BENEFIT ANALYSIS

Evaluating operations or services to show the cost savings of performing work using one alternative versus another alternative.

CRISIS MANAGEMENT

The overall coordination of an organization's response to a crisis in an effective, timely manner, with the goal of avoiding or minimizing damage to the organization's profitability, reputation, or ability to operate. See also DISASTER RECOVERY PLAN.

CROSS-REFERENCE

1. A notation in a file or on a list showing that a record has been stored elsewhere.
2. An entry directing attention to one or more related items.

CUBIC FOOT

1. A measurement of volume of records and archives. A cubic foot is 1,728 cubic inches, or 12 inches high by 12 inches wide by 12 inches deep.
2. A container that approximates a cube (10 inches by 12 inches by 15 inches) that accommodates various size records, but whose actual measurement exceeds a cubic foot. See also RECORDS CENTER BOX/CARTON/CONTAINER.

CUMULATIVE INDEX

An index in which successive entries are added or interfiled as the records collection grows.

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CURRENT RECORD

The most recent record or collection of records that is used on a regular basis. See also ACTIVE RECORD.

CURSOR

The symbol on a computer screen that shows where the next activity will take place. Some applications change the shape of the cursor depending on what action the computer is programmed to do next.

- D -

DATA

Groups of characters that represent a specific value or condition. Data provide the building blocks of information.

DATABASE

A collection of related data stored on a computer system that can be manipulated or extracted for use with various applications but managed independently of them.

DATABASE MANAGEMENT SYSTEM (DBMS)

A systematic approach to storing, updating, and retrieving information stored as data items, usually in the form of records in files where many users access common data banks.

DATA PROCESSING

1. The execution of a programmed sequence of operations using data.
2. A generic term for computing in applications with machines such as bookkeeping, etc.

DECENTRALIZED FILE

Records located and maintained in or near the unit immediately responsible for the functions in which they are used. See also CENTRAL FILE.

DECIMAL CLASSIFICATION

A subject classification system developed in units of ten and coded for arrangement in numeric order. The Dewey Decimal System of library classification is one example.

DEFAULT

A predetermined option that a computer system will use if the user does not specify an option.

DELETE

A function that enables a user to initiate action to remove all or part of a previously entered text, field, or record from display and indexing. May or may not be a permanent removal. See also ERASE.

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DENSITY

1. The degree of optical opacity of a material that determines the amount of light that will pass through it or reflect from it.
2. The relative ability of storage media to accommodate data.

DESCRIPTOR

A word or phrase used to indicate the content of a record. See also COORDINATE INDEXING.

DESKTOP PUBLISHING (DTP)

1. A metaphor for the computer's working environment— screen layout, menu, menu bar, and program icons associated with the machine's operating environment.
2. Space on a display screen in which users store icons that represent documents, folders, file drawers, printers, etc.

DESTRUCTION

See RECORDS DESTRUCTION.

DESTRUCTION NOTICE

A notification (memo, listing, form, etc.) of the scheduled destruction of records.

DESTRUCTION SUSPENSION

A hold placed on the scheduled destruction of records that may be relevant to foreseeable or pending litigation, governmental investigation, audit, or special organizational requirements. See also FROZEN RECORDS.

DIAZO FILM

Coated material containing sensitized layers that hold images. Used in making copies of microforms. See also SILVER HALIDE FILM.

DICTIONARY ARRANGEMENT

A single alphabetic filing arrangement in which all types of entries (names, subjects, titles, etc.) are interfiled.

DIGITAL

Use of binary code (ones and zeros) to record information on magnetic media. See also ANALOG.

DIGITIZE

The process of converting an image or other data into a binary representation that may be processed electronically. See also DIGITAL.

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DIRECT ACCESS

1. A system that permits access to files without reference to an index or other finding aid.
2. The capability of electronically locating a given item within a series without having to examine all the items sequentially. See also INDIRECT ACCESS.

DIRECT ENTRY

1. The selection of natural word order when formulating and indexing a term consisting of two or more words.
2. Principle of indexing whereby all headings directly incorporate the degree of specificity required. See also INDIRECT ENTRY and INVERTED ENTRY.

DIRECT-READ-AFTER-WRITE (DRAW)

1. The characteristic of an image to be recalled immediately after it has been captured. This allows error-free recording in a single pass.
2. Optical disks that can be locally recorded but not erased.

DIRECTIVES MANAGEMENT

The application of records management principles and techniques to general instructions, bulletins, policies/procedures, or other official issuances.

DISASTER RECOVERY PLAN

A written and approved course of action to take when disaster strikes ensuring an organization's ability to respond to an interruption in services by restoring the critical business functions. Also referred to as a *contingency plan*. See also CRISIS MANAGEMENT.

DISCOVERY PROCEEDINGS

Once a legal action has been initiated, either party, under the rules of discovery, has the opportunity to inspect documents in the possession of the other party. Actual process also includes interrogatories.

DISKS

Thin, round magnetized platters on which computers store information for later retrieval by laser or other systems.

DISPERSAL

The transfer of duplicate copies of vital records to locations other than those where the originals are housed. May be built-in as part of existing procedures, or improvised to provide the needed copy for dispersal. See also BUILT-IN DISPERSAL.

DISPOSITION

The actions taken with regard to records as determined through their appraisal. Actions might include transfer to storage, destruction, or preservation for archival purposes.

DOCUMENT

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1. Recorded information regardless of medium or characteristics. Frequently used interchangeably with the word *record*.
2. A single record item (letter, memorandum, form, or report) consisting of one or more pages.

DOCUMENT MANAGEMENT (DM)
A management control system used to regulate the creation, use and maintenance of electronically created documents. Also referred to as *electronic document management*.

DOCUMENTATION
An organized set of documents explaining a system, process, project, etc., and the requirements needed to use and maintain the system.

DOTS PER INCH (DPI)
A linear unit of measurement used to give the resolution of nonimpact page printers. Dots per inch is the equivalent of *spots to inch* (spi). See also PIXEL.

DOWNLOADING
Copying or transferring a program/file from another system via direct connection or to a transferable medium such as diskette, tape, etc.

DOWNSIZING
Reducing the size of an organization by laying-off or retiring workers to decrease staff costs.

DOWNTIME
The length of time a system is inoperative or otherwise not available due to a malfunction or other reason.

DRAFT
A rough or preliminary form of a document.

DUPLICATION
The process of copying original documents prepared simultaneously or separately.

DURABILITY
The degree to which a storage medium retains its original strength or properties especially under conditions of heavy, sustained use. See also ARCHIVAL QUALITY.

- *E* -

ELECTRONIC DATA INTERCHANGE (EDI)
The computer-to-computer transmission of records in a standardized, computer-readable format.

ELECTRONIC DOCUMENT MANAGEMENT (EDM)

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A computer system that allows one to create, access, store, locate, retrieve, and otherwise manage electronic documents. See also DOCUMENT MANAGEMENT.

ELECTRONIC FILING
Capturing and storing document images on an electronic system. Through the indexing of key words or identifying elements, the documents can be retrieved electronically.

ELECTRONIC MAIL (E-MAIL)
A system that enables users to compose, transmit, receive, and manage electronic messages and images across networks and through gateways connecting to other local area networks.

ELECTRONIC RECORD/DOCUMENT
A record stored on electronic storage media that can be readily accessed or changed. See also MACHINE-READABLE RECORD.

ELECTRONIC RECORDS MANAGEMENT
Applying records management principles to electronic records that are located on disks, tapes, or any form of magnetic or optical media.

ELECTRONIC SIGNATURE
The acceptance of, or method of authenticating, a document through use of a password or other electronic method.

ELIMINATE LEGAL-SIZE FILES (ELF)
An initiative started by ARMA to reduce administrative operating costs by eliminating legal-size records and correspondence.

ENCRYPTION
Any procedure used in cryptography to prevent unauthorized use.

ENCYCLOPEDIC ARRANGEMENT
An arrangement of filing in which records are filed under broad, major headings and then under the specific subheading to which they relate. Headings and subheadings are arranged alphabetically.

ENTRY
An access point to a record under which a record may be searched or identified. It may give a description of the term and the location.

ENVIRONMENTAL CONTROL
The maintenance of a storage environment for long-term storage of records that includes monitoring the temperature, humidity, light, and impurities in the air. Also known as *climate control*.

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ERASE

The process of permanently removing, overwriting, or obliterating information from an erasable storage medium. See also DELETE.

ERGONOMICS

The science of designing the working environment—adapting machines and general conditions to fit the individual—specifically to make workers more comfortable, increase productivity, and reduce work-related injuries.

ESSENTIAL RECORD

See VITAL RECORD and IMPORTANT RECORDS.

EVIDENTIAL VALUE

The value of those records of an organization that are necessary to provide legal, authentic, and adequate documentation of its structure and functioning.

EXCEPTION REPORTING

Reporting items when conditions are other than normal.

EXPERT SYSTEM

A computer program that contains the collected knowledge of specialists in a given field. When provided with a specific set of circumstances, the expert system can draw on the data to make a determination.

- F -

FACSIMILE (FAX)

An electronic means for transferring an exact reproduction of an image using telephone lines. The image is scanned by the transmitter and reconstructed at the receiving station. See also MODEM.

FIELD

1. A set of one or more characters treated as a unit of information.
2. A field is a space in which these characters may fit.

FILE

1. A collection of related records filed together usually in reverse chronologic order.
2. The action of arranging documents into a predetermined sequence.
3. A cabinet housing file folders containing documents.
4. A named set of records stored or processed as a unit electronically.

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FILE CLASSIFICATION SYSTEM
A logical and systematic arrangement for classifying records into subject groups or categories based on some definite scheme of natural relationships representing numbers, letters, or key words for identification.

FILE CONVERSION
The process of changing records from one filing system to another or from one medium to another. See also BACKFILE CONVERSION and MIGRATION.

FILE FOLDER
The heavy paper or cardboard used to hold and protect the contents of a file together and separate from other files. Folders can have either top or side tabs in varying sizes.

FILE FOLDER LABEL
Contains the name of the subject or number given to the file folder contents; may have other pertinent information, be color-coded to denote its place in an overall filing system, or have a bar code.

FILE GUIDE
A separation device that denotes a section of a file and directs the user to that section quickly. See also GUIDE.

FILE INTEGRITY
The ability to retrieve and use a document without the chance of it being lost or misfiled. Also refers to the thoroughness of a file.

FILE MAINTENANCE
The activity of keeping a file up-to-date by adding, changing, or deleting information.

FILE MANAGEMENT
The creating, retrieving, and updating of records within a file, including housekeeping activities on the contents. Also could include reviewing the classification system and analyzing the filing equipment to determine the most efficient and economical equipment.

FILE NAME
The name given to a group or series of related documents contained in a file folder. Also used to denote the name of an electronic file. See also FILE FOLDER LABEL.

FILE RECOVERY
The restoration of computer files using backup copies.

FILE SAVE
The process of saving a computer record so that it is not lost and can be retrieved.

FILE SERVER
See SERVER.

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FILE TRANSFER PROTOCOL (FTP)

1. A client-server protocol that allows a user on one computer to transfer files to and from another computer over a TCP/IP network.
2. The client program the user executes to transfer files. See also TRANSMISSION CONTROL PROTOCOL.

FILING EQUIPMENT (CABINET)

The furniture or hardware with drawers, shelves, or sections that house file folders, usually referred to as *vertical* or *lateral*. See also LATERAL FILE CABINET and VERTICAL FILE CABINET.

FILING INCH

The linear capacity of filing expressed in inches. Generally, 25 filing inches are in a standard letter-size vertical file drawer.

FILING SYSTEM

The systematic indexing and arrangement of records based on procedures, supplies (guides and folders), and housing.

FILING UNIT

1. A body of related records within a records series.
2. A word or number in a filing segment considered when alphabetizing and arranging files.

FINDING AID

A tool to help retrieve records such as catalogs, indexes, or guides.

FINE SORT

The sorting of documents into the exact order of the filing system in which they will be placed. See also ROUGH SORT and SORTING.

FIREWALL

A security mechanism that prevents unauthorized users from accessing and/or using an organization's internal computer network.

FIRST-IN-FIRST-OUT (FIFO)

A method for queuing; the next retrieved item is the one that has been waiting the longest. See also LAST-IN- LAST-OUT.

FISCAL VALUE

1. Pertains to financial matters in general.
2. Value attributed to a records series that documents financial transactions. Such records are usually required for audit purposes.

FISCAL YEAR

Any 12-month period established for accounting purposes.

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FLOOR LOAD
The capacity of a floor area to support a given weight expressed in terms of weight per unit of area.

FLOOR SPACE RATIO
The filing capacity expressed in cubic volume of records per square unit of floor space.

FLOPPY DISK
A flat disk (housed in a paper or plastic enclosure) with magnetic coating that magnetically stores data.

FLOWCHART
A graphical representation using symbols to document the flow of information and/or the sequence of operations that are to be included in a program or system.

FOLDER
See FILE FOLDER.

FOLLOW-UP
A system for assuring the timely and proper return of materials charged-out from a file.

FONT
A set of characters of one specific character set, typeface, size, and style, e.g., Arial, Gothic, Courier, Times Roman, etc.

FONT SIZE
The height of a font, usually stated in points, i.e., 12- point Helvetica or 24-point Roman. See also TYPE SIZE.

FOOTPRINT
The space that any device/equipment/cabinet occupies on a floor, desk space, or other surface.

FORECASTING
Predicting events or conditions in the environment in which the organization operates.

FORM
A fixed arrangement of predetermined spaces designed for entering and extracting prescribed information on a paper or electronic document.

FORMS ANALYSIS
The study of forms in relation to operating procedures to determine the most effective and efficient collection and processing of data. See also FORMS DESIGN.

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FORMS DESIGN
Laying out the physical sections of a form in blocks or fields, type sizes and styles, color, and other components according to the analysis of its use in a system. See also FORMS ANALYSIS.

FORMS MANAGEMENT/CONTROL
The function that establishes standards for the creation, design, analysis, revision, procurement, and warehousing of all forms within an organization.

FREEDOM OF INFORMATION ACT (FOIA)
A U.S. federal law that requires public disclosure of the records, opinions, findings, policies, and procedures of federal agencies, with the exception of information that is privileged, confidential, or classified. Canada has two similar acts: Access to Information Act and Protection of Privacy Act.

FREEZE DRYING
A process that stabilizes water-soaked documents by freezing to prevent further damage from water in its liquid state, and subsequent drying under high vacuum with the controlled application of heat, usually from heating coils installed in special shelving. The water, in the form of ice, sublimates directly from a solid to a gaseous state. See also VACUUM DRYING.

FREQUENCY COUNT
The total of the number of occurrences of individual words (or other elements) in a body of data.

FROZEN RECORDS
A suspension of the records destruction process because of special circumstances such as an audit, court order, or investigation. See also DESTRUCTION SUSPENSION.

FULL-TEXT SEARCH
The ability of a system to search text files for specific words, digits, sentences, or set patterns (strings) of characters.

FUMIGATION
The process of exposing records to a poisonous vapor to destroy insects or mildew.

FUNCTIONAL CLASSIFICATION SYSTEM
A filing system in which records are categorized under primary headings according to the basic activities or *functions* of the organization.

- G -

GATEWAY
A protocol converter that restructures packets of information so that they can pass between networks using different standards.

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GENERATION

1. The degree of remoteness of a copy, usually photographic, from the original.
2. Successive stages of reproduction of media (paper, magnetic, microform, optical).

GEOGRAPHIC FILING SYSTEM

The classification of records by geographic location usually arranged by numeric code or in alphabetic order.

GIGABYTE (GB)

1,073,741,824 bytes or 1,000 megabytes. See also BIT, BYTE, KILOBYTE, MEGABYTE, and TERABYTE.

GO-TO LIST

A list of terms that are part of an automated indexing system that will be generated whenever these terms appear.

GUIDE

A divider or finding aid with a projecting tab used in files to identify a section and to facilitate reference. See also FILE GUIDE.

GUSSET

An expansive spine on file folders used to increase capacity.

- H -

HALON

A gas used to extinguish fires — effective only in closed areas. It is no longer available for future installations because of environmental reasons.

HARD COPY

Printed copy of a record that can be read without use of mechanical assistance.

HARDWARE

Equipment or physical devices used to store or process data.

HEADING

Keyword or phrase set apart from the text as a title or a summary of the text that follows.

HIERARCHICAL INDEX

1. An index based on an orderly relationship of items where the most important items or topics are identified and then subdivided into more specific categories creating a *pyramid* effect.
2. A tree of segments beginning with the root segment and proceeding downward to dependent segment types.

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HISTORICAL VALUE
Records that are retained permanently for purposes of enduring value and not necessarily for business purposes.

HIT
A term used to indicate an answer located by an electronic system that seems to meet or match the search parameters.

HOLDING AREA
An area used for the temporary storage of records awaiting accession, disposition, or move to a more permanent location. See also STAGING AREA.

HOLDINGS
The overall volume and type of records stored in a records center or other repository.

HOLOGRAPH
A document entirely in the handwriting of the person who authored it. See also CORRESPONDENCE.

HOMEPAGE
The introductory page for a World Wide Web site. See also WORLD WIDE WEB.

HORIZONTAL PAGE
See LANDSCAPE PAGE. See also PORTRAIT PAGE.

HOT SITE
An alternate facility that has the equipment and resources to recover the business functions affected by the occurrence of a disaster. See also COLD SITE.

HYBRID SYSTEM
A system that contains mixed components of other systems.

- I -

ICON
A symbol representing an object or idea.

IMAGE
A digital/photographic representation of a record, on any medium such as on microfilm or optical disk.

IMAGE PROCESSING
See IMAGING.

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IMAGE ROTATION
The ability of a device to turn the displayed screen image either horizontally or vertically, usually expressed in degrees such as in 90 degree increments.

IMAGING
The process of capturing information electronically (by scanning) from paper or microform, then storing and retrieving it, usually, but not necessarily, in raster or bitmap format. See also RASTER and VECTOR.

IMPORTANT RECORDS
Records that contain information pertinent to an organization that would need to be re-created or replaced if lost or destroyed.

IMPROVISED DISPERSAL
The method of protecting vital records through a system of dispersal; that is, a conscious effort to forward a duplicate copy to another location or site.

INACTIVE RECORD
A record that does not have to be readily available, but which must be kept for legal, fiscal, or historical purposes. See also ACTIVE RECORD.

INDEX
A systematic guide that allows access to specific items contained within a larger body of information.

INDEXING
The placing or listing of items in an order that follows a particular system.

INDIRECT ACCESS
A method of access to records requiring prior use of an external index. See also DIRECT ACCESS.

INDIRECT ENTRY
A principle of indexing wherein headings are incorporated under a hierarchical structure leading from broad to specific concepts. See also DIRECT ENTRY and INVERTED ENTRY.

INFORMATION
Data that has been given value through analysis, interpretation, or compilation in a meaningful form.

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INFORMATION MANAGEMENT (IM)

1. The administration of information, its use and transmission, and the application of theories and techniques of information science to create, modify, or improve information handling systems.
2. Name of the computer services department in certain organizations.

INFORMATION RESOURCES MANAGEMENT (IRM)

A managerial discipline that views information as a resource analogous to financial, human, etc., resources, and stresses the efficient and effective handling of information. IRM is also used to denote the term *information and records management*.

INFORMATION SYSTEMS (IS) (or SERVICES)

1. The structures, processes, and technologies used to generate, process, and transmit information to support an organization.
2. Name of the computer information department in certain organizations.

INFORMATION TECHNOLOGY (IT)

1. Any tool, device, or process based on technology applied to an information handling function or to any part of the information life cycle.
2. Name of the computer information department in certain organizations.

INFORMATIONAL VALUE

The value of a record derived from the information it contains on persons, places, etc., and not on the originating agency itself.

INFRASTRUCTURE

The basic facilities, equipment, and services needed for the functioning of a system or organization.

IN-HOUSE

A function that is performed and managed within the organization as opposed to being performed by a third party contractor (outsourced).

INPUT

1. To enter data into a computer system.
2. The data being entered.

INSERT

The act of placing additional text into a document.

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INSTITUTE OF CERTIFIED RECORDS MANAGERS (ICRM)
An international certifying organization of and for professional records and information managers. It is administered by a Board of Regents. It certifies people involved in records and information management whereby they can be measured, accredited, and recognized according to criteria of experience and capability established by their peers.

INTELLECTUAL PROPERTY
An idea, secret, mark, or expression that is protected by patent, trade secret, trademark, or copyright; the product of someone's intellect. Also an organization's work product that is owned by the organization.

INTERFACE
A device or program that permits one part of a computer system to work with another.

INTERFILE
The process of putting records into their proper sequence within an existing scheme.

INTERNATIONAL COUNCIL ON ARCHIVES (ICA)
A nongovernmental organization, acting internationally, that is concerned with archives and their role in the conduct of public and private activities, the protection of individual rights, and the advancement of human knowledge and culture. ICA's fundamental aim is to promote the preservation, development, and use of the world's archival heritage.

INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO)
An international organization based in Geneva, Switzerland, aimed at worldwide agreement on standards for the purpose of expansion of trade, improvement of quality, increase of productivity, lowering of costs, and the transfer of technology worldwide.

INTERNATIONAL RECORDS MANAGEMENT COUNCIL (IRMC)
A professional organization that specializes in the sharing of knowledge about records management at an international level.

INTERNET
A worldwide network of computers that allows public access to send, store, and receive electronic information over public networks. It is a network of networks.

INTRANET
A private Internet network set up within an organization behind a firewall for use, depending on security clearance, by employees, business partners, customers, or general Internet users.

INTRINSIC VALUE
The inherent value of a record dependent upon unique factors such as age, circumstances of creation, a signature, or an attached seal.

INVENTORY
See RECORDS INVENTORY

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INVERTED ENTRY
An entry in which the normal order of words is transposed to bring a particular word into prominence as the filing element, e.g., Billing Report — Daily. See also DIRECT ENTRY and INDIRECT ENTRY.

INVERTED FILE
A method of organizing a cross-index file in which a keyword identifies a record; the items, numbers, or documents pertinent to that key word are also indicated.

- J -

JUKEBOX
A storage device that holds optical disks or tapes and has one or more drives that provide automatic online access to the information contained therein.

- K -

KEYBOARD
A device used for entering information into a computer system consisting of numeric, alphabetic, symbol, or function keys laid out in a specific manner.

KEYWORD
A word or phrase taken from the title or text of a document characterizing its content and facilitating its retrieval.

KEYWORD INDEXING
Compiling an index exclusively using keywords.

KEYWORD SEARCHING
Locating records using keywords.

KILOBYTE (KB)
1,024 bytes. See also BIT, BYTE, GIGABYTE, MEGABYTE, and TERABYTE.

KNOWLEDGE-BASED SYSTEM
See EXPERT SYSTEM.

- L -

LABEL
See FILE FOLDER LABEL.

LANDSCAPE PAGE
Printing a page so that when positioned for reading, the page width exceeds the page length. See also PORTRAIT PAGE.

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LAST-IN-FIRST-OUT (LIFO)
A procedure in which the newest entry in a queue or file is the first to be removed for processing. See also FIRST-IN-FIRST-OUT.

LAST-IN-LAST-OUT (LILO)
A procedure in which the newest entry in a queue or file is the last to be removed for processing.

LATERAL FILE CABINET
Storage equipment that is wider than it is deep— records are accessed from the side (horizontally). Files can be arranged front to back or side by side. See also VERTICAL FILE CABINET.

LATERAL FILING
File system where file access is horizontal (side to side rather than front to back).

LEGAL SIZE
Paper that measures 8½ inches by 14 inches.

LEGAL VALUE
1. Value inherent in records that provide legal proof of business transactions.
2. The value of records in demonstrating compliance with legal, statutory, and regulatory requirements.

LETTER SIZE
Paper that measures 8½ inches by 11 inches.

LETTER-BY-LETTER ARRANGEMENT
A method of filing in which words, names, or phrases are arranged in alphabetic order irrespective of word breaks or punctuation. See also WORD-BY-WORD ARRANGEMENT.

LICENSE
A document evidencing a right or permission, granted to an individual/organization by a competent authority to engage in some transaction or to do some act.

LIFE CYCLE (of a record)
The span of time of a record from its creation or receipt, through its useful life to its final disposition or retention as a historical record.

LINEAR FOOT
Measurement of files within a drawer across the top of the files perpendicular to the file folders (twelve inches). Usually does not equal a cubic foot; with letter size files, a linear foot equals approximately ¾ cubic foot. See also CUBIC FOOT.

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LINEAR MEASUREMENT
A measurement of records on a shelf or in a drawer typically expressed in filing inches or linear feet.

LOCAL AREA NETWORK (LAN)
A data communication network intended to allow several computers, connected through one computer within a limited geographic area, to share data and software. See also WIDE AREA NETWORK.

LOCATOR
The part of an index entry that enables the user to find the material referred to by the entry.

LOG
A list, either in electronic or hard-copy format, that is used in posting the sequence of transactions or events.

LONG-TERM RECORD
Records that have historical significance; records having enduring value to the organization.

LOOK-UP TABLE
A collection of data used as ready reference stored in a row and column format. In computers, this term can refer to almost any table used to associate a name and a value.

- M -

MACHINE-READABLE RECORD
Digitized and coded information that, in order to be understood, must be translated by a computer or other type of equipment. See also ELECTRONIC RECORD/DOCUMENT.

MAGNETIC MEDIA
A variety of magnetically coated materials used by computers for data storage, e.g., card, cartridge, cassette, floppy disk, hard disk, magnetic tape, etc.

MAIL MANAGEMENT
The application of records management principles and techniques to the flow of mail within an organization.

MAIN FILE
The official file created for a specific subject. See also RECORD COPY, OFFICIAL RECORD, and OFFICE OF RECORD.

MAIN HEADING
In indexing, the heading under which a related group of subheadings or other subdivisions is found.

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MAINFRAME
A class of general purpose large computers that can manage large amounts of data at high speed.

MASTER FILE
See MAIN FILE or OFFICIAL RECORD.

MEDIA (STORAGE)
The various types of storage materials on which information is recorded such as paper, magnetic, microform, and optical. Singular of *media* is *medium*.

MEDIUM (STORAGE)
A physical substance on which information is recorded such as magnetic disks/tapes, paper, or microforms. Plural of *medium* is *media*.

MEGABYTE (MB)
One million bytes; 1,048,576 bytes or 1,000 kilobytes. See also BIT, BYTE, GIGABYTE, KILOBYTE, and TERABYTE.

MEMORY
The internal storage in a computer.

MENU
A list (displayed on a computer screen) of available alternatives for selection by the operator.

METRIC PAPER SIZE
An international measure for paper based on the subdivisions of a square meter.

MICROFICHE
Microform in the shape of a rectangular sheet having one or more microimages arranged in a grid pattern with a heading area across the top requiring a reader for viewing.

MICROFILM
1. A photographic reproduction of a document greatly reduced in size from the original on fine grain, high-resolution film and requiring a reader for viewing.
2. Microform in the shape of a roll or strip.
3. To record microphotographs on film.

MICROFILM JACKET
A flat, transparent, plastic carrier with single or multiple film channels made to hold single or multiple film strips.

MICROFILM READER
A device that enlarges microimages for viewing, usually consisting of a light source, illuminating optics, microfilm holder, lens, and a screen.

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MICROFILM READER/PRINTER
A microfilm reader that has the capability of producing a hard copy of the enlarged image.

MICROFORMS
The collective term for all microimages such as, film, fiche, aperture card, jacket, roll, or strip.

MICROGRAPHICS
The technology by which information can be quickly reduced to a *microform*, stored conveniently and then easily retrieved for reference and use.

MIDDLE-DIGIT FILING
A numeric filing system in which the middle digits are used as the finding aid to organize the filing system.

MIGRATION
Moving from one electronic system to another, usually in upgrading hardware or software without having to undergo a major conversion or re-inputting of data. See also FILE CONVERSION.

MISFILE
A file that was inadvertently placed in an incorrect location within the filing system.

MNEMONIC FILING
Filing by using a simple code or symbol that has an easily remembered relationship to the actual meaning or function, e.g., LA for Los Angeles or FIN for Finance.

MOBILE-AISLE SYSTEM
Rows of shelving, used for compact storage, situated on wheel-fitted carriages that travel on track and allow one or more aisles to be opened to access the system.

MODEM
MOdulator/DEModulator. A device that converts digital data from a computer to an analog signal that can be transmitted over an ordinary telephone line. The process is then reversed at the receiving end. A device that allows computers to communicate with each other over ordinary telephone lines. See also FACSIMILE.

MODULE
1. The narrowest element — bar or space — in a bar code.
2. One logical part of a computer program or system.

MONITOR
See VIDEO DISPLAY TERMINAL (VDT).

MOUSE
A hand-driven input device used to select and point on a computer screen by moving the device on a flat surface.

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MOVABLE SHELVING
See MOBILE-AISLE SYSTEM.

MULTIMEDIA
The combination of more than one medium type for the dissemination of information.

MULTIPLE DOCUMENT
An electronically produced document containing text and graphics that has been prepared using more than one software application. See also COMPOUND DOCUMENT.

MULTITASKING
A mode of operations that provides for concurrent performance or interleaved execution of two or more tasks.

