RECORDS MANAGEMENT MANUAL

Idaho Association of Counties

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Preface

Records need to be managed in an efficient manner to serve the purpose for which they were created. A records management system is a management plan for the creation, organization, use, retention, disposal, and selective preservation of records.

Management of public records is a vital function and understanding the basic principles of records management is essential for every county official. While Idaho law provides that any "writing" prepared or used in the conduct of public business qualifies as a public record, it also recognizes that records vary tremendously in their utility and significance. For instance, ordinances, resolutions and minutes are important for the day-to-day operation of government and also are historically significant, and Idaho law provides that these records are not to be destroyed. On the other hand, many types of public records should be kept for the applicable retention period and destroyed once their utility is exhausted.

This manual is a guideline intended to assist county officials in the management, retention and disposition of county records in accordance with Idaho law and is not an all-inclusive list. The manual includes a Model Record Retention Schedule, which serves as a minimum threshold for counties in establishing their own retention schedule. Because no manual can stay abreast of the constantly changing legal interpretations and applications of germane statutes and rules, this manual should be used only as a starting point for research. For technical assistance on any issues relating to public records, please contact your county prosecutor, the board of county commissioners or the Idaho Association of Counties.

A records management system will make county departments more efficient, personnel more productive, minimize supply and equipment costs, improve storage and retrieval systems, and protect counties from litigation regarding record-keeping practices, therefore utilizing taxpayers money more effectively.

Preparation of a Record Retention Schedule

A record retention schedule establishes the minimum retention period and final disposition (either by destruction or permanent retention) for the various types of records. State and federal law and regulations provide specific retention periods for many, but not all, county records.

The process of developing a record retention schedule has been greatly simplified by the development of a model schedule. The model schedule was developed with input from a broad array of county officials and provides a starting point for each county in developing their own record retention schedule. Because Idaho counties are extraordinarily diverse, it is impossible to develop a model schedule that will fit every county perfectly.

See Sample Records Retention Schedule located in attached Appendix B. REMEMBER THAT THE RETENTION PERIOD IS A **MINIMUM** TIME THAT THE RECORDS ARE TO BE KEPT. EACH COUNTY AND DEPARTMENT HAS THE CHOICE OF RETAINING RECORDS FOR ANY LENGTH OF TIME BEYOND THE MINIMUM.

There are several important considerations to keep in mind regarding record retention schedules:

1.   The retention schedule provides the minimum amount of time that a record must be kept —it does not require a county to destroy records that have exceeded their minimum retention nor does it authorize county officials to begin destroying records (this is explained in more detail below).

2.   The retention schedule does require the county to keep the record for the applicable period, during which the record may be inspected and copied as a public record unless specifically exempt from disclosure as provided by Idaho law.

3.   The model retention schedule included in this manual attempts to broadly fit most counties in the state. Because the services and programs offered by each county are different, some types of records will likely need to be added to or deleted from the schedule. The model schedule does not impose any requirements that your county create new types of records.

4.   The retention period only applies to the official copy of a record. Duplicate copies may be disposed of at any time. It is important to designate the official copy so it is easily identifiable for retention purposes.

What Constitutes a Public Record?

The definition of "public record" is found in the Idaho Public Records Law in Idaho Code 9-337:

"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 office, independent public body "corporate and politic" or local office regardless of physical form or characteristics.

Idaho Code 9-337 also defines "writing":

> "Writing" includes, but is not limited to, handwriting, typewriting, printing, photostating, photographing and every means of recording, including letters, words, pictures, sounds or symbols or combination thereof, and all papers, maps, magnetic or paper tapes, photographic films and prints, magnetic or punched cards, discs, drums or other documents.

In basic terms, the definition of public record established by Idaho law includes any recorded information, regardless of medium, that relates to the business of county government. Public records can be paper documents, books, maps, pictures, audio/visual recordings, microfilm or microfiche, as well as electronic documents (including computer files and email).

Classification of Records

There are three classifications of records pursuant to Idaho Code §31-871. These are Permanent Records, Semi Permanent records, and Temporary records. The most important of these categories is the Permanent records category. By definition these records include:

> **"Permanent records"** shall consist of, but not be limited to, the following: proceedings of the governing body, ordinances, resolutions, building plans and specifications for commercial projects, and government buildings, bond register, warrant register, budget records, general ledger, cash books and records affecting the title to real property or liens thereon, and other documents or records as may be deemed of permanent nature by the board of county commissioners. Idaho Code §31-871(a) While some records must be kept indefinitely, the general retention schedule for records identified as Permanent is <u>not less than 10 years.</u>

> **"Semi Permanent records"** shall consist of, but not be limited to, the following: claims, contracts, canceled checks, warrants, duplicate warrants, license applications, building applications for commercial projects and government buildings, departmental reports, purchase orders, vouchers, duplicate receipts, bonds and coupons, registration and other election records excluding election ballots and tally books, financial records, and other documents or records as may be deemed of semipermanent nature by the board of county commissioners. Idaho Code §31-871(b) The general retention schedule for records identified as Semi Permanent is <u>not less than five years</u>.

