ORDINANCE NO. 576 -O

ORDINANCE OF THE CITY OF TROUTDALE RELATING TO THE CITY RECORDS MANAGEMENT MANUAL.

WHEREAS, The Troutdale City Council passed Ordinance No.573-0 on December 10, 1991 appointing the City Recorder as the Records Officer; providing for a records retention schedule and program; and providing for administration and enforcement of thereof; and,

WHEREAS, The City Records Management Manual [Exhibit A] has been approved and accepted by the State Archivist; and received by the Records Officer/City Recorder; and,

NOW, THEREFORE, BE IT ORDAINED BY THE COMMON COUNCIL OF THE CITY OF TROUTDALE THAT:

Section 1. The City accept the City Records Management Manual document as the official City Records Management Manual in its entirety and continue participation in the records management program as defined by the State Archivist.

Section 2. This act being necessary for the immediate preservation of the public peace, health and safety, an emergency is hereby declared to exist and this ordinance shall be in full force and effect from and after the day of this passage.

PASSED BY THE COMMON COUNCIL OF THE CITY OF TROUTDALE THIS 25th DAY OF FEBRUARY, 1992.

YEAS: 5
NAYS: 0
ABSTAINED: 0

Sam K Cox
Sam K. Cox, Mayor
Dated: February 24, 1992

ATTEST:

Valerie J. Raglione
Valerie J. Raglione, CMC
City Recorder

F:\ORDRES\RECORDS.MAN

CITY OF TROUTDALE

TO RECORDS MANAGEMENT PARTICIPANTS:

Each day the City of Troutdale employees create, retrieve, and transmit huge volumes of records, including letters, memorandums, plans, permits, notes, financial statements, reports, contracts, motions, findings, computer printouts, drawings and other countless records. Information, to be of use, must be properly managed so that the information can be readily retrieved for current use, or preserved for future considerations, and those records that have no further value shall be disposed of systematically.

The City of Troutdale Records Management Program is coordinated by the City Records Manager; however, each individual department is the custodian for their department's records, and as such, is responsible for reviewing and complying with the contents of this manual. In instances where the "record copy" or original of all agreements, deeds, easements, leases and staff reports is created, the author shall transmit this record copy to the City Recorder who shall serve as the City's central depository for these valuable records, along with documents specified for the City Recorder by the Troutdale Municipal Code. Contracts will continue to be maintained by the Central File Division. Personnel Records will be maintained by the Personnel Division and duplicates or other personnel documents shall not be maintained in individual departments.

As to future considerations, and by recommendation of the State Archivist, the City Recorder will be working with departments to identify essential/vital records in order to develop a vital records program and disaster plan. Further, the Recorder will review crowding conditions and off-site storage areas to either consolidate the records into a central storage location or work with departments to destroy records that have no further value and have met the minimum retention requirement. Also, from time to time, the Recorder will hold workshops for department records supervisors to provide instruction on record management practices.

Your active participation will lend itself to the success of this program. You and the records you preserve are one of our local government's most important resources.

Pamelia L. Christian
City Administrator
D:\MISC\RECORDS.REC

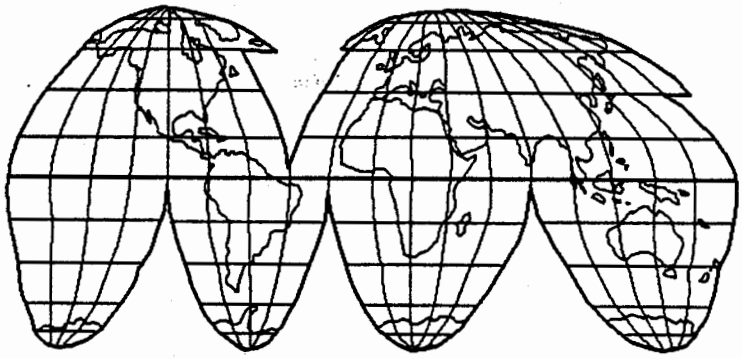
104 SE KIBLING STREET • TROUTDALE, OR 97060-2099 • (503) 665-5175 • FAX (503) 667-6403

"A government's records are important resources both to the government that creates them and to the citizens it serves. Records contain the information that keeps government functioning. They document the origin, evolution, and operation of its programs. They reveal how government operated, how it responded to needs, and how it served its citizens."

Program Reporting Guidelines, 1989, National Association of Government Archivists and Records Administration (NAGARA)

Introduction

Welcome to the World of Records Management!



PHIL KEISLING
SECRETARY OF STATE

ARCHIVES DIVISION
ROY TURNBAUGH, STATE ARCHIVIST
800 Summer St. NE
Salem, Oregon 97310
(503) 373-0701
FAX (503) 373-0953

Welcome to the *City Records Management Manual!* This publication is the product of a lot of hard work by the Oregon Association of Municipal Recorders Manual Committee and members of the State Archives staff. In this *Manual*, you will find chapters on filing systems, microfilm, disaster planning, electronic records, forms management, certification, records disposition, and records storage, as well as retention schedules for many series of city records.

I hope that this *Manual* meets many of your needs as city records managers. Good records management is a prerequisite for good management. As the primary records officer in your municipality, you have an important contribution to make in this area. Please take the time to look over this publication. Its topical organization should help you quickly find the information you need. Its looseleaf format will allow easy updating of its chapters. I'd recommend your City Council adopt the manual in whole or in part by ordinance, and appoint you city records manager. Please notify the Archives of this appointment.

Once you've had a chance to look this over, please give us a call at the Archives – or contact Ramona – with any suggestions, comments, or questions you have. We continue to work with the OAMR Retention Schedule Committee and hope to have a new retention schedule available to you at the beginning of the year. Until then, this *Manual* should give you a lot of ideas about strengthening your records management program. Good luck!

Roy Turnbaugh

Acknowledgements

Without the State Archivist and staff, this manual would not have been possible. A special thanks goes to Terry Baxter and Gary Halvorson, state archives staff, who brought their unique expertise to the projects, along with the assistance and expertise of city staff members of various cities. The merging of the OAMR Records Management Committees (manual and retention schedule) with the archives staff was a significant factor in the development of this manual.

OAMR 1990-91 RECORDS MANAGEMENT COMMITTEE

MANUAL COMMITTEE

Terry Baxter, Archivist, State of Oregon
Nancy Blankenship, City Recorder, Redmond
Traci Brace, Deputy Recorder, Klamath Falls
Margo Clinesmith, City Recorder, Winston
Jeanette Gray, Archivist, Toledo
Kris Hitchcock, City Recorder, Lake Oswego
Ramona Hudson, CMC, City Recorder, Salem

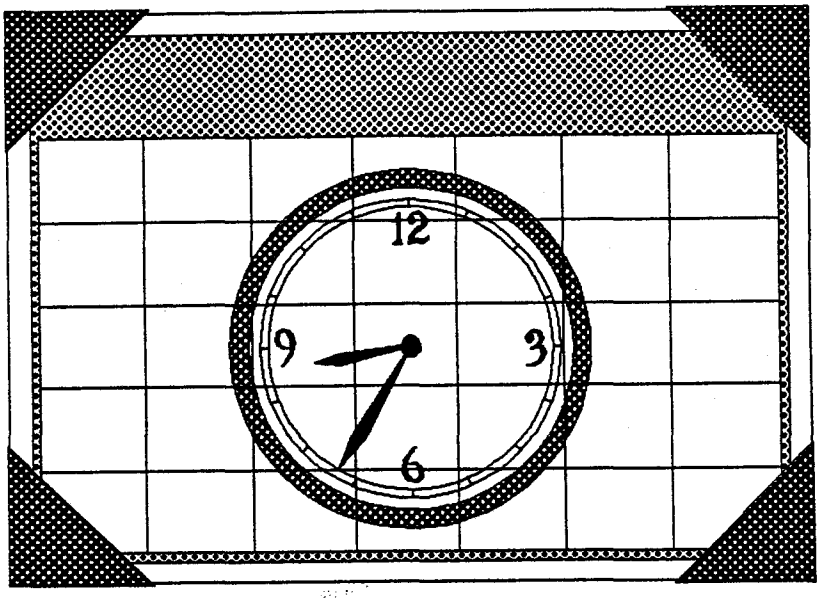
RETENTION SCHEDULE COMMITTEE

Pat Duval, City Recorder, Milwaukie
Kathy Fieland, Deputy Recorder, Eugene
Gary Halvorson, Local Government Archivist, State of Oregon
Ann Johnson, CMC, City Recorder, Beaverton
Sue Nelson, Records Manager, Gresham
Shirley Overed, City Recorder, Veneta

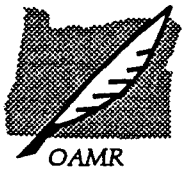
City Records Management Manual

Table of Contents

City Retention Schedule



City Records Management Manual



Chapter 1

NEW CITY RECORDS RETENTION SCHEDULE

The Oregon Association of Municipal Recorders (OAMR) established a sub-committee to develop a records management manual and another sub-committee to develop a generic records retention schedule which will replace the municipal records listed in the state general schedule.

The scheduling committee devoted long meeting hours to develop a comprehensive schedule. Several record series have been completed to date. The following is a projected the current schedule:

- City Retention Schedule Approved ..... December, 1991
- Oregon Administrative Rule (OAR) Approved ..... February, 1992
- Schedule effective and ready for distribution ..... Spring, 1992

What do you do until these schedules are in effect?

1) *The best thing* is to just be patient until the new City Retention Schedule is adopted and mailed to you, or you may have to handle the same records "over and over" needlessly. Study this manual and begin your education in the world of records management. Obtain other written references so you have a good understanding about public records and records management programs

2) Have the city manager or council appoint a **records officer** who will be responsible for scheduling, retention and destruction of records. Notify the State Archivist of the appointment for your agency

this has been done OAR 573 12/10/91

> "To establish a records management program to insure orderly retention and destruction of all public records, and to insure the preservation of public records of value, each state or local agency should designate a **Records Officer** to organize and coordinate records scheduling, retirement, storage and destruction...." OAR 166-30-016

3) Analyze storage needs and other capabilities

- ❑ Is there adequate storage for inactive records awaiting destruction?
- ❑ Is there adequate and suitable storage for "permanent" records?
- ❑ Is microfilming the answer?
- ❑ Do you have sufficient funds for a storage facility/records center?

- ❑ Have you considered a grant? Grants can be developed to assist in data entry, systems design, inventories, and preservation.

4) Inventory to Final Disposition

This process can be accomplished through a committee, by an individual assigned in each department, or by the records officer.

a. Using a copy of the "current" State General Retention Schedule, identify records according to the schedule and mark the records with the series title and/or number. See "Glossary" for definition of a series. Label the record series, file cabinets, and boxes.

"Unless otherwise stated, a retention period is calculated from the date the public record was created." (OAR 166-30-027 (2))

"No public records of fiscal transactions shall be destroyed, even though the required minimum retention period has passed until after the required audit for the period covered by the public records has been completed and the auditor has released the public records for destruction." (OAR 166-309-041)

See the Oregon Administrative Rules *for additional details.*

b. Separate permanent and nonpermanent records. This is a good practice when preparing new files. See "Filing Systems."

c. Once you identified your records, you may either store them as "inactive" records, or destroy them using the current general schedule. See "Records Storage and Records Destruction."

5) Records not identifiable in the General Schedule

If you have an overwhelming need to destroy a few record series that amount to several cubic feet, contact Gary Halvorson, Local Government Archivist, State Archives, 800 Summer Street NE, Salem, OR 97310; (503) 373-0701.

Need assistance?

The following OAMR members have volunteered to assist you with any questions:

Kris Hitchcock, Lake Oswego	**635-0236**
Ramona Hudson, City of Salem	**588-6097**
Ann Johnson, City of Beaverton	**526-2495**

City Records Manager

City Records Management Manual

Chapter 2

City Records Managers

Administrative Rule (OAR 166-30-016)

> To establish a records management program to insure orderly retention and destruction of all public records, and to insure the preservation of public records of value, each state or local agency should designate a records officer to organize and coordinate records scheduling, retirement, storage, and destruction...

City Records Manager/Archivist

- ❑ Keeps updated on current records laws;
- ❑ Maintains, monitors, and updates the city's special records retention schedule through coordination with the state archivist and department supervisors;
- ❑ Reviews requests for new records equipment and assists departments with storage facilities;
- ❑ Keeps updated on current records management procedures and informs and educates departments of new innovations and procedures.
- ❑ Develops systems for indexing historical records and assists departments with their systems;
- ❑ Assists departments in the orderly disposition, including the destruction of records as authorized by the records retention schedule;
- ❑ Keeps updated on the most efficient and economic means of destroying records;
- ❑ Coordinates the microfilm program to insure proper records retention;
- ❑ Assists in approving storage locations for the storage of inactive and archival records; and
- ❑ Develops a records disaster plan.

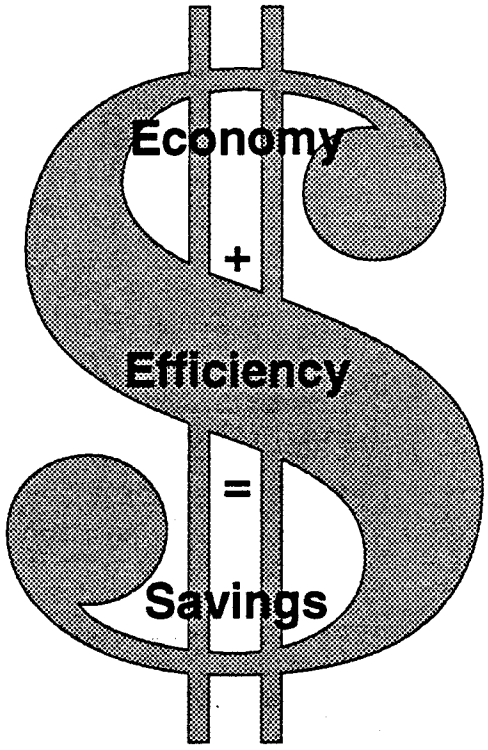
Department Records Supervisors

Department directors should designate one staff position as the department records supervisor. This person may be a supervisor or clerical person with substantial knowledge of the operation and the records in their department.

The records supervisor should:

- ❑ Administer the policies and procedures of the city records management manual and any department records procedures;
- ❑ Prepare state inventory worksheets for any new record series as described in this manual and will recommend revisions, as needed, for the department's records retention schedule;
- ❑ Supervise the disposition of records, including destruction of records where the record has met the **minimum** retention, and the transfer of records to "low-cost" storage;
- ❑ Assist in establishing and maintaining filing systems, standards, and procedures for record keeping; and
- ❑ Serve as liaison between the department and the Records Manager.

Program Goal, Objectives and Policies



City Records Management Manual

Chapter 3

Goal, Objectives, and Policies

The following statement is a sample of what could be adopted by your city.

Program Goal

To establish an efficient and economic records program wherein records can be created, maintained, retrieved, and disposed of easily and wherein costs can be reduced or kept to a minimum for the program.

Objectives

To save valuable office space by systematically removing semi-active records;

To save money by providing low-cost storage and by controlling equipment purchased; and

To save time in manhours by developing an orderly system for maintaining, retrieving, storing, and disposing of records; including the psychological savings that comes from using an efficient system.

Policies

Only store active records in valuable office space.

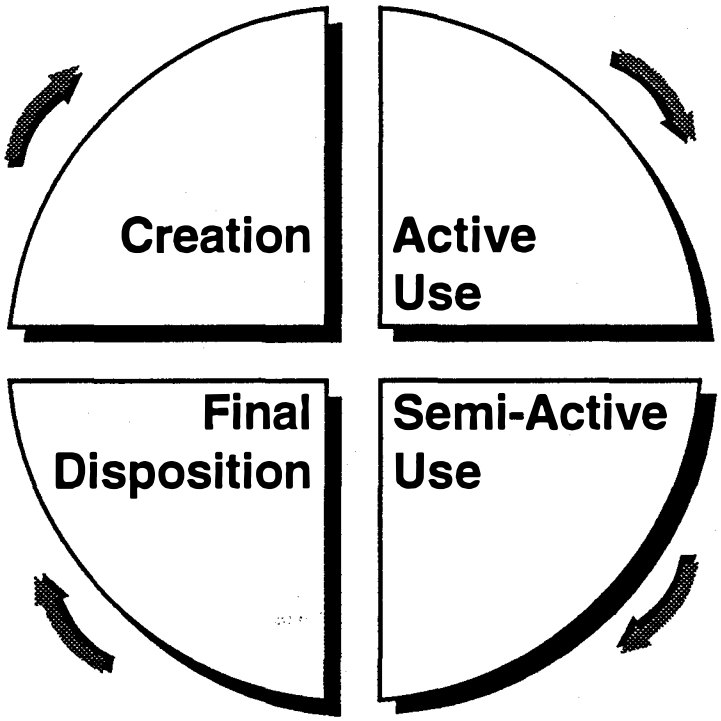
Move semi-active records to low-cost storage.

Preserve valuable historical or archival records under adequate conditions.

All valueless records shall be destroyed after meeting the minimum retention and shall be retained longer only under special circumstances.