- *N* -

NATIONAL ASSOCIATION OF GOVERNMENT ARCHIVES AND RECORDS ADMINISTRATORS (NAGARA)
A U.S. government nationwide association of local, state, and federal records agencies interested in improving administration of government records and providing records centers for the storage of inactive government records.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) [formerly known as National Archives and Records Service (NARS)]
A U.S. government archival agency responsible for appraising, accessioning, preserving, and making available permanent records having sufficient historical or other value to warrant their continued preservation by the federal government. See also NATIONAL ARCHIVES OF CANADA.

NATIONAL ARCHIVES OF CANADA
An organization whose mission is to preserve the collective memory of the nation and the government of Canada and to contribute to the protection of rights and the enhancement of a sense of national identity by acquiring, conserving, and facilitating access to private and public records of national significance, and serving as the permanent repository of records of federal government institutions and ministerial records. See also NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA).

NETWORK
A group of computers connected to each other by communications lines to share information and resources.

NETWORK ARCHITECTURE
The basic layout of a computer and its attached systems such as terminals and the paths between them.

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NETWORKING

1. The utilization of personal contacts to gain specific information or to further one's professional career.
2. The process of establishing or using a computer network.

NODE

The name used to designate a part of a network — one of the links — or a type of link in the network.

NOMENCLATURE

A set of terms or symbols and their definitions.

NONESSENTIAL RECORD

A record that has no predictable value to the organization after its initial use.

NONRECORD

1. Items that are not usually included within the scope of official records, e.g., convenience file, day file, reference materials, drafts, etc.
2. Documents not required to be retained and therefore not appearing on a records retention schedule.

NUMERIC ALPHABETIC INDEXING

The combined usage of numbers and letters in a filing system. See also ALPHANUMERIC.

NUMERIC CHARACTER

A character between the digits 0 and 9, inclusive.

NUMERIC FILING SYSTEM

Any classification system for arranging records that is based on numbers.

- O -

OFFICE OF RECORD

An office designated to maintain the *record* or *official* copy of a particular record in an organization. See also RECORD COPY, OFFICIAL RECORD, and MAIN FILE.

OFFICE OF PRIMARY RESPONSIBILITY

See OFFICE OF RECORD or OFFICIAL RECORD.

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OFFICIAL RECORD

1. Significant, vital, or important records of continuing value to be protected, managed, and retained according to established retention schedules. Often, but not necessarily an original.
2. In law, an official record has the legally recognized and judicially enforceable quality of establishing some fact. See also RECORD COPY, OFFICE OF RECORD, and MAIN FILE.

OFF-LINE

Data processing performed independently of a central processing unit.

OFF-SITE STORAGE

A potentially secure location, remote from the primary location, at which inactive or vital records are stored. See also ON-SITE STORAGE and REMOTE STORAGE.

ON-LINE

1. Connected to a computer so that data can pass to or from the computer without human intervention.
2. Directly accessible for immediate processing by a computer.

ON-SITE STORAGE

Storage of inactive (usually) records on the premises of the organization. See also OFF-SITE STORAGE and REMOTE STORAGE.

OPEN ACCESS

1. The concept of allowing users to retrieve documents themselves.
2. Nonrestricted, nonconfidential records.

OPEN-SHELF FILING

Files placed on shelves without any doors or drawers; usually side- (or end-) tab file folder labels and guides are used to locate the file titles.

OPERATING SYSTEM

An organized collection of software that controls the overall operations of a computer.

OPERATIONAL RECORD

1. A record documenting those activities of an organization that are directed towards the substantive purpose for which the organization was created.
2. A record that assists an organization in performing its primary function. See also ADMINISTRATIVE RECORD.

OPTICAL CHARACTER RECOGNITION (OCR)

Machine-reading of printed or written characters through the use of light sensitive materials or devices.

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OPTICAL DISK (OD)

1. A platter-shaped disk coated with optical recording material.
2. A high-density information storage medium where digitally encoded information is both written and read by means of a laser.

OPTICAL SCANNER

A device that automatically reads printed/written characters or graphics and converts them to a digital form.

ORAL HISTORY

The products of planned oral interviews with individuals, usually in the form of sound recordings or transcripts, intended to preserve history and for research use.

ORIGINAL RECORD

A primary or first generation record from which copies can be made.

ORIGINATING DEPARTMENT

The department or other organizational unit that originates a record.

OUTCARD/GUIDE

A device used to physically replace material that is removed from a file that indicates what was taken, by whom, and the date removed. See also CHARGE-OUT.

OUTSOURCING

The process of subcontracting out those activities not related to an organization's core business or primary mission.

OUTPUT

The machine-readable or human-readable data produced by a computer.

- P -

PASSWORD

A string of characters known to the computer system and a user, who must specify it to gain access to a system. This procedure is to protect the security of the system.

PATENT

A document securing to an inventor, for a term of years, exclusive rights to the invention.

PAYBACK PERIOD

The time period over which a capital expenditure will generate cash equal to the cost.

PENDING FILE

Materials held for further settlement or action.

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PERIODIC TRANSFER
The removal of records from current files to semiactive and inactive storage sites on a scheduled basis.

PERIPHERAL
Any device connected to a computer or that may be placed under the control of a computer, e.g., magnetic tape reader, printer, etc.

PERMANENT RECORD
Information that has been designated for continuous preservation because of reference, historical, or administrative significance to the organization.

PERSONAL COMPUTER (PC)
A desktop or portable microcomputer designed primarily to give independent computing power to a single user. Can be part of a shared network.

PERSONAL FILE
Materials belonging to an individual that were not created or received in the conduct of business while in the employ of an organization.

PHOTOCOPYING
An imaging process in which electrostatically charged powder (toner) is bonded to paper using heat. (The word *xerography* is derived from Greek words meaning 'dry printing.')

PHYSICAL INVENTORY
The act of taking a records survey to record particulars about the records. See also RECORDS INVENTORY.

PICK LIST
A list containing specific records that are needed for a given program or project.

PIXEL
The smallest unit of a digitized picture, either on the screen or printed. See also DOTS PER INCH.

POINT SIZE
The size of a font measured from the bottom of the descenders to the top of the ascenders. Points are used to express type size.

POLICY
See RECORDS MANAGEMENT POLICY.

PORT
An entry/exit mechanism that synchronizes the flow of data into and out of the central processing unit (CPU) from/to external devices such as printers and modems.

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PORTRAIT PAGE
Formatting a document's orientation so that the page height exceeds the page width. See also LANDSCAPE PAGE.

POST
The act of entering a unit of information on a record.

PRECLASSIFICATION
The assignment of a file classification to a letter or document by the author or other authorized person before it is routed or distributed.

PRESERVATION
See RECORDS PRESERVATION.

PRIMARY-DIGIT ORDER
Using the first digits in a numeric filing system as the finding tool.

PRIMARY SUBJECT
The main topical heading in a hierarchical file classification system.

PRINTOUT
The paper output from a computer.

PRIVATE RECORD
Term usually applying to records in the private sector (business) as opposed to records in the public sector (government).

PRIVACY ACT (1974)
Act passed by the U.S. Congress in recognition that the privacy of an individual must be protected through control of the collection, maintenance, use, and dissemination of information by federal agencies. See also FREEDOM OF INFORMATION ACT.

PRIVILEGED RECORD
A document with restricted access. See also CONFIDENTIAL RECORD and RESTRICTED ACCESS.

PROCEDURE
A set of instructions to follow in performing a records management task; may include exhibits.

PROCESSING
See RECORDS PROCESSING.

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PROFESSIONAL RECORDS AND INFORMATION SERVICES MANAGEMENT INTERNATIONAL (PRISM) (formerly ACRC)

A not-for-profit trade association that provides educational and advocacy resources to promote sound information management solutions for its members and the business public.

PROGRAM

1. A series of instructions that cause a computer to take a sequence of steps and perform particular tasks.
2. An organized approach with specific procedures to accomplish a given goal such as a records management program.

PROJECT FILE

Various records that pertain to a set of activities or pursuits designated as a project by the organization and therefore filed as a records series instead of individually. See also CASE FILE.

PROMPT

A visual or audible message sent by a computer program to request a user's response.

PROPRIETARY RECORD

A record owned exclusively by an organization.

PROTOCOL

Protocols are standard rules that govern how computers talk to each other. In networking, these protocols govern the interaction among computers.

PUBLIC RECORD

Any paper, written or printed book, document or drawing, map or plan, photograph or microfilm, sound-recording or similar device, that has been made or received by any official, officer, board, commission, agency, authority, district, institution or other instrumentality of government, in connection with the transaction of public business and has been retained by an agency as evidence of its activities or because of the information contained therein.

PULVERIZATION

A method of destroying records using a device that grinds them to a powder or dust. See also SHREDDER.

PURGE

To remove information from a file that has no further value, usually according to a records retention schedule. This process can be done to both active and inactive records. See also WEEDING (FILES).

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- *R* -

RANDOM ACCESS
The retrieval of stored data whereby the computer goes directly to the stored data rather than search through all the data sequentially.

RANDOM-ACCESS MEMORY (RAM)
Memory whose contents can be altered and that vanish when power is removed.

RANDOM FILING
The filing of documents without regard to a strict sequence; usually used in conjunction with computer access programs.

RASTER
Description of a rectangular or square array formed by a number of horizontal scan lines comprising a number of picture elements. The number of scan lines establishes the vertical dimension of the array, and the number of picture elements forms vertical rows that establish the horizontal dimension of the array. See IMAGING and see also VECTOR.

READING FILE
See also CHRONOLOGIC FILE.

READ-ONLY MEMORY (ROM)
Nonvolatile memory that can be read but not changed.

RECORD
Recorded information, regardless of medium or characteristics, made or received by an organization that is evidence of its operations, and has value requiring its retention for a specific period of time.

RECORD COPY
The official copy of a record that is retained for legal, operational, or historical purposes, sometimes the original. See also OFFICE OF RECORD, OFFICIAL RECORD, and MAIN FILE.

RECORD SERIES
See RECORDS SERIES.

RECORDS ANALYST
A specialist in the examination and evaluation of systems and procedures involved in creating, processing, storing, and disposing of records.

RECORDS AND INFORMATION MANAGEMENT (RIM)
A term that places emphasis on the role of information in the records management field.

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RECORDS APPRAISAL

The process of evaluating records based on their current operational, regulatory, legal, fiscal, and historical significance, their informational value, arrangement, and their relationship to other records. See also VALUATION.

RECORDS AUDIT

Conducting a periodic inspection to verify that an operation is in compliance with the records management program.

RECORDS CENTER

A low-cost centralized area for housing and servicing inactive or semiactive records whose reference rate does not warrant their retention in a prime office space.

RECORDS CENTER BOX/CARTON/CONTAINER

A box, usually made of corrugated cardboard, that is designed to hold approximately one cubic foot of records, either legal or letter size. See also CUBIC FOOT.

RECORDS CONTROL

The management of documents generated or received by an organization. See also RECORDS MANAGEMENT and DOCUMENT MANAGEMENT.

RECORDS COORDINATOR

Individual responsible for coordinating records management activities within a department and acting as liaison between the department and the records manager/administrator.

RECORDS DESTRUCTION

1. The disposal of records of no further value by incineration, maceration, pulping, or shredding.
2. The definitive obliteration of a record beyond any possible reconstitution.

RECORDS DISPOSITION

After records have reached the end of their retention period in active and/or inactive storage, they may be transferred to an archives for retention or be destroyed. See also RECORDS DESTRUCTION and ARCHIVES.

RECORDS INVENTORY

1. A detailed listing that could include the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization's records.
2. The dissecting of each record to capture all pertinent information about the record to be used in its appraisal.

RECORDS MANAGEMENT (RM)

The systematic control of all records from their creation, or receipt, through their processing, distribution, organization, storage, and retrieval to their ultimate disposition.

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RECORDS MANAGEMENT MANUAL

A manual containing all information necessary to manage the records management program in an organization, e.g., policy statement, retention schedules, procedures, vital records, records inventories, etc.

RECORDS MANAGEMENT POLICY

Policy indicating that an organization has in fact such a records management program in place; may include some facets of records management to which the organization subscribes, and who has various responsibilities for the policy.

RECORDS MANAGER (RM)

The individual within an organization who is responsible for systematically managing the recorded information generated and received by the organization.

RECORDS PRESERVATION

The maintenance of documents in physical and environmental conditions to ensure their scheduled life span. See also CONSERVATION and RESTORATION.

RECORDS PROCESSING

The activities needed to prepare documents for use and/or storage. Generally includes documentation, physical preparation, coding, and filing.

RECORDS PROTECTION

Safeguarding records against intentional or unintentional destruction or damage.

RECORDS RETENTION PROGRAM

A program established and maintained to provide retention periods for records in an organization. See also RECORDS RETENTION SCHEDULE (RRS).

RECORDS RETENTION SCHEDULE (RRS)

A comprehensive list of records series titles, indicating for each series the length of time it is to be maintained. May include retention in active office areas, inactive storage areas, and when and if such series may be destroyed or formally transferred to another entity such as an archives for historical preservation.

RECORDS SERIES

A group of related records filed/used together as a unit and evaluated as a unit for retention purposes, e.g., a personnel file consisting of an application, reference letters, benefit forms, etc.

RECORDS SURVEY

A detailed review that gathers basic information about the quantity, type, function, location, and organization of records. Used to plan records management activities. See also RECORDS INVENTORY.

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RECORDS VALUE
The usefulness of records for operational, legal, regulatory, fiscal, and historical purposes.

REDUCTION RATIO
The relationship between the dimensions of the original or master and the corresponding dimensions of the photographed image, e.g., reduction ratio is expressed as 1:24, which indicates that the image is 1/24th the size of the original.

REENGINEERING
The fundamental rethinking and radical redesign of business processes to achieve dramatic improvements in critical, contemporary measures of performance such as cost, quality, service, and speed.

REFERENCE ANALYSIS
A statistical breakdown of requests for records during a specific period to determine usage of individual types of records.

REFERENCE FILE/COPY
A copy of a record used primarily for consultative purposes. See also CONVENIENCE FILE.

REFERENCE MATERIALS
Items usually considered as nonrecords and not included in a records inventory or on a records retention schedule.

REFILE
The process of returning a record to its proper place.

RELATIVE INDEX
A dictionary-type listing of all possible words and combinations by which materials may be requested and cross-referenced to a file location.

RELOCATION SITE
The emergency operating location to which vital records are brought during an emergency. See also COLD SITE and HOT SITE.

REMOTE STORAGE
Off-site storage (not in the same geographic area) of records in a company-owned, commercial, or cooperative records center. See also OFF-SITE STORAGE.

REPLEVIN
1. The recovery of records by an institution or organization claiming ownership.
2. The writ and legal act by which an organization or person recovers such records.

REPORT
A document containing a presentation of facts or the record of some proceeding, investigation, or event.

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REPORTS MANAGEMENT

The management of all reports processed by an organization and the establishment of a system for their creation, use, maintenance, accessibility, and retention.

REQUEST FOR PROPOSAL (RFP)

1. The soliciting document used in negotiated procurement to communicate requirements and to solicit proposals.
2. A formal request to vendors for a formal response describing the proposed makeup and possible costs for a specific set of goods or services.

RESEARCHER

An individual who consults documents, either by visiting a research room, or through communications, for information about holdings in an archives, records center, or repository.

RESOLUTION

A measure of the sharpness or fine detail of an image. See also DOTS PER INCH and PIXEL.

RESPONSE TIME

The time a system requires to answer a command or to complete a processing task.

RESTORATION

The return of a document to a former, original, normal, or unimpaired condition. See also CONSERVATION and RECORDS PRESERVATION.

RESTRICTED ACCESS

A limitation on the use of records. Restrictions may be imposed by law, the organization, or donors of the records to a collection. See also CONFIDENTIAL RECORD and PRIVILEGED RECORD.

RETENTION PERIOD

The time period records must be kept according to operational, legal, regulatory, and fiscal requirements.

RETENTION SCHEDULE

See RECORDS RETENTION SCHEDULE.

RETRIEVAL

1. The process of locating and withdrawing a record from a filing system or records center.
2. The action of accessing information from stored data on a computer system.

RETRIEVAL (EFFICIENCY) RATIO

A measure used to evaluate a records system in which the time to locate a record is compared with the number of records requested.

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RETURN ON INVESTMENT (ROI)
A profit or yield that results from an investment usually required to justify the investment.

RISK ASSESSMENT
An evaluation of the probabilities of an adverse event occurring and the possible extent of the damage in order to help minimize the exposure.

ROTARY FILE
A storage unit moving in a circular movement horizon-tally or vertically, such as a conveyor, carousel, lazy Susan, or Ferris wheel.

ROUGH SORT
Sorting documents in approximately the same order as the filing system in which they will be placed, e.g., in an alphabetic file, putting all the As, Bs, and Cs together. See also FINE SORT and SORTING.

ROUTING
The manual or electronic circulation of material among staff members.

- *S* -

SAMPLING
The selection of items from a body of records made in such a way that, taken together, the items selected are representative of the whole.

SAVE
A command to the computer to store work on tape or disk.

SCANNER
A device that converts an image of a document to electronic form for processing and storage.

SCHEDULING
See RECORDS RETENTION SCHEDULE.

SCREEN
Surface for displaying information.

SCREENING
Eliminating material before it is filed.

SEARCH
Extended investigation for requested information. A systemic examination of the available information in a specific field of interest.

SECONDARY-DIGIT ORDER
A system of numeric filing in which the secondary digits are used as the finding tool.

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SECONDARY SUBJECT/HEADING
In a classification system, the first subdivision of the primary subject. See also SUBHEADING.

SECURITY AREA
A controlled location where sensitive records are stored.

SECURITY CLASSIFICATION
1. A classification placed on records limiting their accessibility to those having specific authority to retrieve or use them.
2. In government, used for information, the disclosure of which would harm the national security.

SECURITY COPY
A copy of a document made in order to preserve the information in case the original is lost, damaged, or destroyed. See also BACKUP COPY and VITAL RECORDS.

'SEE ALSO' REFERENCE (SA)
A reference from one category to another that may be helpful to the person consulting an index or filing system.

'SEE' REFERENCE
An entry to direct users from a synonymous term to the term chosen as the most important and popular.

SEMIACTIVE RECORD
A record that is infrequently referred to but is still needed for reference. See also ACTIVE RECORD and INACTIVE RECORD.

SERVER
A device that provides shared services to workstations over a computer network, e.g., file server, print server, mail server, etc.

SERVICE BUREAU
An establishment that sells services to perform a specific records management function.

SHELF FILE
Open-sided shelving equipment in which records are accessed horizontally. See also OPEN-SHELF FILING.

SHELF LIFE
The period of time before deterioration renders materials unusable or the content of no value.

SHELF LIST
A listing of files/records in the exact order in which they are located as files on shelves.

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SHREDDER
A device used for the destruction of records by mechanical cutting, thereby reducing the documents to fine strips, shreds, particles, or pulp.

SIGN-OUT
See CHARGE-OUT.

SILVER HALIDE FILM
Original photographic film of which the photosensitive layer is composed of silver halides suspended in a suitable binder. See also DIAZO FILM.

SNAKING
A system of filing records continuously, from one row to another, in a winding format.

SOCIETY OF AMERICAN ARCHIVISTS (SAA)
A professional organization that establishes standards and guidelines for the identification, preservation, and use of records of historical value.

SOFTWARE
Computer programs that instruct a computer to perform specific functions.

SORTING
The arrangement of documents in the sequence in which they are to be filed or stored. See also FINE SORT and ROUGH SORT.

SOURCE DOCUMENT
Record on which an original transaction was captured; can be hard copy or electronic.

SPECIAL LIBRARIES ASSOCIATION (SLA)
A professional organization whose membership consists of librarians working in other than traditional public libraries.

SPECIFICATIONS
Detailed documented requirements containing the standards with which the system must conform. See also STANDARDS.

SPREADSHEET SOFTWARE
Software that allows a user to create an electronic worksheet on which data calculations can be performed such as projections, budgeting, planning, etc.

STABILITY
The ability of materials to resist decomposition.

STAGING AREA
An area set aside for preparing and processing incoming/outgoing materials whether for filing areas or records centers. See also HOLDING AREA.

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STAND-ALONE SYSTEM
A system capable of operating on its own independently of another system, device, or link to a local area network (LAN).

STANDARD OPERATING PROCEDURE (SOP)
Specified instructions established to aid in the performance of individual tasks and responsibilities. Also called *standing operating procedure*.

STANDARDS
A complete and well-defined set of published rules pertaining to a certain subject. See also SPECIFICATIONS.

STANDARDS COUNCIL OF CANADA, THE
An organization with the mandate to coordinate and oversee the efforts of the National Standards System that includes organizations and individuals involved in voluntary standards development, promotion, and implementation in Canada.

STATUTE OF LIMITATIONS
A period of time in which legal action can be taken. Federal, state, and provincial statutes of limitation should be considered when developing the retention period of records.

SUBHEADING
A secondary heading used as the division of a subject to delineate a particular group under the major heading. See also SECONDARY SUBJECT/HEADING.

SUBJECT CLASSIFICATION SYSTEM
A plan for the classification and coding of documents by subject.

SUBJECT ENTRY
A heading under a person, place, or thing that represents the content of the item being indexed.

SUBJECT FILE
A file in which the documents relate to a specific subject matter.

SUBJECT-NUMERIC
A filing classification system that uses a combination of word abbreviations and numbers to represent subjects. See also ALPHANUMERIC.

SUBJECT ORDER
Filing alphabetically in topic order.

SUBSERIES
Within a records series, a group of records readily separable in terms of physical form, type, subject, or filing arrangement.

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SURVEY
See RECORDS SURVEY.

SUSPENSE FILE
See TICKLER FILE.

SYNCHRONOUS
A property of transmission where speed of operation is fixed and related to the system involved. See also ASYNCHRONOUS.

SYNTHETICAL INDEX
An index that brings together like items or concepts as in a coordinate indexing system.

- T -

TAB
A projection beyond the main body of a guide or folder upon which the caption appears.

TAB CUT
The length of the tab expressed as a proportion of the width/height of the folder or guide, e.g., 1/3 cut means a tab is 1/3 the width/height of the folder or guide; 1/5 means it is 1/5 the width/height of the folder or guide.

TAPE
1. Recording medium for data in computer programs. Generally used as a mass or portable storage medium in magnetic form.
2. Audio- or videotapes can also be records.

TARGET
In micrographics, any document or chart containing identification information, coding, or test charts.

TASK
A unit of work.

TECHNICAL REFERENCE FILE
See REFERENCE MATERIALS.

TELECOMMUNICATION
Any process that permits the passage of information from a sender to one or more receivers in any usable form (printed copy, fixed or moving pictures, visible or audible signals, etc.) by means of any electromagnetic system (telephone line, radio, optical transmission, guided waves, etc.).

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TELECONFERENCE

A meeting among three or more people located at two or more locations connected via communication lines.

TEMPORARY RECORDS

1. Records appraised as having temporary or limited value and approved for destruction, either immediately or after a short specified retention period.
2. Also, records temporarily in a holding area until they are placed in their final location. See also TRANSITORY RECORD.

TERABYTE

One trillion bytes. See also BIT, BYTE, GIGABYTE, KILOBYTE, and MEGABYTE.

TERMINAL-DIGIT FILING

A system of numeric filing using the last two or three digits right to left of each number as the primary division under which the record is filed.

TERTIARY SUBJECT

In a classification system, a subdivision of the secondary subject.

TEST PLAN

The recovery plans and procedures that are used in a systems test to ensure viability. A test plan is designed to exercise specific action tasks and procedures that would be encountered in a real disaster.

TEXT

That part of a document that contains the substantive information to be conveyed. Sometimes called the body of the document.

TEXT FILE

Text saved without any type specification or other formatting.

THERMOGRAPHY

Photocopying processes relying upon heat for formation of the image.

THROUGHPUT

1. A measure or rate of the productive work done by a person or machine.
2. The total useful information processed or communicated during a specified time period.

TICKLER FILE

A date-sequenced file by which matters pending are flagged for attention on the proper date.

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TOPICAL FILING SYSTEM

A system in which all items are maintained in strict alphabetic order without regard to level of importance or functional grouping. Also known as *straight alphabetic filing*. This system is most suitable for small collections.

TRADEMARK

A word or mark that points distinctly to the origin of ownership of merchandise to which it is applied and that is legally reserved for the exclusive use of the owner.

TRADE NAME

A name given by a manufacturer or merchant to a product to distinguish it as made or sold by them and that may be used for protection as a trademark.

TRANSFER

1. The act of changing the physical custody of records with or without change of legal title.
2. The relocating of records from one storage area to another.

TRANSFER LIST

See TRANSMITTAL LIST.

TRANSITORY RECORD

Routine correspondence, documents, or records with short-term value. The retention period is limited to the interval required for completion of the action covered by the communication. See also TEMPORARY RECORDS.

TRANSMISSION CONTROL PROTOCOL (TCP)

The TCP/IP layer that provides reliable process-to-process data stream delivery between nodes in inter-connected computer networks. TCP requires that IP (Internet Protocol) is the underlying protocol.

TRANSMITTAL LIST

A document that lists the records being transferred from one area to another such as from active (office) storage to inactive (records center) storage. The document may also transfer legal responsibility for the records as well as physical custody.

TURNAROUND TIME

Elapsed time between dispatch and receipt of material back at the starting point.

TRUNCATE

1. The act of cutting off the decimal point and number to its right. This does not include rounding.
2. The act of shortening or abbreviating by cutting off the end of the word or phrase.

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TURNKEY SYSTEM
A computer system that is ready to use, containing all hardware and software needed to perform a given application already installed.

TUTORIAL
Another name for a training manual, tool, or program. In the world of computers, it could mean a manual, disk, or help program.

TYPE SIZE
The height of the characters of a font. Usually measured from the bottom of the lowest character (such as *g*) to the top of the tallest (such as *Q*). Also called *point size* because it is typically measured in points. See also FONT SIZE.

TYPOGRAPHY
The art and science of setting or designing type. This also is the style and arrangement of type on a printed piece.

- U -

UNDERCUT
A cutaway area in front of the tab on a folder or guide allowing more reading space for a larger label.

UNIFORM FILE CLASSIFICATION
Classification system used to establish common titles and preserve a set order of records.

UNITERM
A method of indexing that involves the selection of keywords to represent the content of the record or document that is being indexed.

UNSCHEDULED RECORDS
Records for which no retention period has yet been determined.

'USE' REFERENCE
A notation in a list or thesaurus that indicates the preferred heading and notes other headings that are not to be used.

USER
Anyone who uses systems/programs developed for a computer.

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- V -

VACUUM DRYING
The treatment of water-soaked documents by placing them in a vacuum chamber, creating a vacuum, and introducing warm, dry air. See also FREEZE DRYING and VACUUM FREEZE DRYING.

VACUUM FREEZE DRYING
The treatment of water-soaked documents by freezing to prevent further damage from water in its liquid state, and subsequent drying under high vacuum with the controlled application of heat, usually from heating coils installed in special shelving. The water, in the form of ice, sublimates directly from a solid state to a gaseous state. See also FREEZE DRYING and VACUUM DRYING.

VALUATION
The determination, based on fair market prices, of the monetary value of documents. See also RECORDS APPRAISAL.

VARIABLE DATA
1. Data that is not part of a form's design and varies from page to page on the form.
2. Data that changes on a form as opposed to constant data that remains the same.

VARIABLE-LENGTH RECORD
A computer-stored record that has an unspecified or unfixed number of constituent parts (fields, words, characters).

VAULT
A security storage area constructed of fire-resistant material and structurally independent from the building in which it is located.

VECTOR
Line between two points with a value associated with that line to represent a characteristic element of a picture. See also RASTER.

VERTICAL FILE CABINET
Storage equipment that is deeper than it is wide. Files are arranged front to back. See also LATERAL FILE CABINET.

VERTICAL PAGE
See PORTRAIT PAGE. See also LANDSCAPE PAGE.

VIDEO DISPLAY TERMINAL (VDT)
A screen that allows stored data to be viewed for reviewing, manipulating, editing, or printing.

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VIDEO TELECONFERENCING
Audio plus full visual conferencing for two or more people. Typically, such systems provide room-to-room linkages with live television and voice communication.

VIRUS
A computer program that replicates itself into other programs that are shared among systems with the intention of causing damage.

VITAL RECORD
A record identified as essential for the continuation or survival of the organization if a disaster strikes. Such records are necessary to re-create the organization's legal and financial status and to determine the rights and obligations of employees, customers, stockholders, and citizens.

VITAL RECORDS SCHEDULE
A detailed list identifying the vital records, their location, protection instructions, and method of protection in case the records were lost during a disaster.

VOICE MAIL
A computerized answering service that automatically answers a telephone call by playing a greeting, sometimes in the user's voice, and recording a message.

- *W* -

WALK-THROUGH
An informal survey of office and storage areas to provide an overview of records holdings and to highlight special problem areas.

WATERMARK
A translucent mark or design in paper incorporated during manufacture for purposes of decoration or identification.

WEB SITE
The unique location (address) on the World Wide Web for a service, company, product, or individual containing links to other pages and/or sites. See HOMEPAGE and WORLD WIDE WEB.

WEEDING (FILES)
The removal of individual documents or files lacking continuing value. Also known as culling, purging, stripping, or screening.