> **"Temporary records"** shall consist of, but not be limited to, the following: correspondence not related to subsections (1) and (2) of this section, building permit applications, plans and specifications for noncommercial and nongovernment projects after the structure or project receives final inspection and approval, cash receipts, subject to audit, election ballots and tally books, and other records as may be deemed temporary by the board of county commissioners. Idaho Code §31-871(c) The general retention schedule for records identified as Temporary is <u>not less than two years.</u>

> In addition, there are some other characteristics or factors to be considered.

Administrative Value

Records have administrative value as long as they provide information needed for a county's current or future operations. Generally, eighty percent 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, a few records provide information about a county's origin, organization, adopted resolutions and ordinances, land records, policies and functions, which has long-term administrative value and would therefore be kept indefinitely.

Legal Value

Records have legal value as long as they provide enforceable documentation of the agency's rights and obligations. Ordinances, resolutions, contracts, and agreements are examples of records of primary legal value. Some records, such as governing board minutes, ordinances and resolutions, have permanent legal value. The legal value of other records, such as contracts and agreements is limited by the time they remain in effect plus the statute of limitations on the agency's liability for the terms and conditions that they document.

Fiscal Value

Records have fiscal value as long as they provide information needed to track office revenue and expenditures or to document financial transactions. Examples of records with primary fiscal value include budgets, allotments, 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 longer-term retention value than fiscal records with administrative value, such as periodic accounting reports.

Research/Historical (Archival) Value

Some records have long-term research value because they provide significant documentation concerning the county's origin, organization, adopted resolutions and ordinances, land records, policies and functions as they have occurred through time. Once the office determines that the administrative, legal, and fiscal needs for such records have been exhausted the records should be transferred to the appropriate State Archives for long-term preservation and public research use.

Records Management Program Implementation

Records Inventory

The first step in developing a records management program within an office is the preparation of a records inventory.   The inventory should be performed by the person within the office most familiar with the records and the filing system. A records inventory identifies:

> a. The title of the record series.
> b. The type of record series.
> c. The location of the records.
> d. The volume of the records.

When completed, the records inventory will identify all records located within the office and any duplicate storage of the same record series by title and type of filing equipment.

Record Series Description

The second step in developing a records management program within the office is the preparation of record series descriptions. 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. The record series descriptions will detail the general purpose and content of a record series or a unit of related records and recommend a retention period. For example, a group of employee (personnel) files would be considered as one record series. A record series may be one or two file folders, or may fill several file drawers, shelves, boxes, etc.

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 filed as a unit and may be transferred or destroyed as a unit.
- May consist of a single type of form 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.

Appraising Records

The third step in establishing a records management program is determining the retention value of the record or how long each record series should be kept in the office and in storage before final disposition. To do this, the immediate and future usefulness of the records to the office must be determined. Records should be retained in the office area as long as they serve the immediate administrative, legal, and fiscal purposes for which they were created. When they no longer serve these purposes, they should be transferred to an inactive storage location, microfilmed, destroyed, or in some cases deposited in the State Archives. The values shall be identified as Administrative, Legal, Fiscal, or Historical as described previously.

Establishing Retention Schedules

The final step in developing a Records Management program is the preparation of a Records Retention Schedule. The final version is reviewed by the county prosecuting attorney and the board of county commissioners for approval.. The retention schedules set forth are for the original or official record. Personal convenience copies should only be retained for as long as they are required, and should never exceed the length of retention of the original record.

Inactive Records

Generally, records become inactive when they have fulfilled the immediate administrative purposes for which they were created. Inactive records can be taken out of the active records area regularly and stored throughout the retention period.

Records moved to inactive storage areas should be placed in boxes or surplus file equipment and labeled with the inclusive dates of the records, date of authorized disposal, and any special instructions.

Procedure to Transfer Records to the State Archives

Offices that have records ready to transfer to the State Archives should contact the State Archives to review the required procedure. In the past, the State Archives has arranged to pick up the materials, but that is only available when the budget allows. When the records are delivered, the State Archives will issue a receipt for the material received. Following is the procedure to transfer records to the State Archives:

- Standardized cardboard containers must be used for storing records at the State Archives. Odd-sized material which will not fit in a standard carton must first be approved by the State Archivist before it can be transferred.
- 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).
- Contact the State Archives by letter telling them what records you have for storage at their facility. They will notify you and let you know if they are able to take the records and arrangement can be made at that time for their transportation.

Important Note: Records may be sent to the Record Center in non-standard containers, file cabinets or boxes **by special arrangement only**.

Destruction of Records

Pursuant to Idaho Code §31-871, "Records may only be destroyed by resolution of the board of county commissioners after regular audit and upon the advice of the prosecuting attorney. A resolution ordering destruction must list in detail, records to be destroyed. Such disposition shall be under the direction and supervision of the elected official or department head responsible for such records."

All non-confidential records may be disposed by landfill in essence, disposed by just throwing the record in the garbage or recycling container. Confidential records must be shredded or burned. Records identified as archival must be transferred to the State Archives.

Records Management Program Maintenance

Records management must be an ongoing project. As the records created and maintained change, the county's records retention schedule must be updated. The purpose of the following sections is to provide a guide for the continued maintenance of the county's records management program.

Records Involved in an ongoing Audit, Litigation, or Investigation must not be destroyed until the matter is resolved.