All public records, including those stored on electronic media, shall be accessible to the public, unless exemption status is obtained.

Life-Cycle of Records



City Records Management Manual

Chapter 4

Life-Cycle of Records

Creation

Whenever you create information related to public business, you are creating a public record. Public records are the heart of government operations. These records:

- Are created for the citizens,
- Are the property of the citizens,
- Are protected in the interest of citizens, and,
- Are an historical record of how the government served the needs of the citizens.

Active Use

Records in active use are stored in areas where you actively refer to the record, also known as "high-cost storage" areas. These records are usually no older than two years.

Semi-active

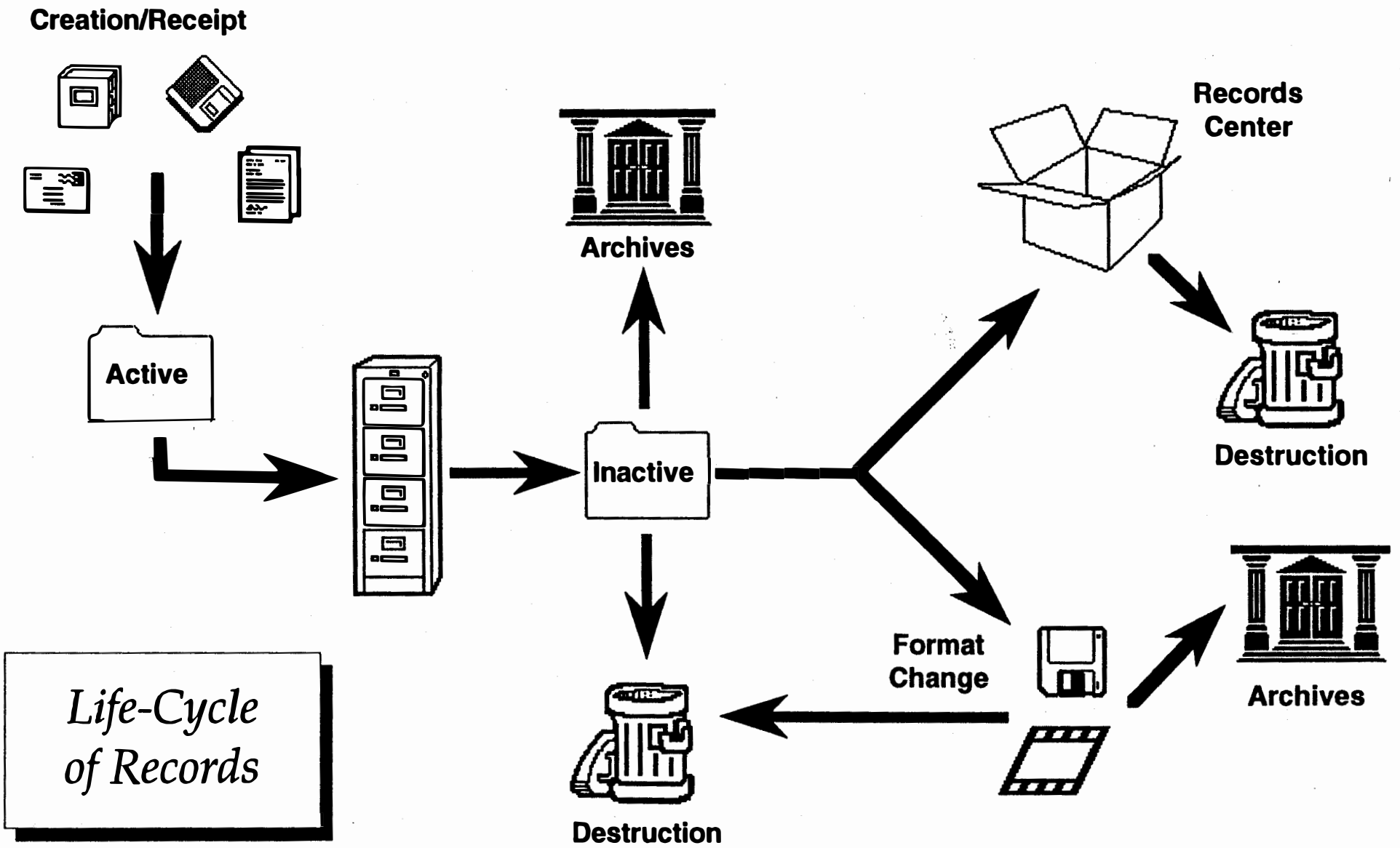
Records in this phase are needed less frequently, but need to be retained until the legal minimum retention has been met. These semi-active records are usually stored in "low-cost storage" areas that meet special storage conditions. These records are usually referred to only once a month.

When semi-active records are separated from active records, the staff becomes more efficient in maintaining and accessing the more valuable, active records.

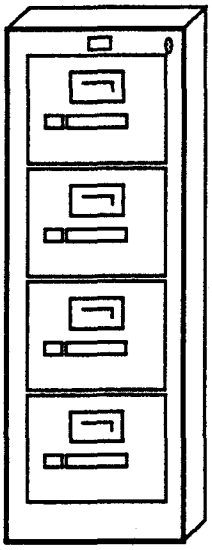
Final Disposition

Once a record has served its purpose for the operation of the office, the record is ready for final disposition.

Some records are destroyed ***after*** meeting the authorized minimum retention. Other records are retained indefinitely (as permanent documents) when they have historical value, or archival value with far-reaching administrative needs. Records retained indefinitely should be stored under special storage conditions.


Creation/Receipt
Active
Archives
Records Center
Destruction
Inactive
Format Change
Archives
Destruction
Life-Cycle of Records

Filing Systems



City Records Management Manual

Chapter 5

Filing Systems

Selecting a filing system

Records management is intended to control recorded information from its creation until its disposition. The ability to file and retrieve information easily and effectively is central to this process. Choosing the correct filing system from the numerous examples available can be difficult. This chapter will provide a basis from making that choice. Although records come in all formats—paper, microfilm, audio-visual, and electronic media—this chapter will only deal with paper based filing systems.

All filing systems have advantages and disadvantages. This chapter offers guidelines and recommendations for the selection and use of different types of filing systems. Each agency must choose a filing system which is easy to use and meets its needs.

What system is right for your office?

Before setting up a particular filing system, ask yourself some questions to help evaluate what types of records you have and what your needs are:

- ❑ How are the records used or retrieved? How would I look for them if they were filed? Types of records and the usual method of retrieval may determine the filing system. For example, a numeric system would work well for purchase orders retrieved by number. An alphabetic system would make more sense for business license files retrieved by business name.

- ❑ If I choose alphabetic, would it be by name, address, or what?

- ❑ If I choose subject, how broad will the subjects be and will they have subsidiary subjects within the main subject?

- ❑ If I choose numeric, would it be by tax lot number or would it be an assigned series based on certain groups of documents such as personnel–100, finance–200, or administration–300?

- ❑ If I choose geographic, would it be by street, by lot, by addition, or by some other subdivision?

- ❑ How many records are created; are storage needs large or small?

- ❑ What will the storage equipment and supply needs be?

- ❑ What type of index should be used? How should cross referencing be handled?

- ❑ Is the system logical? Logic speeds learning, so staff members do not have to rely on memory alone. The method behind the system should be clear and reasonable.

- ❑ Is the system practical? Does it do what you want it to do? Avoid academic and overly complex classifications; the system should be designed to use common terms known to all users of the system.

- ❑ Is the system simple? Simple here means easy to learn. The system should be as straightforward as possible, with little (or preferably no) room for interpretation.

- ❑ Is the system functional? Does it relate to the function of the records it addresses? Classification terms should reflect the function of the records regardless of their operational location.

- ❑ Is the system retention-conscious? Your filing system should be linked to your records retention schedule in a way that allows you to remove records from active to inactive storage, and to destroy those with expired retention periods. These activities should be done according to your government's approved records control schedule. The efficiency and practicality of a filing system should not be sacrificed to retention considerations, however.

- ❑ Is the system flexible? You should be able to expand it when needed. Additional or different classifications might be needed in the future or your office may experience unforeseen growth. Your filing system should be able to accommodate growth as well.

- ❑ Is the system standardized? Filing system terms should be standardized, because using different terms to describe the same record or subject will cause confusion. You should also have a written set of rules that all filing personnel follow, to avoid lost files, misfiles, and unplanned duplication of records and filing locations.

Types of filing systems

A filing system is a method of organizing records by placing them in predetermined locations according to an overall plan of classification. There are five basic types of filing systems: *alphabetic, numeric, chronologic, geographic,* and *subject*. With the exception of chronologic, each of these systems uses alphabetic concepts in its operation. Alphanumeric is a common combination using letters and numbers.

The following procedures for records storage is common to all systems:

1. Inspecting a record means to confirm its readiness to be filed. A release mark from the person receiving the record shows that the record is ready to be stored.

2. Indexing means choosing the filing segments (or name) under which a document is to be stored.

3. Coding is the actual marking of the record to identify its placement in storage. Coding is a physical act, as contrasted to indexing, which is a mental determination. Examples would be to highlight or underline a name or write the file name or number on the top of the page.

4. Cross-reference the record if it could be requested by a name other than the one selected for coding, only if necessary.

5. Sorting places the documents in correct sequence before storing. Prepare the document for storage by removing paper clips, stapling related paper, mending torn records, and flattening any folded records.

6. Storing is the actual placing of the records in file folders and containers.

Direct and indirect access

There are two types of access used in filing systems: direct and indirect access. Direct access allows a person to find a record by going directly to the files and looking under the name of the record. Alphabetic systems are usually direct access systems.

Indirect access requires the use of an index file to determine the code assigned to a record. Alphanumeric and numeric systems are usually indirect access systems.

Alphabetic systems

Alphabetic storage arranges all material in dictionary (A through Z) order. Following each letter of the alphabet, there are individual folders containing records that have accumulated regarding a designated entity or activity and one general folder containing information for entities/activities with a very low volume of records.

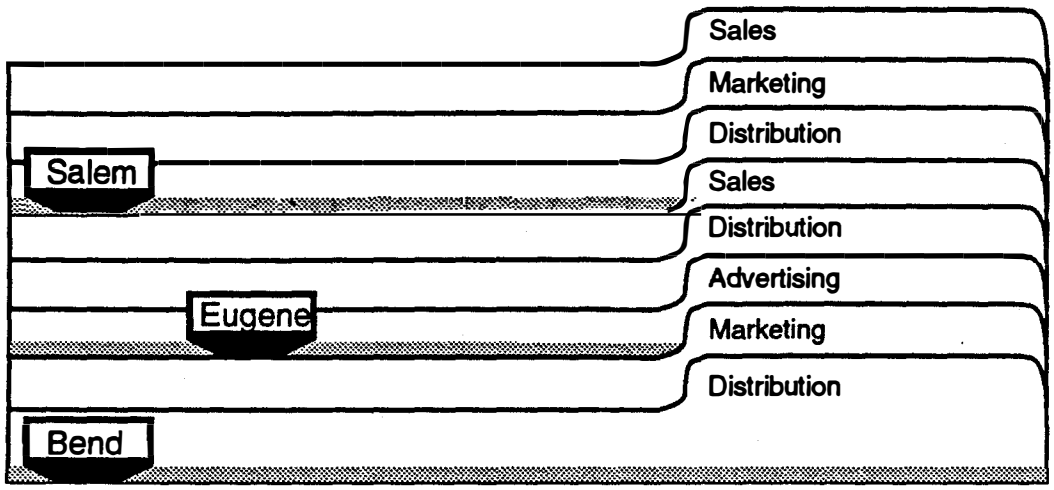
Advantages:

- Direct reference
- A-Z order is familiar
- Storage is easy if rules are followed
- Misfiles are easily checked
- Less costly than other filing methods
- Only one sorting is needed

Disadvantages:

- Frequent misfilings where no standard rules are followed
- Similar names are confusing
- Easy to make transposition errors
- Selecting wrong name causes misfiles
- Labels can be time-consuming to prepare if complete information is used (ie. United States Government Federal Bureau of Investigations)

Figure 1: Alphabetic Classification, Geographic System



Subject systems

Subject files are used when the content of the records is more important than the names of the individual or organizations whose records are being stored. The files are in alphabetic arrangement according to the subject. Within the subject folder, records are arranged alphabetically by correspondents name or chronologically.

To efficiently function, a master and relative index are needed. The master index alphabetically lists all subjects in the system. The relative index, or cross reference, lists all headings and subdivisions and all possible variations of those headings.

A brief explanation of the records stored in each subject folder would be helpful for new personnel (ie. for the file "Budget," records include the City Recorder's proposed budget, copy of publication notice of affidavits, copies of related resolutions and ordinances, and related correspondence.)

The standard arrangements for subject storage are straight dictionary or encyclopedic. In straight dictionary arrangement, the subject folders are arranged behind A to Z guides in their correct alphabetic order according to the subject title. In encyclopedic arrangement the subjects are subdivided so that several folders contain small portions of the records pertaining to one main subject.

The dictionary arrangement is appropriate for small systems, however, as the system begins to grow it might need to be changed to an encyclopedic system. Larger systems are subdivided into secondary and tertiary categories. This increases the system's flexibility; entire sections can be added or removed without destroying the system's appearance or usability. It also limits the number of files to search through by keeping related records together.

Advantages:

- Documents can be grouped by topic
- New subjects can be added easily for expansion of files
- Statistical information can be easily gathered (ie. "Office Supplies"— How many envelopes were ordered?)

Disadvantages:

- Overlapping subjects and similarity of terms can cause confusion (*real property* or *land*)
- Selecting topics is difficult and very time consuming, therefore, it is a costly method
- New personnel frequently have difficulty using subject storage efficiently
- Lack of indexing can delay retrieval
- Retrieval by names of persons or agencies or by locations is very difficult

Numeric systems

Numeric filing systems arrange files by numbers or by dates. Records are assigned numbers and then stored in a sequence. It is useful where confidentiality is a concern and where many people have access to the records. A numeric file consists of the file; an index, in the alphabetic form; and an accession book, which serves as a consecutive record of assigned numbers.

Straight numeric systems simply number files consecutively and arrange them in sequence. Straight numeric systems are simple to use, simple to manage, and simple to expand.

Duplex numeric systems consist of two or more number segments used to classify numeric codes assigned to files. Files are arranged numerically based on combinations of these segments. Duplex systems are usually used for large volumes of records. They allow high activity files to be evenly distributed throughout the records and support the assignment of blocks of files to individuals for filing and retrieving.

Consecutive numbering (10-20-30; 100-200-300; 1010-1020-1030; etc.) is the easiest to understand method of numeric storage as it uses numbers arranged in sequence from left to right.

Advantages:

- Refiling is rapid—numeric sequence is familiar
- Expansion is easy and unlimited

- Transfer of old records is less complicated
- Cross-reference is simpler
- Folders can be labeled in advance of their use
- Misfiles are easier to spot than in alphabetic file

Disadvantages:

- Indirect method of locating file
- Higher material cost
- Alphabetic file must be meticulously maintained
- Large numbers more difficult to work with, transposition of numbers easy to do
- High activity folders are usually located at the end of the system, congesting the filing and retrieval of high-activity files.
- Difficult to assign blocks of files to individuals for filing and retrieving
- No real way to handle miscellaneous records

Nonconsecutive numbering is a system of numbering that uses numbers in random order. The groups of digits (23-34-45) are identified as tertiary, secondary, and terminal reading from left to right.

Terminal digit filing is sorted by reading in groups (46-29-37) from right to left instead of from left to right.

Advantages:

- Color coding easy to use with this method; sorting can be done by color
- Overcomes problem of congestion in working area
- Fewer errors in number transposition because numbers are divided into small groups
- Training is easier

Disadvantages:

- People fearful that it is too complex
- Takes time to learn to read from right to left
- If not color coded, misfiles can be hard to find
- If a large block of numbers needs to be retrieved, filer must go to several locations.

Middle digit filing is sorting by also reading in groups (23-32-45) except the filer reads the middle number first, then the left number, and then the right number.

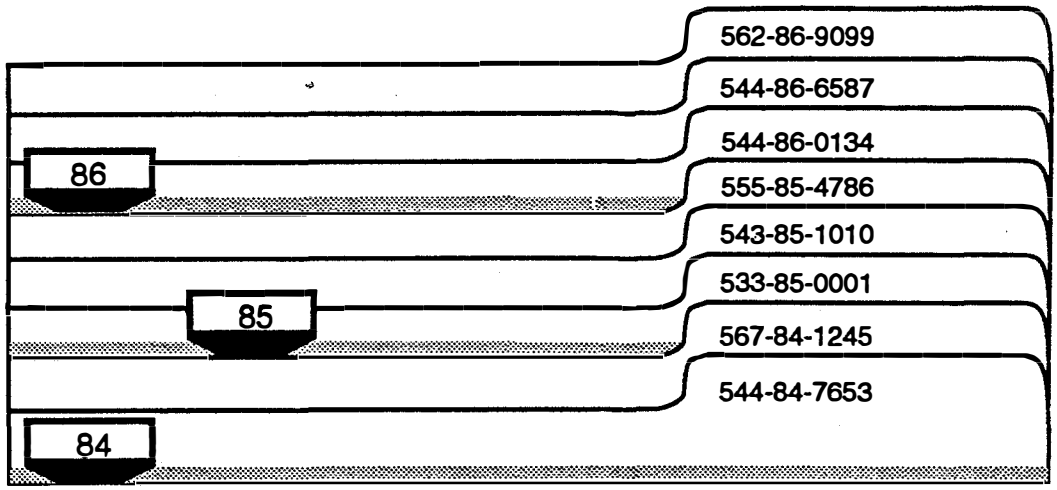
Advantages:

- Conversion from a consecutive numbering system is easier than converting to a terminal digit system
- Color coding aides in efficiency

Disadvantages:

- People fearful of complexity

Figure 2: Numeric Classification, Middle Digit Duplex System



Other methods of nonconsecutive numbering systems include "Skip Numbering," "Block Codes", and "Group Coding."