WHAT YOU SEE IS WHAT YOU GET (WYSIWYG)
A description of programs in which the picture on the screen is an accurate representation of the page that is ultimately printed.

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WIDE AREA NETWORK (WAN)

A high-speed data transmission network that links mainframe computers, personal computers, etc., located in geographic places more than one mile apart, allowing user groups to share computer data and software. See also LOCAL AREA NETWORK.

WINDOW

An area of a computer display screen used for some purpose. Different applications can be displayed simultaneously in different windows.

WORD-BY-WORD ARRANGEMENT

A filing method that treats each word as an individual filing unit. See also LETTER-BY-LETTER ARRANGEMENT.

WORD PROCESSING

The use of a computer system to input, revise, store, and print textual/graphic material.

WORKFLOW AUTOMATION

A process in which the sequence of actions, activities, or tasks used to run a business is automated, including tracking the status of each instance of the process, as well as tools for managing the process itself.

WORKING COPY

A duplicate or copy of a document that may be marked up or annotated.

WORKING PAPERS

Documents such as notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents. Usually retained by the originator at the point of use with limited retention value.

WORK-IN-PROGRESS (WIP)

Business activities that still require some action. Once the transaction is completed, most of the documents involved become records that are listed on a records retention schedule.

WORKSTATION

1. In a local area network, a desktop computer that runs application programs and serves as an access point to shared network resources.
2. A high-performance microcomputer optimized for professional applications in fields such as digital design, scanning, and network architecture.
3. A desk area where work is performed.

WORLD WIDE WEB (WWW)

A worldwide hypermedia system (a network of networks containing hyperlinks) that allows browsing through information in many databases. WWW is the multimedia center of the Internet.

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WRITE-ONCE-READ-MANY (WORM)

Digital optical disk on which data is recorded once and can be read as often as necessary.

- *X* -

XEROGRAPHY

See PHOTOCOPYING.

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ABBREVIATIONS

ACA	Academy of Certified Archivists
ACA	Association of Canadian Archivists
ACRC	Association of Commercial Records Centers (now PRISM)
AI	Artificial Intelligence
AIIM	Association for Information and Image Management
ALA	American Library Association
ANSI	American National Standards Institute
ARMA	Association of Records Managers and Administrators, Inc.
ASCII	American Standard Code for Information Interchange
BFMA	Business Forms Management Association
CA	Certified Archivist
CAD	Computer-Assisted Design
CAR	Computer-Assisted Retrieval
CD-ROM	Compact Disk–Read-Only Memory
CFR	Code of Federal Regulations
CHRON	Chronologic File
CIM	Computer-Input Microform
CIO	Chief Information Officer
CLA	Canadian Library Association
COLD	Computer-Output Laser Disk
COM	Computer-Output Microform
CPU	Central Processing Unit
CRM	Certified Records Manager

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CRT	Cathode Ray Tube
DBMS	Database Management Systems
DM	Document Management
DPI	Dots Per Inch
DRAW	Direct-Read-After-Write
DTP	Desktop Publishing
DVD	Digital Video Disk
EDI	Electronic Data Interchange
EDM	Electronic Document Management
ELF	Eliminate Legal-size Files
E-MAIL	Electronic Mail
FAX	Facsimile
FIFO	First-In-First-Out
FOIA	Freedom of Information Act (U.S. legislation)
FTP	File Transfer Protocol
GB	Gigabyte
ICA	International Council on Archives
ICRM	Institute of Certified Records Managers
IM	Information Management
IRM	Information Resources Management, or Information and Records Management
IRMC	International Records Management Council
IS	Information Systems, or Information Services
ISO	International Organization for Standardization
IT	Information Technology

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KB	Kilobyte
LAN	Local Area Network
LIFO	Last-In-First-Out
LILO	Last-In-Last-Out
MB	Megabyte
NAGARA	National Association of Government Archives and Records Administrators
NARA	National Archives and Records Administration
OCR	Optical Character Recognition
OD	Optical Disk
PC	Personal Computer
PRISM	Professional Records and Information Services Management International [formerly Association of Commercial Records Centers (ACRC)]
RAM	Random-Access Memory
RFP	Request for Proposal
RIM	Records and Information Management
RM	Records Management, or Records Manager
ROI	Return on Investment
ROM	Read-Only Memory
SAA	Society of American Archivists
SLA	Special Libraries Association
SOP	Standard Operating Procedure
TCP/IP	Transmission Control Program/Internet Protocol
VDT	Video Display Terminal
WAN	Wide Area Network
WIP	Work-In-Progress

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WORM Write-Once–Read-Many

WWW World Wide Web

WYSIWYG What You See is What You Get

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APPENDIX 1: IDAHO CODE TITLE 67 CHAPTER 57 - DEPARTMENT OF ADMINISTRATION

67-5751 Records Management.

The director of administration may develop subject to the provisions of chapter 52, title 67, Idaho Code, rules and procedures pertaining to the management of all state records. "Records" shall mean; any document, book, paper, photograph, sound recording, or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official state business. Library and archive material made, acquired, or preserved solely for reference, exhibition, or historical purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records as used in this section.

Rules, or if rules are not adopted, guidelines and procedures shall be established:

- Pertaining to retention periods for all state records.
- Establishing a standard filing system for all state agencies.
- Prescribing conditions and procedures for destruction of state records.
- Ensuring efficient utilization of manpower, building space, and supplies with regard to paper flow and forms usage.
- Pertaining to proper and efficient utilization of microfilming services.

67-5751A Historical Records.

Upon the determination of the director of the department of administration that certain public records have no apparent official value but have historical value, those records shall be transferred to, and may constitute a part of, the collection of the state historical society.

67-5752 Records Management Manual.

The director of administration shall develop and distribute to all state agencies a records management manual containing all the rules and procedures developed for records management. Each state agency shall comply with rules and procedures promulgated.

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APPENDIX 2: ELECTRONIC DOCUMENT MANAGEMENT

The following policy pertaining to electronic documents has been adopted and put into effect by the Information Technology Resource Management Council (ITRMC). For more information, contact the ITRMC Staff.

POLICY, STANDARDS, GUIDELINES AND CONVENTIONS

Date Established: May, 1998
Last Revised: February 19, 2003

ISSUER: **ITRMC** [Authority Idaho Code, 67-5745 (A) (B) (C)]
SUBJECT: **Electronic Document Management**

Abstract:

For purposes of this policy, a document is defined as an ***'electronic information object'*** which resides in a computer system. These 'information objects' can take on a number of forms, including the following:

- Word Processing Files;
- Spreadsheets;
- Computer Aided Drafting (CAD) drawings;
- Computer Output to Laser Disk (COLD) files;
- Scanned Images;
- Audio files;
- Video clips;
- Database information including Binary Large Objects (BLOBs);
- A sequence of events - called workflows; and
- Others.

Definition:

An "Electronic Document Management System" (EDMS) is a collection of interdisciplinary technologies, methods, tools, and skills required to manage information objects, no matter what their origin, location, form, purpose, or destination.

Policy:

All EDMS implementations must comply with the State's records management policies and statutes. The Records Management Guide can be found at http://www2.state.id.us/adm/purchasing/recguide.pdf.

Storage:

Objects of legal or long-term value must be recorded on at least two (2) physical electronic media and stored in separate locations. The electronic imaging media used must comply with ANSI/ISO standards.

Legal Issues:

The media and system combined must be able to show, to the court's criteria of acceptance, that the objects, documents, records, or information:

- Is authentic (is a true and accurate copy of the original).
- Was made near to the time of the event in question.
- Was created and maintained as a regular course of business.
- Was created with input procedures that are documented and defined and can be verified by proven tests for accuracy.

Security:

EDMS must include access restriction procedures and software controls to prevent the retrieval of data or index information by unauthorized personnel. Further, any EDMS must provide the ability to review object access information, including what, when and who.

Data Entry:

Regardless of the data entry method or subsystem chosen (document imaging, COLD, video, text, etc.), index entry verification must be performed to ensure the accuracy of index information and to prevent rendering a record 'lost' due to incorrect data entry.

Image Compression-Decompression:

Document imaging systems must support the International Consultative Telegraph and Telephone Committee (CCITT) standards with no proprietary alterations to the algorithm. Software used for compression and decompression must be one hundred persent (100%) compatible in all clients and servers on the network. All records must be compressed when being transmitted on the State's network.

Scanning:

Document scanners must comply with standards developed by the TWAIN Working Group (http://www.twain.org/).

Annotation:

A document imaging system must support the ability to annotate an image without physically modifying the image. The EDMS must provide annotation security and multiple layers of annotations.

Image File Format:

The system must use non-proprietary file header formats to label digital images.

Indexing:

Indexing (adding properties to information objects) must be done using an American National Standards Institute (ANSI) Standard Query Language (SQL) Data Base Management System (DBMS) which can reside remote from the storage location. The index must be accessible and able to be modified through user-written standard application development languages, subject to the appropriate security considerations.

Media:

Non-erasable media must be utilized for permanent storage. This media must comply with ANSI/ISO standards.

Time Line:

Immediate Implementation

For more information, contact the ITRMC Staff at (208) 332-1876.

For current online version: http://www2.state.id.us/itrmc/plan&policies/1030.pdf

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APPENDIX 3: PUBLIC ACCESS RIGHTS TO GOVERNMENT RECORDS

The right to public access of state and local government records is defined by the *Idaho Public Records Act*, Idaho Code, Title 9, Chapter 3, and Sections 9-337 through 9-349A. The Idaho Public Records Act declares that state and local government records are open to public access subject to certain exemptions which are intended to protect the personal privacy of individuals and the integrity of vital governmental functions.

Public access to federal government records is defined by the *Freedom of Information Act*.

IDAHO CODE REFERENCES

Idaho Code has several references to the public's rights to State government records and to the agency requirements for managing their records (Idaho Code Section 9-338, Public records – Right to examine; 9-339, Response to request for examination of public records; 9-340, Records exempt from disclosure; 9-341, Exempt and nonexempt public records to be separated; 9-342, Access to records about a person by a person; 9-342A, Access to air quality and hazardous waste records, etc.). The following is a brief description of these specific references.

PUBLIC RECORDS DEFINED

The term "public records" includes, but is not limited to, any writing containing information relating to the conduct or administration of the public's business prepared, owned, used or retained by any state or local agency regardless of physical form or characteristics. (Idaho Code Section 9-337(10).) The term "public records" includes, but is not limited to, any paper, correspondence, form, bound volume, film, magnetic record, drawing, or other document, regardless of media, that has been created or received by any state or local government agency during the course of public business.

USE OF MICROFILM

Microfilm is recommended for large volumes of records that have long periods of retention. Complete, clear, and authenticated microfilm copies of public records that meet statutory standards have the same legal status as the paper originals. (Idaho Code Section 9-328 (state); 9-331A (county)).

RECORDS AS PUBLIC PROPERTY

All public records shall be and remain the property of the agency. Outgoing officials and employees must pass such records on to their successors. The records shall not be placed in the custody of any other person or agency, public or private, or released to individuals except for disposition pursuant to law, or as otherwise provided by law. Furthermore, public records shall be preserved, stored, transferred, destroyed and otherwise managed according to applicable law.

ACCESS TO PUBLIC RECORDS

Access must be provided for the public inspection and copying of agency records according to the provisions of the *Idaho Public Records Act* (Idaho Code Sections 9-337 through 9-349A).

BASIC PUBLIC DISCLOSURE REQUIREMENTS

PROTECTION OF AGENCY RECORDS AND FUNCTIONS:

Idaho Code 67-5752 cites that agencies are required to adopt reasonable rules and procedures to protect their records from loss, disorganization, or damage and to prevent disruption of vital agency functions while providing full public access as provided by statute.

INSPECTION AND COPYING DURING REGULAR BUSINESS HOURS:

Records must be available for public inspection and copying during the agency's regular business hours (Idaho Code Section 9-338[7]).

FEES CHARGED FOR COPIES:

Under Idaho Code Section 9-338 (8)(a) of the public records statue, an agency may establish a copying fee schedule which “may not exceed the actual cost of the agency for copying the record.” Section 9-338(8)(c) allows an agency to waive any cost or fee for copies or labor when the requester demonstrates either an inability to pay or that the public’s interest or the public’s understanding of the operations or activities of government or its records would suffer by the assessment or collection of any fee.

PROMPT RESPONSE REQUIREMENT.

Under Idaho Code Section 9-339, within three (3) working days of receiving a request for access to its records, an agency must make the requested records available for inspection and copying or acknowledge the request and provide a reasonable estimate, not to exceed ten (10) working days, of the time needed to make the records available.

DENIAL OF PUBLIC DISCLOSURE REQUESTS:

Under Idaho Code Section 9-339, denial of a public records request must state that the attorney to the agency has reviewed the request or that the agency has chosen not to have such review, and must indicate the statutory authority for denial, and must inform the requester of appeal rights.

THE RELATION OF RECORDS MANAGEMENT TO PUBLIC ACCESS

Efficient public records management practices enable an agency to meet the requirements of the *Idaho Public Records Act* with the least possible disruption of day-to-day operations.

RECORDS RETENTION SCHEDULES:

A working retention schedule, supplemented as needed to meet unique requirements, should encompass every record series held by an agency. The addition of a column denoting the legal accessibility of each record series for public inspection and copying can help record custodians respond more efficiently to public requests.

REGULAR DISPOSITION OF OBSOLETE RECORDS:

The regular disposition (transfer or destruction) of records which have reached the end of their established retention period lessens the agency's exposure to public demands, saves storage costs, and removes clutter from office and records storage space.

TRANSFER OF HISTORICALLY VALUABLE RECORDS TO STATE ARCHIVES:

The transfer of historically valuable records to State Archives places valuable records in facilities that promote long term preservation. These storage facilities can provide research space and professional staff support to facilitate public access. The timely transfer of these records will permit agencies to concentrate on current operations.

USE OF EFFICIENT FILING AND STORAGE PRACTICES:

Efficient practices of filing and storage of current records and transfer of non-current records will reduce costs and facilitate rapid retrieval of active documents.

PRESERVATION OF RECORDS

The Idaho State Historical Society has the authority and responsibility for preserving the historical records of Idaho (Idaho Code 67-4123). The Historical Society can require any government agency to deposit official books, records, documents, or original papers, not in current use, which are of definite historical importance.

When such documents are accepted, the Historical Society is required to provide certified copies, when requested by any person, providing that such person pay a reasonable fee

AUTHORITY TO ADOPT GENERAL RECORDS RETENTION SCHEDULES

State agencies shall establish a records control program based on records retention schedules submitted to the Department of Administration for approval. The Department of Administration may approve, amend, or reject these schedules. Once a records retention schedule is approved, the agency has the authority to process the records listed in accordance with the schedule until it is revised or amended (Idaho Code Section 67-5751 and 67-5752).

DESTRUCTION OF RECORDS

Idaho State law classifies records according to three categories: 1) permanent, 2) semi-permanent, and 3) temporary. Records that are identified as "permanent" must be kept for not less than ten years. (Idaho Code 50-907 (a)). Permanent records include, but are not limited to:

- Bond registers
- Budget records
- Building plans and specifications
- Cash books
- General ledgers
- Cemetery records
- Real property records, including liens and all other records affecting title
- Proceedings of the governing body
- Ordinances, policies, resolutions
- Warrant registers
- Records deemed to be permanent by the governing body.

Public officers who destroy records without proper authorization may jeopardize the status of their agency in any legal proceeding and may be found guilty of a felony if they cause records to be destroyed without authorization.

APPENDIX 4: STORAGE OF PUBLIC RECORDS STANDARDS

IDAHO CODE CHAPTER 41. STATE HISTORICAL SOCIETY

67-4126 Powers and duties of board.

The board of trustees of the society shall have powers and duties as follows:

- To appoint a director of the society as provided herein and advise him in the performance of his duties and formulate general policies affecting the society.
- To encourage and promote interest in the history of Idaho and encourage membership in the society.
- To collect for preservation and display artifacts and information illustrative of Idaho history, culture and society.
- To print such publications and reports as may be deemed necessary.
- To encourage creation of county historical societies and museums in the counties of Idaho.
- To facilitate the use of Idaho records for official reference and historical research.
- To accept from any state, county, or city, or any public official, any official books, records, documents, original papers, newspaper files, printed books, or portraits, not in current use. When such documents are so accepted, copies therefrom shall be made and certified under the seal of the society upon application of any person, which person shall pay for such copies reasonable fees established by the society.
- To require that any state, county, or city, or any public official, deposit official books, records, documents, or original papers, not in current use, which are of definite historical importance, in the society for preservation and to provide methods whereby such materials, which have no significance, may be destroyed.
- To establish such rules as may be necessary to discharge the duties of the society.
- To employ such personnel as may be necessary for the administration of its duties in accordance with the rules of the administrator of the division of human resources promulgated pursuant to chapter 52, title 67, Idaho Code.
- To have and use an official seal.
- To delegate and provide subdelegation of any such authority.
- To identify historic, architectural, archaeological, and cultural sites, buildings, or districts, and to coordinate activities of local historic preservation commissions.
- To serve as the geographic names board of the state of Idaho.

STORAGE OF PUBLIC RECORDS STANDARDS

PURPOSE

Standards for the storage of public records. This document sets forth standards for the preservation of inactive public records of enduring historical value as authorized by Idaho Code, 67-4126. In order preserve records that have enduring historical or archival value, the State Archivist establishes standards for the storage of such records stored either at the State Archives Building or retained at the office of record.

RECORD STORAGE FACILITY

The standards or the storage of public records of enduring historical value cited herein are available from the American National Standards Institute, (ANSI), Inc., 11 West 42nd Street, New York, NY 10036 or other standards-setting organizations as cited in the definitions. Exclusions. For the purposes of this document, the term "records storage facility" excludes:

- Central file areas and file rooms containing active records used and maintained in their office of origin.
- Records staging areas used for the temporary storage of records before their transfer to a records center, State Archives, or other disposition, provided no records are held in these staging areas for a period not to exceed six (6) months.
- Records storage areas used solely for the storage of noncurrent records that have approved retention of less than three years and are not suitable for transfer to a records storage facility due to requirements for high security, technical servicing, or other special record keeping provisions.

1. Any records storage facility for public records shall be constructed of noncombustible and fire-resistive materials. The facility shall be of a nature that minimizes the potential for and the resultant effects of fire.

   Reference ANSI/NFPA 220 Types of Building Construction, Chapter 3 Types of Construction
   Reference ANSI/NFPA Types of Building Construction, Chapter 3 Building Construction
   Reference ANSI/NFPA Types of Building Construction, Chapter 5-2 Fire Restrictive Buildings
   Reference ANSI/NFPA 232 Protection of Records, Chapter 2 Standards Records Vaults

2. The facility should be a stand-alone structure. In the event the structure is shared with other tenants, fire walls of approved construction shall separate the records storage facility from other areas in the building.

   Reference ANSI/ NFPA 232A, Archives and Records Centers, Chapter 2-3 Fire Risk Evaluation Factors

3. If the record storage facility is located in a structure with other non-related tenants, activities conducted in other parts the building shall not be of the nature which would create a hazard to the records stored there.
   Reference ANSI/NFPA 232A Archives and Records Centers, Chapter 2-3 Fire Risk Evaluation Factors
   Reference ANSI/NFPA 80A Fire Doors and Fire Windows, Protection from Exterior Fire Exposure

4. Access to the facility shall be restricted to authorized personnel. Adequate security procedures and systems shall be provided to prevent loss, theft, or destruction of public records and to ensure the safety and integrity of the public records stored there.

5. A record storage facility shall maintain a fire prevention program based on good housekeeping practices. Smoking, use of open flame devices or the presence of flammable materials shall be prohibited in storage areas.
   Reference ANSI/NFPA 232AM Chapter 2-6 Fire Prevention Program

6. The facility shall have appropriate fire detection and suppression systems with procedures in place to ensure their effectiveness.
   Reference ANSI/NFPA 232A Archives and Records Centers, Chapter 5-1 Fire Detection
   Reference ANSI/NFPA 72 National Fire Alarm Code, Protective Signaling Systems
   Reference ANSI/NFPA 72E National Fire Alarm Code, Automatic Fire Detectors
   Reference ANSI/NFPA 72H National Fire Alarm Code, Testing Procedures for Signaling Systems
   Reference ANSI/NFPA 10 Portable Fire Extinguishers Reference ANSI/NFPA 1 Fire Prevention Code
   Reference ANSI/NFPA 13 Installation of Sprinkler Systems
   Reference ANSI/NFPA 13A Inspection & Testing of Sprinkler Systems
   Reference ANSI/NFPA 231 General Storage, Chapter 5-1 Automatic Sprinkler Systems
   Reference ANSI/NFPA 232AM Chapter 5-2 Automatic Sprinkler Systems
   Reference ANSI/NFPA 232AM Chapter 5-4 Gaseous Extinguishment
   Reference ANSI/NFPA 232AM Chapter 5-5 Comparison of Systems
   Reference NBS Technical Notice 839, Fire Protection

7. A slightly positive air pressure balance should be maintained within the records storage area so a to ensure (1) consistency of temperature and relative humidity and (2) minimize infiltration of contaminants.
   Reference ANSI IT9.11 Chapter 7.2 Air Conditioning Requirements

8. Air handling ducts shall be equipped with fire detectors and applicable shutoff apparatus.
   Reference ANSI IT9.11 Chapter 7.2 Air Conditioning Requirements
   Reference ANSI/NFPA 232AM Chapter 7-4 Air Conditioning/Ventilation
   Reference ANSI/NFPA 90A Installation of Air Conditioning/Ventilation

9. The facility shall have a power supply sufficient to maintain environmental controls, security, lighting, fire detection and suppression equipment.
   Reference ANSI/NFPA 232A, Archives and Records Centers, Chapter 5 Fire Control Systems

10. No cellulose nitrate films shall be stored in the facility
    Reference ANSI IT9.11 Chapter 7.3 Air Purity
    Reference ANSI/NFPA 40 Storage & Handling of Cellulose Nitrate Film
    Reference ANSI/NFPA 232A Archives and Records Centers, Chapter 2-1 Types of Media

11. All door openings of the records storage facility shall be fitted with a suitable and approved fire-resistant door.
    Reference ANSI/UL 155 Test for Fire Resistance of Vault Doors
    Reference ANSI/NFPA 232 Chapter 2-10 Vault Door Specifications

12. All electrical wiring within the facility, exclusive of low-power alarm circuits, shall be encased in approved conduit.
    Reference ANSI/NFPA 70 National Electric Code
    Reference ANSI/NFPA 232 Chapter 2-11 Electrical Service
    Reference ANSI/UL 155 Test for Fire Resistance of Vault Doors

13. Portable fire extinguishers of a type appropriate for Class A fires shall be readily accessible inside and immediately outside the record storage area.
    Reference ANSI/NFPA 10 Standard for Portable Fire Extinguishers
    Reference ANSI/NFPA 232 Protection of Records, Chapter 2-13 Fire Suppression

14. All record storage containers within a facility shall be kept at least six (6) inches from piping or conduits.
    Reference ANSI/NFPA 232 Protection of Records, Chapter 2-12 Operating Practices

15. Work, reference and storage areas shall be constructed so as to avoid prolonged exposure of archival records to direct or indirect sunlight which contain ultraviolet rays which can damage archival material. Ultraviolet light filters shall be placed on all fluorescent lights in areas where archival records are stored, displayed, processed or researched.

16. Storage containers, folders and other enclosures for archival material shall be constructed of acid-free buffered, lignin free paper or other material free of harmful off-gassing material.

STORAGE OF MICROFORMS AND OTHER PROCESSED FILM

1. Film enclosures. Film in roll form storage enclosures.

   A. Processed photographic films rolled on cores or reels and stored in rolled form, including microfilm, motion picture film, aerial film, and some portrait films, shall not be wound tightly but not under extreme pressure. Cores and reels shall be of non-corroding material such as plastic compounds or nonferrous metals.

   B. Rolls of photographic film shall be stored containers to provide protection against dirt and physical damage. Film shall be in a clean condition before it is stored for maximum storage life expectancy. Rolls of film less than 150 meters in length shall be stored so the diameter of the roll is in a vertical position. Rolls greater than 150 meters in length shall be stored so the diameter of the film is in an horizontal position. Any film which gives off acidic fumes, including nitrate or some vesicular films, shall not be stored with silver, diazo, or dye-gelatin film and shall be stored in a location physically separated from other photographic film.

   C. Enclosures for microfilm and other rolled film shall be labeled to properly identify the contents of the enclosures and facilitate the storage and retrieval of the same per NISO Z39.62-1993, Eye-Legible Information on Microfilm Leaders and Trailers and on Containers of Processed Microfilm on Open Reels as amended and supplemented, incorporated herein by reference.

      Ref.: ANSI IT9.11-1991, Photography (Film) - Processed Safety Film - Storage.
      Ref.: ANSI PH153-1984. Photography (Processing) - Processed Films, Plates, and Papers Filing Enclosures and Canisters for Storage.
      Ref.: NISO Z39.62-1993, Eye-Legible Information on Microfilm Leaders and Trailers and on Containers of Processed Microfilm on Open Reels.
      Ref.: ANSI/NFPA 40-1982. Storage and Handling of Cellulose Nitrate Motion Picture Film

2. Archival roll form storage enclosures. For archival storage of photographic films stored in rolled form, the same requirements as those for roll film storage enclosures shall be observed. In addition the following requirements shall be met for archival storage of such films:

   A. Plastic materials used for reels or cores should not contain peroxides. Only non-corrosive plastic or paper bands shall be used to for holding film on reels or cores. If paper bands are used, the paper shall meet minimum requirements established by ANSI IT9.2-1991. Imaging Media - Photographic Processed Films, Plates, and Papers--Filing Enclosures and Storage Canisters and ASTM D3458-1985. Standard Specification for Bond and Ledger Paper for Permanent Records as amended and supplemented, incorporated herein by reference.

      Ref.: ANSI IT9.2-1991. Imaging Media--Photographic Processed Films, Plates, and Papers--Filing Enclosures and Storage Canisters
      Ref.: ASTM D3458-1985. Standard Specification for Bond and Ledger Paper for Permanent Records.

B. A schedule for periodic inspection for evidence of deterioration of rolled films, plates and prints in archival storage facilities shall be established and conducted including such procedures as established by ANSI/AIIM MS45-1990, ANSI PH4.8-1985, ANSI IT9.9-1990, each as amended and supplemented, incorporated herein by reference.

Ref.: ANSI/AIIM MS45-1990. Recommended Practice for Inspection of Stored Silver-Gelatin Microforms for Evidence of Deterioration.

Ref.: ANSI PH4.8-1985. Photography (Chemicals)--Residual Thiosulfate and Other Chemicals in Films, Plates, and papers--Determination and Measurement.

Ref.: ANSI IT9.9-1990. Imaging Media--Stability of Color Photographic Images—Methods for Measuring.

3. Film in sheet or slide form storage enclosures.

A. Photographic film in sheet form shall be stored in suitable enclosures, which will maximize the life expectancy of the film. Stored films in sheet form shall not be stacked so they are under high pressure. Photographic slides should be stored in cardboard, nonferrous metal or plastic boxes. Color, diazo, and heat-processed film in opaque folders or envelopes or otherwise protected from exposure to light.

B. Paper or plastic material used for envelopes, sleeves, jackets, folders or cartons for the storage of such film shall meet, as a minimum requirement, the specifications of ANSI PH1.53-1984 as amended and supplemented, incorporated herein by reference, especially if such materials are in direct contact with the surface of the films. Suitable materials for plastic enclosures include un-coated polyester (polyethylene terephthalate) and cellulose acetate. Glassine envelopes and chlorinated, nitrated or highly plasticized sheeting shall not be used.

C. Adhesives used in joints and seems of such enclosures shall meet the requirements of ANSI PH1.53-1984 as amended and supplemented, incorporated herein by reference.

4. Archival sheet or slide form storage enclosures. For archival storage of photographic films stored in the form of sheets and slides, the same requirements as those for sheet or slide form storage enclosures shall be observed. In addition the following requirements shall be met for archival storage of such films:

A. Enclosure construction shall preclude the use of adhesives if possible. Pressure sensitive permanently tacky adhesives and those based on natural rubbers shall not be used. Photographic quality gelatin or polyvinyl acetate and cellulose acetate adhesives suitable for use with paper may be used when necessary.

B. Films of different generic types which may have interactions with each other, for example silver gelatin and diazo, shall not be interfiled or stored in physical contact with each other.

C. A schedule for periodic inspection for evidence of deterioration of photographic films in sheets or slide form in archival storage facilities shall be established and conducted including such procedures as established by ANSI/AIIM MS45-1990, ANSI PH4.8-1985, ANSI IT9.9-1990 each as amended and supplemented, incorporated herein by reference.

Reference ANSI/AIIM MS45-1990.
Ref.: ANSI PH4.8-1985.
Ref.: ANSI IT9.9-1990.

5. Storage housing.

A. Photographic films shall be stored in closed storage housings such as drawers or cabinets, or if open shelves and racks may be used if the film is in closed containers.

B. Storage housing shall be constructed from noncombustible and non-corrosive materials such as anodized aluminum, stainless steel, or steel with baked-on non-plasticized synthetic resin lacquer. Storage housings shall not be constructed of combustible material such as wood, particle board or materials which produce active fading agents.