LITIGATION/DESTRUCTION HOLD PROCEDURE

When an office is involved in an ongoing audit, litigation, or investigation, it may be necessary to suspend all destruction of records that may be involved in resolving the issue. Upon learning of actual, pending, or possible litigation, audit, or investigation, the records coordinator should work with management and legal counsel to immediately notify all employees to cease destruction of records, including paper, microfilms, or electronic information. All records should be retained until such time as management and legal counsel can determine the scope of the action. A "Destruction Hold Notice" should include the following information.

> 1. Brief description of the audit or action.

> 2. Identify the functions affected.

> 3. List the types of records which may be involved, regardless of whether they are stored on paper, microfilm, or in an electronic format.

> 4. Notify employees that these records must not be altered or destroyed until further notification from management or legal counsel.

> Management and legal counsel will review the action and determine which records will be required. Upon completion of the review, approval to continue normal disposal of unneeded records and files, which are not included in the action, should be provided. Records needed in the action must be retained until specific approval for disposal is provided.

Disaster Preparedness

A record disaster is a sudden, unexpected event that significantly damages or destroys records or prevents access to the information they contain. Examples of common records disasters include: floods, fires, earthquakes, leaking pipes, theft, vandalism, hard drive crashes and computer hackers. A records disaster can deprive a county of important records:

Documenting the county's legal rights, interests and financial status,
Documenting the rights and obligations of citizens and businesses,
Necessary for conducting emergency operations during a disaster, and
Needed for resuming county operations after a disaster.

To prepare for a records disaster, counties should develop a written plan that specifically addresses the most likely events that could damage or destroy records, including strategies for:

Preventing potential disasters by identifying and reducing risks,
The appropriate response for specific types of disasters that are most likely to occur,
The facilities, equipment, records and other resources necessary to continue essential county services in the wake of a disaster, and
Periodically reviewing and updating the plan to reflect current conditions.

A disaster management plan allows your county to:

Establish a secure environment for records storage and maintenance,
Identify and protect vital records,
Provide a framework for responding safely and efficiently to disasters that occur, and
Allow the county to resume work as soon as possible following a disaster.

Identifying and Protecting Vital Records

Vital records are the irreplaceable records that are essential for the continued operation or survival of county government in the wake of a disaster. Vital records document the legal and fiscal status of the county, property ownership, money owed to and by the county, contracts, payroll records and other records without which the county cannot function. In deciding which records should be classified as vital records, county officials should consider the following:

What are the consequences if the record was destroyed?
Could essential county services carry on without the record?
What loss or inconvenience would the public suffer if the record was destroyed?
What is the cost of replacing or reconstructing the record?
Is the document itself essential, or only the information it contains?

The three most common methods of protecting vital records are:

Duplication & Dispersal: Duplication may be done by photocopying, microimaging and magnetic tape or disk storage, either by preparing duplicates when the record is created or reproducing existing records for protection. Dispersal involves sending the duplicate copies to off-site locations. It is important to consider what equipment will be required to access and reproduce the documents stored off-site, such as computers or microfilm readers/printers.

On-Site Secure Storage: Often, county hall is the only public building in the area with the necessary facilities and equipment to store records. A variety of factors should be considered when examining the adequacy of facilities for record storage, including: floor load, lighting and ventilation, fire ratings of walls and doors, smoke and fire alarms, sprinklers or fire suppression systems and potential for leaks, fire, insects, vermin and other hazards. There are a number of alternatives for on-site secure records storage, including vaults, safes, file rooms and fire-resistant cabinets and containers, with the more effective alternatives generally the most expensive. Before purchasing such equipment, consideration should be given to how it will stand up to temperature and humidity. Paper begins to deteriorate at 350 degrees Fahrenheit with humidity above 65 percent. Magnetic tape, microfilm and photographs cannot withstand temperatures over 150 degrees Fahrenheit with humidity above 85 percent.

Off-Site Secure Storage: Ideally, off-site storage facilities should offer security from the same disaster that could destroy or damage the county's primary building. The facility should also be isolated from obvious risks, and must also be accessible during normal working and emergency conditions. Unlike dispersal techniques that distribute duplicates of vital records to a number of off-site locations, a central off-site storage facility simplifies access. Alternatives for off-site secure storage include: county-owned storage, regional or cooperative records centers, and commercial storage facilities.

Identifying Risks

Once a county's vital records have been identified and protected, the next step is to systematically identify, analyze and prioritize potential risks to county records. Certainly, county staff will likely have knowledge of past disasters and responses. Other resources for information on past disasters and responses include minutes, capital project files, newspapers, etc. Potential risks can be categorized as follows:

Natural Environment: Consider the geography, climate, weather and natural disasters that commonly occur in your area, such as wildfires, blizzards, ice storms, electrical storms, floods, landslides, earthquakes, etc., and likely damage to records that could occur as a result (e.g., water damage, fire, power surges, electrical disruptions, etc.).

Built Environment: Consider threats posed by your building's proximity to potential problems, such as other buildings, railroad tracks, highways, large trees, telephone poles, etc.