Decimal systems use ten general divisions, which can be subdivided by groups of ten as often as needed. The most famous decimal system is the Dewey Decimal System, developed in 1873, and used in ninety percent of the world's libraries.

Advantages:

- Unlimited expansion
- Groups similar subjects

Disadvantages:

- Limited to ten general classification areas

Geographic systems

Geographic storage is often used when reference is made first to a place or location instead of a name. An alphabetic file system for individual names is important to locate records if a request is made by a name rather than an address. Arrangements are organized according to either the location name guide plan or the lettered guide plan.

The location name guide plan bases storage on location names (countries, states, counties, cities) as the filing segments that comprise the main division. The lettered guide plan uses guides printed with alphabetic letters—sometimes with letters and numbers—in addition to guides with location names printed on them. It is not often used because of its cluttered appearance. This method works well for utility purposes and for documents (agreements, liens, and easements) related to specific properties.

Chronologic storage is filing by calendar date. It is used within each of the other filing methods to organize records in individual file folders.

Establishing the files

- ❑ Prepare a "filing procedures manual" that is easy to follow and review it periodically. The rules and procedures developed should be standardized and followed by everyone who uses the system.

- ❑ Your rules should include: creation of a folder, labeling and color coding, how to use guides (primary and secondary), correct alphabetic filing order, indexing, charge-out and follow-up procedures of borrowed files, cross-referencing, transfers, how to repair records, and how to store records.

- ❑ Allow about 3" to 4" of open space in each file drawer. When file drawers are "tight," filing and retrieval is slow, and can cause injury to personnel and records.

- ❑ File drawers should have between 5 and 20 file guides. Any more and personnel will spend too much time filing and retrieving.

- ❑ File folder tabs and labels should be consistent and not a mixture of different styles. Labels should be typed in an established format and not handwritten.

- ❑ When a new file folder is prepared, the file label could include the file date (1989-1991), identification of the "Record Series Title" and the "Minimum Retention" as approved by the State Archivist.

- ❑ Folders are manageable up to a thickness of 3/4". Any thicker and the file will obscure the label. Consider a large "accordion" file for files thicker than 3/4".

- ❑ Out indicators (for guides, folders, sheets) are to be used to show location of borrowed records.

- ❑ Choose a filing system and *stick to it.*

- ❑ Keep record series together. Keep "permanent" documents separate from "temporary" documents for easy disposition. (ie., put permanent records on the right side of the folder and temporary records on the left.)

- ❑ The standard size for documents should be 8 ½" x 11". Maps, charts, and other oversize records that would be unreadable at the standard size are excluded from this requirement. A nationwide campaign has been undertaken by records managers to eliminate legal-size folders (ELF) because of the expense associated with them.

- ❑ Documents created by thermal "fax" machines should be photocopied if the document is to be retained for more than 15 to 20 days. The thermal "fax" documents begin fading within 20 days.

- ❑ The transfer of records from active storage to inactive storage to final disposition (archival storage or destruction) should be continual or on a periodic basis.

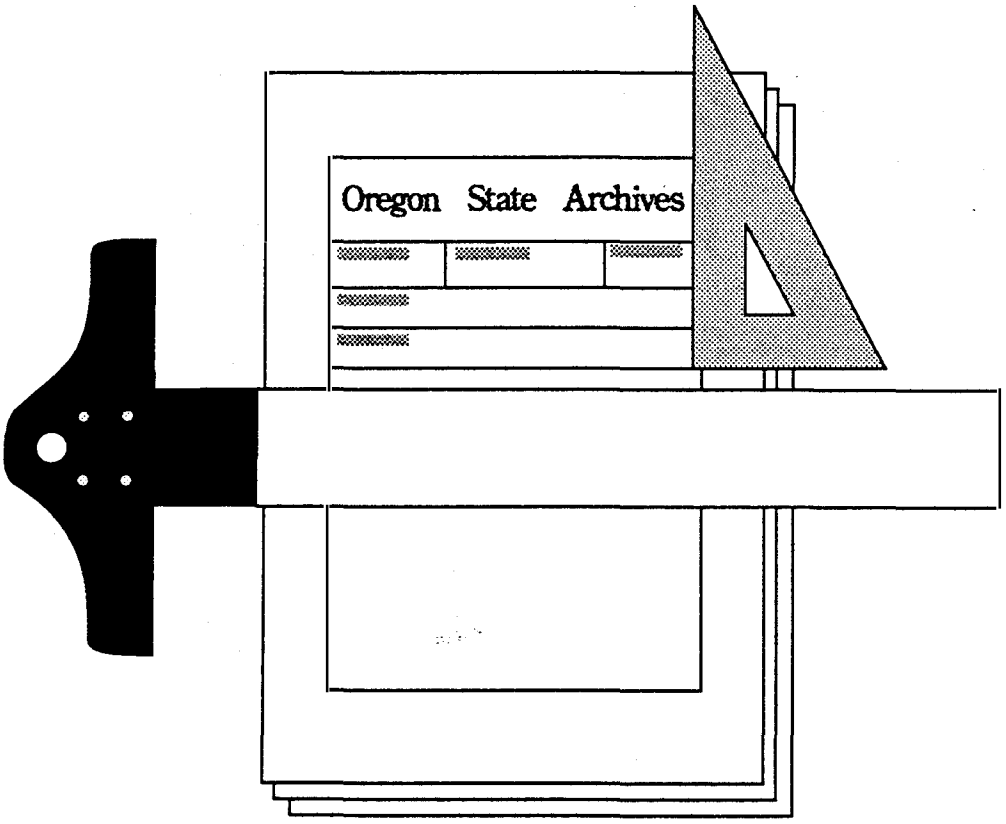
- ❑ Transferred records must be appropriately indexed and stored for later retrieval.

Work with the most current records, or what would be considered the active records, first. Do not try to take on too much at a time. The inactive records can be done at a later date.

Proceed to implement the system you have chosen and document the filing and indexing procedures for all to follow. This is the inner workings of your manual.

Do not forget to be flexible—periodically evaluate the system to determine if there should be any changes, but not *too* often!

Forms Management



City Records Management Manual

Chapter 6

Forms Management

Forms are necessary when information will be repeatedly supplied. A form with completed information is a public record.

Here are some guidelines for developing and using forms:

1) Create a form when there is a real need for standardization of information over a significant period of time.

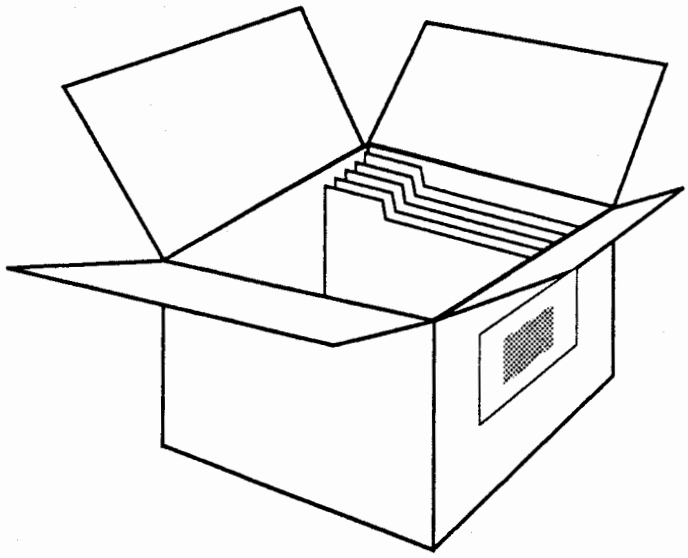
2) When designing a form:

   - consider the nature of the information, potential use, and need;
   - keep the form simple, easy to read and easy to use; and,
   - use a standard size and format, and provide a title and form number.

3) Provide easy and clear instructions.

4) Every time you create a new form, you may be creating a new record series; or, vice versa, if you no longer use the form. Therefore, carefully consider the development and destruction of forms.

Records Storage



City Records Management Manual

Chapter 7

Records Storage

PROTECTION, ACCESSABILITY, AND SECURITY are the keys to operating a successful inactive records storage program.

Most records will become inactive before their retention period has expired. It is extremely costly and inefficient to maintain inactive records in filing cabinets in the office areas. An important part of any records management program is the proper storage of inactive records and the prompt destruction of records at the expiration of their required retention period. These guidelines should help you to establish an effective inactive records storage and destruction program.

Preparing records for storage

- Prepare the records one record series at a time. *Never allow mixed series in one box!*
- Identify the records using the records retention schedule. Consider the physical volume, or annual accumulation. Is inactive storage required or valuable?
- Should the records be transferred off-site annually, semi-annually, quarterly, or monthly?
- Do you need regular access to one month's worth of these records? Six months' worth? More?
- What's the activity level of older records?
- Once you develop such a routine, make it a part of your standard operating procedures. This will ensure continuity in your inactive records storage program.
- Identify every individual record or file. Be consistent.
- Can you remove the file folder from the "permanent" records to avoid damage to the paper documents by the acidic folders?
- Prepare your records for storage in the same order that the records were stored in "active" office use. (Exception: Terminal Digit Systems)
- One of the best ways to prepare your files is at the time the file is active. Remove unnecessary duplicates, arrange all files in a consistent order for the record series. Keep permanent and non-permanent separate. If they both have to be in the file, put permanent on one side of the folder and non-permanent on the other.

Storage Containers

If you choose to store and manage your inactive records in your own agency, you can ensure the security and accessibility or retrievability of your records by following a few very basic guidelines and using plain common sense.

- An archive carton should accommodate both letter- and legal-sized documents. Each carton holds approximately one cubic foot of records. Generally speaking, two of these cartons will hold the contents of one legal-sized file drawer, and three cartons will hold the contents of two letter-sized file drawers. When the carton is filled, it will weight between 30 and 50 pounds. Are permanent records stored in non-acidic cartons?

- Avoid over-stuffing the records carton. A minimum of 1.5 inches of free space must be allowed in each carton.

- All files in the carton should face the same direction and each record should be easily identifiable. Note: You may consider not filing "permanent" documents in their acidic file folders. If you do store permanent documents in file folders, use non-acidic folders when establishing the files.

- Label your carton with the following information for easy identification.

  CITY NAME/DEPARTMENT
  RECORDS SERIES TITLE
  FIRST AND LAST FILE IDENTIFIER
  BOX NUMBER WITHIN THAT GROUP OF RECORDS

- Always store your records in closed containers. This will decrease the exposure of the paper to airborne dust and humidity.

- Never leave cartons of records on the floor. This will decrease possible damage in case of minor flooding or spillage. It also will diminish the possibility of boxes of records being misplaced or moved to an unassigned location.

- Never store records with non-record material. Do not use general store rooms, break rooms, chemical or cleaning supply storage areas for the storage of records. A records storage area should be dedicated to that purpose only.

- Do not store records directly under water-bearing pipes.

- Store records in an area that can be secured against intrusion by unauthorized personnel. A specific person or persons should be assigned to the maintenance of inactive storage and all access to those records should be coordinated through that person or persons. A reliable method of tracking activity and/or location of individual files should be developed so that inactive files retrieved for use will not become lost or misplaced. This can be as simple as the use of "out" cards.

- Never stack boxes on top of each other for extended periods of time. Not only does stacking cartons make retrieval difficult, but it can lead to the collapse of the cartons and subsequent damage to the records.

The Records Center - Archives (Records Storage)

A records center and an archive serve different purposes. An archive stores permanent records or records with an "indefinite" retention period. A records center stores inactive records. Archive records and inactive records may be stored in the same location, but be careful not to mix the two in the same storage containers.

Here are a few considerations:

- If your records will be stacked, consider the floor strength. Remember, as mentioned earlier archive cartons can weigh 30 to 50 pounds.

- Ideally, relative humidity should range between 30 and 60 percent and temperatures between 65°F and 75°F for the protection of the paper and the comfort of the employees who may be working in the center.

- Records should be secure from hazards like fire, water, vermin, vandals, and rioters.

    1) A smoke detector provides warning before the heat triggers the sprinkler system and causes serious water damage.

    2) Fire walls and non-combustible roofs provide added protection.

    3) Records should not be located under water pipes. Basements are also subject to water hazards. Exception: sprinkler systems with a low-delivery rate are necessary to prevent fire damage.

    4) Records centers without windows are preferable and the doors should be secure with access limited to authorized personnel. Alarm systems contribute added security.

- Records should be located within a few blocks of your office unless there is a courier who could retrieve and deliver documents.

- Poor lighting hinders records filing and retrieval. Fluorescent, continuous strip (single tube), lights should not be more than 9" wide and should be at least 12" higher than the top of the highest record storage container.

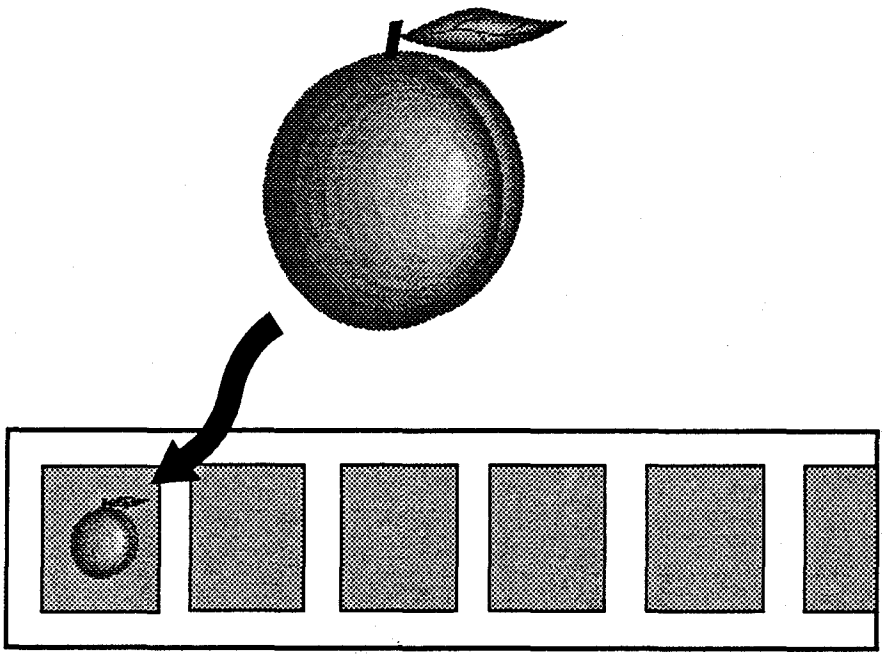
- If steel shelving is used for stacking boxes, you may want to consider engineering the shelving for earthquake preparation. The unit using bolts rather than clips fare better during earthquakes and steel shelving fares better than wood.

- The main aisles should be 4 to 6 feet wide for fire regulations and aisles between shelves should be 30 to 36 inches wide.

- Consider the following when considering a commercial records center:

    1) Quality, reliability, efficiency and personnel integrity
    2) Spaces and service fees
    3) Adaptability of the organization's needs
    4) Accessibility and security

Micrographics



City Records Management Manual

Chapter 8

Micrographics

OAMR

Administrative rule (OAR 166-30-70)

> Microfilm may be substituted for any paper or machine readable record if it is made according to the following standards: (1) A security copy of microfilm of public record which have a required minimum retention of 10 years or longer must be made and stored in accordance with the American National Standards Institute (ANSI) specification for Microfilm for Archival Records on silver gelatin film. The security copy must be reserved and used solely as a master for making working copy duplicate film when required. (2) Working copies of microfilm, and microfilm of public records with a minimum retention of less than 10 years, may be made in accordance with agency standards and requirements for the retention of the public reords, including the option of using any film, processing system, or storage containers the agency may select.

Available technologies

- ✔ Basic Microfilm 16mm & 35mm
- ✔ Fiche Type Microforms
- ✔ Aperture Cards
- ✔ CAR Systems
- ✔ Optical Disk Storage
- ✔ Bar Code Indexing

Confusing? Yes.

Necessary? Check and make sure there is a need for microfilming before investing time and money.

Microfilming services

Effective July 1, 1991, the Oregon State Archives will no longer furnish non-permanent microfilming services, but will perform microfilming service of permanent records for a fee.

On request the Oregon State Archives will furnish a list of companies who sell microfilming equipment and/or provide microfilming services.