6. Environmental conditions. Humidity and temperature storage environment limits. Temperature and relative humidity within a record storage facility for microforms or other processed film shall be maintained within the suitable range for the type of film being stored in medium-term storage as recommended in ANSI IT9.11-1991. Imaging Media--Processed Safety Photographic Film--Storage. [Revision of ANSI PH1.43-1985]. Short term cycling of temperature humidity shall be avoided.

A. For medium-term storage of silver-gelatin film on a polyester base, maximum temperature for extended periods shall not exceed 25 degrees Centigrade (77 degrees Fahrenheit) and a temperature below 20 degrees Centigrade (68 degrees Fahrenheit) is preferable. Relative humidity of a medium-term storage environment for silver-gelatin films shall not exceed 60% and it shall not be lower than 30%.

B. For medium-term storage of color film storage, a storage environment shall not exceed 10 degrees centigrade (50 degrees Fahrenheit) is recommended for proper storage. Protection may be increased by storing film at low temperature and low humidity.

Reference ANSI IT9.11 Chapter 7.1 Humidity & Temperature

7. Archival storage environment. Temperature and relative humidity within an archival storage facility for microforms or other processed film shall be maintained within the suitable range for the type of film being stored in archival storage as recommended in ANSI IT9.11-1991. Imaging Media--Processed Safety Photographic Film--Storage. [Revision of ANSI PH1.43-1985]. Short term cycling of temperature humidity shall be avoided.

A. For archival storage of silver-gelatin film on a polyester base, maximum temperature for extended periods shall not exceed 18 degrees Centigrade (65 degrees Fahrenheit) and a constant temperature below 15 degrees Centigrade (60 degrees Fahrenheit) is preferable. Added protection may be obtained by long-term storage at lower temperatures. Relative humidity of a archival storage environment for silver-gelatin films shall not exceed 40% and it shall not be lower than 30%.

B. For archival storage of color film on a polyester base, a storage environment shall not exceed 2 degrees Centigrade (35 degrees Fahrenheit). Protection may be increased by storing color film at low temperature and low humidity.

Reference ANSI IT9.11 Chapter 7.1 Humidity & Temperature

C. Air-conditioning requirements. A properly controlled air conditioning system may be necessary to maintain humidity and temperature within a storage facility within the limits specified herein, particularly for archival storage where the requirements are more stringent.

1) Solid particles which may abrade film or react with an image shall be removed from the air supplied to housings or rooms used for storage of microforms or other processed film. The air delivery system for archival storage facilities shall be equipped with a HEPA filter capable of removing dust and other pollutant particles as defined by the Institute for, Environmental Sciences standard IES CS-1, Standard for HEPA Filters. as amended and supplemented, incorporated herein by reference:

Reference IES CS-1, Standard for HEPA Filters.

2) Gaseous impurities such as sulfur dioxide, hydrogen sulfide, peroxides, ammonia, acidic fumes, ozone, and nitrogen oxides, which cause deterioration of film bases or degradation of the image in some films shall be removed from the air by suitable washers or absorbers. Preferably, an archival storage facility for films should be located as far as possible from urban or industrial sources of contaminants.

3) Gases given off by decomposing nitrate film will damage or destroy images on safety film. Safety film shall not be stored in the same room or in rooms connected by ventilating ducts.

STORAGE OF ELECTRONIC RECORDING MEDIA

1. Agencies shall maintain all long-term and permanent backup or security electronic recording media in a storage facility, either on-site or off-site, with constant temperature (below 68 degrees Fahrenheit) and relative humidity (30 to 40 percent) controls unless other standards are promulgated for a particular media herein.
2. Agencies shall annually read a statistical sample of all electronic media containing long-term or permanent records to identify any loss of information and to discover and correct the cause of data loss.
3. Agencies shall copy all long-term or permanent electronic records before the media are 10 years old onto tested and verified new media. The test will verify that the media is free of permanent errors.
4. Agencies shall back up and refresh electronic records on a regular basis to safeguard against the loss of information due to equipment malfunctions or human error. Duplicate copies of long-term or permanent records shall be maintained in storage areas located in buildings separate from the location of the records that have been copied.
5. Agencies shall prohibit smoking and eating in any electronic media storage libraries or other storage facilities, including test or evaluation areas.
6. Agencies shall ensure that all authorized users can identify and retrieve information stored on diskettes, removable disks, tapes, or optical disks by establishing and adopting procedures for external labeling of the contents of such diskettes, disks, tapes, or optical disks.
7. External labels (or the equivalent automated management system) for electronic recording media used to store long-term or permanent records shall provide unique identification for each storage media, including:
   A. The name of the organizational unit responsible for the data;
   B. System title, including the version number of the application;
   C. Special security requirements or restrictions on access, if any; and
   D. Software in use at the time of creation.
8. Information shall be maintained for all media used to store electronic records designated for long-term or permanent retention and storage, including:
   A. File title;
   B. Dates of creation;
   C. Dates of coverage;
   D. The recording density;
   E. Type of internal labels;
   F. Volume serial number, if applicable;

G. The number of tracks;

H. Character code/software dependency;

I. Information about block size; and

J. Sequence number, if the file is part of a multi-media set.

STORAGE AND MAINTENANCE OF MAGNETIC COMPUTER TAPE

1. Agencies shall maintain the storage and test areas for computer magnetic tapes containing permanent and unscheduled records at the following temperatures and relative humidities: 62 to 68 degrees Fahrenheit constant temperature and 35 to 45 percent constant relative humidity.
2. Magnetic tapes should be hung or racked vertically in standard storage units and should be rotated according to an established schedule to avoid damage to the tapes.
3. Agencies shall periodically rewind under controlled tension all tapes containing records scheduled for long-term and permanent retention every 3-1/2 years, but frequent rewinding should not be practiced to avoid damaging the tape. Stored tapes shall be rewound immediately before use to restore proper tension to the tape.

DEFINITIONS

ARCHIVAL FILM
"Archival film" means a photographic film that when stored under archival storage conditions and providing the original images are of suitable quality, is suitable for preservation of records having permanent value. Films suitable for archival records are described in ANSI PH1.28-1984 and ANSI PH1.41-1984 as amended and supplemented.

ARCHIVAL STORAGE CONDITIONS
"Archival storage conditions" means those controlled conditions that are suitable for preservation of records having permanent legal, administrative or historical value and which will prolong the useful life of any type or form of record media.

AGENCY
"Agency" or "agencies" means any board, body, department, commission, or office of an official in the State of Idaho, or any political subdivision thereof, or any public board, body, commission or authority created pursuant to law.

AIIM
"AIIM" means the Association for Information and Image Management (AIIM), a standards-setting body affiliated with the American National Standards Institute (ANSI), which is the principal developer of standards for microforms and information storage technologies involving images, such as optical disks and scanners. The address of the association for the purpose of ordering publications is as follows:

Association for Information and Image Management
AIIM Publication Sales
1100 Wayne Ave., Suite 1100
Silver Spring, MD 20910-5603
Telephone: (301) 587-8202
Fax: (301) 587-2711

ANSI
"ANSI" means the American National Standards Institute (ANSI), a private national standards organization in the United States, which coordinates the development and maintenance of various industry standards. ANSI serves as the United States' representative to the International Organization for Standardization (ISO). The institute's address is as follows:

American National Standards Institute
11 West 42nd St., 13th Floor
New York, NY 10036
Telephone: (212) 642-4900
Fax: (212) 302-1286 (orders only)

ARMA
"ARMA" means the Association of Records Managers and Administrators International (ARMA), which is the principal records and information management association in the United States and Canada, and one of the organizations accredited by the American National Standards Institute (ANSI) to develop records management standards. The association's address is as follows:

> **Association of Records Managers and Administrators International**
> **4200 Somerset Dr., Suite 215**
> **Prairie Village, KS 66208**
> **Telephone: (800) 422-2762**
> **Fax: (913) 341-3742**

ASCII
"ASCII" means American Standard Code for Information Interchange, a binary code used as a common denominator between incompatible formats, since most applications can export and import ASCII files.

ASTM
"ASTM" means American Association for Testing and Materials. The address of the association is as follows:

> **American Association for Testing and Materials**
> **916 Race Street**
> **Philadelphia, PA 19103**

EBCDIC
"EBCDIC" means Extended Binary Coded Decimal Interchange Code, a data code used in IBM mainframes and other midrange computers that stores one alphanumeric character or two decimal digits within a byte.

DOD
"DoD" means Department of Defense, a cabinet-level agency of the United States government, which establishes standards for the department's functional community for use in automated information systems. The Department's address for the purpose of ordering publications is as follows:

> **Department of Defense**
> **Defense Technical Information Center (DTIC)**
> **8725 John J. Kingman Rd., Suite 0944**
> **Fort Belvoir, VA 22060-6218**
> **Telephone: (800) 225-3842**

FIPS
"FIPS" means Federal Information Processing Standard. The standard cited in this rule is available from:

National Technical Information Service
Department of Commerce
Springfield, VA 22161

FILM ENCLOSURE
"Film enclosure" means any item in close or direct contact with photographic film or microfilm , such as reels, cores, spools, cassettes, magazines cans, canisters, folder, envelopes, cartons, sleeves or aperture cards, used to house, store or protect the such film.

FIRE-PROTECTIVE STORAGE FACILITIES
"Fire-protective storage facilities" means storage facilities designed to protect records against excessive temperatures, water and other fire-fighting agents, steam or other gases produced by burning insulation and other building materials, and collapsing structures.

FIRE-RESISTIVE VAULTS
"Fire-resistive vaults" means vaults as defined in ANSI/NFPA 232-1980.

INACTIVE RECORDS
"Inactive records" means records no longer required in the conduct of current business that can therefore be accessioned by an archival repository, temporarily stored in a records center or destroyed. These are records with a reference rate of less than one search per letter size file cabinet drawer, or one cubic foot of documents, per month.

IEEE
"IEEE" means the Institute of Electrical and Electronic Engineers, the world's largest technical professional organization, which establishes standards in the fields of electrical, electronics and computer engineering. The Institute's address for the purpose of ordering publications is as follows:

Institute of Electrical and Electronic Engineers
IEEE Computer Society Press
Customer Service Center
10662 Los Vaqueros Circle
P.O. Box 3014
Los Alamitos, CA 90720-1314
Telephone: (800) CS-BOOKS
Fax: (714) 821-4641

IES
"IES" means the Institute of Environmental Sciences, which is a professional society of engineers, scientists and educators from industry and academic institutions in the environmental sciences. The institute's address is as follows:

> **Institute of Environmental Sciences**
> **940 East Northwest Highway**
> **Mt. Prospect, IL 600056**

INSULATED RECORD CONTAINERS (CLASS 150)
"Insulated record containers (Class 150)" means record storage containers as defined in ANSI/UL 72-1983.

ISO
"ISO" means the International Organization for Standardization, which coordinates national standards bodies worldwide. The organization's address is as follows:

> **International Organization for Standardization**
> **Central Secretariat**
> **1, rue de Varembre**
> **Case postale 56**
> **CH-1211 Geneve 20**
> **Switzerland**
> **Telephone: 41 22 749 01 11**
> **Fax: 41 22 733 34 30**

LONG-TERM STORAGE
"Long-term storage" means storage conditions that are suitable for ensuring a minimum useful life of a record or series of records required by a Federal or State statute or regulation to be retained by the originating agency for 10 or more years after creation, filing, or completion.

NAPM
"NAPM" means National Association of Photographic Manufacturers, which is a trade and technical information organization of photographic products manufacturers and suppliers and standards developer for the fields of photography and optics. Standards secretariat and developer for ANSI/NAPM IT (Imaging Technology) committees, ISO TC42-Photography and ISO TC172-Optics and optical instruments. The organization's address is as follows:

> **National Association of Photographic Manufacturers**
> **550 Mamaroneck Ave.**
> **Harrison, NY 10528**
> **Telephone: (914) 698-7603**
> **Fax: (914) 698-7609**

NBS
"NBS" means National Bureau of Standards, now the National Institute of Standards and Technology (q.v.).

NFPA
"NFPA" means National Fire Protection Association, an international nonprofit organization producing scientifically-based consensus codes and standards, research, and education programs for fire and related safety issues. The address of the association is as follows:

> **National Fire Protection Association**
> **1 Batterymarch Park**
> **Quincy, MA 02269-9101**
> **Telephone: (617) 770-3000**
> **Fax: (617) 770-0700**

NISO
"NISO" means the National Information Standards Organization, which is the principal United States organization for the development of library, archival and information management standards. Its members include the Society of American Archivists (SAA), National Archives and Records Administration (NARA), American Library Association (ALA), and the Association for Information and Image Management (AIIM). The address of the organization for the purpose of ordering publications is as follows:

> **National Information Standards Organization**
> **NISO Press Fulfillment**
> **P.O. Box 338**
> **Oxon Hill, MD 20750-0338**
> **Telephone: (800) 282-NISO (282-6476)**
> **Fax: (301) 567-9553**

NIST
"NIST" means the National Institute of Standards and Technology, formerly the National Bureau of Standards, the principal standards agency within the United States government. NIST oversees the development of Federal information processing standards and conducts related studies for other Federal agencies. The institute's address for the purpose of ordering publications is as follows:

> **National Institute of Standards and Technology**
> **National Technical Information Service (NTIS)**
> **U.S. Department of Commerce**
> **Telephone: (703) 487-4650**

NML
"NML" means National Media Laboratory, an industry consulting group supporting U.S. government evaluation, development, and deployment of advanced storage media systems. The laboratory's address for publications is:

> **National Media Laboratory**
> **Publications and Technology Transfer**
> **Bldg. 235-3A-20**
> **St. Paul, MN 55144-1000**
> **Telephone: (612) 736-4969**

PERMANENCE
"Permanence" means the capacity to retain properties such as strength and color over extended periods of time, as influenced by internal factors (e.g. chemical composition) and external conditions (e.g. light, temperature, relative humidity, and atmospheric contaminants). The current trend is to substitute the term "life expectancy" for "permanence."

PUBLIC RECORD
"Public record" or "records" means any and all public records as defined in Idaho Code.

RECORDS STORAGE FACILITY
"Records storage facility" means a records center or other facility maintained and administered for the storage, maintenance, and reference use of public records pending their ultimate disposition.

RELATIVE HUMIDITY
"Relative humidity" means the ratio of the quantity of water vapor in the atmosphere to the quantity of water vapor which would saturate the atmosphere at the existing temperature. Also, the ration of the pressure of water vapor present in the atmosphere to the pressure of water vapor required to saturate the air at the existing temperature.

SAA
"SAA" means the Society of American Archivists (SAA), the oldest and largest organization for archives and archivists in North America. The association establishes standards and guidelines for the identification, preservation and use of records of historical value. The society's address is as follows:

> **Society of American Archivists**
> **600 S. Federal, Suite 504**
> **Chicago, IL 60605**
> **Telephone: (312) 922-0140**
> **Fax: (312) 347-1452**

STATE HISTORICAL RECORDS ADVISORY BOARD
"State Historical Records Advisory Board" or the "SHRAB" means the state board, appointed by the Governor, under the authority of federal statutes governing the National Archives and Records Administration (44 U.S.C. 2104) and in federal regulations governing the National Historical Publications and Records Commission NHPRC) (36 C.F.R. Part 1206). SHRAB also derives its purpose from federal statutes that are NHPRC's statutory authority (44 U.S.C Chapter 25). The Mission of the Idaho State Historical Records Advisory Board is to be an advocate for the creation, preservation, dissemination and use of information that accurately chronicles the people and institutions of Idaho, both public and private.

STORAGE HOUSING
"Storage housing" means a physical structure supporting items enclosing or holding records and may consist of racks, shelves, drawers or cabinets.

UL
"UL" means Underwriters Laboratory Inc., a provider of product safety certification and quality system registration services. The corporation's address is as follows:

Underwriters Laboratory Inc.
333 Pfingsten Rd.
Northbrook, IL 60062
Telephone: (847) 272-8800

APPENDIX 5: DISASTER PREPAREDNESS

Before a disaster occurs, each agency should develop a disaster preparedness plan for their records. A disaster preparedness plan details how records and information should be protected in the course of normal operations, and how they should be handled in recovery efforts after an actual disaster. The Historical Society will aid agencies in setting up a disaster plan for their records.

EMERGENCY PROCEDURES FOR THE RECOVERY OF PAPER RECORDS

In the event of a disaster, work must begin immediately to care for vital records.

Some general guidelines are as follows:

- Assess the damage. Determine the extent and kinds of damage, and the volume of records damaged.
- Set priorities for recovery using your disaster preparedness plan as a guide. Records which are still active, necessary for current business, and were not duplicated elsewhere, should receive attention first.
- Prepare a damage assessment and control worksheet for each damaged records series and organize by file cabinet, shelf unit, or by other logical grouping. The worksheet should note the records series title, original location of the records, damage incurred, and restoration plan and priority.
- Transfer damaged records to temporary storage or to an area where restoration can begin.

Professional assistance is available from the State Historical Society. Call 334 - 3356 from 8:00 A. M. to 5:00 P. M. Monday through Friday and Building Security at 334 - 2222 at all other times.

FIRE DAMAGE

Closely packed paper burns with difficulty; therefore, the damage caused by fire may be superficial.

***Salvage Procedures**:*

- Remove documents from containers
- Gently spread papers out to inspect the extent of the damage.

For minimum damage (smoke damage, sooty, lightly charred at edges):

- Allow paper to dry in an open place

- Clean gently with a soft brush
- Humidify by circulating moist air
- Re-file in clean folders and place in new or restored cabinets

For moderate damage (edges heavily charred, paper discolored by heat, very dirty, brittle):

- Spread papers out in a very humid, well-ventilated area
- Brush off the worst dust and soot
- Re-file in clean folders, or make copies and discard the originals, depending on the documents' retention value and reference rate

For badly damaged (badly charred, very dirty, extremely brittle):

- Separate pages
- Remove surface soot or dirt if possible
- Copy, microfilm, or use infrared photography if necessary
- Discard originals

Burnt documents

- Discard. Complete an inventory of the records that have been destroyed, if the records can be identified.

WATER DAMAGE

Mold damage, disintegration, and the bonding of paper into inseparable mats are the main problems resulting from water damage. Quick action is the key to recovery of water-damaged records. After twenty-four hours, mold begins to grow, and paper fibers begin to bond between the pages or turn into paper pulp.

Salvage Procedures*:*

- Drain excess water from records
- Remove additional moisture by blotting with an acid-free paper
- Spread out in warm, dry, well-ventilated room
- Flatten while still slightly damp
- Fumigate to kill mold spores
- Clean with a soft brush to remove dead mold spores
- Place into clean folders and re-file

If there is a large volume of damaged records (more than a few cubic feet), it is best to freeze the records immediately. Freezing arrests further damage and allows for the treatment of small batches over a longer period of time. Arrangements for deep-freezing can be made with most local cold-storage companies.

RECOVERY REFERENCES

For more extensive information on records disaster prevention, planning, and recovery techniques of disaster-damaged records, including nonpaper media such as film and magnetic tapes, a manual titled “Disaster Preparedness” may be obtained from the State Archives.

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APPENDIX 6: SAMPLE RECORDS MANAGEMENT POLICY

The following generic policies can be used in the development of a records management policy.

DEFINITION OF STATE OF IDAHO RECORDS

All papers, correspondence, memoranda, accounts, reports, maps, plans, photographs, sound and video recordings, files, microfilm, magnetic, or paper tapes, punched cards, or other documents, regardless of physical form or characteristic, which have been or shall be created, received, filed, or recorded by State of Idaho employees in pursuance of law or in the conduct, transaction, or performance of any business or duty, whether or not confidential or restricted in use, are hereby declared to be records of the State of Idaho. These records shall be created, maintained, and disposed of in accordance with the provisions of law or procedures authorized by the Department of Administration and in no other manner. Materials acquired solely for reference, exhibit, or display, and stocks of publications shall not constitute records for purposes of this definition.

RECORDS DECLARED PUBLIC PROPERTY

All State of Idaho records are declared to be the property of citizens of Idaho. No government official or employee has, by virtue of his or her position, any personal or property rights to such records even though he or she may have developed or compiled them. The unauthorized destruction, removal from files, or private use of such records is prohibited.

RECORDS MANAGEMENT PROGRAM STATEMENT

A Records Management Program shall implement agency-wide policies and standard procedures for managing records according to the provisions of the Public Records Act and all other state and federal statutes and regulations which govern agency records management practices, including:

- Effective compliance with public disclosure requirements;
- Insurance of records systems integrity and accessibility;
- Transfer of historically valuable records to the State Archives;
- Removal of non-current records from active office storage;
- Protection and security backup of records essential to agency authority and operations;
- Disaster preparedness; and
- Systematic identification and disposal of records which have reached the end of the retention period specified on the retention schedule.

RECORDS MANAGEMENT POLICY

All governmental agencies, offices, etc. shall provide efficient, economical, and effective controls over the creation, distribution, organization, maintenance, use, and dispositions of all State of Idaho records through a comprehensive system of integrated procedures for the management of records from their creation to their ultimate disposition. A Records Officer shall administer a Records Management Program that will coordinate records management operations and direct and control the disposition of public records in accordance with laws and established procedures.

All agency heads are responsible for the implementation and operation of effective files operations, records transfers and dispositions, and other records maintenance activities in their areas of responsibility. Records coordinators shall be designated within their area to provide support for the Records Officer and to oversee records management in their assigned area.

The Records Coordinators will work with the Records Officer to ensure that:

- Records are accessible for public inspection and their security is maintained according to the provisions of the Public Disclosure Act.
- All information systems preserve the integrity and accessibility of public records for the duration of the established retention periods.
- Only active (referred to at least once per month) records are stored in valuable office space.
- Non-current records are shifted to low-cost records center storage on a regular basis.
- Records essential to agency authority and operations are adequately protected from damage or loss.
- The agency is prepared to recover or replace records damaged or lost in a disaster.
- Historically valuable records are preserved and transferred to the State Archives.
- Records are destroyed at the end of the retention period specified on the approved retention schedule.

RECORDS OFFICER RESPONSIBILITIES

- Plan, formulate, and prescribe basic files management and records disposition policies, system, standards, and procedures.
- Prepare records retention and disposition schedules in cooperation with agency staff, define and identify vital, historical, and/or permanent records; and establish retention periods for all records in accordance to laws, regulation, agency requirements, etc.
- Provide records management advice and assistance by preparing policies and/or procedures and on-site consultation.

- Develop, disseminate, and coordinate files maintenance, records disposition procedures, or computer assisted retrieval programs to meet current and long-term needs of the agency.
- Establish and monitor compliance with standards for filing and storage equipment throughout the agency. Keep detailed records of equipment, supplies, and staff costs, including the amount of storage space and equipment released for other uses and suggested changes to enable management to realize the greatest efficiency and effectiveness in records management.
- Develop a forms design and control system, micrographics controls and procedures, electronic records management policies and procedures, etc.
- Train other personnel in the fundamentals of records management and their role in the records management program.
- Review retention schedules annually and update or amend as needed.
- Coordinate file management and records disposition.
- Implement destruction and transfers that are required by the records retention schedule.
- Develop a disaster plan to insure maximum availability of records for re-establishing operations quickly with minimum disruption and expense.
- Ensure the preservation of historically valuable records.
- Prepare reports and budgets for the Records Management Program as needed.

NON-CURRENT RECORDS NOT TO BE FILED IN OFFICE FILES

Records that are no longer required to support current operations shall be transferred to less costly off-site storage, or be destroyed when such action is indicated by an approved records schedule. Non-current records shall not be maintained in active office files or equipment.

ARCHIVES

An archives site shall be established to store inactive records and shall insure the security of such records from deterioration, theft, or damage during the period of storage and shall include fast, efficient retrieval of information from these stored records.

Permanent preservation of historically valuable records shall also be provided, and unless otherwise restricted by law or regulation, shall be open to the public for research purposes. Transfer to the State Archivist will be coordinated by the Records Officer.

The transfer of public records to any records storage center or other type of facility shall not take place without a detailed transfer list.

DEVELOPMENT OF RECORDS RETENTION AND DISPOSITION SCHEDULES

All State of Idaho offices shall adopt records retention and disposition schedules and destroy, transfer, or otherwise dispose of records in accordance with the policies set forth by the records schedules.

Retention periods shall be included in the records schedule which shall be submitted to the Records Officer and agency officials for approval or objection to any retention period listed on the schedule within a (designated time). At the expiration of the (designated time), if no objection has been made, the records schedule shall be adopted and shall have the full force as sufficient authorization for records destruction or other action. If an objection is made the Records Officer in cooperation with other authorities shall determine an appropriate retention period and shall revise the schedule and notify the originating office.

When a records retention schedule is adopted, it shall constitute full authority to transfer, microfilm, image, archive, destroy, or take other actions with respect to government records. The agency must keep documentation (as required in SG0035) of these activities.

The Records Officer shall coordinate all intended destruction activities. Any public records that are to be destroyed and are not listed on an adopted records retention schedule must also have a detailed destruction list prepared. The list and a written notification of intended destruction shall be sent to the appropriate authorities for their approval.

ONE-TIME DESTRUCTION OF OBSOLETE RECORDS

Prior to the implementation of the records management program, a one-time destruction of obsolete records may be made by or under the supervision of the Records Officer. Prior to such destruction the Records Officer shall submit to appropriate authorities for approval detailed lists that identify which records are to be destroyed.

MICROGRAPHICS STANDARDS

Microfilm used for archival or security purposes must meet the technical standards as defined by the American National Standards Institute (ANSI) or as required by law. The master negatives shall not be used for making copies and shall be stored off-site under the environmental and security standards of ANSI. Microfilm records must be indexed. The employee that films the records shall check and certify that the microfilm record is a true and accurate duplication of the original record and shall cause the certification to be included as part of the microfilm record.

The public is given identical access to records on microfilm to which they would be entitled to under law if the records were in any other medium. A reasonable fee can be charged for reproduction of official or unofficial copies from records on microfilm.

The Records Officer shall determine the length of time the various records could be stored before the cost of storage during their retention periods would exceed the cost of preserving them in microfilm. Additionally, the following records may also be considered for microfilming:

- Records whose historical value is best insured by microfilming.
- Records whose information is indispensable to continued business operations, and therefore require a security copy.
- Records which require high volume retrieval and/or numerous copies to be made, and which could be made more efficiently or economically by using microfilm.

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APPENDIX 7: SAMPLE E-MAIL POLICY

The following generic policies and procedures can be used to develop an e-mail policy for your agency.

PURPOSE

The statement sets out the policies and responsibilities for electronic mail so that staff can make effective and appropriate use of this form of communication. *This non-interactive ("store and forward"), location-independent form of communication has become an integral part of supporting business processes.*

SCOPE

The statement describes electronic mail systems used by staff.

DEFINITIONS

"Electronic mail is the electronic transfer of information between staff, typically in the form of electronic notes and memoranda." Additionally, through managed and controlled connection to the mail networks of other organizations, staff can exchange information with other staff or other organizations with a business relationship. Electronic mail often serves as the only record of a decision or other official action.

Official electronic mail is that which is created, sent or received in the course of business-related activities. It can be internal (exchanged among agency staff) or external (exchanged between staff and outside organizations or individuals). It can have long- or short-term value, and can be confidential or unrestricted.

POLICY

Access: The "agency name," based on business needs, will provide electronic mail services to:

- Regular staff.
- Executive directors and their staff.
- Non-regular staff, as business needs require.
- Other specific instances.

Access will not be provided to companies, but can be given to individuals and individual staff of authorized and sponsored companies.

Access to electronic mail services may be provided for the following conditions:

- A clear business need for the services, and sharing electronic mail services would help the agency fulfill its development mandate and work program more effectively,

- Assist other entities within the business community,
- Use of the services will be strictly limited to business-related communications.
- Are sponsored by a business unit of the agency and agree to bear the costs associated with use of the services.

The “agency name” may revoke access at any time on or before the date the outside organization ends its association or acquires the capability to communicate via similar services.

APPROPRIATE USE

Through the provision of appropriately secured and managed gateways to the electronic mail services of other organizations and networks, the “agency name” has provided staff with the ability to exchange and share electronic mail with individuals and organizations throughout much of the world. This capability is intended for official business use. Use of electronic mail services for purposes constituting clear conflict with “agency name” interests or in violation of state record information disclosure and information security policies is expressly prohibited, as is excessive personal use of electronic mail services. (For example, using electronic mail on one's own time to communicate on occasion with a child at college is permissible; using it to send information designated “for official use only” to friends outside the agency is not.)

Staff must ensure that information in the custody of the “agency name” is not shared with external individuals and organizations without legitimate management authorization.

DISCIPLINARY MEASURES

Staff should be aware that their electronic communications by nature represent and reflect on the agency as an institution, regardless of any disclaimers included in messages; therefore, they should ensure that their messages do not harm the agency's reputation or obstruct its work in any way.

RETENTION OF OFFICIAL ELECTRONIC MAIL

Official electronic mail constitutes state records and should be retained and disposed of in the same manner as other business records. To prevent premature deletion of records, staff members are responsible for taking appropriate action, such as forwarding a copy to the appropriate official file maintained by an official Information Services Center or by the staff member's business unit. All staff members are responsible for ascertaining how their business unit manages its official files. Both incoming and outgoing official electronic mail, together with all attachments, should be filed. The management of copies for future use or reference should be according to the procedures promulgated periodically, or provided in on-line help or printed documentation.