Building Structure: Evaluate the roof, walls, windows, foundation, and other structural elements of your building and determine if any are weak or prone to leakage. Inside, check electrical wiring, sewer lines, and water and steam pipes for necessary repairs or upgrades. If

records are stored in the basement, determine the likelihood of flooding. If records are stored on an upper floor, determine whether the floor can support the 300 pounds per square foot recommended weight-bearing capacity for records storage. Also examine whether the building has adequate fireproofing and a fire suppression system, but be aware that the same sprinkler systems and fire extinguishers that can save your records from complete destruction can also cause serious damage to records.

Storage Conditions: Serious problems can occur in the very places where records are stored. Facilities used for records storage should be clean, well lit, dry, and free of mold. Records should be stored in sturdy, standard cubic foot boxes on steel shelving of appropriate strength. The bottom shelf should be four to six inches from the floor so that records stay dry during minor flooding. If records are stored in a basement, vital records should be on an upper shelf, but not under pipes of any kind.

Human Threats: Humans are the most common cause of disasters affecting records, therefore it is important to consider the effects of citizens and staff when identifying and discussing risks. Certainly, theft, vandalism, arson, sabotage, computer hacking and terrorism are the most visible threats, but more commonly staff accidentally delete files, fail to create appropriate backups of their work, accidentally write over important files when installing software, cause accidents during construction projects and generally mishandle or lose important records.

Threats to Electronic Records: Several factors make electronic records vulnerable in unique ways. First, the optical and magnetic media used to store electronic records (such as CDs, DVDs, detachable hard drives, etc.) are relatively small and easy to carry and conceal, so they are more likely to be misplaced or stolen. Because electronic media are capable of holding tremendous amounts of information in a very small physical space, counties can suffer a crippling loss of information, particularly if there are no secure backups. Electronic media are easy to erase, either accidentally or intentionally. Electronic records are also susceptible to unauthorized access, because many county employees work on shared drives of a local area network. There is also the danger of Internet hackers and computer viruses.

Preventative and Protective Measures

After information on potential risks has been gathered, the next step is to develop strategies to prevent disasters from occurring and minimizing the effects of a disaster. The most important step toward protecting records is understanding the extent of a county's records and establishing firm control over them. This involves completing a records inventory and adopting a record retention schedule to help in systematically disposing of obsolete records. Some examples of preventative and protective measures are listed below.

❖ Store records in metal filing cabinets or on metal shelving. Avoid wood cabinets and shelving.

❖ Keep records protected from exposure 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 percent.

❖ Control dust and chemical vapors.

❖ Avoid storing records in basements, under water pipes, or directly on the floor.

❖ Store records on cabinets/shelves raised four to six inches above floor level (this is shown to be effective against potential water damage from fire fighting efforts and minor floods).

❖ Maintain a fire-suppression system (water sprinkler), and/or a fire detection and alarm system.

❖ Place chemical fire extinguishers (preferable to sprinkler systems due to possible water damage) conspicuously in file storage areas.

❖ Maintain an intrusion alarm system to protect against theft and vandalism, and keep exterior of buildings well-lit at night.

❖ Have drains in records storage rooms, and inspect drains, plumbing and water pipes regularly.

❖ Regularly check building for leaks and other problems.

❖ Do not install carpet in records storage areas because carpet retains water and prevents drainage, as well as creating a problem in stabilizing temperature and relative humidity in the affected area.

❖ Limit staff members' access to records storage areas to those regularly needing access.

❖ Terminated employees can pose security risks, so they should turn in all relevant identification and keys before leaving.

❖ For electronic records, make sure computer equipment has power-surge protection and consider installing an emergency generator to keep necessary electrical systems operating at a minimal level during power outages.

❖ Require staff to use passwords and change them frequently.

❖ Use firewalls and anti-virus software to protect your network and regularly install updates.

❖ Regularly backup electronic records and store backups in a protective vault or off-site facility.

Disaster Response Plan

When a disaster does strike, it is critical that there is a plan in place for contacting and directing the activities of a disaster response team. The elements of a disaster response plan include:

Members of Disaster Response Team: The team should include key staff from various county departments, generally including the county clerk, department heads and building custodian. There should be a designated team leader and alternate in case the leader cannot be reached quickly in an emergency. Each team member should have a copy of the disaster management plan at home.

Phone Tree and Emergency Contact Numbers: A phone tree is a way to ensure that all team members are notified of a disaster. The first person to discover the disaster calls the team leader, who calls two or three team members, who in turn contact members further down the phone tree, until the entire team is contacted. The plan should include emergency contact information for the response team, local law enforcement and fire offices, utility companies, and the Federal Emergency Management Administration (FEMA).

Salvage Priorities: Many plans include a short records inventory with the name, volume and location of a county's vital records.

Disaster Response Supplies and Equipment: A few general-purpose supplies should be on hand at all times, including extra records storage boxes, industrial fans, rubber gloves, plastic sheeting and a portable sump pump. The plan should also include the location of fire extinguishers and hoses, turn-off valves for gas and water, and electrical system and alarm shut-off switches.

Floor Plans and Area Maps: Floor plans should indicate salvage priorities, important supplies, and internal controls for information, electrical and plumbing systems. Other useful information for maps includes the locations of water mains, emergency routes, and hydrant and equipment locations.

Backup Facilities: Continuity of essential county operations requires getting up and operating as soon as possible after a disaster. The disaster response plan needs to specify how operations will resume: where temporary offices will be located (if necessary), what office equipment will be available to use and what records will be available.