Micrographics

Micrographics refers to a series of activities which record reduced images of documents, called microimages, onto fine grain, high resolution photographic film in a manner that ensures their reproduction, retrieval, and preservation.

There are two broad types of micrographic processes:

1. Source document microfilm systems, in which microimages are produced on film by photographing paper records.

2. Computer-output-microfilm, or COM systems, in which microimages are produced on film from digitally encoded data.

Types of microfilm

Silver halide, diazo and vesicular are the three most popular types of film used in micrographics. Silver halide film is generally used as the original camera film (the film loaded into the camera at the time of photography). Diazo and vesicular film are normally used for producing duplicates of the silver halide camera film. Since diazo and vesicular films deteriorate rapidly, they are inappropriate for the long-term storage of microimages.

Silver-Halide Film

This is the only film for use as camera film. Silver halide film requires wet chemical processing and produces a reversed or "negative" image (white characters on a dark background). The characteristics and quality of the final image may be controlled by the exposure and subsequent processing of the film.

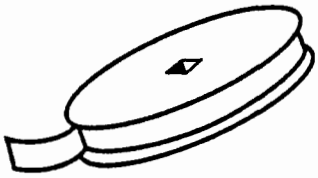
Silver-halide film is suitable for the preservation of permanent records, and with proper processing and storage, it is acceptable for long-term or archival storage.

Silver film may also be used for creating duplicates of the camera film. Duplicates can be made either in the "negative" image or in a "positive" image (dark characters on a white background), using silver halide film. Silver halide film is expensive, however, and it is usually more economical to use either diazo or vesicular film for duplication.

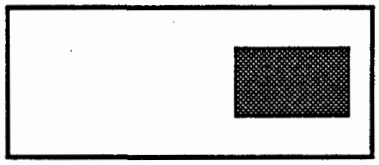
Diazo Film

Diazo film is used exclusively for duplicate printing and is not made to be used as a camera film. Diazo film is a "sign maintaining" film, which means a negative master will produce a negative copy and a positive master will produce a positive master. The film is exposed by putting the camera (silver halide) films emulsion side in contact with the unexposed diazo film stock. The films are then exposed to a strong ultraviolet light source. Diazo film is developed in an ammonia chamber, in which diazonium slats and azo dyes react to form either a white or colorless character against a colored (dyed) background or a colored character against a white or colorless background, depending upon the polarity of the original camera film.

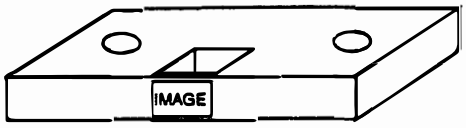
Types of Microforms



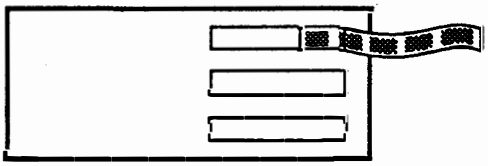
Roll Film *(16mm shown)*



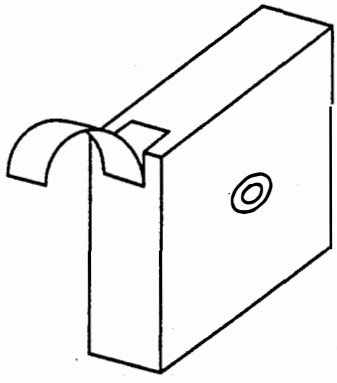
35mm Aperture Card



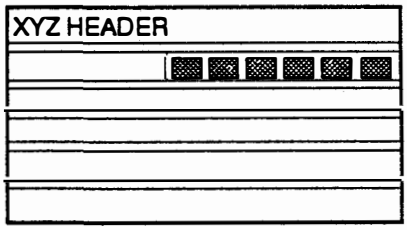
Cassette



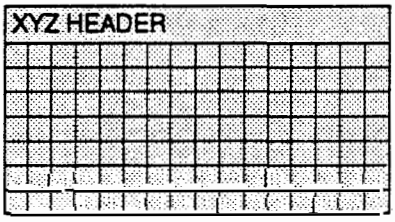
16mm Aperture Card



Cartridge or Magazine



Jacket



Microfiche

Source: Wilmer O. Maedke, et al, Information and Records Management, *1981, p. 366.*

Diazo film is inexpensive, and its ease of use and fast duplicating speed make it ideal for high volume or routine duplicating of camera film. Its characteristics make it unacceptable for long-term or archival storage. It should never be used as a back-up or security copy.

Vesicular Film

Vesicular film, like diazo film, contains diazonium salts, but is not coupled with dye compounds to create an image. Rather, the diazonium salts decompose under ultraviolet light, releasing nitrogen gas in the film base. The ultraviolet light passing through the camera film creates a latent image on the vesicular film during exposure. In the processing of the exposed film, the nitrogen released during exposure bubbles where the ultraviolet light has penetrated the film base. These bubbles, or "vesicles", become rigid when the film cools, creating the final image. The vesicles reflect rather than absorb light. Therefore, vesicular film is a "sign reversing" film, producing a positive duplicate from a negative master, and vice versa.

The film's sensitivity to light and sign reversing characteristic make it particularly well-suited for fast, on-line duplication of Computer Output Microfilm.

Vesicular film is comparable in price to diazo film, and like diazo film it is inappropriate for long-term or archival storage.

Microforms

Microform is the generic term referring to the various formats that microfilm take. The specific microform contains the microfilm image. Microforms come in non-perforated stock to allow maximum use of all film area. Film is generally available in widths of 16, 35, 70, and 105 millimeters.

Microforms generally fall into one of two broad categories, roll microfilm or unitized microfilm

Roll Microfilm

Roll microfilm is simply a length of microfilm rolled onto a spool. The length may contain images laid out in a "cine oriented" manner or in a "comic oriented" manner. Roll film is usually 100 or 125 feet in length (although 200 foot film is not uncommon) and may be either 16mm or 35mm in width.

Roll microfilm may be placed in cassettes or cartridges to eliminate manual threading of film and to protect against dust, dirt, and fingerprints. Due to the proprietary nature of most cartridge or cassette retrieval systems, however, they are not recommended for long-term or archival storage of roll film.

Unitized Microforms

Unitized microfilm formats are those that contain discrete units of information. The "unit" may be a single document or a series of documents relating to a single case or report.

Although there are some variations, unitized microforms fall into three main categories.

Microfiche

Microfiche is a 105mm by 148mm sheet of microfilm which contains microimages permanently arranged in a grid pattern. A header is contained at the top of the sheet for eye-readable (no magnification required) identification of the images. The headers may be color or digitally coded. Microfiche is particularly appropriate for case file report applications which do not require updating.

A variation on standard microfiche is Computer Output Microfiche (COM Fiche). In a typical COM application, digital information is projected on a cathode ray tube and then photographed or digitally encoded information is written directly onto film using a helium-neon (He-Ne) laser. The physical format of the COM Fiche is otherwise identical to source document microfiche.

Jackets

Similar to microfiche, jackets are a 105mm by 148mm unitized carrier with sleeves into which single images may be arranged in a grid pattern. Either 35mm or 16mm images may be used. As with microfiche sheets, jackets may have eye-readable and/or colorcoded headers. The ability to rearrange your images within the jacket or add subsequent images to the jacket make this format particularly well-suited for case file applications which require occasional updating.

Aperture Cards

An aperture card is an opaque card with an opening to allow one image, usually 35mm or 70mm, to be inserted or mounted. The card itself affords the opportunity to present indexing, descriptive or other textual information in an eye-readable format to facilitate retrieval or understanding of the image. The State Archives does not recommend their use as a permanent storage medium.

Aperture cards are commonly used for large documents which require extremely high resolution and a low reduction ratio, such as engineering drawings, maps, and charts.

A variation of the aperture card, the camera card, has raw film stock pre-inserted in the card itself. Despite its ease of use, the proprietary nature of this technology makes it inappropriate for long-term permanent storage.

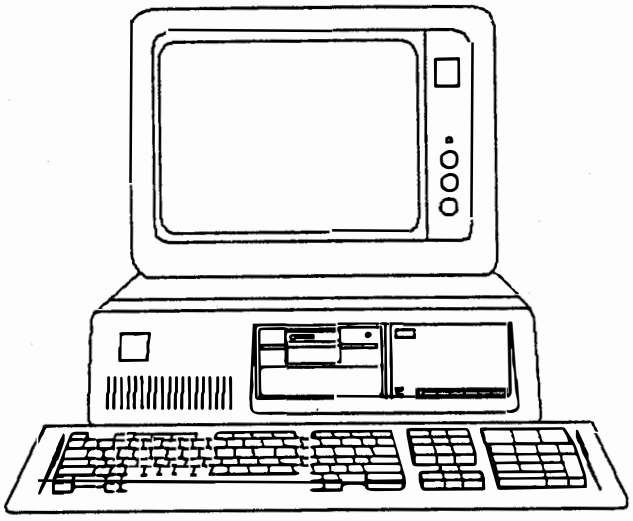
If a need is determined...

- Above is a list of current options. Your needs will be determined by the size of your City, amount of records, available storage space and available finances.
- Make a cost comparison of the microform options based on your volume of records and storage space.

For assistance, check with:

- The State Archivist.
- Your local library.
- The International Institute of Municipal Clerks (IIMC).
- The Oregon Association of Municipal Recorders (OAMR).
- Other cities that have already microfilmed their records.

Electronic Records



City Records Management Manual

Chapter 9.1

Electronic Records: What Are They?

What is an electronic record?

An electronic record is any information recorded in a form that only a computer can process and that is made, received, filed or recorded in pursuance of law or in connection with the transaction of public business, whether or not confidential or restricted in use.

This definition of electronic record is inclusive — any information recorded on a computer by a public employee can be a public record. Equipment includes workstations, microcomputers, minicomputers, and mainframes. The number and variety of electronic records created by city employees is substantial.

Types of electronic records

The lines between types of electronic records are becoming increasingly blurred. Numerous software applications combine graphics, text, and sound into single records. Networked systems allow multiple authors to work on a single document. As software becomes more sophisticated, the electronic record can assume different forms depending on the software used to access it. There are, however, some distinct types of electronic records which can be identified.

- **Text**

Although text has traditionally been used to prepare hard copy records, more and more text documents are being created for electronic use only. Even so, most electronic text documents are drafts and copies of letters, memos, reports, and publications. Text documents are usually created using *word processing* and *desktop publishing* software, but most software (including *spreadsheet* and *database management* programs) can also create text documents.

- **Database and database management**

Databases store vast amounts of information on a variety of subjects. Databases contain data fields which contain text, numbers, graphics, or dates. A database can be as simple as a five-field, 100-record mailing list on a microcomputer or it can be as complex as the million+ record multi-user systems employed by large public agencies.

Database management systems (DBMS) are software systems used to access and retrieve data elements stored in a database. The data elements are stored randomly and each data element has an embedded address system or pointer. The DBMS allows access to the data and combines data elements into records or files to meet user specifications. You can think of a database as a box full of legos and the DBMS as the way of putting the legos into recognizable shapes.

A specialized type of DBMS is the *geographic information system (GIS).* A GIS enables a user to present database information graphically. Database information is combined with various digitized maps to present information in ways not available to traditional DBMS's. Common users of GIS applications include natural resource and planning agencies.

- **Electronic mail**

Electronic mail (E-mail) is any memo, letter, note, report, or communication among individuals and groups that is stored and/or transmitted in a format that requires an electronic device to capture and access. E-mail often refers to a package of services designed to automate office communication.

- **Graphics**

Graphics are available from many sources. Commercial packages containing graphic images can be purchased. A variety of software packages allow users to create graphics ranging from the simple to the complex. Scanners and video conversion hardware also allow for the direct input of images into electronic storage.

- **Multi-media**

Several new types of electronic records have emerged recently. *Presentation software* packages are able to create interactive records which combine graphics, text, and audio input. *Hypertext* and *hypermedia* are best suited for organizing large amounts of unique, non-uniform information. Hypertext does this by allowing the user to branch off from the main flow of ideas within a narrative document via a link to associated information of any size or content. A hypertext system consists of a number of documents or other units of text, called nodes, that are interconnected by such links. These links can be browsed at will by the user. Finally, hypertext systems can be used to personalize information, making the user and data interdependent. By browsing the links and nodes of a hypertext system according to a personal agenda, each user can create his own information system.

City Records Management Manual

Chapter 9.2

Electronic Records: Access and Privacy

Is public access necessary?

Under Oregon's Public Records Law, the public is guaranteed the right to "inspect any public record of a public body in this state" except for those specifically exempted from disclosure by law. This also includes electronic records. In addition to being required by law, providing public access to electronic records is good common sense. The public has a right to benefit from information and technology paid for by its tax dollars. Open government is fundamental to our democratic society — access to records insures that government is accountable to its citizens. And finally, in many cases it is easier to answer public record requests for electronic records than it is to answer requests for paper records.

Types of Access

- *Copying* electronic records is one easy way to provide access to them. Copies can be on a number of media, including: floppy disk, magnetic tape, optical and compact disks, computer-output microfilm (COM), and paper.

- *Public access terminals* can be provided to allow direct access to electronic public records. In some instances, agencies provide dedicated terminals for public use. In others, the public is granted a specified amount of time on an agency computer and must make arrangements to access the information.

- *Dial-up access* allows users to access information using a modem connection to a computer or computer network.

Access and the Law

Several statutes relate directly to the responsibilities of record custodians to provide access to electronic records.

> ORS 192.430(1) states that "the custodian of any public records, including public records maintained in machine readable or electronic form... shall furnish proper and reasonable opportunities for inspection and examination of the records in the office of the custodian and reasonable facilities for making memoranda or abstracts therefrom, during the usual business hours, to all persons having occasion to make examination of them. If the public record is maintained in machine readable or electronic form, the custodian shall furnish proper and reasonable opportunity to assure access."

ORS 192.440(2) states "If the public record is maintained in a machine readable or electronic form, the custodian shall provide copies of the public record in the form requested, if available. If the public record is not available in the form requested, it shall be made available in the form in which it is maintained."

Access and Privacy

Oregon does not have a general privacy law; it relies instead on statutes which exempt specific records and classes of records from disclosure. The Public Records Law (ORS 192) lists exempted records in 192.501 and 192.502. Other exemptions are found throughout the statutes.

Oregon's Public Records Law strongly favors open records. According to the Attorney General's Office, "the guiding principle is: *Exemptions do not prohibit disclosure.*"* In many instances, this leaves the decision about disclosing information to the record custodian. If there are any questions about disclosure, you should consult your city's legal counsel.

Separation of Information

Exempt and non-exempt information should be separated if possible, so that non-exempt information can be released to the requester. This can be done fairly simply with most electronic records, although information stored on CD-ROM and WORM optical disks is difficult to separate.

Access and Security

Records systems must be protected against unauthorized access for two reasons. First, information in electronic records systems must be protected from intentional or accidental alteration. Second, the system must prevent access to information which is restricted by law. These objectives are easily accomplished when access is provided by copying the information. On-line access and public access terminals usually require software which uses passwords and user ID's to restrict access to information to those authorized to use (and in some cases, change) system information.

* For a full discussion of privacy and the Public Records Law, see *Attorney General's Public Records and Meetings Manual*, Oregon Department of Justice, 1989, pp. 10-41. This publication is available for $8 from: Department of Justice, Publications Center, 16 Justice Building, Salem, Oregon, 97310, (503)-378-2992.

City Records Management Manual

Chapter 9.3

Electronic Storage Media

OAMR

Media types

Floppy disk is a magnetic information storage medium consisting of a circular polyester substrate coated on one or both sides with magnetic oxide and enclosed within a stiff envelope. Disks are either 3.5 or 5.25 inches in diameter and can hold up to 1.5 MB of data.

Hard disk is a magnetic information storage medium consisting of several circular polyester substrates coated on one or both sides with magnetic oxide and enclosed within a mechanism which brings the correct disk in contact with the disk drive's heads. Hard drives can be internal or external and typically hold from 20 to 160 MB of data.

Magnetic tape is an information storage medium consisting of a magnetic coating on a flexible backing in tape form. Magnetic tape can be stored on reels or on cassettes.

Optical disk is a noncontact, random-access disk tracked by optical laser beams and used for mass storage and retrieval of digitized text and graphics. It is sometimes called an optical digital disk or optical digital data disk. *CD-ROM* is a 4.7 inch (120 mm) read-only optical disk based upon the Philips/Sony World Standard that stores up to 600 megabytes of computer data and audio. *WORM (Write Once Read Many)* is a type of optical disk on which information can be recorded only once but from which it can be retrieved and read many times. *Erasable optical disks* use a surface which can be melted and repitted, allowing the medium to be re-used.