Electronic mail containing a formal approval, authorization, delegation or handing over of responsibility, or similar transaction, must be copied to the appropriate file for purposes of evidence and accountability.

SECURITY

The “agency name” owns the contents of all files stored on its systems, all information within applications files, and all messages transmitted over its systems, and reserves the right to access them, where there is a genuine business need. All such access must be logged by the system administrator and action taken should be monitored by the business unit manager.

All reasonable precautions have been taken to ensure the integrity and confidentiality of information transmitted over the electronic mail services. Protection for individual accounts is in the form of an individual password. Staff must ensure the security of their use of the service by ensuring the integrity of their password. Specifically, a password:

- Should not be shared.
- Should be hard to guess (preferably choose a non-English word, do not use departmental or divisional acronyms or terms in common use,
- Include a number – (JOAN3ACC is better than FRED).
- Should be changed frequently.
- Should be changed immediately if there it a possibility that is has been compromised.

Every effort should be made to ensure that the confidentiality of electronic mail is appropriately maintained. Staff should therefore forward electronic mail messages only where there is a business need and with the approval of the originator, where feasible. Staff should also be aware that a message is not deleted from the system until all recipients of the message and of any forwarded or attached copies have deleted their copies. Moreover, confidentiality cannot be assured when messages are sent over outside networks such as the Internet, because of the insecure nature of most networks and the number of people to whom the messages can be freely circulated without the knowledge of the originating individual.

FINANCIAL RESPONSIBILITY

As part of its overall information-funding mechanism, the “agency name” ensures that electronic mail service design, implementation, and maintenance costs are recovered through a combination of charge-back and institutional funds. In this way, the system can be maintained and upgraded as technology advances.

Business unit managers are accountable for the charges accrued for accounts held by their staff, as well as by individuals and organizations whom they have sponsored. The rates for service use are published periodically and made available by the service provider to business unit managers.

RESPONSIBILITIES

All Staff: The dual nature of electronic mail -- immediate and informal like a phone call, and yet irrevocable like a memorandum -- along with the possibility of anyone monitoring and managing staff members' messages for them, requires that staff themselves explicitly

recognize their own responsibility for the content and dissemination of their messages. This responsibility includes ensuring that their messages:

- Are accurate.
- Are courteous (once sent, a message cannot be retracted).
- Are sent to selected staff with a need to know.
- Have been authorized at an appropriate level.
- Protect others' right to confidentiality.

Staff is also responsible for:

- Knowing the content of the messages they receive and providing timely responses.
- Making messages accessible to others as business needs require.
- Filing and disposing of their messages appropriately. (Disposition includes discarding messages that do not need to be stored and retaining messages that may need to be retrieved in the future or that constitute records of official work.)

ORGANIZATION RESPONSIBILITIES

The Organization is responsible for:

- Determining and maintaining policies, strategies, and standards for electronic mail services.
- Developing, implementing, and managing institution-wide electronic mail services.
- Providing support to staff using institution-wide electronic mail services.
- Publishing specifications for connectivity with other mail services.
- Publishing specifications and standards for mail-enabled applications.
- Managing billing for electronic mail services.

The Director holds ultimate responsibility for the governance of electronic mail. However, in keeping with the prevailing information technology framework, advisory and technical groups that are drawn from throughout the user community may be formed. These groups will provide input and feedback on business needs, business plans, and possible enhancements related to electronic mail.

The Training Section shall provide training in the use of the electronic mail system.

APPENDIX 8: RECORD CENTER POLICIES AND PROCEDURES

RECORDS RESPONSIBILITIES

RESPONSIBILITY ASSIGNED TO THE DEPARTMENT OF ADMINISTRATION

Idaho Code, Sec. 67-5751 gives the Director of the Department of Administration the responsibility of developing a statewide records management program. The Department of Administration provides technical assistance in complying with legal requirements and developing systems for managing records. Information is provided on records retention scheduling, micrographics, filing and information retrieval, essential record protection, disaster preparedness and recovery, records center operations, records access and disclosure, and media storage standards.

STATE RECORD CENTER

The State Record Center (SRC) is housed within the Department of Administration. It publishes this "Records Management Guide" and assists state agencies in any area of records management -- setting records retention schedules, storing records, producing microfilm and COLD, processing requests for disposal of records, and reviewing proposed new forms prior to printing.

SRC, in conjunction with the Legislative Auditor and the State Archives, is also responsible for approving all records retention schedules, and the overall destruction of records.

State Record Center personnel are available to aid agencies in:

- Records Inventory and Retention
- Microfilm Systems and Applications
- Micrographics Services
- Records Disposition
- Computer Output to Laser Disk (COLD) Applications

RECORD CENTER POLICIES AND PROCEDURES

Records are indispensable in the efficient and economical operation of state government. They serve as the memory and are evidence of past events as well as the basis for future actions. When created, maintained and disposed of in a systematic and orderly fashion, records are a tremendous asset. If records are created, maintained and disposed of in a haphazard and disorderly manner, they reduce the effectiveness of an organization and increase its costs substantially.

The purpose of the State Record Storage Center is to provide the basic principles with which a workable and economical records management program for agencies can be formulated and put into effect.

OBJECTIVES OF THE PROGRAM

To Save Space

- By removal of inactive records from costly office space,
- By removal of records no longer of value from storage space, and
- By a systematic flow of records from office to storage to disposal.

To save Money

- By providing low cost storage for inactive records,
- By controlling and reducing the purchase of additional equipment, and
- By releasing surplus filing equipment.

To Save Time

- By reducing the volume of records that are filed and refiled.
- By instituting systems whereby each agency knows what records it has and where they are kept,
- By providing an orderly, efficient manner for storing and retrieving inactive records.

STATE RECORD CENTER

State government creates a tremendous amount of records, which in turn require the use of office space or separate storage facilities to maintain these records. In response to this need, a State Record Storage Center has been established for the economical, efficient storage of records of all State agencies.

Most agencies have records that are no longer needed within the office, but for statutory or other reasons must be kept for a specific period of time. In order to release costly office space, these types of records should be transferred to the State Record Center where storage space is less costly. The Center provides a systematic method for managing records; it is not a "warehouse", but a facility where records can be stored in a controlled environment, and then be retrieved and delivered if the agency has a need to access them. Generally, all record series which are not referred to at lease once a month per file drawer, should be stored in the Center. When records are transferred to the State Record Center, the agency so doing loses no rights of control and access. The Center is only a custodian of the agency records, and access will only be by agency approval.

Agency records for which the State Record Center acts as custodian may not be subpoenaed from the Center but must be subpoenaed from the agency to which the records belong.

PREPARING RECORDS FOR TRANSFER

In order to provide better service to an agency requesting information and to standardize procedures, the State Record Center (SRC) has instituted the following procedures for preparing records for transfer to the State Record Center. Standardized cardboard containers must be used for storing records at the State Record Center.

- Pack records in the same order that they are filed in the office.
- Leave space within the container for ease of reference (about 3" of working space per box).
- Face letter size documents toward the front (printed end) of the box.
- Face legal size documents toward the side of the box (left side of printed end).
- Do not place records with different retention periods in the same box.
- Complete Form SRC-001, Record Transfer List (See Appendices). Submit the list to SRC for processing. A copy of the Transfer List will be sent back to the agency after the SRC has assigned its location. More than one (1) box may be listed on each List if the content of the box has the same record retention.
- Use a consecutive numbering system for numbering boxes.
- Use as much description as needed to identify records for future retrieval. Item numbers may be used as needed.
- Use standard sized record storage boxes (15" length x 11.5" width x 10.5" height).
- Remove or replace hanging file folders with plain folders.
- Place a detailed list of the contents inside, which includes Agency Box Number, Name of Agency, Box content identifiers.

IMPORTANT NOTE:

Non-standard size storage boxes will not be accepted for storage at the SRC.

RECORD CENTER OPERATIONS

Once the records are boxed, ready for transfer, and Form SRC-001 has been filled out, all that is needed for the records to be picked up and taken to the Center is a telephone call. Once in the Center, only employees of the agency with the legal custody of the records, or those persons with a letter of authorization from the agency, will be allowed access to the records. In addition a State agency may, when depositing records in the Center, impose in writing any special restrictions which may apply to the access of restricted/classified records. In every circumstance, the State Record Center will take all necessary and proper measures to insure the security of those records. State Record Center staff have also signed written agreements of confidentiality towards this intent.

REQUESTING RECORDS FROM THE CENTER

Requests for records and/or inquiries for information contained on a record can be made by telephone, fax, written request, or a personal visit. However, it is preferred that request be made by telephone prior to a personal visit to allow retrieval time and eliminate unnecessary delays during your visit. It will be a necessary assumption of the State Record Center staff that if a person requesting a record(s) has access to the Record Center vault location number, then he or she has the agency's approval to do so (except for classified records).

Request only the specific folder or individual records required. If files have not been classified, it is not necessary to ask for the entire box to obtain one particular record. Requests for records must include the following:

- Name of agency and division
- First and last name, telephone number, and location of requesting person.
- Title, description, box number, and vault location of the record.
- Whether or not the records will be returned.

When a large number of records are required and the time element is not critical, a written request should be submitted. A Request for Stored Record, Form SRC-002, see Appendices, must be used and can be sent by Statehouse Mail, fax, or electronically. Once again, request only the specific folder or individual records required.

If a records request is received before 9:00 A.M., delivery will usually be made during the same morning. Later requests will be delivered in the afternoon or the following day, unless specified as an emergency request.

In most cases an agency will request a particular record or series of records. However, when only information is needed, the Center can provide such service by a return phone call with the requested information (assuming the records have not been classified). This eliminates the need for delivering the records. All requests for stored records are documented by use of the Request for Stored Record.

INFORMATION TECHNOLOGY RESOURCE MANAGEMENT COUNCIL

The Information Technology Resource Management Council (ITRMC) reviews and evaluates the information technology and telecommunications systems presently in use by state agencies, recommends and establishes statewide policies, and prepares statewide short and long-range IT and Telecommunications Plans.

Within the context of those plans, the ITRMC establishes statewide IT and telecommunications standards, guidelines, and conventions assuring uniformity and compatibility of state agency systems. The ITRMC, established in 1996, follows the philosophy of local control and central coordination, and has statutory authority, Idaho Code, Section 67-5745 and 67-5748. The ITRMC Vision is: Assure standardized, effective, and efficient statewide access to information and services.

STATE ARCHIVES ROLES AND RESPONSIBILITIES

Idaho Code, Section 67-4126, makes the State Archives responsible for identifying, storing, preserving, and providing public access to government records, which have continuing historical value beyond their usefulness to the agencies, which created them.

Archival records must be transferred to the State Archive's office in Boise.

The State Archives also serves as a focal point for public records management standards guidelines, procedures and educational offerings covering:

- Essential records protection.
- Files classification/maintenance.
- Electronic records management.
- Microfilm preparation/transfer.
- Non-current records storage and retrieval.
- Security storage of microfilm copies of essential records.
- Disaster preparedness and recovery information.
- Records retention and disposition.
- Archival records transfer procedures.

SERVICES OF HISTORICAL SOCIETY LIBRARY AND STATE ARCHIVES

The Idaho State Historical Society Library and State Archives holds a large collection of material relating to the history of Idaho and the Pacific Northwest. The collection is extremely varied in subject, geographic area, and time period. It includes both historical and genealogical information and covers a wide variety of mediums, including manuscripts, state archival records, books, periodicals, oral history interviews, motion picture films and videos, microfilm, and maps. In addition, the Historical Society Library and State Archives collection supports the State Historical Society's other collections as a repository of general reference materials.

INFORMATION REQUESTS

To send a reference question through e-mail, please read the following section before submitting a request:

- Staff is happy to help with questions whether by telephone, e-mail, fax, or U.S. Postal Service. When sending a query, please keep in mind the following:
- Queries will be answered in the order received regardless of the format in which they arrive. Depending on the number of requests received at any given time, it may take staff two to four weeks to prepare an answer.
- INCLUDE YOUR NAME AND MAILING ADDRESS in case photocopies, brochures, and other information need to be mailed. Your phone number or e-mail address is also helpful, in case there are questions about your query.
- MAKE YOUR REQUEST AS SPECIFIC AS POSSIBLE and include dates, places, and individual's full names. Don't ask for "all the information you have on John Smith." State exactly what information is needed.
- IF POSSIBLE, CHECK BASIC SOURCES FIRST. Go to your local public library and use an encyclopedia, dictionary, or atlas to look up general topics.
- KEEP YOUR QUESTION SHORT. Staff can't answer requests that require more than one hour of time to research. A list of private researchers who will undertake searches for a fee is available upon request.
- DO NOT SEND THE SAME REQUEST TO MORE THAN ONE STAFF MEMBER. Queries will be directed to the appropriate staff member for response.
- Requests that can be answered in less than 30 minutes will be charged for photocopies at $.50 per page ($5.00 minimum) and postage.
- Requests that take between 30 and 60 minutes to answer will be charged a $15.00 research fee, in addition to photocopying charges and postage.

- Requests that require more than one hour of research time by staff cannot be answered. In most cases, prepayment is required; staff will notify patrons of estimated costs before the research is undertaken.
- For historical reference questions, send email to sbarrett@ishs.state.id.us.

INTER-LIBRARY LOAN

Most materials on microfilm (exceptions include the Idaho Statesman newspaper and Sanborn maps) and transcripts and audiotapes of oral history interviews may be borrowed through interlibrary loan services at the borrower's local library.

Archival and manuscript materials, books, periodicals, maps, and audio-visual materials are not loaned.

Materials are loaned only to academic, public, and historical agency libraries. Requests must be received on a standard ALA-approved ILL form. Material is loaned for a maximum of two weeks use and must be used in the borrowing library. There is a limit of two reels of microfilm and three oral history tapes/transcripts per patron request. Materials may not be renewed.

Out-of-state libraries will be charged a $5.00 minimum shipping and handling fee for each transaction. Prepayment is required; make checks payable to the Idaho State Historical Society. Please do not send cash. There is no charge to Idaho patrons.

Material loaned through interlibrary loan must be for personal use only. The user is responsible for copyright compliance.

Please return material promptly. Microfilm should be shipped in boxes, not padded envelopes. The borrower is responsible for cost of replacement if materials are damaged while on loan.

Upon request, staff will photocopy indexes and specific pages of non-circulating material. Requests for copies from manuscript or archives collections will be undertaken at the discretion of the library staff as some items may be too fragile for photocopying. Requests for copies of more than 50 pages will be undertaken at the discretion of library staff.

The minimum charge for photocopy requests is $5.00 (1-10 pages). Thereafter the charge is $.50 per page from microfilm or paper originals. Copies are provided for personal use only. The user is responsible for copyright compliance. Materials from the Library and Archives archival collection may not be reproduced without permission.

LIBRARY AND ARCHIVES CATALOG

The Library and Archives collections are cataloged on OCLC LaserCat, a national database available at many public, school, and university libraries.

The Library and Archives also maintains a number of card catalogs and other printed indexes and finding aids which are available to on-site patrons.

PHOTOCOPYING

Self-service photocopy and microfilm reader/printers are available for public use. Photocopies cost $.20 per page for letter and legal size copies, $.40 per page for ledger size. Staff reserves the right to restrict copying of material which may be damaged by the photocopying process, would violate copyright, or carry state or donor-imposed restrictions. Staff may be able to provide photocopies of certain oversize materials at a cost of $2.00 per item.

PHOTO REPRODUCTION

Prints or slides of materials may be purchased (unless restricted by the donor, copyright, or the condition of the item). Fee schedules and order forms are available upon request. Advance permission is required for publication or other public use and a fee is charged for all commercial uses. Additional information is available upon request.

Library/Historical/State Archives Collections are available to the public at:

450 North Fourth Street
Boise, Idaho 83702-6027

Location on map can be obtained on the web at:
http://www.idahohistory.net

Telephone numbers:

- Fax: 208-334-3198
- Genealogy: 208-334-3357
- History: 208-334-3356
- Oral History: 208-334-3863
- State Archives: 208-334-2620

Hours:

- Wednesday – Saturday: 9:00 a.m. - 5:00 p.m.
- Closed major State holidays.

IDAHO STATE HISTORICAL SOCIETY
RECORDS SERIES DESCRIPTION

INSTRUCTIONS: COMPLETE ONE FORM FOR EACH RECORDS SERIES

Records Group No. _____
Records Group Title _____
Records Series Title _____
Description of Records Series:

Beginning Date: _____ Ending Date: _____
(If series is ongoing, use current date)

Volume of Existing Records by Record Type:

Paper Records:	_____	C.F.	Audio-tape:	_____	Items
Machine Readable:	_____	Items	Moving Image:	_____	Reels
Microfilm:	_____	Rolls	Microfiche:	_____	Items
Architectural Drawings:	_____	Items	Maps:	_____	Items
Sound Collection:	_____	Items	Video-tape:	_____	Items
Photo Collection:	_____	Items	Bound records:	_____	vols
Other:					

Estimated Annual Growth (paper records only):_____ C.F.

Special Media Index Numbers (if any): _____

IDAHO STATE HISTORICAL SOCIETY
TRANSFER OF RECORDS

Date: _____ Initials of agency head or representative: _____

Contact Person: _____
Name Title Phone

From: _____
Department

Inclusive Dates: _____ Total Volume _____
(Please use cubic foot storage boxes)

Restrictions on Records: Yes No NOTE: If Yes, attach Copy of Authority

RECORD SERIES TITLE: _____

BOX NUMBER	DESCRIBE CONTENTS OF EACH BOX	INCLUSIVE DATES OF EACH BOX

ATTACH ADDITIONAL SHEETS IF NECESSARY

_____ _____
NAME AND TITLE OF ISHS REPRESENTATIVE DATE

RECORD INVENTORY AND ANALYSIS
State of Idaho
Department_____

1. Department	2. Bureau	3. Section or Unit

4. Location of Records (room, floor, building	____ Office ____ Storage Area

6. Describe the information contained in the record (inclued purpose, form number, and agency control number)

7. Record Volume	**8. Method of Filing**	**9. inclusive dates of Records**
____ Boxes ____ Drawers ____ Others Size Cubic Feet of Records	Alphebetic By Numeric By Other	From To

10. Type of Record

Document				Microfilm	
____ Legal	_____ Card File	____ Punched	____ Magnetic	____ 16 mm	
____ Letter	_____X_____	Card	Tape	____ 35 mm	
Other				____ Other	

11. Are records still created?	12. Annual Accumulation	13. Is Record Audited
____ Yes ____ No ____ Unknown	Cubic Feet	____ Yes How Often_____ ____ No

14. Does Record contain confidential information?	15. How Current is this information?
____ Yes ____ No	

16. Does Record Originate in this office? If yes, complete page 2 of form
____ Yes ____ No If No, where does it originate?

17. Reference to record (Check appropriate blocks, insert number of months or years, circle month or hear)
____ **DAILY FOR_____ Mo., Yr(s)** ____ **WEEKLY FOR _____ Mo., Yr(s** **YEARLY FOR _____ Y** **Never after _____ Mo., Yr(s).**

18. RECOMMENDED RETENTION PERIOD AND JUSTIFICAT	19. **STATUTORY OR REGULATORY REQUIREMENTS**
A. In Operating Area	A. Revised Code
B. In Records Center	Years
Justification	B. Agency Regulation
	Years

20. Additional Remarks

Inventory Taken by	Date	Reviewed By	Date
Revoew By (Records Manager)	Date	Schedule Number Establis	Approved by Records Management

RETURN BOTH COPIES TO CENTRAL RECORDS MANAGEMENT
White - Central Records Copy Yellow - Agency File After Action

STATE OF IDAHO

RECORDS RETENTION SCHEDULE

Page	OF

Department	Division	Address	City	State	Zip code

Department Approval (Include Title)	Date	Records Management Approval	Date

RECORDS CONTROL NO.	RECORD TITLE	Retention Period				REMARKS
		OFFICE	RECORD CENTER	MICRO-FILM	MAG TAPE	

State of Idaho
Department of Administration

STATE RECORD CENTER

RECORD TRANSFER LIST

	Date Transferred	Location		Record Center Use Only
Department	Division	Records Beginning Date	Record End Date	
Agency Code	Program Code	Subsidiary,Group,Bureau	Contact	Telephone

Record Storage Box	Item No.	Description	Form Number	Most Recent/ Inclusive Years	Retention Requirement	Vault Location (Records Center Use Only)

SRC-001 Rev. 10/96

REQUEST FOR RECORDS
DISPOSAL AUTHORIZATION

STATE OF IDAHO

TO: State Record Center

Page of
FOR SRC USE ONLY
Control No.

Department:	Street Address, City, State, Zip code:	Date

Department Approval: (include Title)

Are Any of these Records on Microfilm? If yes, enter M/F Next to the Title of Records ☐ Yes ☐ No	Location of Records.
Are Any of these Records Stored Elsewhere? If Yes, Identify the other Locations. ☐ Yes ☐ No	Volume. Sq. Ft. of Floor space. Cu. Ft of Records

Disposal If approved, Please indicate Yes or No if your Department wants the State Record Center to Handle the Disposal of these records.
If Yes, PLEASE Call for current costs. If No, the Records will be delivered to your office.

☐ Yes ☐ No Department Approval: (include Title)

RECORD S G NUMBER	RECORD TITLE (INCLUDE CONTENTS DESCRIPTION)	INCLUSIVE DATES	TOTAL RETENTION

SUBMIT COMPLETED FORM TO STATE RECORD CENTER FOR PROCESSING.

State of Idaho
Department of Iadministration
RECORDS STORAGE CENTER

Log No.

Date

REQUEST FOR STORED RECORD CHARGE OUT FORM

Requesting Dept./Division	Agency Code	Order By(Please Print)	Deliver to (Bldg. & Room)	Telephone
	Program Code			

RECORD DESCRIPTION

Record Series	Sub-Description	Record Date	Transfer List Page No	Item	Records Center Location

Futher Information

FOR RECORDS CENTER USE ONLY

	P	F											
Record Attached			Copy Attached	Type	Request		Phone		Mail		Visit		Messenger
Not in Center			Request Filled	Service	Dispatch		Phone		Mail		Visit		Messenger

Date Searched	Elapsed Time	Processor	Billed	Date Pulled	Elapsed Time	Processor	Billed

SRC-002

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GUIDELINES

A record is recorded information, in any form, including data in computer systems, created or received and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

The following records retention schedule is reviewed and modified, if necessary, on a yearly basis. The schedule is designed to be a reference in designing individualized agency retention schedules and to provide a level of uniformity in records retention throughout Idaho state government. The State Record Center, Department of Administration should be contacted if there are suggestions as to changing or modifying records in this schedule, or if activities of your agency require different retention.

All retention periods are filed by either the fiscal or calendar year. For all UNANNOTATED DUPLICATE COPIES, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

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ADMINISTRATIVE RECORDS

SG0001. **ACKNOWLEDGMENT FILES**

Acknowledgment, transmittal of inquiries, and requests that have been referred elsewhere for reply.

Retention *Record copy:* Retain for 1 year after acknowledgment and/or referral and then destroy.

SG0002. **ADMINISTRATIVE HEARING TRANSCRIPTS**

Transcripts of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached. May include audio and video recordings if minutes are not taken.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0003. **ADMINISTRATIVE REFERENCE/READING FILES**

Record of all memoranda and correspondence generated by another agency for general reference by all agency employees.

Retention *Record copy:* Retain for 1 year or until administrative need ends, whichever is first, and then destroy.

SG0004. **ADMINISTRATIVE RULE RECORDS**

Also known as the administrative record. Information an agency relies upon when making a rule including copies of the proposed rule, change in the proposed rule, and the rule analysis; the public comment received and recorded by the agency during the public comment period; the agency's response to the public comment; the agency's analysis of the public comment; and the agency's report of its decision-making process. Also may include records and other information used by agencies to support rule-making decisions. Agencies are required to file the administrative record along with their responsive pleadings with the court when the rule is challenged.

Retention *Record copy:* Retain by Agency for 4 years after effective date and then destroy.

SG0005. **ADMINISTRATIVE RULEMAKING FILES**

Papers of short-term interest which have no documentary or evidential value. Includes transmittal correspondence, copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; and quasi-official notices such as for holidays, charity, and fund appeals, bond campaigns, and other similar papers.

Retention *Record copy:*Retain 1 year or until administrative need ends then destroy.

SG0006. AGENCY WRITTEN HISTORIES

Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audio-visual agency histories. This series documents the efforts of an agency or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0007. ATTORNEY GENERAL'S OPINIONS

Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0008. COMMITTEE AND ADMINISTRATIVE HEARING RECORDINGS

Audio and video recordings which document what transpired at committee and board meetings, conferences, and administrative hearings.

NOTE: If summary minutes of these meetings are not taken, the recordings are permanent and should be transferred to appropriate storage. Contact State Archivist.

Retention *Record copy:* Retain by agency for 1 year after meeting minutes have been approved and then destroy.

SG0009. COMMITTEE AND CONFERENCE FILES

Records created by a committee or conference, including advisory committees, relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recordings if minutes are not taken.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0010. DAILY ACTIVITY SCHEDULES

Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of employees. Records containing substantive information relating to the official activities of high-level officials which are not incorporated into memoranda, reports, correspondence, or other records included in the official files. Include calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the employees.

Retention *Record copy:* Retain by agency for 1 year and then destroy.

SG0014. EXECUTIVE CORRESPONDENCE

Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements. Includes electronic mail that communicates the above.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0015. FEASIBILITY STUDIES

Studies conducted before the installation and implementation of any technology, equipment, process, or procedure. Includes studies and systems analysis for the initial establishment and major changes of these systems.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0016. FINDING AIDS

Indices, lists, catalogues, registers, and other finding aids necessary for the efficient use of other records.

Retention *Record copy:* Until records to which they pertain are destroyed or destroy when no longer needed for reference.

SG0017. FORMS DEVELOPMENT FILES

Working papers, background materials, requisitions, specifications, processing data, and control records which provide documentation to the creation and establishment of a form.

Retention *Record copy:* Retain for 1 year after form is discontinued, superseded, or canceled and then destroy.

SG0018. CORRESPONDENCE (ROUTINE)

Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.

Retention *Record copy:* Retain by Agency for 3 years and then destroy.

SG0020. INCOMING DOCUMENT LOG

Records which provide detailed information on incoming documents that require distribution or action.

Retention *Record copy:* Retain by agency for 1 year and then destroy.

SG0021. INTERNAL ADMINISTRATIVE CORRESPONDENCE

Retention *Record copy:* Retain by agency for 2 years and then destroy.

SG0022. INTERNAL COMMITTEE AND CONFERENCE FILES

Records relating to executive establishment, organization, membership, and committee policy to handle problems or issues within an agency.

Retention *Record copy:* Retain by agency for 2 years after termination of committee and then destroy.

SG0023. LITIGATION CASE FILES

Document judicial proceedings, which involve the state agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0024. MAILING LISTS

Lists of individuals, companies, or other entities with which the agency corresponds. Information includes street addresses, electronic mail addresses, and phone and FAX numbers.

Retention *Record copy:* Retain after list is discontinued, superseded, or canceled and then destroy.

SG0025. MANAGEMENT IMPROVEMENT REPORTS

Reports on analysis and implementation of programs and operation of those programs.

Retention *Record copy:* Retain by agency for 10 years and then destroy.

SG0026. ORGANIZATIONAL FILES

Records detailing an organization, which could include charts and reorganization studies. Also administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects. Formally prepared descriptions of the responsibility assigned to the senior executive officers of an agency at the division level and above.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0028. PENDING FILES

Papers arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

Retention *Record copy:* Retain until incorporated into official file when reply is received or action taken, retain in conjunction with that record series.

SG0029. PERFORMANCE AUDIT REPORTS

These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agencies programs, operations and productivity. The reports may be prepared by internal and/or external resources.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0030. POLICIES AND PROCEDURES MANUAL

Policies and procedures that govern the operation and administration of various programs within the organization.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0031. POLICY AND PROCEDURE CASE FILES

Case Files related to policy and procedure issuances which document the development of the issuance. Includes issuances related to routine administrative functions (e.g., payroll, procurement, and personnel).

Retention *Record copy:* Retain by agency for 2 years after superseded and then destroy.

SG0032. PROPOSED LEGISLATION RECORDS

Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0033. PUBLICATIONS

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical.

Retention *Record copy:* **PERMANENT**. Creating agency shall transfer one copy to State Archives when published.

SG0034. PUBLIC RECORD REGISTER SHEETS

Descriptive listings of agency records transferred to the State Archives. Information includes records series number, agency name and address, record series title and inclusive dates, classification information, accession number, agency box number, description of box contents, and date of transfer.

Retention *Record copy:* Retain by agency for reference.

SG0035. RECORDS DISPOSITION FILES

Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0036. RECORDS MANAGEMENT FILES

Records used in creating and establishing records management programs. They may contain records inventories, correspondence, classification designations, records control, equipment, filing procedures/manuals, training information, and other documents created by the State Archives and other agencies to facilitate records management practices. May also contain information on records management equipment and/or computer software.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0037. RECORDS TRANSFER SHEETS

Descriptive listings of agency records transferred to the State Records Center. Information includes record series number, agency name and address, Records Officer's name and signature, Chief Administrative Officer's name, record series title and inclusive dates, CLASSIFICATION information, accession number, agency box number, description of box contents, and records center box location.