The plan is a living document that should be periodically reviewed, evaluated and adjusted as needed. The review may be regularly scheduled or occur in response to changes in county services, facilities, equipment or staffing. It is particularly important to regularly update emergency contact information for the disaster response team.

Steps in Effective Disaster Response

Assess the Situation: Estimate the amount of time that has elapsed since the disaster occurred, the level of damage and remaining potential threats. Many disasters trigger a secondary threat, so check for leaks of any kind, particularly natural gas, steam, sewage and water. Try to determine whether the potential exists for contamination from chemicals, asbestos or mold. Assess the building's exterior, foundations, support beams, and supporting walls for structural damage.

Identify the Appropriate Response: The team must work together to identify an appropriate response, ideally following the response outlined for such a disaster in the county's disaster response plan.

Stabilize the Environment: Do not enter the facility until it is safe to do so. In many cases, you will have to rely on others to stabilize the situation first, especially in cases of fire, severe floods, downed trees or power lines, or damaged roofs or exterior walls. If there is standing water in any

location, be sure to turn off all electric power before entering the area. Once it is safe to enter, try to stabilize the temperature at about 65 degrees and the humidity between 45 and 55 percent. If an area is flooded or has high levels of humidity, reduce the temperature further to delay the onset of mold infestation (mold can grow within 48 hours). Remove standing water as soon as possible.

Take Photographs: Photographs are useful for documenting and measuring damage and formulating response and recovery activities.

Assess Damage: Assess the severity of damage, estimate the total quantity of records affected and identify the name and format of each records series involved.

Implement Salvage Strategy: Start moving records from the affected area to temporary storage. Be sure to consider the health and safety of staff involved in salvage efforts. For example, if records are wet or fire-damaged, provide staff with rubber gloves and face masks.

Begin Recovery: The process of remediation and recovery depends largely on the number, type and media of records damaged or destroyed. First, cull out any records that have exceeded their retention period so they can be destroyed after receiving the necessary approval from the Historical Society and county attorney and upon resolution of the board of county commissioners. Any permanent or vital records are candidates for professional restoration. Remaining records must be examined to determine if restoration or preservation through microfilming or imaging is appropriate. If the value of the records does not merit the cost of professional restoration, then they should be stored in an isolated area until their retention period is completed and they can be destroyed.

Wet records are of critical concern because they can begin to grow mold within 48 hours. First, move the records to a safe, dry and environmentally stable area. Immediately reduce temperature and humidity levels in wet or humid storage areas, and set up fans, air conditioners, and dehumidifiers to help dry out these areas. If boxes are falling apart, temporarily store the contents in plastic crates to keep them neat and under control. Do not leave wet records to dry on their own, and do not leave them in an area with standing water, high humidity or mold growth.

To remedy damage to the records, move them to a cold, dry environment. If a large quantity of records is involved, check with local school districts, supermarkets or businesses to see if industrial-size freezer space is available for temporary storage until the records are sent to a vendor that offers freeze-drying services. For a small volume of damaged records, sort them according to type of material and dry them using the appropriate method listed below.

Damp, Coated or Uncoated Paper: Fan pages open, insert blotter paper, and position them under a fan so air circulates between the leaves.

Wet, Uncoated Paper: Interleave pages with a paper towel or blank newsprint until damp, them remove the interleaving and proceed as above.

Wet, Coated Paper: Interleave pages with waxed paper, then fan open, and proceed as for wet uncoated paper.

Photographs: Rinse in clear, cold water, and dry face up on a blotter or hang securely from a laundry line.

Once the records are dry, place them in new boxes and label the boxes with the records series title, dates and retention periods.

GLOSSARY:

Accession: The act and process of transferring records into the physical custody of an archive or records center.

Active Record: A record used frequently—for paper records, at least once per month; these records are kept in the "active office" and are usually less than two years old.

Administrative Value: The usefulness of a record to an organization in the conduct of its daily business.

Alphabetic Arrangement: The ordering of a records series by the letters in titles of the files within the series, such as name or subject.

Alphanumeric Arrangement: The ordering of a records series by means of a classification system that uses filing codes consisting of combinations of letters and numbers.

Annotation: A note added or attached to an original record.

Annual Accumulation: The volume of records created, received and retained in the course of a year.

Aperture Card: An 80-column tabulating sized card with a hole, or aperture, containing usually one frame of 35-mm microfilm; generally used for engineering drawings, maps and charts.

Archival Microfilm: A photographic film that meets the standards for archival film and that is suitable for the preservation of permanent records when stored in accordance with those regulations.

Archival Record: A record that is kept permanently because of its continuing and enduring value as a historic document; also referred to as a "Historical Record."

Archives: A facility that preserves records with historical value, such as the State Archives operated by the Idaho State Historical Society in Boise.

Audio/Visual Records: Records in pictorial or aural form, including still and motion pictures, graphic materials (posters and art), audio/video recordings, and combinations of such media.

Backup: The act or result of copying an electronic record to ensure its information will not be lost.

Backward Compatible: The ability of software or hardware to read files in previous versions of the software/hardware.

Case File: A file containing standardized contents related to a specific action, event, person, place, project or subject; also referred to as a "Project File."