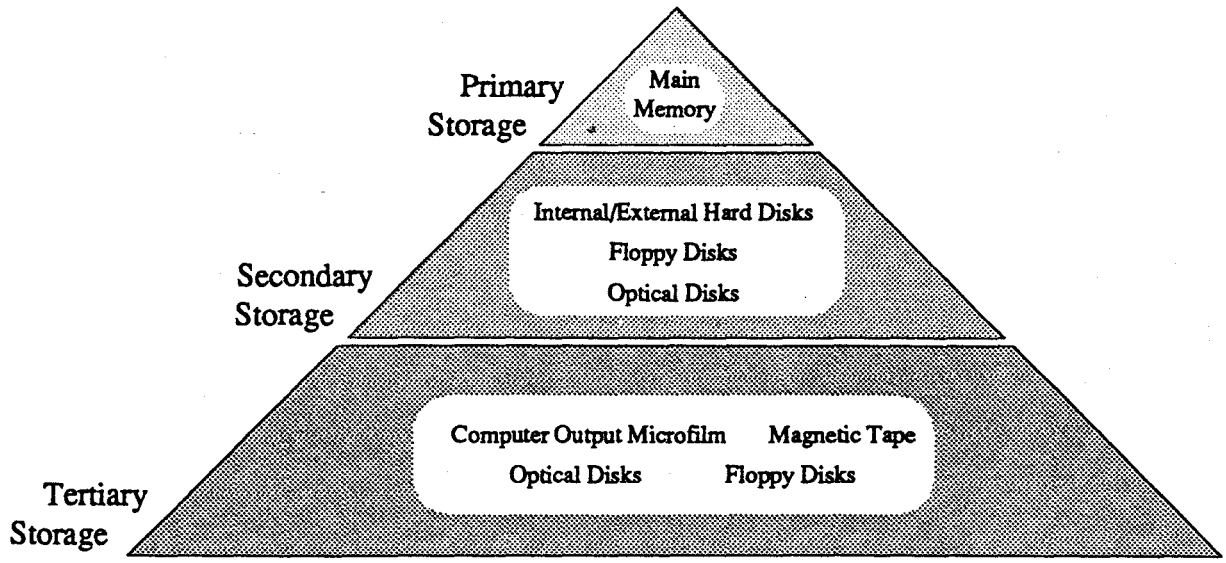
Videodisk and *videotape* record and store pictures or pictures and sounds as analog signals.

Computer output microform (COM) is computer output produced directly onto microfilm/microfiche, without paper printout as an intermediary.

Media selection

Storage media should be selected based on considerations which assign specific media and storage devices to the applications for which they are particularly suited. Figure 1 illustrates a hierarchy based on primary, secondary, and tertiary storage needs. *Primary* storage represents main memory circuits located within or very close to the central processing unit. *Secondary* storage includes media and devices suitable for online information processing applications. *Tertiary* storage is provided by media and devices that store information offline until it is needed for specific tasks.

Figure 1: A typical storage hierarchy



Adapted from William Saffady, *Optical Disks vs. Magnetic Storage*, Wesport: Meckler, 1990, p. 85.

The following items should also be considered when selecting storage media:

- *Access*

Records custodians must provide access to electronic records (see *Access and Privacy*). Retrieving specific pieces of information from some storage media is easier than from others. *Generally*, retrieval is slower and more difficult from analog media than it is from digital media. As a rule of thumb, if records are accessed with any frequency, they should be stored on digital media or returned to on-line storage.

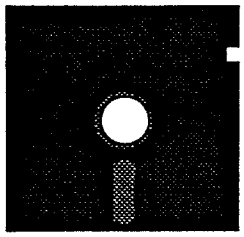
- *Cost*

Cost of storage media involves more than just dollar-to-megabyte ratios. Other costs that should be included are personnel, special environmental costs for storage locations, special equipment costs to house storage media (like racks for hanging tapes), lease costs of storage floor space, and any conversion costs for moving information to the storage medium.

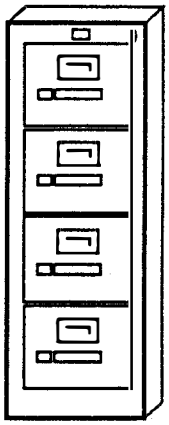
- *Legality*

Paper and microfilm are recognized by all courts as acceptable sources of evidence. In most cases, electronic records can also be admitted in court as evidence. This applies even to records which are only maintained in electronic form. Electronic records can be admitted in court as hard copy output, on-screen output, COM output, or as a summary. Certain system precautions should be taken, however. Electronic record systems must be able to track and verify the date of a "record," the date(s) of any alterations, and the authority for creating or altering a record. In many cases system experts will probably be required to verify the accuracy of computer records introduced as evidence.

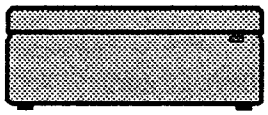
Selected Electronic Storage Media



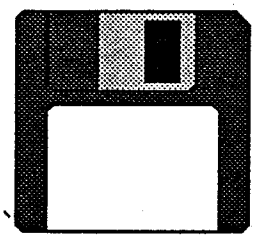
5.25" Floppy Disk



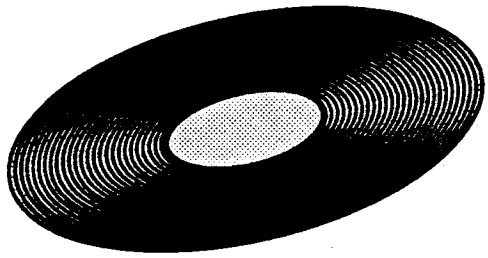
Pre-Electronic High
Density Storage Unit



External Hard Disk

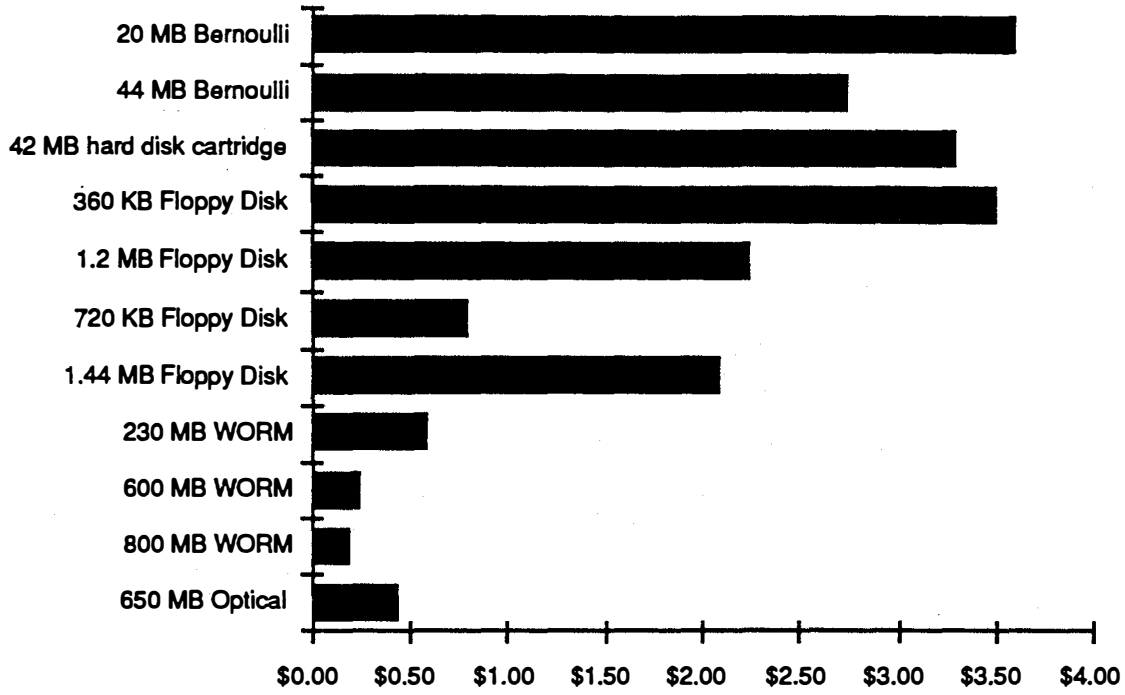


3.5" Floppy Disk



Optical Disk

Typical Cost per Megabyte for Selected Electronic Storage Media



Source: William Saffady, *Optical Disks vs. Magentic Storage*, Wesport: Meckler, 1990, p. 44.

- *Longevity*

Some media are more prone to data loss and degradation than others. Paper and silver halide microforms are by far the most stable and long-lived media for data storage. Information stored in these media, however, lose the special usefulness which electronic records have. Lifespans of electronic storage media range from roughly five years for videotape to ten+ years for optical disks. The State Archives recommends that electronic records should be stored in hard copy as well if they will be needed for a longer period of time than the electronic storage media can reasonably be expected to last. Computer systems change, therefore, the media is archival only as long as there is equipment to read it.

Storage Standards

Storage areas for electronic records should maintain a constant temperature between 62°F and 68°F and a constant relative humidity between 35% and 45%. Magnetic tapes should be rewound annually. Any records which have been maintained on magentic tape or optical disk for ten years should be copied onto new tapes or disks. Tape containers and disks should be labeled. Tapes and disks should be stored in a vertical position and kept away from strong electrical and magnetic fields. No unauthorized person should have access to electronic records. No eating, drinking, or smoking should be allowed in the storage area.

City Records Management Manual

Chapter 9.4

Legality of Electronic Records

Electronic records are increasingly used as the sole means of documenting public agencies' activities. As such, they are often the only evidence available in court cases involving public agencies. Electronic records can be admitted in court as evidence—as hard copy output, on-screen output, COM output, or as a summary. This applies even to records which are only maintained in electronic form. The keys to using electronic records as evidence in court are identifying what constitutes an electronic record and verifying the authenticity of electronic records.

Identification of electronic records

Identifying electronic records has been a confusing task for many records managers. One solution has been to ignore the fundamental differences between electronic information and traditional information formats and just expand the existing definition of record to include electronic, or "machine-readable", records. Oregon defines a public record as

> "...a document, book, paper, photograph, file, sound recording, *machine readable electronic record* or other material, such as court files, mortgage and deed records, regardless of physical form or characteristics, made, received, filed or recorded in pursuance of law or in connection with the transaction of public business, whether or not confidential or restricted in use." (ORS 192.005; emphasis added)

It is more useful to define electronic records as

> *information which has participated in a transaction, called a record transaction, which takes place whenever information is communicated to a person or to a store of information available to more than one person.*

Two aspects of this definition merit special consideration. First, under this definition any electronic activity which documents an official transaction is a record. Second, management policy which is concerned with accountability must define what is an official transaction. Agency records officers, program managers, and systems managers must define what constitutes an offical transaction.

Authenticity of electronic records

Electronic records are transient by nature. Electronic record systems must be able to track and verify the date of a "record," the date(s) of any alterations, and the authority for creating or altering a record. In many cases system experts will probably be required to verify the

accuracy of computer records introduced as evidence. The only sure way to insure the authenticity, and by extension, the legality, of electronic records is to insure that the systems which create electronic records can:

- document that similar kinds of records generated and stored electronically are created by the same processes each time and have a standardized retrieval approach;

- substantiate that security procedures prevent unauthorized modification of a record and ensure system protection against such problems as power interruptions;

- if a vital record is kept in electronic form, document the vital records procedures, including a description of the informational content of the various generations, i.e., the original and vital record copies;

- identify the electronic media on which records are stored throughout their life cycle, the maximum time span that records remain on each storage medium, and the approved disposition of all records;

- coordinate all of the above with records officers, program managers, systems managers, and legal counsel.

For more information...

For assistance in **identifying electronic records** contact the Oregon State Archives, 800 Summer Street NE, Salem, OR 97310; (503) 373-0701.

For assistance in determining the legality of specific electronic records, contact either the Office of the Attorney General or your city attorney.

City Records Management Manual

Chapter 9.5

Electronic Mail

OAMR

What is electronic mail?

Electronic mail (e-mail) is any communication that requires an electronic device for storage and/or transmission.

The number of e-mail communications is increasing. In 1984-85, the number of alphabetic symbols processed on microcomputers exceeded the number of numerical computations for the first time. Computers are no longer "number-crunchers," but are information processors and transport mechanisms.

The confusing thing about e-mail is its eclectic nature—phone messages, calendars, leave slips, notes, letters, memos, and any number of attached documents are all sent routinely through e-mail systems. Trying to manage the public information transmitted and stored in an e-mail system can be challenging.

Is e-mail a public record?

Under Oregon's public records law, e-mail transactions are clearly public records. The definition of public records in ORS 192.005 includes any "document, book, paper, photograph, file, sound recording, machine readable electronic record or other material... regardless of physical form or characteristics, made, received, filed or recorded in pursuance of law or in connection with the transaction of public business..."

Access and Privacy

E-mail records, like other public records, must be available, upon request, to any member of the public, unless the record is exempt by law from disclosure. For more information on this subject see *Electronic Records: Access and Privacy.*

Retention

E-mail records should be retained as long as they are useful to the city(s) using them. The value of a "please call" phone message is clearly less than more substantive communications. A city's records officer, systems manager, and program managers must devise policies for the retention of e-mail records based on the records' value to the city.

Storage

E-mail records are typically stored on-line or on magnetic media off-line. Both retention and access must be considered when storing e-mail records. The storage media must have a life-span sufficient to insure the retention of e-mail records for as long as they are valuable to the agency using them. E-mail records maintained off-line must be stored in a way which allows users to access records with some measure of accuracy. Records officers, program managers, and systems managers should establish standards for indexing which facilitate access to stored e-mail records. (*See Electronic Records: Storage Media* and *Electronic Records: Access and Privacy.*)

E-mail and standards

Standards impact the use and form of e-mail records. Records officers should assist in the procurement and/or planning of e-mail systems to insure that record requirements are met. An e-mail system should be able to support both of the following standards:

- X.400 is a family of standards for electronic mail developed by CCITT (Consultative Committee for International Telegraph and Telephone). These standards specify how networks may exchange electronic mail messages in a consistent and orderly way among mail systems from different vendors, public communications carriers, and between the two.

- X.25 is the CCITT standard protocol for packet-switched communications. It serves as the interface between data terminal equipment and data circuit terminating equipment for terminals operating in the packet mode and connected to public data networks by dedicated circuit.

For more information...

For information about e-mail **record retentions, record storage,** and **record access;** contact: Terry Baxter, Archives Division, 373-0701

For information about e-mail **hardware and software standards,** contact: Executive Department, Information System Division, 378-4126.

City Records Management Manual

Chapter 9.6

Optical Disk Storage

Administrative Rule (OAR 166-30-080)

Retention Period

Public records with a scheduled retention period of less than ten years may be stored on optical disk devices. The original record may be disposed of following verification of acceptable optical image quality.

Public records with a scheduled retention period of ten years or more may be stored on optical disk devices provided that the original records retained in hard copy or on microfilm for the entire scheduled retention period.

Oregon Revised Statute (ORS 192.050)

Photocopies and Certification:

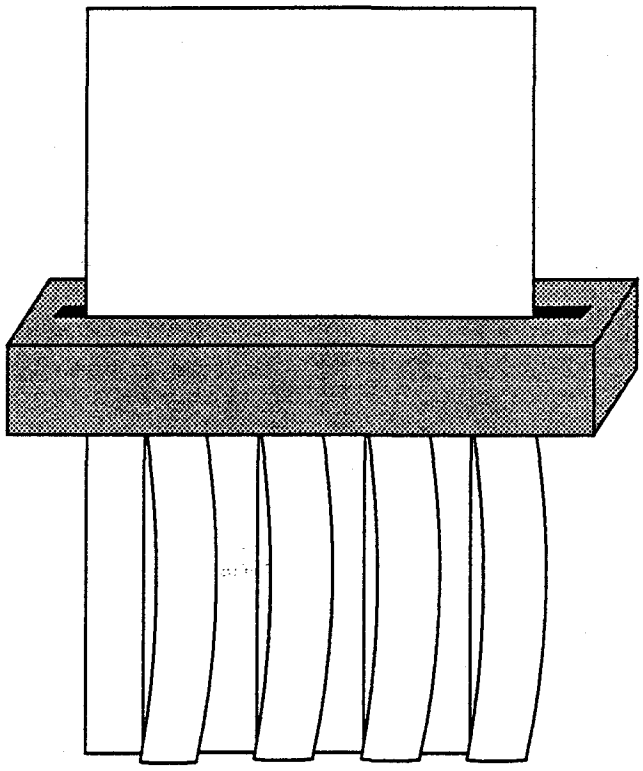
A state agency or political subdivision (local government) may...cause any public records in its official custody to be photocopied or captured by digital imaging system as in the case of original filings or recordings or recorded by means of analog or digital audio and video tape technology. Each photocopy, digital image and analog or digital audio and video tape shall be made in accordance with the appropriate standard as determined by the State Archivist. Every such reproduction shall be deemed an original; and a transcript, exemplification or certified copy of any such reproduction shall be deemed a transcript exemplification or certified copy, as the case may be, of the original.

ORS 192.060 covers the indexing of photocopies, digital images and analog or digital audio and video tapes.

Standards

The City of Salem/Marion County Data Center has conducted extensive research into the industry. The amount of data that can be stored on disks ranges from 120 megabytes to 1.2 gigabytes. Since there are no standards between vendors, and in many cases disks manufactured in the past cannot be "read" on their own current equipment, optical disk technology resembles personal computer technology a few years ago. Therefore, until standards are established by the State Archivist and by the vendors themselves, agencies who purchase and use optical disk systems for records storage are on their own—both in choosing systems and when challenged by the courts where optical diskstorage has replaced the paper copy before the minimum retention was met.