Retention *Record copy:* Retain by agency for 5 years after records are destroyed and then destroy.

SG0038. TECHNICAL REFERENCE FILES

These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.

Retention *Record copy:* Retain by agency 1 year or until administrative need ends and then destroy.

SG0042. WORKING PAPERS

Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyzes, notes, interim reports regarding a particular case files, and financial performance audits.

Retention *Record copy:* Retain by agency until administrative need ends, then destroy.

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BOARD AND COMMISSION RECORDS

SG1501. **APPEAL AND REVIEW RECORDS**

Series documents reviews of decisions made by the board or commission or appeals to the board or commission concerning decisions made by state agencies, local governments, or special districts. Records may include but are not limited to narrative history or description of case; minutes and testimony; exhibits; reports and findings of fact; final orders, opinions, conclusions, or decisions; audio recordings; working papers; hearing schedules and lists of participants; and related correspondence and documentation.

Retention *Record copy:*

A. Case Files:
PERMANENT. Transfer to State Archives after 3 years.

B. Working Files:
Retain until case is closed and then destroy.

SG1502. **BOARD AND COMMISSION MEMBER RECORDS**

Series documents board and commission activities and serves as a reference source for board and commission members. Records may include but are not limited to correspondence, plans, statements of goals and objectives, minutes, committee reports, budgets, financial statements, reports, and other reference material. Records are often compiled in a notebook for each member.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG1503. **BOARD AND COMMISSION MEMBERS PERSONNEL RECORDS**

Series documents the appointment or election and subsequent personnel actions of board and commission members. If the office is appointive, records may include appointment letters from the governor or agency director and confirmation by the Senate if required. If the office is elective, election records may be included. Records may also include but are not limited to resumes; applications; personnel actions; interest forms for executive appointments; job descriptions; employee data sheets; and related correspondence and documentation.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

SG1504. BOARD AND COMMISSION MEETING MINUTES

Series documents the official proceedings of the board or commission meetings. Records may include agendas; minutes; meeting notices; items for board action; contested case hearings schedules; committee reports; exhibits; and related correspondence and documentation. Records may also include audio recordings of meetings used to prepare summaries.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

SG1505. BOARD AND COMMISSION FORMATION AND ORGANIZATIONAL RECORDS

Series documents the formation and organization of the board or commission. Records may include but are not limited to by-laws; position and policy statements; mission and goal statements; rules and regulations; work plans; and related documentation.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

SG1506. COMMODITY ASSESSMENT RECORDS

Series documents the assessment of fees to handlers, growers, and processors of agricultural products to fund the production and market research, educational, and promotional activities of the agricultural commodity commission. Records include the amount produced or processed and the commission's assessment per unit of production.

Retention *Record copy:* Retain by agency for 3 years or until administrative need ends and then destroy.

SG1507. COMMODITY PROMOTION RECORDS

Series documents the activities of the agricultural commodity commission to promote the marketing and sale of agricultural commodities. Records may include newsletters; circulars; advertisements; seminar reports; trip records; promotional statistical reports; marketing budgets; special events records; press releases; and related documentation and correspondence.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

SG1508. COMPLAINT AND DISCIPLINARY RECORDS, INDIVIDUAL

Series documents complaints brought against licensed and un-licensed individuals alleging professional practice violations and any resulting disciplinary actions. Types of complaints may include violations of laws, rules, or ethical standards; negligence; practicing outside scope of activities to which licensed; breach of confidentiality; and incompetence. Records may include investigation records; complaint forms; narrative description of complaint; complaint log; complaint disposition; hearings and appeals records; audio tapes; disciplinary actions such as suspension or revocation; and related correspondence and documentation.

Retention *Record copy:* Retain by agency for 5 years after cased is closed and then destroy.

SG1509. COMPLAINT AND INVESTIGATION RECORDS, ESTABLISHMENT

Series documents complaints brought against establishments alleging violation of laws and administrative rules that govern operation of the establishment. Records may include but are not limited to correspondence; description of complaint; case files; legal notices and orders; hearing records; audio recordings and transcripts; license and certificate records; exhibits; investigative reports; working notes and files; investigation committee records, minutes, and agendas; and related correspondence and documentation.

Retention *Record copy:* Retain by agency for 10 years after case is closed and then destroy.

SG1510. CROP PRODUCTION AND ACREAGE RECORDS

Series documents the number of acres devoted to production of an agricultural commodity and the amount of production. Records may include but are not limited to crop production register, acreage survey, type of crop, year, total acreage, total production, name and address of grower, and related correspondence and documentation.

Retention *Record copy:* Retain by agency for 3 years or until administrative need ends and then destroy.

SG1511. EDUCATION PROGRAM REVIEW RECORDS

Series documents the review of public and private educational programs, including college and university certification programs, to determine if license requirements, continuing education standards, or teacher certification requirements are being met. Records may include but are not limited to correspondence; reports from the college about its faculty, students, and curriculum; catalogs; self-study evaluations; lists of accredited schools; course listings and descriptions; program descriptions and literature; seminar and workshop agendas; and related correspondence and documentation.

Retention *Record copy:* Retain by agency for 3 years or until administrative need ends and then destroy.

SG1512. EXAMINATION AND ADMINISTRATION RECORDS

Series documents the administration of license examinations. Examinations may be administered locally by the licensing board, by an outside examination service, or by a national board. Records may include but are not limited to correspondence with applicants; master copy of exams; development of exam and exam question records; sample exams with answers; examination booklets; and related correspondence and documentation. Records may also include results of the examination including a roster listing student name, ID number, and examination score. Records may include statistical data and analysis of exam scores and statistics on the administration of the exam in other states. Examination scores may also be found in the individual licensee files in Licensing Records.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

SG1513. INCOMPLETE LICENSE APPLICATION RECORDS

Series documents the application process that was initiated but never completed by the applicant. Series may include incomplete, pending, inactive, or denied status applications. Series includes the records of applicants whose files may lack one or more of the following: application, fee, documents such as certificate of education, and examination scores. Applicants may also lack the necessary education and experience, have low exam scores, or fail to satisfy other qualifications.

Retention *Record copy:* Retain by agency for 3 years or until administrative need ends and then destroy.

SG1514. INSPECTION RECORDS, ESTABLISHMENT

Series documents inspections of establishments to ensure compliance with laws and administrative rules that govern operation of the establishment. Types of establishments may include mortuaries, cemeteries, crematoriums, funeral homes, or barber and beauty shops. Records may include but are not limited to inspection ledgers; case files; advertisements; contracts; corporation history; inspection reports; license and certificate records; equipment checks; and related correspondence and documentation.

Retention *Record copy:* Retain by agency for 2 years after last inspection and then destroy.

SG1515. LICENSEE ROSTERS

Series documents persons who are licensed by the board. Records consist of a list which may include licensee name, address, and phone number; license status (current, lapsed, or inactive); type of license; license number; employer name, address, and phone number; method of licensing; dates of initial licensing, renewal, or expiration; audit number; and related documentation. Roster may be published in the form of a directory.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

SG1516. LICENSING RECORDS, ESTABLISHMENT

Series documents the application process and licensing history of establishments regulated by state law and administrative rule. Types of establishments may include cemeteries, barber and beauty shops, mortuaries, crematoriums, funeral homes, pharmacies, animal euthanasia sites, dog kennels, drug manufacturers, or drug wholesalers. Records may include but are not limited to license and certificate records; applications; inspection reports; background investigations; staff resumes; reports; lists of licensed establishments; and related correspondence and documentation.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

SG1517. LICENSING RECORDS, INDIVIDUAL

Series documents the process of licensing individuals who have met the professional standards of the licensing board. The licensing process may include application, evaluation, testing, training, licensing, and certification. Series indicates type of license and may include applications; certificate of education or college transcripts; verification of national or out-of-state licensure; examination scores; cashiering information on fees paid; copies of individual licenses; blank licenses and license audit records; verification of work and supervisory experience; resumes; continuing education records; and background investigative reports. Series may also include renewal notices; copies of licenses or temporary permits; special certification or permit documentation; apprentice and intern licensing records; and related correspondence and documentation. Records are arranged alphabetically by licensee name.

Retention *Record copy:* Retain by agency for 3 years or license has lapsed or becomes inactive and then destroy.

SG1518. LOBBYIST RECORDS

Series is used to document lobbyist and lobbyist employer activities. Records may include but are not limited to expenditure reports; registration statements; termination records; guidelines; correspondence; and related documentation. Series includes active, inactive, and terminated files.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG1519. REPORTS AND STUDIES

Series provides a record of findings, assessments, recommendations, research activities, studies, accomplishments, goals, and other activities of the board or commission. These reports or studies are reported to the public; the commission's umbrella or oversight agency; other agencies and organizations; the governor or legislature; or the federal government. Series may include project evaluation reports; public surveys; program or plan summaries; progress or performance reports; biennial, annual, or monthly reports; workload studies; photographs; monitoring reports; needs assessment studies; project outlines and schedules; administrative histories; statistics; working papers and drafts; and related correspondence, and documentation.

Retention *Record copy:*

A. One copy of final report, product, or study:
PERMANENT. Transfer to State Archives after 3 years.

B. Working papers, background documentation, and draft material:
Retain by agency for 3 years after final document produced, or as required by government or agency, and then destroy.

SG1520. SPECIAL COMPLAINT, MEDIATION OR HUMAN RIGHTS CASE FILE

Series may include supplemental information. Information covered by Idaho Code §9-340C is exempt from disclosure.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

BUDGET RECORDS

SG0101. **BUDGET REPORTS, ANNUAL**
Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.
Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0102. **GRANT MONTHLY REPORTS, BLOCK**
Monthly reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.
Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG0103. **GRANT YEARLY REPORTS, BLOCK**
Annual reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.
Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0104. **BUDGET ALLOCATION FILES**
Allocation and re-allocation schedules, proposing monthly obligations under each authorized appropriation.
Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG0105. **BUDGET BACKGROUND RECORDS**
Records used to assist in the preparation of the division budget and to justify budget requests presented to the department director. They also contain work programs, etc. Copies of budget estimates and justification prepared or consolidated in formally organized budget offices. Included are appropriation language sheets, narrative statements, workload/expansion plans and related schedules and data.
Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG0107. **BUDGET POLICY FILES**
Correspondence or subject files of formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.
Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0108. GRANT CASE FILES

Accepted proposals and applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds and project budgets.

Retention *Record copy:* Retain by agency for 3 years after grant has expired, unless otherwise noted in the grant, then destroy.

SG0109. GRANT CONTROL FILES

Indices, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.

Retention *Record copy:* Retain by agency until superseded or obsolete and then destroy.

SG0110. PERIODIC BUDGET REPORTS

Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.

Retention *Record copy:* Retain by agency for 3 years after the close of the fiscal year and then destroy.

SG0111. UNSUCCESSFUL GRANT APPLICATION FILES

Rejected and withdrawn grant applications, memoranda, correspondence, and other records relating to the decision to reject the grant proposal.

Retention *Record copy:* Retain for 3 years after rejection and withdrawal and then destroy.

CARTOGRAPHIC RECORDS

SG0201. CARTOGRAPHIC RECORDS

Cartographic records include maps (printed, automated, and microfilmed, aerial photography, globes, models, raised relief maps, and remote sensing imagery. These records have a special place in preserving the history of Idaho and should be regularly inventoried and if in electronic form, regularly upgraded and migrated.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0202. GEOGRAPHIC INFORMATION SYSTEMS (GIS)

When agencies retain data in Geographic Information Systems (GIS), including off-line, AND the related records are judged to be archival (have long term and research value beyond the agency), it is particularly crucial that the documentation be preserved along with the digital records. When archival electronic (digital) records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. May include maps and data related to hazardous materials storage, natural resource, mine and well-head locations (ex: natural gas), as well as representations of compilations of demographic information.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

Refer to SG0408 Data Documentation for Permanent Databases.

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COMMUNICATION RECORDS

SG0301. MAIL CONTROL RECORDS

Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, including statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post).

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG0302. STATE MAIL AND DELIVERY SERVICE RECEIPTS

Records of receipts for mail and packages received through the state mail system.

Retention *Record copy:* Retain by agency for 1 year and then destroy.

SG0303. TELECOMMUNICATIONS REFERENCE VOUCHER AND BILLING RECORDS

Reference copies of vouchers, bills, and invoices, relating to the installation, change, removal, and servicing of equipment.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG0304. TELECOMMUNICATIONS SERVICE AGREEMENTS

Copies of agreements with background data and other records relating to agreements for telecommunications services.

Retention *Record copy:* Retain by agency for 4 years after expiration or cancellation of agreement and then destroy.

SG0305. TELECOMMUNICATIONS SERVICE RECORDS

Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and other similar services.

Retention *Record copy:* Retain by agency for 5 years and then destroy.

SG0306. TELECOMMUNICATIONS STATISTICAL REPORTS

Statistical information gathered from a telecommunication program to document cost and volume. Information includes repair orders, billings, new equipment purchases, and accounting information.

Retention *Record copy:* Retain by agency for 5 years and then destroy.

SG0307. TELEPHONE MESSAGE REGISTERS

Message registers, logs, performance reports, daily load reports, and related or similar records.

Retention *Record copy:* Retain for 6 months and then destroy.

SG0308. TELEPHONE MESSAGES

Incoming and outgoing telephone messages.

Retention *Record copy:* Retain for 2 months and then destroy.

DATA PROCESSING RECORDS

SG0401. ACTIVITY MONITORING RECORDS

Records which monitor the activities of a data processing system. Information includes console logs, physical, and on-line access.

Retention *Record copy:* Retain by agency 1 year or until administrative need ends and then destroy.

SG0402. BATCH/DATA ENTRY CONTROL FORMS

Information on all batch or data entry records received by the mainframe.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG0403. COMPUTER HARDWARE MAINTENANCE RECORDS

Records documenting the service, repair, and inspection of computer hardware (mainframes, mini and micro computers), which also include service/maintenance agreements.

Retention *Record copy:* Retain by agency for 1 year after disposal of equipment and then destroy

SG0404. COMPUTER JOB SCHEDULES AND REPORTS

Schedules or similar records showing computer jobs to be run, and other reports by computer operators or programmers of work performed.

Retention *Record copy:* Retain by agency for 1 year or until administrative need ends and then destroy.

SG0405. COMPUTER UTILIZATION AND BILLING REPORTS

Records showing computer use by each agency and any charges for space or time.

Retention *Record copy:* Retain by agency for 5 years and then destroy.

SG0406. COMPUTER-PRODUCED OUTPUT

Machine-produced reports showing transactions that were accepted, rejected, suspended, or processed.

Retention *Record copy:* Retain by agency for 2 years and then destroy.

SG0407. DATA DOCUMENTATION FOR NON-PERMANENT DATABASES

Records generally created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. *This schedule applies to documentation for databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods.*

Retention *Record copy:* Retain by agency for 1 year after superseded, or until deletion of database, and then destroy.

SG0408. DATA DOCUMENTATION FOR PRIMARY OPERATIONS DATABASES

Records generally created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. This documentation only includes that of data bases whose information is considered permanent or otherwise significant. User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. *This schedule applies to documentation for databases whose information are considered permanent or otherwise significant. Documentation may include metadata and information organized in data warehouse systems.*

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0409. DATA PROCESSING PLANNING RECORDS

Records created and used in the development, redesign, or modification of an automated system or application, including project management records, status reports, system or subsystem specifications, user requirements and specifications, and memoranda and correspondence. May also include studies, analyzes, and short-range plans.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0410. PROGRAM SOURCE CODE

Automated program code which generates the machine-language instructions used to operate an automated information system. Paper copy of program code, flowcharts, maintenance log, system change notices, and other records that document modifications to computer programs. These records are maintained for reference, as backup, to insure adequacy of change documentation, or to rectify errors in program implementation after related programs are replaced, modified, or cease to be used.

Retention *Record copy:* Retain by agency for 3 years after the program is discontinued and then destroy.

SG0412. SYSTEM DOCUMENTATION FOR NON-PERMANENT DATABASES

User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. *This schedule applies to documentation for-databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods.*

Retention *Record copy:* Retain by agency for 1 year after superseded, or until deletion of database, and then destroy.

SG0413. SYSTEM DOCUMENTATION FOR PERMANENT DATABASES

User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. This documentation only includes that of databases whose information is considered permanent or otherwise significant.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives immediately.

Duplicate copies: Retain until administrative need ends and then destroy.

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FACILITY MANAGEMENT RECORDS

SG0501. AMERICANS WITH DISABILITIES ACT (ADA) FILES

Records that indicate compliance to Americans with Disabilities Act (ADA). Included are surveys of government buildings to determine accessibility to the physically challenged, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.

Retention *Record copy:* Retain by agency for 15 years and then destroy.

SG0502. APPRAISAL FILES

Files including location, description, value, and photographs of property.

Retention *Record copy:* Retain until superseded or obsolete and then destroy.

SG0503. AS-BUILT CONSTRUCTION PLANS AND SPECIFICATIONS

Final plans and specifications for approved and constructed state buildings.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0504. BUILDING AND EQUIPMENT SERVICE FILES

Requests for building and equipment maintenance services, excluding fiscal copies.

Retention *Record copy:* Retain by agency for 3 years after fiscal year ends and then destroy.

SG0505. CONSTRUCTION BUDGET REQUESTS

Construction requests sent to the Division of Public Works that reveal budgetary impacts of planned construction.

Retention *Record copy:* Retain by Division of Public Works for 5 years and then destroy.

SG0506. CONSTRUCTION PLANS IN-REVIEW

Preliminary designs and specifications prepared by architectural firms for review by state agency.

Retention *Record copy:* Retain for 1 year after approval or rejection of final plans and then destroy.

SG0507. CONSTRUCTION PROJECT CASE FILES

Case files documenting the construction and/or renovation of state-owned buildings and structures and costs incurred.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0508. FACILITIES MANAGEMENT GUIDELINES

Information pertaining to handicapped access, historic preservation, energy conservation, environmental protection, and planning.

Retention *Record copy:* Retain for 3 years and then destroy.

SG0509. MAINTENANCE WORK ORDERS

Requests from agencies for repair of building equipment, minor construction, or painting.

Retention *Record copy:* Retain by Division of Public Works for 3 years and then destroy.

SG0510. NATURAL DISASTER AND DAMAGE SURVEY OF PUBLIC BUILDINGS

Survey and analysis of damage done to public buildings during natural disasters or acts of terrorism.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0511. SPACE UTILIZATION REPORTS

Reports on the amount of floor space in agency buildings, number of rooms, and the capacity.

Retention *Record copy:* Retain until superseded or obsolete and then destroy.

SG0512. UNDER-CONSTRUCTION PLANS AND SPECIFICATIONS

Specifications used by contractors and architects as guidelines to construct previously designed buildings.

Retention *Record copy:* Retain until superseded or obsolete and then destroy.

SG0513. REAL PROPERTY ACQUISITION FILES

Title papers documentation the acquisition of real property by purchase, condemnation, donation, exchange, or otherwise.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

FINANCIAL RECORDS

SG0601. ACCOUNTING ADMINISTRATIVE FILES

Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

Retention *Record copy:* Retain by Agency for 3 years or after audit and then destroy.

SG0602. ACCOUNTS RECEIVABLE INVOICES

Invoices billing non-state agencies or institutions for supplies, services or repairs provided by an agency.

Retention *Record copy:* Retain by Agency for 3 years or after audit and then destroy.

SG0603. ADJUSTMENT FORMS

Appropriation adjustments created by agency accounting officers and sent to the Division of Financial Management for approval.

Retention *Record copy:* Retain by Agency for 3 years or after audit and then destroy.

SG0604. AUDITOR'S FINANCIAL REPORT

Report prepared by internal or external auditors as a result of a financial audit.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0605. BANK DAILY TOTALS

Daily report from bank that is used for reconciliation.

Retention *Record copy:* Retain by the State Treasurer's Office for 1 year and then destroy.

SG0606. BANK STATEMENTS

Canceled checks, debit/credit memoranda, deposit slips, and monthly reconciliations.

Retention *Record copy:* Retain by the State Treasurer's Office for 3 years and then destroy.

SG0607. BOND OFFICIAL TRANSCRIPTS

Official files regarding authority to permit bond negotiations with paying agent, etc.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0608. BOND REGISTRATION FILES

Issuing agent's copies of bond registration stubs.

Retention *Record copy:* Retain for 2 years and then destroy.

SG0609. BONDS, NOTES AND COUPONS PAID

Coupons and notes redeemed throughout the lifetime of the bond.

Retention *Record copy:* Retain by the State Treasurer's Office until redeemed by paying agency and then destroy.

SG0610. CASH RECEIPTS

Agency copy of receipts given to customers who pay cash to the agency for services rendered.

Retention *Record copy:* Retain by agency for 3 years or after audit and then destroy.

SG0611. COLLECTION BONDS

Collection agency bonds are bonds filed by collection agencies in the state.

Retention *Record copy:* Retain by agency for 7 years after bond expiration and then destroy.

SG0612. COST ACCOUNTING REPORTS

Reports maintained by receiving and reporting units, which document how much it costs an entity to provide a service and the fee they charge for that service.

Retention *Record copy:* Retain by agency for 3 years or after audit and then destroy.

SG0613. COST REPORT DATA FILES

Ledgers and forms used to accumulate data for use in cost reports.

Retention *Record copy:* Retain by agency for 3 years or after audit and then destroy.

SG0614. DEPOSITS WITH STATE TREASURER

Cash receipt transaction forms accompanying agency deposits to the State Treasurer's Office.

Retention *Record copy:* Retain for 3 years or after audit and then destroy.

SG0615. EMPLOYEE TRAVEL REIMBURSEMENT FILES

Records relating to reimbursing individuals, such as travel orders, travel authorizations, per diem vouchers, transportation requests, hotel reservations, and all supporting records documenting official travel by officers, employees, dependents, or others authorized by law to travel.

Retention *Record copy:* Retain by Agency for 3 years or after audit and then destroy.

SG0616. EXPENDITURE ACCOUNTING GENERAL CORRESPONDENCE AND SUBJECT FILES

Correspondence or subject file maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.

Retention *Record copy:* Retain for 2 years or after audit and then destroy.

SG0617. EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES

Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.

Retention *Record copy:* Retain by agency for 3 years or after audit and then destroy.

SG0618. FREIGHT FILES

Records relating to freight, consisting of export certificates, transit certificates, demurrage card, record books, shipping documents pertinent to freight classification, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, including records relating to the shipment of household goods.

Retention *Record copy:* Retain by agency for 3 years after the period of the account or after audit and then destroy.

SG0619. FREIGHT SCHEDULES OF LOST OR DAMAGED SHIPMENTS

Schedules of valuables shipped, correspondence, memoranda, reports and other related records.

Retention *Record copy:* Retain by agency for 3 years after audit or restitution is made, then destroy.

SG0620. GENERAL ACCOUNTING LEDGER

General accounts ledger, showing debit and credit entries, and reflecting expenditures in summary.

Retention *Record copy:* Retain for 7 years or after audit and then destroy.

SG0621. INVENTORY OF FIXED ASSETS

These records are used to track and control capital outlay such as office equipment (chairs, typewriters, etc.) and other fixed assets including tools, machinery, and other large equipment.

Retention *Record copy:* Retain by agency for 2 years and then destroy.

SG0622. JOURNAL ENTRY RECORDS

Entries listing adjustments to an organization's credit or debit financial statements.

Retention *Record copy:* Retain for 10 years and then destroy.

SG0623. NOTARY BOND FILES

Posted by notaries public conditioned for the faithful performance of duties.

Retention *Record copy:* Retain by the Secretary of State's Office for 7 years after expiration and then destroy.

SG0624. PERFORMANCE BONDS

Bonds made payable to the state conditional to the performance of all activity requirements and state and federal law.

Retention *Record copy:* Retain by agency for 7 years after expiration and then destroy.

SG0625. PERSONAL SURETY BONDS

Official copies of the bond and attached powers of attorney.

Retention *Record copy:* Retain by agency for 15 years after bond becomes inactive and then destroy.

SG0626. PERSONNEL ACCOUNTING ADMINISTRATIVE FILES

Files used for workload and personnel management purposes. Includes correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

Retention *Record copy:* Retain by agency for 2 years or after audit and then destroy.

SG0627. PETTY CASH RECORDS

Records which verify all monies received or expended through a petty cash account. Includes cash receipts, adding machine tapes, daily accounting records, reconciliation, transmittals, etc.

Retention *Record copy:* Retain by agency for 3 years or after audit and then destroy.

SG0628. REFUND REQUESTS

Form signed by the customer which requests a refund of monies paid to the agency.

Retention *Record copy:* Retain by agency for 3 years or after audit and then destroy.

SG0629. STATE REVENUE BONDS

Files which document the obligations of the State support by a specific revenue source. They are generally terms of 3-20 years. The most common are State Revenue Bonds which include leases and rentals. They have interest paid semi-annually.

Retention *Record copy:* Retain for 1 year after paid, canceled, or after audit, then destroy.

SG0630. TAX AND REVENUE ANTICIPATION NOTES

Short-term notes which are revenue supported. They are issued by the State Treasurer for a term of less than 1 year.

Retention *Record copy:* Retain for 1 year after paid or cancelled and then destroy.

SG0631. TELEPHONE BILLS

Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call.

Retention *Record copy:* Retain by agency for 3 years or after audit and then destroy.

SG0632. TRAVEL AND TRANSPORTATION FILES

Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule.

Retention *Record copy:* Retain by agency for 3 years or after audit and then destroy.

SG0633. VENDOR PAYMENT VOUCHERS - CANCELED

Documentation used to input data about canceled warrants.

Retention *Record copy:* Retain for 7 years or after audit and then destroy.

SG0634. WARRANT REQUESTS

Expenditures processed by state agencies to the Office of the State Controllers statewide accounting system to pay vendors for supplies and/or services the vendors have provided to the agencies.

Retention *Record copy:* Retain by the Agency for 3 years or after audit and then destroy.

SG0635. WARRANT REQUESTS USED IN THE PURCHASE OF REAL PROPERTY

Documentation of the purchase of real estate by a government agency.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG0636. WARRANT / CHECK

Actual warrant or check cut from warrant request to pay for services rendered.

Retention *Record copy:* Retain until redeemed and microfilmed by the bank. Maintain microfilm by the Office of the State Treasurer for 7 years or after audit and then destroy.

SG0637. WARRANT / CHECK - LOST

Legal documentation explaining and justifying a lost warrant, so that a new one can be issued.

Retention *Record copy:* Retain by the Office of the State Controller for 7 years or after audit and then destroy.

HUMAN RESOURCE RECORDS

INTRODUCTION: It is the responsibility of the State Controllers Office (SCO), PERSI, the State Insurance Fund, Department of Administration Office of Insurance Management, and Division of Human Resources (DHR) to appropriately maintain certain official state files as well as payroll, pension, insurance, benefit information and employment history.

Each state Agency maintains an employee's active personnel file. Additional official state records are kept by the above Agencies. The employing Agency may retain or destroy reference copies of these documents. If additional and significant information is added to a duplicate then it should be reassessed for retention.

The citations are for informational purposes only.

SG0750. I-9'S - EMPLOYMENT ELIGIBILITY VERIFICATION

Documentation of employment eligibility compliance with the United States Dept of Justice Immigration and Naturalization Service. The retention period below applies to forms completed for all new hires as well superseded or previous forms completed on rehires.

Retention *Record copy:* Retain for 3 years after termination.

Citation(s): 8 CFR 274A.2

SG0752. APPLICATIONS - CLASSIFIED EMPLOYMENT (UNSOLICITED)

Unsolicited applications from individuals requesting employment directly through the agency. Since each agency cannot accept unsolicited applications directly (must first go through DHR), there is no requirement to retain unsolicited applications.

Retention *Record copy:* None (forward to DHR upon receipt).

SG0753. APPLICATIONS - NON-CLASSIFIED EMPLOYMENT (UNSOLICITED)

Unsolicited applications for jobs that are not currently being filled may be destroyed.

Retention *Record copy:*

A. Unsuccessful Applicants:
   Retain 4 years.

B. Successful Applicants:
   Retain for 5 years after last day of employment.

SG0754. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) AND OFFICE OF FEDERAL CONTRACT COMPLIANCE PROGRAM (OFCCP) RECORDS

Records generated out of compliance, reporting or complaints filed with the two agencies. May contain reports of OFCCP violations and EEOC reports, investigations, case files, complaints, etc.

Retention *Record copy:*

A. EEOC:
Retain 3 years after resolution.

B. OFCCP:
Retain 3 years after project completion.

Citation(s): Business Requirement (29 CFR 1602.12 – For Reference Only*)*

SG0760. GARNISHMENTS - TAX LEVEES, COURT ORDERS, CHILD SUPPORT ORDERS, ETC.

Court enforced garnishment orders issued by the legal system through the SCO, who sends out two copies to the Agency. One copy is filed in Agency and the other is forwarded to the employee. Per SCO, each Agency is required to retain their copy of the garnishment to ensure they do not set up employees for direct deposit, or any voluntary deductions, if they have a garnishment. SCO is responsible for receipt, setup, garnishment oversight, sending out copies, answering any employee questions, complaints, and retention.