Certified Copy: A copy of a document signed and certified as a true copy by the official custodian of the record.

Chronological Arrangement: Records filed in date sequence in reverse (Latest, most recent, date on top) or forward (earliest date on top) chronologic order.

Closed File: A file into which no more documents may be added.

Compact Disk (CD): A type of optical disk storage media on which text, data, sounds, visual images, etc. can be recorded digitally; compact disks come in a variety of formats: CD-ROMs that are read-only, CD-Rs that can be written once and then are read-only, and CD-RWs that can be written on multiple occasions.

Compression: A process using special software that reduces the size of an electronic file.

Computer Output Microfilm (COM): Microfilm containing data converted and recorded directly from a computer, generally used instead of hard copy printouts.

Confidential Record: A record that is not open to the public, usually to protect the privacy rights of individuals.

Conservation: The repair and stabilization of damaged documents.

Conversion: Changing file formats, often to make a record software-independent and in a standard or open format.

Data: Symbols or representations of facts or ideas that can be communicated, interpreted, or processed by manual or automatic means; often associated with electronic data, statistics or measurements.

Data Dictionary: A formal description of the information contained in a database (including format, definition, structure and usage).

Database: A computer file that stores data structured in a way that allows for easy and specific access to information it contains.

Destruction: The act of disposing of nonpermanent records by shredding, incineration, recycling, etc.

Digital Versatile Disk (DVD): An optical disk with more storage capacity than CDs, these disks include: DVD-ROM (read-only), DVD-RAM (rewritable), DVD+RW (competitor to DVD-RAM with similar functionality and slightly greater storage capacity).

Disaster Recovery Plan: A written, approved course of action used when disaster strikes to restore critical functions and records.

Dispersal: Transfer of duplicate copies of vital records to locations other than those where the originals are housed.

Disposition: The final stage in the life-cycle of a record: non-permanent records are typically destroyed, and permanent records are kept by the county in perpetuity or transferred to the State Archives.

Document: A single record item, containing information in any medium, generated in the normal course of business that facilitates the management of that information (such as a letter, an email, or a completed form).

Duplicate: An extra copy of a record; duplicates may be destroyed at any time as long as an original designated as the "record copy" is retained for the applicable retention period.

Electronic Document Imaging: The production of digital images of documents, usually in order to improve access to the records.

Electronic Document Management System (EDMS): A software program and supporting hardware that automate and integrate the records management process.

Electronic Record: Information evidencing any action, transaction, occurrence, event or other activity produced by or stored in an information technology system and capable of being accurately produced in tangible form.

Electronic Records Management: The process of applying records management principles to electronic records.

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, and headings and subheadings are arranged alphabetically.

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.

File Transfer Protocol (FTP): A type of URL that is commonly used to store and exchange large files.

Files Management: The process of designing and managing an efficient organization for active office records so they are easy to find, arrange and use.

Filing System: A pre-defined plan using numbers, letters, or keywords to identify and organize records in a systematic scheme.

Finding Aid: A tool (such as a series description, catalog, or index) that is designed to help users find information within archival records.

Fiscal Value: The usefulness of a record in documenting monetary decisions and activities.

Forms Management: A system that establishes standards and procedures for the creation, design, and revision of all forms within an organization.

Forward Compatible: The ability of a software program to create files that can be read by more advanced versions of the software.

Historical Record: See "Archival Record."

Historical Value: The value of a record in documenting important information about a county and its usefulness for historical research.

Imaging: The process of electronically capturing the visual appearance of a paper document; informally called "Scanning."

Inactive Record: A record that does not have to be readily available, but which must be kept for administrative, policy, legal, fiscal, or historical purposes.

Index: An information guide that identifies the location of specific pieces of information within a document or a set of documents (for example, an index to a set of minutes could list topics and when they were discussed or an index to personnel files could list the names of people included).

Information Security: The protection of information against unauthorized disclosure, transfer, modification, or destruction, whether accidental or intentional.

Intranet: An internal Internet site that cannot be accessed by anyone outside the organization.

Legal Value: The usefulness of a record in documenting legally enforceable rights or obligations of the county, citizens, businesses, etc.

Locator System: An access guide for finding inactive records (examples include databases, shelf addresses, box numbers, and card files).

Magnetic Disk: A type of digital storage media, magnetic disks include hard disks found in computers, floppy disks, zip disks and removable cartridges.

Magnetic Tape: A type of digital storage media, magnetic tapes come in reel-to-reel as well as cartridge format (encased in a housing for ease of use); the primary advantages of magnetic tapes are their relatively low cost and large storage capacities (up to several gigabytes); magnetic tapes are a common choice for long-term storage or the transport of large volumes of information.

Medium: The physical form of recorded information, including paper, microfilm, audio/visual tapes, CDs and DVDs, computer disks, etc.

Metadata: Commonly defined as "structured data about data," or data captured in specific categories or elements; metadata can include data associated with either an information system or a data object or set of objects for purposes of description, administration, preservation, the documentation of legal requirements, technical functionality, use and usage, and so forth.

Microfiche: A card-sized transparent sheet of film with miniaturized images (microimages) arranged in a grid pattern; usually contains a title readable without a magnifying device.