Records Destruction



City Records Management Manual

Chapter 10

Records Destruction

Administrative rules

Unless otherwise stated, a retention period is calculated from the date the public record was created. (OAR 166-30-027(2))

No public records of fiscal transactions shall be destroyed, even though the required minimum retention period has passed until after the required audit for the period covered by the public records has been completed and the auditor has released the public records for destruction . (OAR 166-309-041)

Public records which are confidential by law...must be destroyed by shredding, pulping, or incineration. The destruction should be supervised and witnessed...Records which are not confidential by law may be sold or traded for recyling of the fibre...including provisions that the records are promptly converted...(OAR 166-30-060)

Once a record has served its purpose and has met the minimum retention, it is ready for final disposition [destruction (burning, shredding, etc), microfilming or storage]. Records are to be retained at least for the time indicated in the retention schedule. The following are some policies your city may want to adopt in part or in full.

General records destruction policy

All records shall be destroyed after meeting the minimum retention.

Thus, no city equipment or storage areas shall store records beyond the minimum retention, unless one of the records destruction exception policies apply, and has been granted. Records of a confidential nature should be disposed of by a method that ensures that they are completely destroyed.

Records destruction exception policies

The following exception policies allow retention of records beyond the minimum upon approval by the department director and City Manager. These policies will control the amount of filing equipment purchased, and the need for off-site storage

Exception Policy #1: If a record has substantial value, the record may be retained beyond the minimum retention with written approval from the City Manager through the department director. Obtain assistance from the Records Manager.

Exception Policy #2: Likewise, a record retained beyond the minimum retention may be microfilmed with written approval from the City Manager through the department director. Obtain assistance from the Records Manager.

Exception Policy #3: Further, equipment to house records or microfilm being retained beyond the minimum retention may be budgeted for purchase with written approval from the City Manager through the department director. Obtain assistance from the Records Manager.

If a document is truly a duplicate, you do not have to account for its destruction. However, keep in mind that a duplicate can be the "record copy,"in that the duplicate is the only official copy for the City records. In such instances, the duplicate record cannot be destroyed until the minimum retention is met and a destruction form is completed.

Your city may wish to have the City Manager establish an "Annual Destruction Day" for departments to purge documents that have *met the minimum retention.* Where feasible, regular duties will cease so that maximum effort can be applied to the purge. The departments will prepare the documents for recycling or shredding and will complete the "destruction form" as set forth in this manual. However, departments may also destroy documents throughout the year as the need arises and where the records have met the minimum retention.

Methods of Destruction

Type of Destruction	*Advantages*	*Disadvantages*
Refuse Collection	Easy way to dispose of documents	Lack of confidentiality.
Incinerating	Confidentiality assured; documents completely disintegrated.	Pollution may violate federal, state, and/or local clean-air regulations.
Shredding	Shredded paper can be bailed and sold.	Documents partially destroyed; confidentiality not completely assured.
Selling as Scrap	Income from sale of scrap; recycling helps environment.	Lack of confidentiality.
Chemical Disintegration	Confidentiality assured; documents completely disintegrated.	Not practical for small business organizations.
Pulping	Confidentiality assured; documents completely disintegrated.	Not practical for small business organizations.

Source: *Records/Info Management and Filing*, Nathan Krevolin.

Instructions for records destruction

Completing the records destruction form. Destruction of records should be done with care; make sure you have the appropriate signatures on the records destruction form.

Records eligible for destruction according to city retention schedules should have documentation "logging" those records destroyed. There may be occasions when you will need to show "proof" that the records were destroyed appropriately, or you may just need to identify some records. The records destruction form provides the information about the records destroyed and includes the signatures of those with authority to destroy records.

If you destroy records without legal authority, you may be committing a misdemeanor by tampering with the public record (ORS 162.305).

So, remember—*Tell the Boss Before You Toss!*

Request

Complete the *records destruction form.* Please attach at least one copy of the record and/or a copy of the *series inventory form* to assist in considering approval for destruction or a copy of the *microfilm format form* .

Eligible for destruction

Route the form to the city records officer who will verify that the record is eligible for destruction. If so, the records officer will sign and date the form and will return it to the requestor. The record is now *eligible* for destruction once the department director also signs.

Director's approval

Have the department director sign for approval. This gives the director one last opportunity to retain the record(s). In some instances, the director may be aware of circumstances where the records need to be retained for special reasons, especially in instances where there may be pending litigation.

Certificate of destruction

Sign and identify how the record was destroyed. Then forward the original to the records officer for official permanent record and make a copy for your department records.

If there is a special need to destroy records in a confidential manner, contact the records officer for special arrangements. If large amounts of the same records are destroyed frequently and the use of the records destruction form is too cumbersome, contact the records officer for special arrangements.

NOTE: PLEASE TYPE OR PRINT
Please attach a copy of the record, inventory sheet, or microfilm form.

SAMPLE

RECORDS DESTRUCTION REQUEST

Section 1 - REQUEST: *(Dept Records Supervisor)*

Series Title _____

Schedule #_____ Minimum Retention Period _____

Brief Description of Record Series: _____

_____

Inclusive Dates: _____

Records: On Microform - Job# _____ Film Date _____ Verified _____
Yes - Date

Paper Files - cubic feet ____ Current Storage Location _____

Dept Records Supervisor: _____ ***Date*** _____
Signature

Department _____ Division _____ Phone Ext # _____

Section 2 - ELIGIBLE FOR DESTRUCTION: *(City Recorder's Office)*

Records Manager: _____ ***Date*** _____
Signature

Section 3 - DIRECTOR'S APPROVAL:

Director's Approval: _____ ***Date*** _____
Signature

Section 4 - CERTIFICATE OF DESTRUCTION:

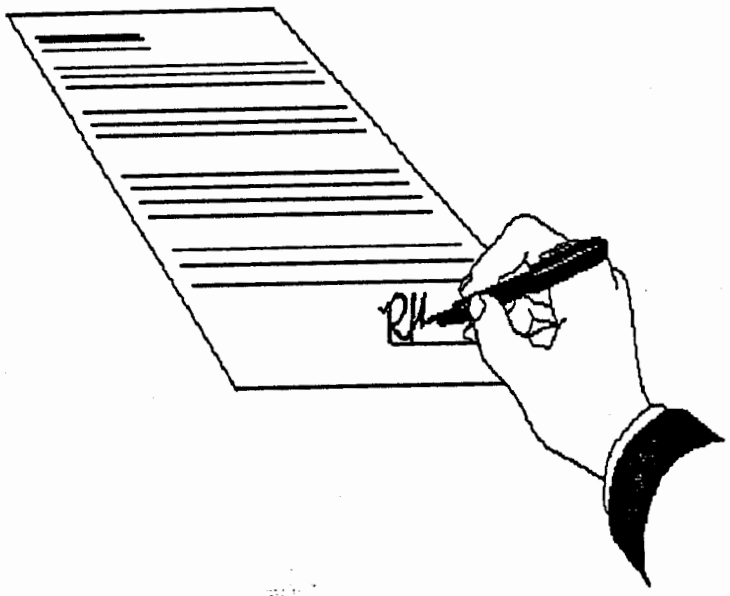
Destroyed by: _____ ***Date*** _____
Signature

Title _____ Dept _____ Division _____

Describe Destruction _____(Shred, Recycle, Other)

ORIGINAL: City Recorder/Records Manager
COPY: Department

Public Records



City Records Management Manual

Chapter 11

Public Records

OAMR

Records Generally

When you receive requests for records from citizens, courts and other interested persons, do you know the "rights-to-access" and copying laws?

The State Department of Justice has a published manual entitled, "*Attorney General's Public Records and Meetings Manual.*" This manual is an opinion of the Attorney General interpreting legislation pertaining to records, and provides *general* legal advice. The manual is very valuable and is available for purchase at $8 per copy. Contact:

Department of Justice
Publications Center
16 Justice Building
Salem, OR 97310
(503) 378-2992

This manual describes:

A. Who has the right to inspect public records?
B. Who is subject to the Public Records Law?
C. What records are covered by the law?
D. How can a person inspect or obtain public records?
    1. Proper and reasonable opportunity to inspect
    2. Copying
    3. Public body prerogatives
        a. Protective rules
        b. Fees
        c. Destruction of public records
        d. Consultation with legal counsel
E. What public records are exempt from disclosure?
F. May an agency voluntarily disclose an exempt record to selected persons without waiving exemption generally?
G. Where and how does a person proceed if access is refused?

Subpoenaed Records

Whenever an employee is served with a subpoena requiring that the employee appear in court with any public record, the employee should *immediately* contact their legal counsel.

Certifying Documents

From time to time the public requests photocopying and certified copies of records pursuant to ORS 192.430 and 192.440.

If the "record copy" is in the custody of another department other than the office of the City Recorder, the custodian of the record must sign before the City Recorder (similar to a notary) who will attest and affix the city seal. The City Recorder will certify documents maintained in the recorder's office. *Sample forms follow for your reproduction.*

CERTIFICATION OF PUBLIC RECORD
OF THE CITY OF (*name of city*), OREGON

I, (*name of employee*), certify and say that the attached photocopy is a correct, true and exact copy of an official public record of the City of (*name of city*), Oregon, and that the record copy thereof is in my official care, custody and control in my capacity as set forth below my signature.

Signature: _____

Title: _____

Department: _____

ATTEST

I, (**City Recorder's name*), hereby certify and attest that I am the duly appointed and acting City Recorder of the City of (*name of city*); and that the person whose signature is affixed above is, in fact, an officer or employee of the City of (*name of city*), Oregon, acting in the capacity set forth below such signature; and that such signature is genuine.

WITNESS my Hand and the Seal of the City of (*name of city*), Oregon, this (*date*) day of (*Month*), 19(*year*).

[Impress city seal over signature.]

_____

City Recorder

**A Deputy Recorder may be authorized to certify as well.*

CERTIFICATION OF PUBLIC RECORD
OF THE CITY OF (*name of city*), OREGON

I, *(*city recorder's name)*, hereby certify that I am the duly appointed, qualified, and acting City Recorder of the City of *(name of city)*, Oregon, and

I Further Certify that the attached photocopy of *(describe document: title numbers, dates)*, is a true and correct copy of said *(type of document)*.

Witness my Hand and the Seal of the City of *(name of city)*, Oregon this *(date)* day of *(month), (year)*.

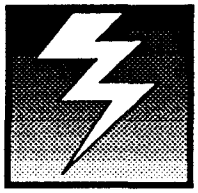
(impress City Seal over signature)

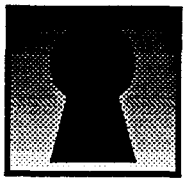
_____

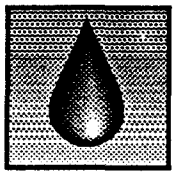
City Recorder*

* A Deputy Recorder may be authorized to certify as well.

Disaster Planning







City Records Management Manual

Chapter 12.1

Introduction to Records Disaster Planning

OAMR

What is a records disaster ?

A records disaster is a *sudden* and *unexpected* event which results in *loss* of records or information *essential* to an organization's continued operation. Disaster isn't something we like to think about. It happens when least expected. A disaster could happen before you're prepared to deal with it! Most disasters can be prevented or minimized at a very reasonable cost.

Consider these examples:

Example 1 Hundreds of volumes of irreplaceable research journals stored in the University of Oregon Science Library were damaged by water when rain poured through the ceiling from a broken storm-drain pipe. The pipe was broken by vibrations from building construction next door. Two days later another leak, this time in the basement wall, damaged many of the library's books. (July 1987)

Example 2 About 5:30 PM an employe smelled smoke in a state office building. After a half-hour search, a hot plate type coffee warmer, still turned on, was found with papers stacked on top. (Sep 1990)

Example 3 A fire at North Salem High School destroyed Student Records. (Feb 1990)

What would be the consequences if these things happened at your city?

Consequences

The consequences of not being prepared when disaster strikes are significant and expensive. Information or records could be lost or destroyed which:

- Protect and document the city's legal rights or interests
- Protect and document the rights or obligations of citizens
- Are needed to conduct emergency operations during a disaster
- Are needed to resume operations after a disaster

The examples on page one yielded these consequences:

Example 1 One hundred seventy seven research journals and over three hundred other volumes were soaked with water. Thousands of books had to be hurriedly moved to safety. Soaked materials were frozen and taken to Oregon Freeze Dry Foods in Albany where the moisture was removed.

Example 2 The stack of papers was badly scorched. This incident was a near-miss since the papers weren't especially important and they didn't catch fire. What if someone hadn't smelled the smoke?

Example 3 Some paper records were destroyed but the information was reconstructed from computer files and teacher grade books.

How do disasters happen to records?

Types of disasters include the more *obvious*: Fire, windstorm, flood, and earthquake.

Some *less obvious* things are: Vandalism, unauthorized access, loss, theft, and equipment failure.

Other unexpected and unpleasant things could be ruining your city's records right now, such as: Leaking pipes, insects, rodents, and mold.

Could your city restore records lost to any of these causes?

What can you do to prepare?

One option is to ignore the possibility of ever having a disastrous event which could damage or destroy your city's records. This is by far the most common practice. That's unfortunate and it could prove to be very short-sighted and costly.

The preferred option is to develop a records disaster program. Every city's records management program should include procedures designed to prevent a catastrophic event involving its records. Preparation will cost something—paying for a disaster will cost a lot more.

Responsible government requires protection for public records

What are the benefits of having a records disaster program?

A few benefits include:

- Improved protection of information and records vital to city operation
- Improved overall management through better records management

- The confidence of knowing your city can survive and recover from a disaster and resume operations with minimum disruption and cost
- Avoid unnecessary legal and fiscal problems

What is involved in a records disaster program?

The basic components are:

- Prevention/Protection
- Vital Records
- Recovery

Each city's records disaster program must be tailored to its own mission, structure, location and resources. *It should provide reasonable measures to deal with probable risks.* It must be periodically tested and updated.

Prevention/Protection

Prevention is a sound investment and much cheaper and simpler than trying to recover or replace damaged or destroyed records. Most disaster prevention and protection involves straightforward, low cost, common-sense measures.

Here's another definition of a disaster:

It's what happens only if you're not prepared.

"An ounce of prevention is worth a pound of cure"

Steps to take

- Issue a clear policy statement from top management initiating the records disaster program and announcing its objectives
- Establish responsibility and authority by assigning a person to implement and manage the program and prepare a disaster plan. Ideally this should be the city records officer. A team composed of representatives from all functional areas of the organization could be formed to assist the records officer.
- Identify, control and protect vital records
- Survey the potential hazards to your records—correcting as many as possible in cooperation with the building manager.

  Examples—Roof, basement storage, wiring, heating systems, plumbing, unauthorized access, theft, and loss.

- Make sure your insurance coverage is appropriate

  Contact city risk manager

- Meet with police and fire departments
- Arrange for help from recovery resources
- Assemble and pre-position disaster equipment and supplies
- Train disaster team members and other employes
- Periodically test and evaluate the plan and procedures

In a nutshell—*find out what can go wrong and fix it first!*

Vital Records

Vital records are those records that contain the information needed to continue or re-establish a city's operation following a disaster. They document the city's legal or fiscal position and preserve the rights of the city, its employes, and/or citizens. Vital records are *irreplaceable* or would be too expensive to replace.

Vital Records are *not* the same as historical records. They *do not include* records which, though important are replaceable at reasonable expense. Vital records are one of your city's most important resources. The percentage of records which are "vital" range from *five to ten percent.*

To be successful your vital records program must be approached from a corporate perspective to ensure that only the truly vital records and information receive special protection. Direction and support must be provided by top management. Each city should have a records officer who has authority to coordinate an city-wide records management program. Vital records are an integral part of the city records management program.

The *basic elements* of a vital records program are:

- ❑ Identify the vital records needing protection
  - Inventory all city records
  - Classify records according to relative value to essential city functions
- ❑ Assess the risks
  - Dangers to specific records
- ❑ Protective measures
  - Duplication for dispersal
  - Off-site or remote storage
  - On-site secure storage

A city that has only a vital records program is well on its way to coping with disasters. The addition of a well-developed records disaster plan should provide the ability to cope with most disasters.

An effective Vital Records program will ensure that your city will be able to function following a disaster

Disaster Recovery

Disaster recovery is the process of resuming normal operations following a disaster. It's what you will have to do if your best efforts at prevention don't prevail. You can't do much to prevent earthquakes or major floods. But — if your vital records are properly protected before, during and after the disaster — salvage and recovery will be much easier, cheaper, and less traumatic.

An effective recovery plan will help impose order in the stressful and chaotic conditions which typically accompany a disaster. It will give you the luxury of making critical decisions in advance. Rapid recovery will promote customer satisfaction and maintain public confidence.