NOTE: SCO recommends the Agency retain for 3 years. Courts retain indefinitely and sheriff retains for 1 year.

Retention *Record copy:* Retain for 3 years.

Citation(s): Business Requirement (SCO is responsible for retention of original garnishment – 7 years after paid*)*

SG0765. MEDICAL FILES - TERMINATED EMPLOYEE

Created when an employee has a medical condition (injury or illness – work or non-work related) affecting their ability to work. Files may include information about the situation, physical assessment forms, correspondence, information from physicians and other medical providers, return to work documentation, etc. Medical files may also include information about Workers Compensation, FMLA and ADA cases. Medical records should be kept as confidential as possible, ideally in a separate locked area.

NOTE: These are not Exposure Records (medical/employment questionnaires, tests or histories for occupational exposure history, lists of chemicals employees work with, radiation exposure, etc., which must have there own retention).

Retention *Record copy:* Retain for 5 years after termination. (If involved in court case, retain until settlement plus 5 years.)

Citation(s): IC 41-2115; IC 72-601; IC 72-603; IC 72-701; IC 72-701; and IC 72-706

SG0768. PERSI TRANSMITTAL DOCUMENTS / REPORT

Report issued by PERSI. Contains employer financial adjustments (back pay, regular pay, etc.) conveyed to PERSI. May include Employer Remittance Forms, invoices, correspondence, etc. PERSI conducts an annual audit on these records.
NOTE: PERSI auditors have access to documents from their office.
Retention *Record copy:* Retain until superseded.
Citation(s): Business Requirement

SG0770. PERSONNEL FILES - FORMER EMPLOYEES

Agency copy of employee's employment history. May contain application, resume, personnel actions, performance evaluations, awards and commendations, insurance enrollments, deductions, disciplinary actions, payroll deductions, reprimands, annual performance plan and evaluations, benefit information, insurance beneficiaries (life, group, PERSI, etc.), and other documentation related to employment history.
NOTE: Office of Insurance Management does not receive a copy of the "Beneficiary Designation/Change of Beneficiary/Change Of Name" form, so the agency retains the original.
Retention *Record copy:* Retain for 5 years after last day of employment.
Citation(s): 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3; 29 CFR 1627.3

SG0771. PERSONNEL FILES - ACTIVE EMPLOYEE FILES

The following documents may be purged from employee files after they have reached their individual minimum document retention periods outlined below. This process is included to allow HR the option to eliminate individual documents from active files as they become obsolete.

NOTE: It is up to the Agency to decide if and when individual documents may be purged from a file as the resources (time and employees) may not always be available to comply with this schedule on a regular basis.

Retention *Record copy:*

A. Payroll Deduction Forms:
   1. W-4's
      Retain 4 years or until superseded, whichever is later (29 CFR 516.6).
   2. Flexible Spending
      Until superseded (original goes to Office of Insurance Management). (Business Requirement)

B. Medical Applications:
   Until superseded (Original goes to Office of Insurance Management). (Business Requirement)

C. Insurance Beneficiary Changes:
   1. PERSI
      Until superseded. (Original goes to PERSI). (Business Requirement)
   2. Life Insurance
      Until superseded or employee is approved for long term disability, at which time the original is sent to the Office of Insurance Management. (Business Requirement)
   3. Supplemental Insurance (NCPERS, AFLAC, etc.)
      Until superseded. (Original goes to OIM) (Business Requirement)

D. Veterans Status Form
   1. Retain 60 days after information from form has been entered into statewide payroll system.

Citation(s): IC 45-610; IC 72-601; IC 72-603; IC 72-701; IC 72-1337; 26 CFR 31.6001-2; 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3

SG0780. PROBLEM SOLVING (GRIEVANCE) FILES - EMPLOYEE

Record of complaints and grievances submitted by State employees regarding work place issues (except EEOC complaints). May include employees grievance, investigations, interviews, response, etc.

Retention *Record copy:* Retain for 5 years after last day of employment.

Citation(s): Business Requirement

SG0782. RECRUITMENT FILES - CLASSIFIED POSITIONS

Records involved with the process of recruiting and hiring new employees. May include employment applications, résumés, etc. (see note below), advertisements, vacancy announcements (DHR has an original), registers, interview questions, applicant answers, reference checks, correspondence, etc., including all Agency generated screening and selection documentation.

NOTE: The Agency does not need to retain the applications of those not hired because DHR retains copies of all applications, résumés, and letters of all applicants before forwarding copies to the Agency.

Retention *Record copy:* Retain for 4 years.
NOTE: Non-classified positions, retain for 4 years.

Citation(s): Business Requirement (29 CFR 1602.14 – Reference Only as DHR retains official records)

SG0784. REPORTS - DIVISION OF HUMAN RESOURCES AND CONTROLLERS OFFICE

Miscellaneous reports generated by DHR and SCO, including Alphabetical List Of Employees, Appointment Type Summary, Classified Code List by Agency/ Employees, Deduction Register, Deleted Positions, Health and Dental Insurance Registers, Leave, Life Insurance, Miscellaneous Employee Reports, PCN Expenditure, Payroll Register, Position Lists, etc.

NOTE: SCO is responsible for retention of original reports.

Retention *Record copy:* Until obsolete (destroy when no longer required by the Agency).

Citation*:* Business Requirement

SG0786. TRAINING RECORDS - EMPLOYEE

This series documents the training each employee received while employed. May include type of training, date(s) received, number of hours, pass/fail documentation, etc.

Retention *Record copy:* Retain for 5 years after last day of employment..

Citation: Business Requirement

SG0787. TRAINING RECORDS - MISCELLANEOUS

This series includes various records created during the training process. May include nomination for training, training registration, pass/fail information, etc.

NOTE: Specialized training or certification documents may require a longer retention period to document the process. Retain as instructed by certifying agency..

Retention *Record copy:* Retain for 2 years.

Citation: Business Requirement

SG0788. TRAINING PROFILES - PROGRAM ADMINISTRATION

This series includes records involved with arranging, facilitating and coordinating training classes. May include course and trainer information, handouts, training dates, accommodations, materials, billing information, etc.

Retention *Record copy:* Retain for 2 years.

Citation: Business Requirement

INFORMATIONAL SERVICE AGENCY RECORDS

SG1701. ACCESSION REGISTERS

Information related to library, archives or museum acquisitions. Documentation for book accessions usually includes author, title, publisher, jobber, year purchased, purchase price, and other bibliographic and accession data. Non-book media contain other pertinent information.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

Duplicate copies: Retain by agency for 3 years or until no longer needed and then destroy.

SG1702. ANNUAL REPORTS

Series provides a record of the primary functional activities and accomplishments of the agency for the previous year. Reports may include narratives, statistics, graphs, diagrams, member lists, descriptions of programs, events and exhibits, and annual financial statements.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

Duplicate copies: Retain by agency for 3 years or until no longer needed and then destroy.

SG1703. BOARD MEMBER PERSONNEL RECORDS

Series documents the appointment or election and subsequent personnel actions for board members. Records may include appointment letters, résumés, applications, personnel action forms, job descriptions, and employee data sheets.

Retention *Record copy:* Retain by agency for 3 years after final term expires and then destroy.

Duplicate copies: Retain until no longer needed and then destroy.

SG1704. BORROWER REGISTRATION RECORDS

Records used to grant citizens library cards and privileges as well as to control circulation of library holdings. Individual borrower registration information may include name, address, telephone number, date of birth, signature, expiration date, identification number and related data.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

Duplicate copies: Retain until no longer needed and then destroy.

SG1705. CATALOGS, FINDING AIDS

Lists which provide patrons with access to library, archives or museum holdings by subject, title, and author and/or donor. Usually includes author's name, title of book or other media, call number, bibliographic description, and related information.

See also SG0016. FINDING AIDS.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed, and then destroy.
Duplicate copies: Retain until no longer needed and then destroy.

SG1706. CIRCULATION RECORDS

Book cards or electronic records documenting information pertinent to the circulation of materials such as books, magazines, record albums, audio and video tapes, and computer software. May include patron identification, date circulated and date due.

Retention *Record copy:* Retain by agency until transaction is completed and then destroy.
Duplicate copies: Retain until no longer needed and then destroy.

SG1707. COPYRIGHT AND REPRODUCTION RECORDS

Series provides a record of the activities, policies and procedures related to copyright ownership and reproduction of agency owned objects and publications, and of the agency's use of items owned by other organizations. Series also documents agreements with other parties for private or commercial use, reproduction, publication and sale of written materials and photographs of agency owned objects and publications. Records may include reproduction, resale and publication policies and procedures, contracts and agreements, use restriction forms, photograph release forms, photographic service request forms, requests for permission to reproduce or publish photographs or documents, fee schedules, correspondence, and work orders for purchase of printed materials.

Retention *Record copy:* Retain by agency for 6 years or until administrative need ends, and then destroy.
Duplicate copies: Retain until no longer needed and then destroy.

SG1708. DIRECTOR'S RECORDS

Series provides a record of the administrative activities of the agency director, such as executive leadership of the organization, financial and personnel management, policy development, budget development and approval, public contact and lobbying. Records may include correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports. Series also documents the activities and decisions of the board responsible for governing agency operations or for advising its operations. Records may include minutes, agendas, tape recordings, and board committee records. Records may also include constitution and by-laws, intergovernmental agreements, organization charts, draft and approved budgets.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

Duplicate copies: Retain by agency for 3 years or until no longer needed, and then destroy.

SG1709. DIVISION ADMINISTRATIVE RECORDS

Series documents the activities, decisions, and reports of administrative staff divisions which oversee or advise programs or functions of the historical agency. Divisions may include, but are not limited to, finance, historic preservation office, historic sites, library, archives, membership, outreach and development, publications, and museum. Records may include division agendas, minutes, proposed budgets, reports and correspondence.

NOTE: Division minutes may become part of agency history which is permanent. See also SG0006. AGENCY WRITTEN HISTORIES

Retention *Record copy:* Retain by agency for 3 years or until administrative need ends, and then destroy.

Duplicate copies: Retain until no longer needed and then destroy.

SG1710. DEVELOPMENT PROGRAM RECORDS

Series provides a record of administration of the agency's development program. The development program raises funds and other resources for support of the organization and its programs through cultivation of individual, corporate, government and foundation support, and special events. The program also develops, submits and reports on grants. Records may include publicity and promotion records, reports, budgets, grant records, fund raising event and project records, records of gifts in kind and financial donations, mailing lists, bulk mailing records and correspondence.

Retention *Record copy:* Retain by agency for 6 years or until administrative need ends, and then destroy.

Duplicate copies: Retain until no longer needed and then destroy.

SG1711. EDUCATIONAL PROGRAM RECORDS

Series provides a record of administration of the agency's education and public outreach programs. The education program may include tours, lectures, workshops, electronic media, and other adult and children's events and activities. Records may include publicity and promotion records, reports, orientation and training class records, such as teaching packets, brochures, flyers, photographs, audio tapes, videotapes, class schedules, attendance rosters, and correspondence. Records may also include agreements and contracts.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

Duplicate copies: Retain by agency for 3 years or until no longer needed, and then destroy.

SG1712. EXHIBIT RECORDS

Series documents the planning, development, installation and maintenance of temporary and permanent on-site and off-site exhibitions, research of materials and objects, and publication of exhibits. Records may include exhibit contracts, design and installation records, permanent and temporary exhibit inventory listings, exhibit catalogs, photographs and slides, exhibit scheduling records, brochures, and correspondence.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

Duplicate copies: Retain by agency for 3 years or until no longer needed, and then destroy.

SG1713. FRIENDS OF THE AGENCY RECORDS

Agency copy of records documenting the activities of non-profit citizens' groups created to promote public support for the archives, library, museum, or other agency activity. Subjects often include programs, costs, acquisitions, special events, policies, procedures, citizen participation, and others. Records may include minutes, agendas, exhibits, by-laws, non-profit statements, membership lists, budget and financial statements, and related materials.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed, and then destroy.

Duplicate copies: Retain until no longer needed and then destroy.

SG1714. INTER-LIBRARY LOAN RECORDS

Records documenting materials borrowed and loaned by the library through an inter-library loan program in response to patron and other library requests. May include requests, notices, tracking logs, and other records.

Retention *Record copy:* Retain by agency until 6 months after materials returned to owner library, and then destroy.

Duplicate copies: Retain until no longer needed and then destroy.

SG1715. LOANS AND COLLECTIONS INSURANCE RECORDS

Series documents insurance coverage as part of risk management for museum collections and loan objects. Records may include insurance policies, riders, certificates of insurance, correspondence, damage and loss claims, and reports.

Retention *Record copy:* Retain by agency for 6 years or until administrative need ends, and then destroy.
Duplicate copies: Retain until no longer needed and then destroy.

SG1716. MASTER SHELF LISTS / INVENTORIES

Inventories of all holdings, including volumes and titles added or withdrawn from the collection. Usually arranged by shelf, showing title, author or office, accession number, publisher, date acquired, cost, and number of copies. Used as an inventory control.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed, and then destroy.
Duplicate copies: Retain until no longer needed and then destroy.

SG1717. MEMBER RECORDS

Series documents administration of the agency's membership program and the status of its membership. Records may include publicity and promotion records, individual member records, membership rosters, reports, membership drive records, mailing lists, address changes, bulk mailing records, and correspondence.

Retention *Record copy:* Retain by agency for 3 years after membership ends, and then destroy.
Duplicate copies: Retain until no longer needed and then destroy.

SG1718. OVERDUE BOOK RECORDS

Records used to monitor status of overdue books and other media. Also used to notify patrons to return overdue library materials. Often includes notices and lists. Lists document long overdue materials and can be useful in collection action.

Retention *Record copy:* Retain by agency until materials returned or debts reconciled or deemed un-collectable, and then destroy.
Duplicate copies: Retain until no longer needed and then destroy.

SG1719. PERMANENT COLLECTION RECORDS

Series documents the accession, use, care, maintenance, storage and disposition of objects in the permanent collection. Series also provide a record of deaccession of objects no longer in the collection. Records may include acquisition and deaccession policies and procedures, appraisal and authenticity records, accession and catalog paper copy and/or electronic catalog records, accession records, deaccession records, deeds of gift, donor records, inventory and location records, condition / conservation records, photographs of objects, conservation records, collections use records, and library shelf lists and finding aids.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

Duplicate copies: Retain by agency for 3 years or until no longer needed, and then destroy.

SG1720. PUBLICATIONS, PROMOTIONAL

Publications distributed to the public to advertise services, programs, and activities. May include brochures, newsletters, activities calendars, schedules, special events flyers, and other records.

See also SG0033. PUBLICATIONS and SG0011. ELECTRONIC PUBLICATIONS.

Retention *Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

Duplicate copies: Retain by agency for 3 years or until no longer needed, and then destroy.

SG1721. RESEARCH INQUIRY AND RESPONSE RECORDS

Series provides a record of research requests received and responses made to them by society staff. Records may include written or electronic inquiries and responses. Information may include name of researcher, subject of inquiry or request, and reply.

Retention *Record copy:* Retain by agency for 2 years or until administrative need ends, and then destroy.

Duplicate copies: Retain until no longer needed and then destroy.

SG1722. TEMPORARY LOAN RECORDS

Series documents the processing and documentation of incoming objects loaned from outside sources and objects being loaned out from the permanent collection. Records may include loan requests and agreements, facilities reports, insurance records, descriptions of objects received or loaned out, inspection and conditions reports, acknowledgments and receipts, lender lists, inventory listings, packing and shipping records, damage reports, and insurance reports. Records may also include U.S. and foreign customs forms.

Retention *Record copy:* Retain by agency for 3 years or until administrative need ends, and then destroy.
Duplicate copies: Retain until no longer needed and then destroy.

SG1723. VOLUNTEER RECORDS

Series documents the administration of the agency's volunteer and intern programs. Records may include recruitment and selection records, volunteer personnel and intern personnel information forms, intern agreements, volunteer and intern time records, emergency notification forms, publicity records, insurance documentation, and correspondence.

Retention *Record copy:* Retain by agency for 3 years after volunteer leaves the program, and then destroy.
Duplicate copies: Retain until no longer needed and then destroy.

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LAW ENFORCEMENT RECORDS

SG1601. ACTIVITY REPORTS, LAW ENFORCEMENT

Individual officer, shift, and other activity reports usually filed on a daily, weekly, monthly, or annual basis. Useful for reference, performance monitoring, compiling annual reports, planning and budgeting, and for briefing subsequent shifts or activities. Applies to various duties such as dispatch, confinement, investigations, and patrol. Information usually includes name, shift, date, activities, and various statistical categories for tracking the number of arrests, phone calls, mileage, and other indicators. Also includes monthly and annual law enforcement or uniform crime reports summarizing statistics on criminal activity and office operations. Information may include date, categories, totals, and related data.

Retention *Record copy:*

A. Annual reports and monthly reports (for years in which no annual report exists).
   PERMANENT. Contact State Archivist.

B. Other reports:
   Retain by agency for 3 years and then destroy.

SG1602. ALARM RECORDS

Records documenting the licensing, use, and response to security alarms. Licenses and permits usually contain name and address of holder, type of alarm, location, instructions to officers responding to call, names of individuals to be contacted when alarm sounds, fee charged, and related data. Other records may include alarm response reports and false alarm reports. False alarm reports are used to document ordinance violations concerning the number of false alarms in a given period.

Retention *Record copy:* Retain by agency for 2 years and then destroy.

SG1603. ARREST WARRANT LOG RECORDS

Records documenting the status of arrest warrants as served, unserved, or recalled by the court. May include logs, validation listings, checkout sheets, and related records. Logs usually include date of warrant, subject's name, charge, date, warrant served or recalled, and related information.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1604. ARREST WARRANT RECORDS

Records related to a written order made by the court on behalf of the commanding law enforcement officials to bring a specified individual before the court. May also include detainer requests, informational documents related to the wanted person, teletypes, and other records relevant to the service of warrants. Warrant information includes date, court, judge's name, individual's name and date of birth, charge, and related data.

Retention *Record copy:* Retain by agency until served or recalled by the court and then destroy.

SG1605. BOOKING RECORDS

Books, logs, or other records documenting the confinement and release of individuals held in an agency correctional facility. Information usually includes name, charges, date of confinement, date of release, physical condition, and related data.

Retention *Record copy:*

A. If homicide or felony:
PERMANENT. Contact State Archivist.

B. If misdemeanor:
Retain by agency for 5 years and then destroy.

SG1606. BULLETINS FROM OTHER AGENCIES

Bulletins, circulars, and related records received from federal, other state, and local law enforcement agencies. Usually contains descriptions and photographs of fugitives, missing persons, or stolen property. May also include other information of interest to the department.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1607. CIVIL ENFORCEMENT CASE FILES

Record of actions taken relating to a specific civil case. Information may include attempts at service, actual service information, and documentation of enforcement actions taken under the provisions of the order.

Retention *Record copy:* Retain by agency 3 years after action completed and then destroy.

SG1608. COMMUNICATIONS LOGS

Logs documenting incoming and outgoing communications including radio, telephone, computer aided dispatch, and teletype. Information may include date and time, subject, location, response, message, and other data depending on type of transmission.

Retention *Record copy:* Retain by agency 1 year and then destroy.

SG1609. COMPUTER INQUIRY RECORDS

Logs or other hard copy records documenting requests made to other agencies involving missing persons, wanted persons, stolen vehicles, and other subjects.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1610. COMPUTER VALIDATION RECORDS

Logs or similar hard copy records detailing validation requests and proof of verification for NCIC or other law enforcement information networks. Useful to document maintenance of network standards.

Retention *Record copy:* Retain by agency 5 years or until audited by NCIC or other applicable law enforcement network, whichever is first, and then destroy.

SG1611. CRIME ANALYSIS RECORDS

Records documenting department efforts to anticipate, prevent, or monitor possible criminal activity. May include reports, statistical summaries, photographs, sound and video tape recordings, and related documents. Subjects often include crime patterns or modes of operation, analysis of particular crimes, criminal profiles, forecasts, movements of known offenders, alerts from other agencies, and others.

Retention *Record copy:*

A. Major crime analyses or studies:
   Retain by agency 10 years and then destroy.

B. Other records:
   Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1612. CRIME PREVENTION COMMUNITY ORGANIZATION RECORDS

Mailing lists, plans, evaluations, notes, reports, and other records documenting community organizations, associations, individual volunteers, and others engaged in or interested in crime prevention efforts. Useful in developing community support for law enforcement programs.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1613. CRIME PREVENTION PROGRAM RECORDS

Records documenting department efforts to train citizens in crime prevention. May contain training and media presentation records including lesson plans, outlines, tests, evaluations, speeches, and related records. Subjects usually include neighborhood watches, home security, and others.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1614. CRIME PREVENTION SECURITY SURVEY RECORDS

Records documenting citizen requested officer surveys of homes and businesses and subsequent recommendations related to security. Usually contains a detailed checklist of problems or security defects. Subjects often includes areas of potential break in, blocked exits, landscaping that can hide crime, and similar topics. Survey usually is compiled into a report that is sent to the owner or renter.

Retention *Record copy:* Retain by agency 2 years and then destroy.

SG1615. CRIME PREVENTION VACATION HOUSE INSPECTION RECORDS

Records documenting the inspection of homes and other properties while the occupants are away. Information often includes name, address, date received, vacation beginning and ending dates, emergency contact information, special conditions at the house or property, dates and times officers checked the house or property, and related data.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1616. CRIMINAL ARREST HISTORY RECORDS

Records documenting information on the accumulated criminal arrest history of individuals which may be useful in current or future investigations. Records may include summary sheets or cards, arrest reports, fingerprint cards, mug shots, and related documents. Information often includes name, aliases, residence, sex, age, date and place of birth, height, weight, hair and eye color, race, scars, marks, tattoos, abnormalities, date of arrest, offense committed, habits, closest relatives or friends, and more.

Retention *Record copy:*

A. If homicide or felony:
   PERMANENT. Contact State Archivist.

B. If misdemeanor:
   Retain by agency for 5 years and then destroy.

SG1617. CRIMINAL HISTORY DISSEMINATION RECORDS

Logs and other records documenting the dissemination of criminal histories and other law enforcement information to other agencies or criminal information systems. May include teletype and computer message logs. Information includes date of release, subject of information, recipient of information, reason information was requested, and identification numbers.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1618. CRIMINAL INTELLIGENCE SYSTEM DATABASE RECORDS

Records documenting possible and proven criminal activity by individuals, groups, organizations, and businesses for use by local government law enforcement agencies. Includes investigatory reports, statistical reports, correspondence, memoranda, and related records. Information includes suspect identification, alleged activity, location, date, source validity, and other data. Sources include law enforcement and regulatory agencies, and private citizens.

Retention *Record copy:*

A. If homicide or felony:
PERMANENT. Contact State Archivist.
See also SG0408. Data Documentation for Primary Operations Databases.

B. If misdemeanor:
Retain by agency for 5 years and then destroy.

SG1619. DETOXIFICATION CONFINEMENT LOGS

Logs listing names of individuals held because of drunkenness and released when sober. Includes dates and times confined and released, name of individual, and related information.

Retention *Record copy:* Retain by agency 2 years and then destroy.

SG1620. EMERGENCY TELEPHONE CALLS CONTINUOUS AUDIO TAPES

Audio tapes that record incoming emergency calls, law enforcement and emergency dispatches, radio activity, and 9-1-1 calls. Tapes are maintained on a 24 hour basis. Recordings of serious incidents may warrant longer retention for legal reasons. These may be transferred onto a separate tape and retained until legal action is resolved.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1621. EQUIPMENT ISSUED RECORDS

Records documenting equipment issued to an agency law enforcement agency and other agency personnel. Items include but are not limited to handcuffs, keys, uniforms, badges, personal protective and fire fighting equipment, and lockers. May include inventories, optional equipment lists, data sheets, and other records. Information often includes date, employee name, number, and section, description of equipment, and related data.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1622. EXPUNGED OR SEALED RECORDS

Records documenting the arrest and/or conviction of a person who petitions and is granted by the court an order sealing or otherwise disposing of any related records. Upon entry of such an order, the applicant for purposes of the law shall be deemed not to have been previously convicted, or arrested as the case may be, and the court shall issue an order sealing the record of conviction or other official records in the case, including the records of arrest whether or not the arrest resulted in further criminal proceeding.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1623. FIELD INTERROGATION REPORTS

Informational reports written by a law enforcement officer related to individuals, events, or vehicles for which the officer does not have probable cause for enforcement. Information usually includes name and address of person contacted, physical description of person or vehicle, officer's name, location of contact, date and time, witnesses, reason for contact, and related data.

Retention *Record copy:* Retain by agency 1 year and then destroy.

SG1624. FINGERPRINT CARDS

Cards containing fingerprints, palm prints, toe prints, and other personal identifiers of arrested individuals. Used for identification and apprehension of suspects in criminal investigations. May also include fingerprints of private security personnel working in an area. Information often includes name, address, date and place of birth, Social Security number, alias, occupation, employer, name of individual taking prints, and related data. Fingerprint cards of individuals known to be dead need not be retained.

Retention *Record copy:*

A. If homicide or felony:
   PERMANENT. Contact State Archivist.

B. If misdemeanor:
   Retain by agency for 5 years and then destroy.

SG1625. FINGERPRINT CARDS, LATENT

Cards containing latent fingerprints and palm prints found at crime scenes without identification of suspects. These are compared against cards on file at the agency. Usually contains information related to the crime, location, date and time, and other details of the case.

Retention *Record copy:*

A. If homicide or felony:
   PERMANENT. Contact State Archivist.

B. If misdemeanor:
   Retain by agency for 5 years and then destroy.

SG1626. HANDGUN DEALERS' SALES RECORDS

Records documenting purchases of handguns from dealers. May include duplicate register sheets mailed by the dealer to the law enforcement agency and triplicate register sheets mailed by the dealer to the State Police for criminal records checks and then forwarded to the agency. Information includes series number, sheet number, sales person, Date and time, city, make, serial number, caliber, name of purchaser, date of birth, address, height, occupation, race, color of eyes and hair, local address (if traveling), and signatures of purchaser and sales person.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1627. INDEMNITY BONDS

Copies of insurance bonds issued to indemnify the law enforcement agency against claims of wrongful actions in civil seizure cases.

Retention *Record copy:* Retain by agency 2 years after seizure has been completed and a return has been made to the court of issuance.

SG1628. IMPOUNDED AND ABANDONED VEHICLE RECORDS

Records documenting vehicles impounded by the department related to accidents, abandonment, recovered stolen vehicles, vehicles used in the commission of crimes, and other reasons. May include reports, notifications, information cards or sheets, receipts, and related records. Information often includes the make, model, year, color, identification number, tag number, and condition of the vehicle and contents, reason for impounding, location of impoundment, charge (if any), towing company used, release conditions, name and address of individual to whom vehicle was released, and other data.

Retention *Record copy:* Retain by agency 2 years after disposition, for records not included in Incident Case Files, and then destroy.

SG1629. INCIDENT CASE FILE INDEXES

Indexes to incident case files used as cross references between case numbers, names, dates, modus operandi, and other descriptive information.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1630. INCIDENT CASE FILES

Central case files documenting complaints or other actions or incidents investigated by the department. Usually filed by case number. Records may include investigative reports, fingerprint cards, original arrest reports, supplemental reports, photographs, correspondence, teletypes, court orders, court dispositions, officer notes, laboratory reports, DUI test records including chemical analyses (also known as intoxilyzer or breathalyzer test records), citizen arrest certificates, copies of warrants, search warrants, and booking sheets, property/ evidence reports, custody reports, and other related documents. Information usually includes suspect identification, alleged activity, location, date, validity of source information and other data. Sources include law enforcement and regulatory agencies and private citizens.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1631. INFORMANT CASE FILES

Records documenting information about informants used by department personnel. May include reports, correspondence, payment records, fingerprint cards, signature cards, letters of understanding on informant activities, and related records. Risk management issues arise when keeping these records for longer periods of time. There is a real liability issue when dealing with personal information.

Retention *Record copy:* Retain by agency 3 years and then destroy.

SG1632. INMATE ACCOUNTABILITY RECORDS

Logs, lists, rosters, and other records documenting inmate counts, cell locations, and status, as well as related information. May include logs detailing status of individual inmates such as those awaiting action or on hold status, released on their own recognizance, or released on security. May also include rosters documenting the location of all inmates by head counts at regular intervals.

Retention *Record copy:* Retain by agency 1 year and then destroy.

SG1633. INMATE CASE FILE INDEXES

Indexes used to access inmate case files. Usually cross referenced by name, case number, and other identifiers.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1634. INMATE CASE FILES

Records documenting non-medical information on inmates confined in an agency correctional facility. Often contains date of entry, date of release, incident reports, release receipt indicating return of property, court commitment and release orders, behavioral information, and other relevant information concerning the arrest and confinement of an individual.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1635. INMATE MEAL RECORDS

Records documenting menus used to plan and schedule inmate meals. May include listings of those inmates who received meals. Information may include month, day, meal, menu, inmates served, and related data.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1636. INMATE MEDICAL RECORDS

Records documenting outpatient medical treatment given to inmates. Often contains treatment log, prescriptions, health questionnaires, laboratory reports, x-ray reports, medical reports from other facilities, and related records. Information may include inmate's name, date of treatment, description of treatment, and related data.