Microfilm: (1) Raw (unexposed and unprocessed) fine-grain, high-resolution film suitable for use in micrographics; (2) Fine-grain, high-resolution film containing microimages.

Microform: Any form containing greatly reduced images, or microimages, usually on microfilm; roll, or generally serialized, microforms include microfilm on reels, cartridges, and cassettes; flat, or

generally unitized, microforms include microfiche, microfilm jackets, aperture cards, and microcards or micro-opaques.

Migration: The periodic transfer of data from one electronic system to another to retain the integrity of the data and allow users to continue to use the data in the face of changing technology; sometimes called "Data Migration."

Mitigation: The reduction of the chances that a disaster will occur, and the reduction of its negative effects if one does occur.

Numerical Arrangement: The ordering of a records series by file number.

Obsolete Record: A record that has met its retention period, is no longer useful to the organization, and may be destroyed.

Office of Record: The office or department within a county designated to maintain the official copy of a particular record.

Official Copy: A record, in its final version, used to meet the minimum retention period for that record; also referred to as the "Record Copy."

Offline Storage: Storage and retrieval system where assets are not immediately available for use, or not accessible through a network or computer, but stored on some independent media, such as a CD-ROM.

Offsite Storage: A secure location, remote from the work location, where inactive, vital or archival records are stored.

Optical Character Recognition (OCR): A method of entering data into a computer by using an optical scanning device to read the contents of documents; OCR can be used to create text-searchable files for digital collections; see also "Scanning."

Periodic Transfer: The removal of records from current files to semiactive or inactive storage on a scheduled basis.

Permanent Record: A record that must be kept permanently by the county or be transferred for permanent storage at the State Archives, because of the document's value for reference or historical significance; also referred to as an "Archival Record" or "Historical Record."

Preservation: The combination of procedures and environmental standards designed to maintain records in a useable form.

Proprietary: A technology or product that is owned exclusively by a single commercial entity that keeps knowledge of its inner workings secret; some proprietary products can only function when used with other products of the same ownership; the limitations of proprietary technology are fueling moves toward open standards.

Purge: To remove documents from a file that has exceeded their retention period and are of no further value.

Record: The definition of record established by Idaho law includes any recorded information, regardless of medium, that relates to the business of county government.

Record Copy: A record in its final version, kept for the minimum retention period required for the record.

Recorded Information: Information placed on a medium, such as paper, computer disk, or microform, to be available for later retrieval and use.

Records Center: A centralized area for housing and servicing inactive records whose reference rate does not warrant their retention in prime office space.

Records Inventory: A process to locate, identify and describe the records maintained by an organization; the inventory identifies records that could be moved to inactive storage or destroyed, seeks to improve efficiency of records management, and plan for future space and equipment needed for records storage.

Records Management: The systematic control of all records in an organization throughout their life cycle.

Record Retention Schedule: A comprehensive listing of the various types of county records with the length of time that each group or "series" of related records must be kept and its final disposition, whether permanent retention or destruction.

Record Series: Consists of records accumulated over a period of time and arranged in an organized file or set of files which can be described and handled as a unit.

Reference Frequency: The rate at which people use a set of records.

Retention Period: The amount of time a record must be kept as determined by its administrative, fiscal, legal, policy or historical value; the retention period is defined by a records retention schedule (some retention periods are set by state or federal law or regulations).

Scanning: In electronic records, the process of converting alphanumeric or graphic information on paper or microforms to picture elements, or bit-mapped representation; also referred to as "Image Scanning"; see also "Optical Character Recognition (OCR)."

Security: Protecting records by controlling user access to documents for specific purposes.

State Archives: Operated by the Idaho State Historical Society, the State Archives in Boise accepts and houses permanent records from the state and local governments.

Transitory Records: Records of short-lived utility, involving routine activities (such as phone messages and routine correspondence) with no substantive information.

Version Control: A method for monitoring changes to a document; systematic management of different drafts or revisions of a document to ensure that the record copy of a document can always be distinguished from an earlier draft.

Vital Record: A record without which a county could not carry out its powers and responsibilities.

Working Copy: A preliminary version of a document, not the final record or master copy.

APPENDIX A

SAMPLE FORMS

STIPULATION

It is hereby stipulated between the Idaho State Historical Society and the ___Office ___Name_____ that a collection of original documents have accumulated over the past years. It is now proposed that these documents are found to have no piece by piece historical value. It is further stipulated that the appropriate Idaho Code provisions have been consulted and considered, and that this document shall constitute the written notice required by Idaho Code 9-332. It is further understood and stipulated that the Idaho State Historical Society has no objection to such destruction, which shall be completed on _____ under the direction of the Records Manager in accordance with established procedures.

Some documents, identified as permanent, have been microfilmed in accordance with standards defined by the American National Standards Institute. The permanent, master copy of microfilm produced of these records is stored in an off-site storage facility as required by Idaho Code.

DATED this _____day of _____, _____.