Steps to

- ❑ Establish priorities for restoring city functions
- ❑ Identify priorities for salvaging records
- ❑ Develop a disaster recovery plan
    - Quick reaction checklists
    - Alternate operating locations
    - Inventory of records and equipment
    - Supplies and equipment in a safe place, ready to use
    - Contracts/agreements with disaster recovery agencies and firms
- ❑ Train disaster recovery team and staff
- ❑ Test and revise the plan and procedures

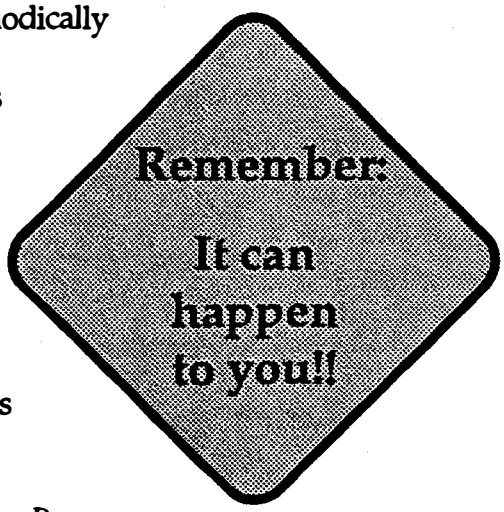
Summary

Your city's records are a valuable resource and need to be protected. This resource can be protected at very reasonable expense compared with the cost of disaster recovery. Some major disasters may be unpredictable and beyond our immediate control. Many disasters, however, can be prevented or their effects minimized at relatively low expense.

If you will take these simple, inexpensive measures to protect your city's records and information, your chances of surviving and recovering from any records disaster are excellent.

- Identify and protect your Vital Records
- Develop a plan and procedures to guide your city during and following a records disaster
- Train the staff in emergency procedures
- Test and exercise the plan and procedures periodically

A little planning and preparation will save an enormous amount of work and expense when disaster strikes!



This guide focuses on records only. No attempt has been made to address general disaster planning factors, such as: Life safety, communications, public order, sanitation, etc.

For more detailed guidance in setting up a **Vital Records Program** see *Vital Records.*

Disaster Recovery Planning is covered in *Records Disaster Recovery*

Publications giving more extensive help in disaster planning and technical guidance concerning actual disaster recovery are listed in *Bibliography.*

Prepared with the assistance of the
State Records Management Advisory Committee

City Records Management Manual

Chapter 12.2

Records Disaster Recovery Planning

OAMR

What is a records disaster?

A records disaster is a *sudden* and *unexpected* event which results in *loss* of records or information *essential* to an organization's continued operation.

What if your city suddenly and unexpectedly lost the records or information it needs to perform the functions essential to its primary mission? Could you replace or reconstruct those records and resume normal operations quickly and efficiently? A records disaster plan will help you to do so.

> Only the fool says in his heart disasters only happen to others. *George Cunha*

Every city's records management program should include procedures designed to prevent a catastrophic event involving its records. Your city's records are an important resource. They represent a significant investment and need protection like other assets.

Disaster isn't something we like to think about. It usually happens when least expected. Some disasters, such as earthquakes or major floods may not be preventable. However, most disasters are preventable and at reasonable expense. If you don't plan ahead and prepare, you will have to deal with disaster anyway. The question is—with what success?

What are the consequences of records disaster?

The consequences of not being prepared for a records disaster are significant and expensive. Information or records could be lost which:

- Protect and document the city's legal rights or interests
- Protect and document the rights or obligations of citizens
- Are needed to conduct emergency operations during a disaster
- Are needed to resume operations following a disaster

These are the city's vital records and are integral to the city records management program.

What is disaster recovery?

Imagine trying to conduct your city's business without its records—including electronic records. Imagine the cost of trying to replace those records, or reconstructing the information from other sources. Or worse yet—recreating them from scratch.

Disaster recovery is the process of resuming normal operations following a disaster. It's what you will have to do if your best efforts at prevention don't prevail. You may not be able to do much to prevent earthquakes or major floods! But, if your vital records are properly protected before, during and after the disaster, salvage and recovery will be much easier, cheaper, and less traumatic.

Don't panic—be prepared!

What is a records disaster plan?

A records disaster plan is a written, approved, implemented, and periodically tested program to identify, protect, and recover an city's vital records, and to restore normal operations following a disaster.

The basic components are:

- Prevention/protection
- Vital Records
- Recovery

Disaster prevention and protection are covered in *Introduction to Records Disaster Planning*.

Instruction on establishing a vital records program can be found in *Vital Records*.

An effective recovery plan will help impose order in the stressful and chaotic conditions which typically accompany a disaster. It will give you the luxury of making critical decisions in advance. Rapid recovery will promote customer satisfaction and maintain public confidence.

What are the benefits of a records disaster plan?

Improved protection of important assets

By identifying, protecting, and if necessary, salvaging/reconstructing the city's vital records, a records disaster plan assures the organization of continued operation despite hurricanes, floods, earthquakes, fires, strikes, etc.

Reduced insurance costs

Insurance premiums are based on risk. If you can demonstrate reduced risk by having a comprehensive records disaster plan in effect—you may save money on insurance. Prevention and control of risks are less expensive than paying for devastating loss after the fact.

Improved security

A records disaster plan includes improved procedures to protect city records and information, as well as the facilities and the people who use those records.

Improved general management

Preparing a records disaster plan will bring priorities into perspective, and help management to focus on the most important aspects of the city's mission. Disaster planning can create an atmosphere of confidence, people will know that reasonable precautions have been taken against the unexpected.

Improved records and information management

This planning process can be an opportunity to make top management aware of the need for more attention and emphasis on records and information as important city resources needing protection from creation through their entire life-cycle. The plan will require a good records retention schedule and a comprehensive vital records program. It will also help bring the records management, data processing and word processing people into closer cooperation.

Increased ability to act decisively in crisis situations

The shock of a major disaster situation typically causes confusion, fear, and ineffectiveness. Disaster planning and exercises to test the plan provide a training ground for people to see how they will perform during a stressful disaster—in advance.

> An optimist sees an opportunity in every calamity, a pessimist sees a calamity in every opportunity.
> *Winston Churchill*

What will it cost?

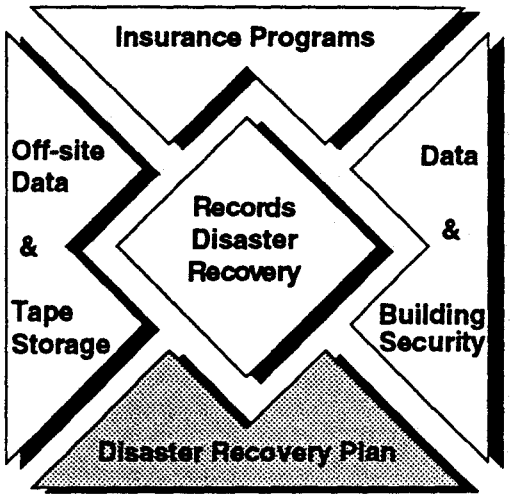
The tangible and intangible benefits are very valuable and not free, of course. There will be costs associated with developing, implementing, and updating a disaster plan.

- Personnel time to prepare and implement a records disaster plan, and to keep it current
- Possible building/equipment modifications or repairs to reduce danger or limit the consequences of disaster
- Possible upgrading of security and insurance programs
- Costs of preparing records retention schedules and vital records procedures. Possible off-site storage or microfilming costs

- Purchase of disaster supplies and equipment
- Possible contracts or agreements for specific related services such as a computer back-up site, freeze drying of water damaged records
- Training in safety, records security, records salvage and reconstruction, and general crisis management

These costs must be compared with the potential losses that can be reasonably anticipated from a major disaster. Insurance companies use an annual loss expectancy formula (ALI) to translate common risks into concrete financial estimates of the losses that would result from each potential disaster.

Components of a Records Disaster Program



Many elements of a records disaster program are already in place in most agencies—what is usually missing is the records disaster plan. A records disaster plan will help integrate and manage the city's records and information resources

Many elements of a records disaster program are already in place in most cities, such as insurance programs, building and information security, off-site security storage of microfilmed records and computer tapes. A complete plan however will review, coordinate, improve, and supplement existing elements resulting in a comprehensive, cost-effective program. A records disaster plan will help integrate and manage the city's records and information resources.

What is the planning process?

The planning and implementation process will produce a concrete, approved plan that will enable an organization to quickly and efficiently resume normal business after any disaster.

Prevention and recovery can be planned for concurrently and integrated into a single plan. There are some general elements and several specialized elements.

Key general elements:

❑ *Clear policy statement*

A records disaster recovery plan is a management function. The planning process must have clear, direct authority from top management from the beginning. Top management should issue a statement spelling out specific goals and objectives so that everyone will know what is expected and what the plan will accomplish.

❑ *Activation authority*

The plan must clearly spell out who can initiate the plan and under what conditions. What is a disaster to one organization may only be a nuisance to another.

❑ *Continuity of authority*

A clear statement of the lines of authority which will be in effect during a crisis. A pre-arranged group of people to manage the crisis situation and make decisions based on the disaster plan and the current situation.

❑ *Task organization and assignment*

The plan must spell out exactly who will do what. Who is in charge, who is assigned to action teams to react to and recover from a disaster.

❑ *Notification procedures*

Specific methods for contacting team members, support agencies, and other resources such as vendors, suppliers and consultants. Emergency contact lists must spell out how to contact each individual and when.

❑ *A city spokesperson*

A single person to keep the media and employes informed about the disaster—its cause, its effect, and efforts underway to react and recover. The media and the public will judge a city's effectiveness and credibility by the information they receive.

Key specialized elements:

❑ *Priority list of essential functions to restore*

The plan should include guidance concerning the priority order in which city functions should be restored during and following a disaster. This guidance will result from a management review of city functions as they pertain to the primary mission. This review would logically occur during identification of the city's vital records.

❑ *A current records inventory, including Vital Records.*

This inventory will be necessary to help restore essential functions. The list should include record series name, media, and location. This list will guide the recovery team and allow them to quickly identify which records must be saved and which are dispensable.

❑ *Blueprints and building plans*

May be very useful during plan development as you go about eliminating or reducing hazards and risks to city records. Important things to know about include the locations of utility connections and how to shut off gas, water and electricity. Knowing the routes of plumbing and drains, locations of electrical switches, circuit breakers, and alarms will allow you to plan more effectively. Hazardous materials are also of concern.

Blueprints, plans and drawings can provide an accurate picture of access routes, records and equipment locations. The recovery team needs to know where things are so they can assess the damage and restore city operations with minimum danger.

❑ *Alternate operating location information*

If alternate locations are needed to restore city operations, they should be clearly identified in the plan. Whether formal arrangements have been made or tentative agreements for emergency operations, these arrangements should be outlined in a way that guides the recovery team, reduces confusion and facilitates recovery and restoration.

If the city needs to be able to restore information processing immediately formal arrangements may be necessary for a hot site or cold site. A cold site is a computer site or room that is set up and ready for equipment to be installed and immediately begin operations. A hot site is a fully configured computer center with equipment installed and ready to operate.

❑ *A current inventory of information processing and communications equipment*

This will help restore computer operations if replacement equipment is needed. This inventory must be specific concerning manufacturer, vendor, equipment model, date purchased, serial number, modifications, and applications.

❑ *Contracts or agreements with disaster support agencies/firms*

Documentation of all support resources should be a part of the plan. Copies of contracts and agreements for support, salvage, reconstruction, alternate sites, and vendors should be kept with the plan.

Informal agreements with civil support agencies such as police and fire department should also be included.

❑ *A list of disaster recovery and salvage equipment and supplies*

A disaster kit should be assembled. This should contain the equipment and supplies needed to respond to and recover from a disaster. This material should be stored off-site to insure that it will be available. An inventory of the contents of this kit should be included in the plan.

❑ *A list of additional recovery resources*

Include local fire, police, civil defense, ambulance service, disaster response agencies, professional consultants, and vendors. Specific types of support which may be needed includes freezer space and/or freeze drying service, and document restoration.

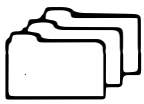
These general and specialized planning elements are the major building blocks of a records disaster plan. The plan will affect the entire city and is a management function. It is not our intention to provide guidance regarding general disaster issues such as life safety, public order, communications and sanitation. However, records disaster planning may lead the city into disaster prevention and recovery on a broader scale if that hasn't been done.

What follows is a very abbreviated description of some of the important concerns during actual recovery from a disaster involving water damaged records. Water is the most common element you will have to deal with since water is usually used to put out fires.

For more detailed instruction and guidance refer to *Glossary* and *Bibliography*. It lists texts and other sources which deal with the technical aspects of disaster recovery.

Recovering from a water disaster

Water can get into records from a variety of sources: Leaking roof, leaking pipes, leaking basement, or sewer backup. And of course, fire extinguishing.



Paper records

Speed is very important. Organization and caution are also critical. Within twenty-four hours papers will stick together, ink may run. Wet paper records can begin to mold in about forty-eight hours. After five days wet paper will begin to break down chemically and physically and probably not be restorable.

As soon as possible find out the linear or cubic footage of paper and other records which will need to be dried. Non-vital records probably aren't worth the cost to dry and restore.

Remove disposable and replaceable records as soon as practical. This will lower the humidity in the damage area. Keep an inventory for insurance and replacement purposes.

Get the wet paper records frozen as soon as possible. Blast freezing is best but normal freezing is acceptable. Once frozen they are safe from deterioration, but still must be dried. Freeze drying and vacuum drying are quickest and most effective, and usually most expensive.

Paper records may be air dried if you have the staff, time, and space. Air drying may work well for small amounts, but doesn't work for coated (slick) paper. Air dried paper may still need to be treated for mold.

Microfilm and photos

Silver microfilm can't be allowed to dry on the reels. It will stick together in a solid mass. The gelatin on all emulsion films will break down and stick together. Color photos will fade. Fungus will destroy images on all types of film.

Keep microfilm and photos submerged in water until you can get professional help. Don't freeze wet film or prints.

Electronic media

Magnetic media is more sensitive to heat and water than paper.

Water damaged magnetic media can be frozen and vacuum dried and then professionaly cleaned. Freezing should be done within 48 hours. Isolate wet tapes from other tapes—the mylar will absorb water.

Summary

A records disaster is a sudden and unexpected event which results in loss of records or information essential to an organization's continued operation. The consequences of not being prepared for a records disaster are significant and expensive. Disaster recovery is the process of resuming business following a disaster. If your Vital Records are properly protected before, during, and after the disaster; salvage and recovery will be much less of a task.

An effective records disaster plan is a way to make critical decisions in advance, before that unexpected event happens. Basic elements of the plan are prevention and protection, vital records, and recovery. Valuable benefits include improved protection of valuable city assets, and improved records and information management. The costs of developing and implementing a plan must be balanced against potential losses which would result from a disaster.

The process of developing, implementing, and testing the plan will focus attention on city mission priorities, make people aware of basic disaster prevention and recovery methods, and produce an increased sense of confidence throughout the city.

An ounce of prevention is worth a pound of cure!

- This guide focuses on records disaster planning and recovery. No attempt has been made to address general disaster planning factors, such as: life safety, communications, public order, and sanitation.
- **Disaster prevention and protection** are covered in *Introduction to Records Disaster Planning*.
- For more information regarding **vital records** see *Vital Records*.
- Publications giving more extensive help in disaster planning and technical guidance concerning actual disaster recovery are listed in *Bibliography*.

Prepared with the assistance of the
State Records Management Advisory Committee

City Records Management Manual

Chapter 12.3

Vital Records

What are Vital Records?

Vital records are irreplaceable records which your city needs to perform its primary mission. They contain the information needed to continue or re-establish city operations following a disaster. A city's vital records document its legal or fiscal position and preserve rights of the city, its employes, and citizens. Vital records are irreplaceable or would be too expensive to replace. Some records must retain their original form to be admissable as legal evidence.

Importance of a Vital Records Program

A vital records program is a cost-effective way to control the risk of loss to one of your city's most valuable assets. An effective vital records program will ensure that your organization will be able to function with a minimum of difficulty following a disaster.

A vital records program can:

- Reduce vulnerability to litigation
- Limit exposure to unplanned (unbudgeted) expense
- Avoid loss of revenue, or sudden loss of efficiency
- Prevent a break in customer service, or even shut down of the city.

A vital records program is what you would wish you had—after the building burns and all your records are destroyed!

Establishing a Vital Records Program

A vital records program is a critical element and an integral part of a comprehensive records management system. Yet even by itself vital records management is a cost effective strategy because it is a form of self-insurance.

To be successful your vital records program must be approached from a corporate perspective to ensure that only the truly vital records and information receive special protection. Direction and support must be provided by top management. The city records officer is in an ideal position to assume responsibility for the program, having both an city perspective and an intimate knowledge of city records. With the support of city management, the records officer can develop a program which protects the interests of the city, is effective and easy to manage. Program managers should be responsible for the vital records in their program area.

There are three basic elements of a vital records program:

- *Identify the vital records*
- *Assess the risks*
- *Take protective measures*

The remainder of this chapter will explain how to perform each of these steps.

Identifying Vital Records

If the city has an approved records retention schedule, it can be used to identify vital records. If not, the city's records should be inventoried and scheduled. For assistance in this process contact the Oregon State Archives, Records Management Unit.

Top management should identify the city's essential functions and the specific records which would be needed to continue or re-establish those essential functions during and following a disaster. *Essential functions are those that are critical to the organization's primary mission.* The vital records are those records which the city must have to perform the critical elements of its primary mission. This process should produce a vital records master list.