Retention *Record copy:* Retain by agency for 7 years and then destroy.

SG1637. INMATE MEDICATION RECORDS

Records documenting medications kept by the jail and dispensed to inmates. Often contains logs and related records. Information may include name of medication, date and time issued, name of inmate to whom medication was dispensed, name of individual dispensing medication, amount dispensed, amount remaining in stock, and related data.

Retention *Record copy:* Retain by agency for 7 years and then destroy.

SG1638. INMATE TELEPHONE AND MAIL LOGS

Logs and other records documenting telephone calls and mail sent and received by inmates. Information may include name of inmate, date and time of telephone call or mail, and related data.

Retention *Record copy:* Retain by agency 1 year and then destroy.

SG1639. INMATE VISITOR RECORDS

Records documenting information about visitors to inmates confined in an agency correctional facility. May include logs, request slips, and related records. Information often includes date, time in, visitor's signature and address, object of visit, time out, and related data.

Retention *Record Copy:* Retain by agency 1 year and then destroy.

SG1640. INTERNAL INVESTIGATIONS CASE FILES

Records documenting investigations of department personnel for violations of laws, rules, or policies and may include findings and dispositions of investigations. Records often contain complaints, correspondence, investigatory reports, interviews, hearing summaries and testimony, and related documents. Information usually includes name of employee investigated, reason, location of violation, date, accomplices' names and addresses, witnesses' names and addresses, action taken, and related data.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG1641. JUVENILE TEMPORARY CUSTODY RECORDS

Records documenting children taken into temporary custody by the department. The action is not considered an arrest. Information may include the name, age, and address of the child, the name and address of the person having legal or physical custody of the child, reasons for and circumstances under which the child was taken into temporary custody, and other data.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG1642. LOST AND FOUND PROPERTY RECORDS

Records documenting agency receipt and maintenance of lost and found or abandoned property such as money, bicycles, automobiles, and other items not related to a crime. Includes receipts, inventory lists, destruction logs, property reports, and related records.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG1643. MAPS, LAW ENFORCEMENT

Maps and related records maintained for reference and for tracking various trends. Examples include but are not limited to Neighborhood Watch Program maps, Block Home Program maps, street number location maps and books, parking meter maps, and maps plotting reported crimes in a given area.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1644. MASTER NAME INDEX RECORDS

Records documenting information on each individual who has been field interrogated or arrested, suspects or accomplices in crimes, victims, complainants, and witnesses to incidents. Information may include name, address, date of birth, race, sex, date and time of incident or contact, incident number, and related data.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1645. MUG SHOTS

Photographs and negatives of arrested individuals used for identification and apprehension of suspects in criminal investigations.

Retention *Record copy:*

A. If homicide or felony:
PERMANENT. Contact State Archivist.

B. If misdemeanor:
Retain by agency for 5 years and then destroy.

SG1646. OFFICER NOTES

Notes written by officers during the course of a shift containing information which may or may not be included in an official report. May pertain to contacts, incidents, unusual circumstances, and other subjects. Useful for referral in writing reports and testifying in court. Information includes names, dates, times, vehicles, activities, locations, and related data.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG1647. OFFICER WEAPON REGISTRATION RECORDS

Records documenting weapons assigned to law enforcement officers. Information includes officer's name, and the make, model, serial number, and caliber of the weapon.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1648. PAWN BROKER AND SECOND HAND DEALER REPORTS

Reports submitted to the department documenting merchandise bought and sold by dealers. Useful in tracing stolen items. Information includes name, address, identification, and personal description of pledger, as well as the date, dealer's name, and description of article.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG1649. PHOTO IDENTIFICATION RECORDS

Photographs and other records used to identify agency employees, private security personnel, contract workers, and others. May include photographs taken for agency identification cards, driver's license photographs, and information such as name, date of birth, physical description, identification number, driver's license number, and other data.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1650. POLYGRAPH RECORDS

Records documenting polygraph tests given to criminal suspects, prospective employees and others. Includes pre-examination records, examination questions for individuals interviewed, statements of consent, polygraph analysis reports, examiner's original test questions, examination chart tracing reports, polygraph results charts, conclusions, interviewee statements, and background information.

Retention *Record copy:*

A. If homicide or felony:
PERMANENT. Contact State Archivist.

B. If misdemeanor:
Retain by agency for 5 years and then destroy.

SG1651. PROPERTY AND EVIDENCE CONTROL AND DISPOSITION RECORDS

Records used to track property and evidence coming into department possession. Documents receipt, storage, and disposition of personal property and physical evidence from defendants, victims, and others. May include evidence photographs documenting crime scenes, accidents, and other incidents. Records often include receipt forms, evidence control sheets, property reports, destruction lists, property consignment sheets, seized firearm logs, homicide evidence inventories, and other documents. Information usually includes case number, tag number, date and time, property or evidence description, storage location, release date, and other data.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1652. PROPERTY REGISTRATION RECORDS

Records documenting the registration of property for identification in case of theft, loss, or burglary. Property includes but is not limited to bicycles, televisions, cameras, stereos, and guns. Information may include name, address, and phone number of owner, date, description of property, serial number, and related data.

Retention *Record copy:* Retain by agency until registration is expired, superseded or obsolete and then destroy.

SG1653. PROPERTY SALES RECORDS

Documents sale and conveyance of real and personal property by the enforcement agency. May include certificates of levy, notices of sale, publication proofs, mailing receipts, copy of judgment and execution, certificate of sale, return of service, and copy of deed issued.

Retention *Record copy:* Retain by agency for 7 years and then destroy.

SG1654. RADAR EQUIPMENT AND OTHER TECHNICAL EQUIPMENT CERTIFICATION AND MAINTENANCE RECORDS

Records documenting the calibration and maintenance of radar or other technical equipment that may be useful in documenting the accuracy of the readings. Often includes original factory certification of calibration. If tuning fork tests reveal an inaccuracy, the equipment is removed from service for repair and re-calibration. Information related to maintenance and repair may include a description of work completed, parts used, date of service, equipment number, make, model, and related data.

Retention *Record copy:* Retain by agency for 2 years after disposition of equipment and then destroy.

SG1655. RECORDS REQUEST FILE

Retention *Record copy:*

A. Request for access to public records, when request is granted.
   Retain by agency for 1 year and then destroy.

B. Request for access to public records, when request is denied, including statement of denial, appeal records, documentation of review and decision.
   Retain by agency for 1 year after final determination and then destroy.

SG1656. RESULTS OF ALCOHOL AND DRUG TESTS ADMINISTERED BY LAW ENFORCEMENT PERSONNEL

When not included as part of case investigation record.

Retention *Record copy:* Retain by agency for 5 years and then destroy.

SG1657. TELETYPE / FAX / ELECTRONIC MESSAGES

Incoming and outgoing teletype or other electronic messages concerning a variety of subjects of interest to the department. Subjects include incidents, meetings, arrests, warrant confirmation and others. Information includes date, time, originating agency, and text. These are messages not warranting inclusion in INCIDENT CASE FILES or other record series.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

SG1658. TOWED VEHICLE RECORDS

Rotation lists and related records documenting tow truck requests and responses. Information usually includes date, name of requestor, name of towing company called, location, and other data. Records may also include documentation of vehicles towed from private property at the request of citizens. This information is used to prevent towed vehicles from being reported as stolen.

Retention *Record copy:* Retain by agency for 2 years and then destroy.

SG1659. TRAFFIC AND OTHER CITATION LOGS

Logs listing various information related to citations issued by the department. Usually includes type of citation, ticket number, name of violator, date of issue, and officer's name.

Retention *Record copy:* Retain by agency for 2 years and then destroy.

SG1660. TRAFFIC AND OTHER CITATIONS

Department copies of citations issued for traffic, motor vehicle, and other violations. Includes Uniform Traffic Citations, parking citations, and others. Information includes city and county, date and time, name and address, date of birth, sex, occupation, license number, state, year, make and model of vehicle, location of violation, state or city law alleged violated, conditions, name of officer issuing citation, and related data.

Retention *Record copy:* Retain by agency for 2 years and then destroy.

SG1661. TRAFFIC VIOLATION WARNING RECORDS

Records documenting warnings issued for traffic violations. Often used to determine repeat offenders and for follow-up investigations. Information usually includes date, time, category, name, address, phone number, date of birth, race, sex, hair and eye color, height, weight, Social Security number, drivers license number, make and model of vehicle, location of violation, violation, signatures, and related data.

Retention *Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

PROBATION

SG1662. MASTER SUMMARY RECORD

Index – Containing summary information on each case:

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1663. PROBATION DEPARTMENT CASE FILES

Retention *Record copy:*

A. Pre-sentence or predisposition investigation report; quarterly supervision reports, including initial supervision plan; and termination report:

Retain by agency for 10 years after case closed and then destroy.

B. All case record material, other than pre-sentence investigation report or predisposition report, quarterly supervisory reports, and termination report:

Retain by agency for 6 years after case closed and then destroy.

NOTE: *Although the above records have a less than permanent* ***Retention*** *period, the State Historical Records Advisory Board urges probation agencies to retain pre-sentence or predisposition investigation reports, quarterly supervision reports, and termination reports permanently. This type of material on occasion has been requested by judges. These reports contain information not available elsewhere, and document the government's role in the probation process.*

MOTOR VEHICLE RECORDS (STATE-OWNED)

SG0801. MOTOR VEHICLE AUTOMOBILE TITLES
Records which prove state ownership of the vehicle.
Retention *Record copy:* Retain until vehicle is sold and then transfer to buyer.

SG0802. CERTIFICATES OF MILEAGE
Certificates issued by the dealer/manufacturer certifying the mileage is accurate on each vehicle purchased by the state.
Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG0803. GASOLINE SALES TICKETS
Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.
Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG0804. INSURANCE ADJUSTER'S ESTIMATES ACCIDENT REPORT
Adjuster's reports on vehicle repair estimates following an accident.
Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG0806. MOTOR VEHICLE COST FILES
Motor vehicle ledgers and work sheets providing cost and expense data.
Retention *Record copy:* Retain by agency for 5 years and then destroy.

SG0807. MOTOR VEHICLE PUBLIC EMPLOYEE OPERATIONAL FILES
Records relating to individual employee operations of government-owned vehicles, including driver tests, rental authorizations, safe driving awards, and correspondence.
Retention *Record copy:* Retain by agency for 5 years and then destroy.

SG0808. MOTOR VEHICLE RELEASE FILES
Records relating to the transfer, sale, donation, or exchange of state vehicles.
Retention *Record copy:* Retain by agency for 5 years after vehicle leaves custody and then destroy.

SG0809. MOTOR VEHICLE MAINTENANCE, OPERATION & REGISTRATION FILES

Maintenance and operating records, including those relating to service, repair, gas and oil consumption, dispatching and scheduling, and copies of legal registrations required by law to be maintained with each state vehicles.

Retention *Record copy:* Retain by agency until obsolete (usually for the lifetime of the vehicle) and then destroy.

PAYROLL RECORDS

SG0901. ADMINISTRATIVE PAYROLL REPORTS

Reports and statistics with supporting and related records pertaining to workload and personnel management, payroll operations and administration.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG0902. BUDGET AUTHORIZATION REFERENCE

Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.

Retention *Record copy:* Retain by agency until superseded and then destroy.

SG0903. DEDUCTIONS AND OTHER EARNING REGISTERS

Report used to reference the amount of retirement deducted and other miscellaneous deductions.

Retention *Record copy:* Retain by the Office of the State Controllers Statewide Payroll Division for 3 years or after audit and then destroy.

SG0904. EMPLOYEE BENEFIT MATCHING MONEY REPORT

Listing of state matching funds paid to employee retirement.

Retention *Record copy:* Retain by the Public Employees Retirement System for 3 years or after audit and then destroy.

SG0905. FINAL TIME SUMMARY REPORT

This report provides information on the regular and overtime hours paid. It also includes all other earnings and the labor distribution.

Retention *Record copy:* Retain by the Division of Statewide Payroll for 3 years or after audit and then destroy.

SG0906. FULL-TIME EMPLOYEE REPORT

Report which informs users of the full-time equivalent count for each agency.

Retention *Record copy:* Retain by agency for 3 years or after audit and then destroy.

SG0907. GARNISHMENTS

Record of garnishments or levies for debts owed by the employee.

Retention *Record copy:* Retain by the Division of Statewide Payroll for 3 years after end of garnishment or after audit and then destroy.

SG0908. INCOME TAX EXEMPTIONS AND WITHHOLDINGS CERTIFICATES

Form which records the number of exemptions an employee claims against his payment of income tax and any additional withholding from his paycheck, such as IRS Form W-4 and similar tax exemption forms.

Retention *Record copy:* Retain by the Division of Statewide Payroll for 4 years after form is superseded or until termination of employee and then destroy.

SG0909. INSURANCE DEDUCTION FILES

Reports and related papers including copies of vouchers and schedules of payment pertaining to insurance deductions.

Retention *Record copy:* Retain by the Division of Statewide Payroll for 3 years after separation of employee and then destroy.

SG0910. LEAVE ADJUSTMENT REPORTS

Shows all leave adjustments made during a pay period. Shows category of adjustment, the amount, social security number, and employee name.

Retention *Record copy:* Retain by the Division of Statewide Payroll for 3 years then destroy.

SG0911. LEAVE APPLICATIONS

Applications for leave and supporting papers relating to request for and approval of employee leave.

Retention *Record copy:* Retain by agency for 6 months and then destroy.

SG0912. LEAVE CATEGORY CHANGES

Report showing changes made if an employee does not have enough leave and payroll program must make adjustments from another category.

Retention *Record copy:* Retain by the Division of Statewide Payroll for 3 years or after audit and then destroy.

SG0913. LEAVE SUMMARY REPORT

Reports which document the kind and amount of leave taken by an employee during a calendar year. After they are signed by the employee, they are maintained in the official personnel file.

Retention *Record copy:* Retain until report is made part of official agency personnel file.

SG0914. NOTICES OF PAYROLL ACTION

Notices which document all payroll actions.

Retention *Record copy:* Retain until notices are made part of official agency personnel file.

SG0915. PAYROLL REGISTER

Display of earnings, deductions, taxes, net income, and warrant or direct deposit information. These documents are prepared and used for payroll disbursement.

Retention *Record copy:* Retain by the Division of Statewide Payroll for 3 years or after audit and then destroy.

SG0916. PRELIMINARY PAYROLL FILES

Computer-produced, two part documents sent by Division of Statewide Payroll to agencies to record final corrections or adjustments regarding employees' pay. They are made before the master payroll file is run and checks are issued. Preliminary payroll files do not serve as time and attendance records.

Retention *Record copy:* Retain by Division of Statewide Payroll until Final payroll is run and then destroy.

SG0917. RETIREMENT BENEFITS ASSISTANCE FILES

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors in claiming insurance or retirement benefits.

Retention *Record copy:* Retain by agency for 1 year and then destroy.

SG0918. RETIREMENT FILES

Reports and register control documents relating to retirement.

Retention *Record copy:* Retain by the Public Employees Retirement System for 3 years or after audit and then destroy.

SG0919. RETROACTIVE PAY REQUESTS FOR STATE EMPLOYEES

Records which document requests for retroactive payments to state employees, such as when a pay increase was not done in a timely manner. Information includes name, low organization number, social security number, effective date, number of regular hours, and new hourly rate. These records are kept for audit purposes. The actual retroactive payment is part of the master payroll files maintained by the Division of Statewide Payroll.

Retention *Record copy:* Retain by agency as part of employee's personnel file for 3 years and then destroy.

SG0920. SAVINGS BOND PURCHASE FILES

Forms and reports with related records pertaining to deposits and purchase of bonds.

Retention *Record copy:* Retain by the Office of the State Controllers Statewide Payroll Division for 3 years and then destroy.

SG0921. SAVINGS BOND PURCHASE SUMMARY

List of all bond purchases and the remaining bond balances.

Retention *Record copy:* Retain by the Office of the State Controllers Statewide Payroll Division until administrative need ends and then destroy.

SG0922. TAXABLE WAGE EARNING REPORTS

Returns on income taxes such as IRS Form W-2 and reports of withheld federal taxes, such as IRS Form W-3, with related records, including reports regarding income and social security taxes.

Retention *Record copy:* Retain by the Division of Statewide Payroll for 3 years or after audit then destroy.

SG0923. TIME AND ATTENDANCE REPORTS

State employee time sheets, including flextime attendance reports, supplemental time and attendance records (such as sign-in/sign-out sheets), and work reports that are used for time accounting under flextime systems.

Retention *Record copy:* Retain by agency for 3 years or after audit and then destroy.

SG0924. WAGE SURVEY FILES

Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and requests for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

Retention *Record copy:* Retain by the Division of Statewide Payroll and Division of Human Resources until after completion of second succeeding wage survey and then destroy.

PROPERTY RECORDS

SG1001. DECLARATION OF SURPLUS PROPERTY

Form required by the Board of Examiners indicated what property an agency wishes to surplus.

Retention *Record copy:* Retain for 3 years after final disposition of property then destroy.

SG1002. PROPERTY DISPOSAL CASE FILES

Case files on the disposal of real and related surplus property. Case files on sales of surplus personal property (including those transactions deviating from standard procedures), comprising of invitations, bid acceptances, lists of materials, evidence of sales, and related correspondence.

Retention *Record copy:* Retain for 3 years or after audit and then destroy.

SG1003. REAL PROPERTY SALE FILES

Records necessary or convenient for the use of real property sold, donated, or traded to non-state ownership.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

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PUBLIC AFFAIRS RECORDS

NOTE: All retention periods are filed by either the fiscal or calendar year. For all <u>UNANNOTATED DUPLICATE COPIES</u>, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

SG1201. AGENCY COMMENDATION FILES

Letters of commendation received by agency which impart important information or observations about agency programs or operations, but which do not belong in an individual's personnel file.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1202. COMPLAINT / INFORMANT FILES

Whistle-blower, fraud, and criminal complaints. Includes anonymous letters, complaints, criticism and suggestions, and agency replies thereto. Also includes those complaints which were the basis of an investigation or from which administrative action was taken, and those incorporated into individual personnel files.

Retention *Record copy:* Retain by agency for 7 years after final resolution and then destroy.

SG1203. INDEXES AND CHECK LISTS

Bibliographies, check lists, and indexes of agency publications and news releases, except those used as indexes to public relations files.

Retention *Record copy:* Retain until superseded or obsolete and then destroy.

SG1204. INFORMATION PROJECT FILES

Informational services project case files maintained in formally designated information offices.

Retention *Record copy:* Retain for 1 year after close of file or completion of project and then destroy.

SG1205. PRESS RELEASES

A copy of prepared statements or announcements issued for distribution to the news media. A press release may be a textual record or a non-textual record such as a film or video sound recording.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1206. PUBLIC RELATIONS FILES

Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The format selected may be paper, video tape, motion picture film, etc.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

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PURCHASING RECORDS

SG1101. BIDDERS LIST OR CARD FILES

Lists of acceptable bidders who are eligible for contracting with the State to provide products or services.

Retention *Record copy:* Retain for 1 year and then destroy.

SG1102. CANCELLED SOLICITATION FILES

Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to the awarding of a contract. Information includes pre-solicitation documentation on the requirement, offers opened prior to cancellation, documentation on government action up to the time of cancellation, and evidence of cancellation.

Retention *Record copy:* Retain for 3 years after contract termination and then destroy.

SG1103. CONTRACT APPEALS CASE FILES

Case files consisting of notices of appeal and acknowledgments, correspondence between parties, contracts copies, plans, specifications, exhibits, change orders and amendments, transcripts of hearings, documents received from parties concerned, final decisions, and other related records.

Retention *Record copy:* Retain for 3 years after contract termination and then destroy.

SG1104. CONTRACT PURCHASING FILES

Files which document transactions of $10,000 or less and construction contracts under $2,000. They include contract, requisition, purchase order and lease records, correspondence, related records pertaining to award, administration, receipt, inspection, and payments.

Files which document transactions of more than $10,000 and construction contracts exceeding $2,000. The files include contract, requisition, purchase order and lease records, correspondence and related records pertaining to award, administration, receipt, inspection, and payments.

Retention *Record copy:* Retain for 3 years after final payment or after contract termination and then destroy.

SG1107. LEASING CONTRACT FILES

Building or equipment leases and related records documenting agreements, services, and payments.

Retention *Record copy:* Retain for 3 years after contract termination and then destroy.

SG1108. PROFESSIONAL CONTRACTUAL AGREEMENT FILES

Files documenting the professional contractual agreements between an agency and a professional individual, or between agencies for temporary services. The files include contract, requisition, purchase order, correspondence, and related records.

Retention *Record copy:* Retain for 3 years after last payment or after contract termination and then destroy.

SG1110. PURCHASE REQUISITION FILES

Requisitions for supplies and equipment for current inventory.

Retention *Record copy:* Retain for 3 years after contract termination and then destroy.

SG1112. SUCCESSFUL BIDS AND PROPOSALS FILES

Solicited and unsolicited successful bids and proposals to provide products or services to an agency by a private contractor.

Retention *Record copy:* Retain for 3 years after contract termination and then destroy.

SG1113. SUPPLY MANAGEMENT FILES

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).

Retention *Record copy:* Retain for 3 years after contract termination and then destroy.

SG1114. TAX EXEMPTION FILES

Tax exemption certificates and related records.

Retention *Record copy:* Retain for 3 years after period covered by related account and then destroy.

SG1115. UNOPENED BIDS AND PROPOSALS

Solicited and unsolicited bids and proposals to provide products or services which, due to funding or administrative reevaluation, are no longer required by the agency or will not be open to the bidding process.

Retention *Record copy:* Retain for 1 year and then destroy.

SG1116. UNSUCCESSFUL BIDS AND PROPOSALS FILES

Solicited and unsolicited unsuccessful bids and proposals to provide products or services to an agency by a private contractor.

Retention *Record copy:* Retain for 2 years and then destroy.

SECURITY SERVICES RECORDS

NOTE: All retention periods are filed by either the fiscal or calendar year. For all <u>UNANNOTATED DUPLICATE COPIES</u>, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

SG1301. DEPARTMENTAL RECOVERY REPORTS

Agency reports of operation tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1302. DISASTER PLANNING FILES

Files used to prepare statewide plans for action to address an emergency, e.g. fire, flood, earthquake, and other disasters.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1303. GUARD ASSIGNMENT FILES

Files relating to guard assignments. Includes ledger records or requests, analyzes, reports, change notices, and other papers relating to post assignments.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG1304. GUARD SERVICE CONTROL FILES

Control center key or code records, emergency call cards, building record, and employee identification cards.

Retention *Record copy:* Retain by agency until superseded or obsolete and then destroy.

SG1305. GUARD SERVICE REPORTS

Round reports, facility checks, service reports on interruptions and tests, punch clock dial sheets, automatic machine patrol charts, and registers of patrol and alarm services.

Retention *Record copy:* Retain by agency for 1 year and then destroy.

SG1306. INSURANCE REPORTS

Reports used for the reference and generation of claims files.

Retention *Record copy:* Retain by Risk Management Services for 15 years and then destroy.

SG1307. KEY ACCOUNTABILITY FILES

Files relating to accountability for keys issued, including keys to maximum security areas.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1308. LIABILITY INSURANCE POLICY FILES

Insurance policy contracts between the State of Idaho and private insurers.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1309. LIABILITY RISK MANAGEMENT CASE FILES

Case files of the reporting, investigation, and settlement of liability claims filed against the state, colleges and universities.

Retention *Record copy:* Retain by Risk Management Services for 20 years and then destroy.

SG1310. LOSS CONTROL INSPECTION REPORTS

An annual self-inspection report used to identify potential hazards within the building or on the agency property. This record may also be used as evidence in defense of a claim.

Retention *Record copy:* Retain by agency until superseded or obsolete then send to Risk Management. Retain by Risk Management Services for 12 years and then destroy.

SG1311. PERSONNEL SECURITY CLEARANCE STATUS FILES

Lists of rosters showing the current security clearance status of individuals.

Retention *Record copy:* Retain by agency until superseded or obsolete and then destroy.

SG1312. PROPERTY INSURANCE POLICY FILES

Insurance policy contracts between the State of Idaho and private insurers.

Retention *Record copy:* Retain by Risk Management Services for 75 years and then destroy.

SG1313. SECURITY LOGS AND REGISTERS - INDIVIDUAL GUARD POSTS

Individual guard post logs of occurrences.

Retention *Record copy:* Retain by agency for 3 years and then destroy.

SG1314. SECURITY LOGS AND REGISTERS - MASTER OFFICE

Central guard logs which are compiled from individual guard post logs of occurrences.

Retention *Record copy:* Retain by agency for 5 years and then destroy.

SG1315. VISITOR CONTROL FILES

Registers or logs used to record names of outside contractors, service personnel, visitors, and employees admitted to areas, and reports of passengers in State automobiles.

Retention *Record copy:* Retain by agency for 2 years and then destroy.

SG1316. VISITOR CONTROL FILES FOR AREAS OF MAXIMUM SECURITY

Registers or logs used to record names of visitors who are admitted to areas of maximum security.

Retention *Record copy:* Retain by agency for 5 years and then destroy.

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SOCIAL SERVICES/WELFARE

NOTE: All retention periods are filed by either the fiscal or calendar year. For all <u>UNANNOTATED DUPLICATE COPIES</u>, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

SG1401. CASE RECORD

Retention *Record copy:*

A. Including but not limited to application for assistance or services, eligibility forms, case history, authorization of assistance or services, and correspondence:
   PERMANENT. Contact State Archivist.

B. Including but not limited to pre-adoption history, medical report on natural mother and child, and correspondence:
   PERMANENT. Contact State Archivist.

C. For child, and covering one of the following: abuse or maltreatment; child support; foster care child; family adopting a child; child health; medical assistance; or day care child's medical records; except for adopted child sealed case record, which must be retained permanently; including but not limited to application for assistance or services, eligibility forms, authorization of assistance or services, and correspondence:
   Retain until youngest child attains age 28.

D. For child held in detention home, children's shelter or similar facility, including but not limited to admission and release notice, copy of court order, copy of admission physical examination, psychiatric evaluation, accusation of staff abuse, list of personal property, and clothing inventory:
   Retain until child attains age 21.

E. Non-services and Services case files, other than those described in item 1, sections c and d above, including programs such as Public assistance and Care, Medical Assistance, Food Stamp, Adult Services, and Aid to Dependent Children, and including but not limited to application for assistance or services, eligibility forms, authorization of assistance or services, and correspondence:
   6 years after case closed.

F. Home Energy Assistance case files:
   3 years after case closed.

SG1402. DENIED OR WITHDRAWN APPLICATION FOR ASSISTANCE OR SERVICES

Retention *Record copy:* 1 year.

SG1403. REGISTER

Index or other record showing applications or requests for assistance or services or showing participation in program.

Retention *Record copy:* 6 years after last entry.

SG1404. SOCIAL SERVICES CASE TRANSACTION HISTORY OR CASE ACTIVITY CONTROL LOG

Record listing actions taken on case and dates, including public assistance, adult services, children's services, adoption case, and day care registration.

Retention *Record copy:* **PERMANENT**. Contact State Archivist.

SG1405. FOSTER HOME CASE ACTIVITY CONTROL LOG

Retention *Record copy:* 6 years after termination of foster home certification or license.

SG1406. RECORD OF ASSISTANCE GRANTED

Retention *Record copy:*

A. When assets have been assigned:
10 years after case closed.

B. When there has been no assignment of assets:
6 years after case closed.

SG1407. ASSET ASSIGNMENT RECORD

Retention *Record copy:* 10 years after case closed.

SG1408. ASSET REGISTER

Retention *Record copy:* 6 years after last case closed.

SG1409. PROPERTY RECORDS

Including deed, mortgage, lien or estate records, and appraisal of fair market value:

Retention *Record copy:* 6 years after assets liquidated or recoupment is completed.

SG1410. UTILIZATION REVIEW AND LONG-TERM CARE PLACEMENT RECORDS

Where Social Services conducts review and placement functions:

Retention *Record copy:* 6 years.

SG1411. PAYMENT ROLL, SCHEDULE OR HISTORY
Retention *Record copy:* 10 years after case closed.

SG1412. MEDICARE, MEDICAID OR INSURANCE CARRIER CLAIM RECORDS
Including but not limited to schedule of payments, copy of claim, listing of invalid or rejected claims, vendor payment list, list of claims submitted for payment, and list of checks received:
Retention *Record copy:* 7 years.

SG1413. INSURANCE AND REIMBURSEMENT RELATED REPORTS
Including Medicare or Medicaid cost report, certified uniform financial or statistical report, and all necessary supporting documentation:
Retention *Record copy:* 9 years.

SG1414. SUPPORT COLLECTION ACCOUNTING RECORDS
Retention *Record copy:*

A. Official record of account:
6 years after case closed.

B. Original entry and intermediary records, used in posting information to official account record:
6 years.

C. Fiscal and statistical reports relating to support collection:
6 years.

SG1415. SUPPORT COLLECTION ENFORCEMENT CASE RECORD
Retention *Record copy:* 6 years after case closed.

SG1416. MASTER SUMMARY RECORD
Index or register of support collection cases:
Retention *Record copy:* **PERMANENT**. Contact State Archivist.

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