_____   _____
State Archivist   Records Manager

Sample Resolution Authorizing Destruction of Records

RESOLUTION NO. _____

AT A MEETING OF THE BOARD OF _____COUNTY COMMISSIONERS, STATE OF IDAHO, ON THE ____ DAY OF _____, _____, THE FOLLOWING RESOLUTION WAS ADOPTED, TO WIT:

WHERAS, Idaho Code 31-871 requires the Board of County Commissioners to authorize destruction of records that are not required to be retained as permanent records and that have met the minimum retention period provided by the county's record retention schedule and are no longer required by law or for county business; and,

WHEREAS, the County Clerk has proposed for destruction certain records that have exceeded their minimum retention; and,

WHEREAS, approval for the destruction of the below listed records has been obtained from the Idaho State Historical Society, when required, and the County Attorney, as provided by Idaho Code 31-871.

BE IT THEREFORE RESOLVED that the Board of _____ County Commissioners hereby authorizes the immediate destruction of the original paper records and that such destruction occur under the supervision of the Board of _____County Commissioner's Clerk.

[Insert List of Records to be Destroyed]

APPROVED AND ADOPTED this _____ day of _____, _____,

By: _____
        Commissioner

By: _____
        Commissioner

By: _____
        Commissioner

Attest:

_____
County Clerk

RECORD SERIES INVENTORY WORKSHEET

1. a. Office   **b. Department/Division**   **c. Office/Unit**

2. Record Series Title:

3. Contact Person

4. Record Series Retention: (indicate if totals are in years/months/days)

From Schedule, In office:_____ at Record Center:_____ Total:_____

From General Schedule:_____

5. Cut-Off (When the Retention Begins):
Monthly **Calendar** Year Fiscal Year
Other, specify _____

6. Location of Records *(a-e):*	**a. Building**	**b. Floor**	**c. Room**	**d. Cabinet/Shelf**	**e. Drawer/Box**

7. Record Series:
a. Date Span *(From)_____ (To)_____*
b. Bulk Dates *(From)_____ (To)_____*

8. Record Series Filing Arrangement:
Alphabetical   Numerical   Chronological
Alphanumeric   Other (*specify*)_____

9. Media Type *(☑ all items a-d that apply):*

a. Paper	b. Audio-Visual	c. Microfilm	d. Electronic
Letter Size Legal Size Bound Volumes Cards Computer Printout Maps, Drawings, Plans Other (*Specify*): _____ _____ _____ _____	Audio Tape Video Tape Motion Picture Photo Prints Film Negative Photo-color Slides Other (*Specify*): _____ _____ _____ _____	16mm Role Film 35mm Roll Film Microfiche Aperture Cards Other (*Specify*): _____ _____ _____ _____	Tape Hard Disk Diskette (Floppy Disk) Optical Disk CD ROM Other (*Specify*): _____ _____ _____ _____

10. Total Quantity *(Complete same media types as selected in no.9a-d):*

a. Paper **(Cubic Feet)**	**b. Audio-Visual** *(Number of Items)*	**c. Microfilm** *(Rolls/Items)*	**d. Electronic** *(Bytes/No. of Items)*

11. Annual Accumulation *(Complete same media types as selected from no 9a-d and 10 a-d):*

a. Paper *(Cubic Feet)*	**b. Audio-visual** *(Number of Items)*	**c. Microfilm** *(Rolls/Items)*	**d. Electronic** *(Bytes/No. of Items)*

12 Record Series Type:

a. Primary copy: Yes No In no, location of primary copy:	**b. Other Copies:** Yes No If yes, location of other copies:

13. Reference Frequency: Daily Weekly Monthly Seldom Never

14. Condition of Records *(check all that apply or known)***:** Good, no visible problems Severely torn or stained, causing loss of text Mold or mildew present Brittle Discolored, some text lost Cannot be flattened without damaging the record Ink or other recording media is fading or flaking Mounted on a highly acidic backing Early electronic records not retrievable with current equipment	**15. Legal Restrictions:** Yes No **Confidential Restrictions:** Yes No *List any statutory basis for these restrictions:*

16. Description of Record Series *(complete items a-e)*:

a. Informational Content	*b. Who creates and/or uses the records and for what purpose*

c. Primary Purpose of Record Series (Check one):
          Administrative   Legal   Fiscal   Administrative   Other (specify):

d. Are these Vital Records (vital to resume operations after a disaster to protect the financial interests of the government or the public)**?**
          YES   NO

e. Are these Records Potentially Archival (the record series may have a long-term historical/research value)**?**
          YES   NO

17. ELECTRONIC RECORDS ONLY *(complete items a-g only if this media type was indicated in number 9)*:

a. Media Characteristics (includes brand name, physical size, capacity/density, etc. Example: Brand "X" 3.5 inch double-sided, high-density diskette):

b. Name and Version of Software Used to Create These Records:

c. List Further Documentation or Supporting Files (Such as indexes required to access this series-indicate names, location & media type):

d. Access Requirements & Migration Issues (list hardware, memory requirements, special peripherals and operating software name & version number. Also, document how continued readability for the records retention if software &/or hardware evolves & can no longer read the electronic record.):

....
....
....
....
....

f. How Often is a Back-up Performed: Daily Weekly Other, specify:
g. Is there a Security Back-up? YES   NO If yes, location of security back-up:_____
How often is the security backup cycled? 2 backup cycles 3 backup cycles Other, specify:

18 a. Name of Person Doing Inventory:	b. Date Inventory Completed:	c. Records Officer's Signature:

APPENDIX B

SAMPLE RECORDS RETENTION SCHEDULE