This assessment must be as objective as possible. The records officer and program managers must coordinate with all areas of the city to determine who has the record copy of vital records and who has copies. Close coordination can eliminate useless duplication.

Levels of value may be graded as follows:

1. *Non-essential records* – Loss of these records would present no obstacle whatsoever to restoring city operation.

2. *Useful records* – Loss of these records might cause some inconvenience but they could be easily replaced. Loss does not present a real obstacle to restoring city operations.

3. *Important records* – These records are replaceable, but at great expense. Loss presents aggravating but surmountable obstacles to resumption of operations.

4. *Vital records* – These records are irreplaceable. Without these records the city cannot continue operations.

A common rule of thumb is that five to ten percent of a city's records may qualify as vital. If more than ten percent of the city's records are designated as vital, the evaluation process should be examined.

The process of selecting and protecting your city's vital records will require extensive and ongoing cooperation among management and staff. The success of the program depends on the

combined judgement and foresight of top management, program managers and records management. The resulting master list of vital records should be reviewed by the city's legal counsel and auditors. After identifying your vital records the risks and hazards to those records must next be evaluated.

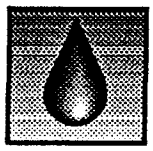
Assess the risks

A vital records program is a form of insurance. Risk management is a way to control and minimize risks. You can't eliminate all risks and hazards to your records but you can make better decisions before a disaster than during the chaos and pressure of an emergency situation. Giving protection to your vital records will cost something. Costs of implementing and costs of maintaining the program must be compared with costs of recovery from a disaster.

These costs will vary greatly, of course, depending on the city mission, location, and type of records. For the program to be cost effective the consequences of losing certain records must outweigh the costs of protecting and preserving them. If you can replace certain records for less than it would cost to preserve them—they probably aren't vital.

Risk assessement should examine the following areas:

- ✔ Environmental risks
- ✔ Technical risks
- ✔ Security risks



Environmental risks include nature and weather related factors such as earthquakes, floods, windstorms, and humidity. Building related risks could include plumbing, wiring, inadequate alarm systems, heating/air conditioning systems, and leaking roofs. Other environmental dangers are insects and animals.

Technical risks are hazards to computer systems and records from things like power surge, static electricity, improper grounding, or poor virus protection. Other problems could be unauthorized access, inadvertent deletion of data, files not backed up, improper storage for disks/tapes, and incomplete software documentation.

Security risks involve such things as building access, records access, keys, locks, alarms, and improper destruction of confidential records.

By identifying and eliminating as many of the hazards as possible you can reduce your exposure and risk of a disaster to your records and assure that your city will be able to continue to function reliably. Once the vital records are identified and the various risks analyzed and minimized the last step is to decide on economical and effective methods of protection.

Protective measures

The three most common methods of protecting vital records are:

- Duplication and dispersal
- On-site secure storage
- Off-site secure storage

Duplication and dispersal

There are two basic types of duplication, each of which may involve dispersal. The first type involves preparing extra copies when the record is created. The second is to reproduce existing records for the sole purpose of protection.

This duplication may be done by various processes, such as photocopying, microimaging, magnetic tape or disk. To maximize the cost benefit, use the copies for a purpose other than just protection, if possible.

Routine dispersal consists of having duplicate copies in a second location for normal business needs. Records are often distributed to other locations as part of regular operating procedure. For example—information copies sent to branch offices and documents filed with other agencies. If you want to depend on this form of dispersal to protect your vital records in case of a disaster, the offices or agencies need to know that. *Reliable arrangements* must be made regarding retention and protection requirements. If records require special equipment to make the information available, such as a microfilm reader/printer, computer hardware and software—arrangements must be made in advance. This built-in, or routine dispersal of vital records is the least expensive method.

Improvised or planned dispersal is when an additional copy is created solely for protection. The copy is then sent to a vital records depository or other location for security. At the outset of a vital records protection program it may be necessary to duplicate all the existing documents.

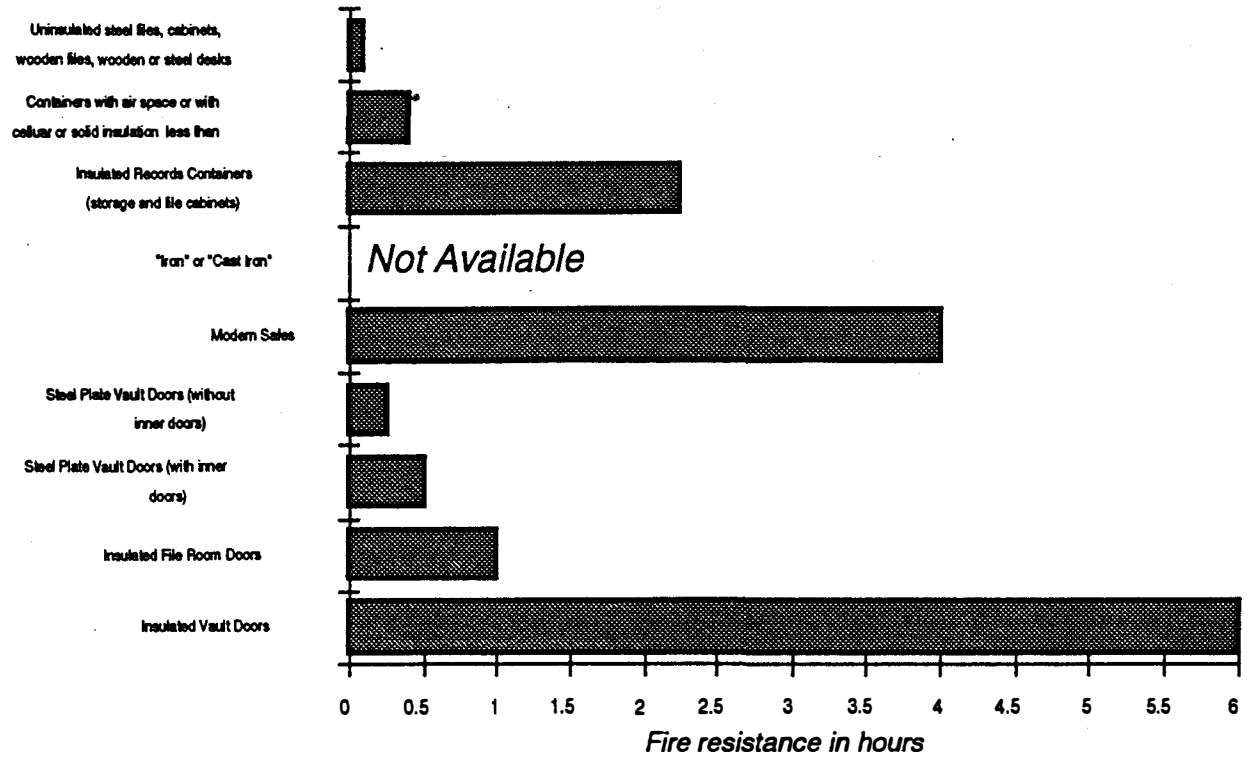
On-site storage

Vaults, safes, file rooms, and fire-resistant cabinets and containers provide varying degrees of protection for vital records. They can be located in or near the office area.

Underwriters Laboratories has produced standards that rate the temperature and humidity levels records can undergo before deterioration. Paper can withstand 350° F and 65% relative humidity while magnetic and photographic media can only tolerate 150° F and 85% relative humidity.

Vaults are very expensive to build but may be justified if the volume of records is high or the needs of the city dictate this level of protection. In buildings with high fire risk, a vault may be the only way to protect records. Standard vault doors come with two, four, and six hour ratings.

Figure 1: Selected Record Container Fire Resistance



Vaults resist fire, but they are not immune to water damage. Underground basement vaults are susceptible to water leakage from faulty plumbing, as well as from water used to extinguish fires.

While fire-proof safes do not give as much protection as vaults, they will resist fire for up to four hours. Safes are useful for small volumes of records and for locating the records close to the point of use.

File rooms and fire-resistant cabinets and containers naturally provide less protection than the heavily insulated walls and doors of vaults and safes. They are also less expensive.

Evaluate the risks associated with the loss of the information before investing in any of these on-site storage facilities or containers (*see Figure 1*).

Off-site storage

Off-site storage facilities can provide extra security and protection to original vital records and economical storage for those that are used very little. It is less likely that an off-site storage facility will be affected by the same disaster that occurs to your primary building. Unlike dispersal techniques where vital records may be distributed to a number of off-site locations, central off-site storage simplifies access. Also, off-site storage usually costs much less than active office space.

Whether the off-site facility is owned and operated by the organization itself, or by another city or commercial firm, certain factors influence the choice of storing vital records in a

remote location. The facility should be located away from high-risk areas, such as rivers, geological faults, coasts, volcanoes, or man-made structures which might pose a threat. The facility must be accessible to the organization during normal and emergency conditions.

Fire safety, atmospheric conditions, pest control, security, and technical services must be carefully evaluated. You may need a communication link between the normal office and the remote facility.
Options include city-owned storage, commercial records centers, and cooperative records centers.

The most important factor in choosing ways to protect your vital records is cost-effectiveness. Since relative security is all you can expect to achieve, the best choice is the one which most closely matches the cost of protection with the degree of risk.

Vital records operating procedures

Your city will need written policies and procedures covering the use of vital records during daily activities, in emergencies, and after disasters. These procedures should cover at least the following areas:

- Access to vital records
- Use of vital records
- Transfer and disposition of vital records
- Emergencies
- Recovery from disaster

Vital records policies should be communicated to the entire staff. The staff should be trained in emergency procedures so that everyone knows what to do when disaster strikes.

The city should also have a plan for resuming operations following a disaster. This plan should be tested and exercised periodically.

An effective Vital Records program will insure that your city will be able to function with a minimum of difficulty following a disaster!

Summary

A vital records program is a cost-effective way to control the risk of loosing valuable assets. Your city's vital records are irreplaceable. They document essential functions which are critical to your primary mission. The vital records program should be an integral part of a comprehensive records management system. The program involves identifying the vital records, assessing and minimizing the risks to those records and then taking protective measures. All those efforts should be tied together by implementing city-wide policies and training the staff in emergency procedures.

The need for a disaster salvage operation is directly related to the identification and protection of an organization's vital records. A good vital records plan will lessen an city's need for disaster recovery.

This guide focuses on Vital Records. No attempt has been made to address general disaster planning factors, such as: life safety, communications, public order, sanitation, etc.

For more information regarding **records disaster planning** see *Introduction to Records Disaster*.

Disaster Recovery is covered in *Records Disaster Recovery Planning*.

Publications giving more extensive help in disaster planning and technical guidance concerning actual disaster recovery are listed in *Bibliography*.

Prepared with the assistance of the
State Records Management Advisory Committee.

Selling Your Records Management Program

City Records Management Manual

Chapter 13

Selling Records Management

OAMR

Selling is tough enough under normal circumstances, but in times of diminishing budgets, selling a records management program can be a challenge. However, records management has its rewards in the "long run!"

A good records management program:

- *SAVES manpower*
- *SAVES office space*
- *SAVES money*

Records management is hard to sell because management knows it's going to cost something. And that's true — it's not free, and it's not even cheap if you do it right. But in many cities it produces significant cost savings year after year because of storage and retrieval costs."

SO, WHERE DO YOU START?!!

Step One: Accumulate Information

First

Acquire the professional training needed to understand records management. Study the chapters in this manual, state statutes pertaining to records, your city code and charter, and records management textbooks. Attend professional seminars on records, oral presentations and professional image. As you attend classes and read information, collect ideas for your presentations, and keep a file of ideas. Also, keep a journal about each step. The chronology will be valuable when it comes time to report to top management.

Second

Obtain support from top management for your role as records manager, and be sure to notify the State Archivist of the appointment.

Third

Determine your city's needs. What elements are needed? What are the expenses and limitations? How much manpower will be required to support the program? Are there certain departments with special problems, or are the needs of all departments pretty much the same?

Fourth

Visit each department and talk with records personnel, view the records to get a comprehensive idea about the records maintained in your organization, and about the personnel who will assist you.

Fifth

Inventory the files, micrographics, data processing equipment, and record storage/retrieval equipment. You'll want to understand retention schedules, record processing procedures, records and organization charts. (See *Retention Schedules*)

Collect information about:

- storage space
- records storage/retrieval equipment and storage containers
- commercial microfilming services, including computer-output-microfilm (COM) service
- clerical, professional/technical and managerial labor
- electronic media

Step Two: Developing Goals and Objectives

Sell practical ideas that accommodate *your* city!

Develop a clear job description and/or workplan citing some steps you plan to take and goals you hope to achieve. (See *Records Manager*) Obtain approval from top management for the plan and goals.

Consider:

Why is the program needed in your city? Are your goals realistic and reasonable? Do your objectives and goals support the objectives and the goals of your city?

What elements of your records management program already exist? For instance, you may recommend updating your present program using this manual and the proposed policies and samples.

Step Three: Benefits

Do not attempt to completely cost-justify your records management program. There's a definite difference between "soft" dollars from hard savings, and top management knows that if figures are maneuvered enough, anything can be cost-justified.

Some cost-justifications are entirely valid. As recommended in this manual, you may want to establish policies that won't allow the purchase of filing equipment if it's going to store inactive files (See *Destruction* for proposed policies). Also, files of an entire cabinet may be eligible for destruction, and once the files and the cabinet are removed, valuable floor space could be used for a more productive use. This would be true "hard dollar" savings.

Some benefits of a records management program:

- A well-established program lends credibility to the public record; especially if a record is subpoenaed for court
- A records disaster and recovery program avoids allegations of neglect in the event of a fire, or another disaster which could jeopardize the insurance claim
- Records are retrieved faster which saves manpower and loss of credibility
- Once identified, vital records would be protected from loss and the organization could recover quickly in the event of a disaster
- Savings could be realized by identifying unnecessary duplication of documents
- Manpower would be saved, and possibly additional manpower would not be necessary where a system is efficient enough to reduce manpower needs
- Updating records centers not only protects the records, but can protect the organization from costly worker's compensation claims when safe storage equipment is installed

Step Four: Developing the Draft Plan

Now it's time to plan your staffing requirements and program, and to develop time schedules that you will propose to top management.

Keep the plan realistic and within reasonable time limits. Determine which personnel will work full time in the program, who will work part time, and who will just assist.

Your understanding of records management and the city retention schedule will be valuable throughout your career as a records manager. Study this manual and other publications often. By so doing, you will be better prepared to make the initial management presentation, to train the personnel who will assist you, and to manage the program.

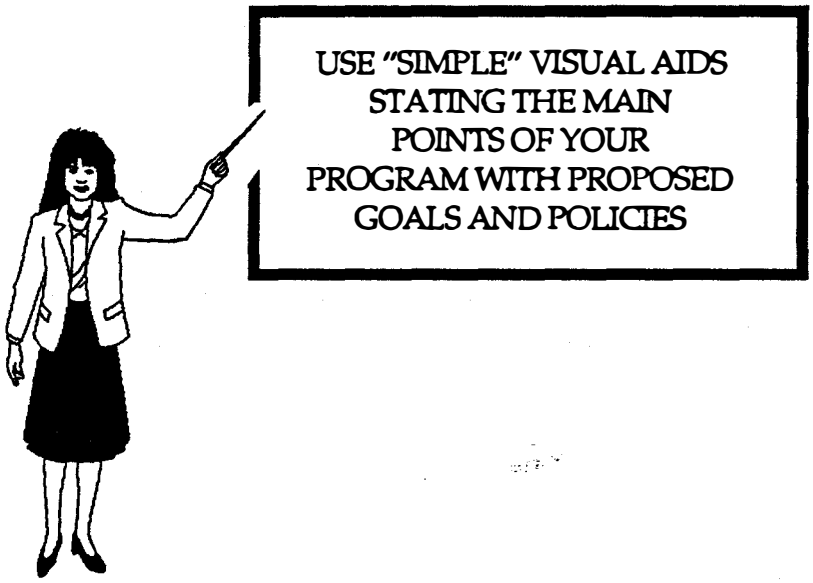
When preparing your plan, try to think about how management views records management (mostly from a monetary perspective.) Also, consider preparing more than one plan based on budgets and time availability. Include awards and fun events like "appreciation ceremonies" or

a "Records Destruction Day" with contests and prizes to make the program enjoyable and rewarding. Remember the journal recommendation? Keep track of the people who help and reward them. You will have more support and enthusiasm for the program if you reward those involved. Acknowledge creative ideas of everyone involved. Don't forget the press! Also, another idea: an in-house newsletter may be helpful to provide personnel with updated records management information and education.

Step Five: Presenting Recommendations to Top Management

Present your program live, but provide a written report which provides a comprehensive, detailed picture for review at leisure. "A live presentation is more readily absorbed, and provides a forum for discussion which can be directed by you." Remember, be a professional by knowing your subject "inside and out," and then present your proposal with enthusiasm and with the best information available.

Invite members of top management, and anyone else who may be involved in the program, to attend the presentation. Distribute the report several days prior to the presentation date to provide sufficient time for study and formulation of questions. You may even want to request the questions, in writing, in advance.



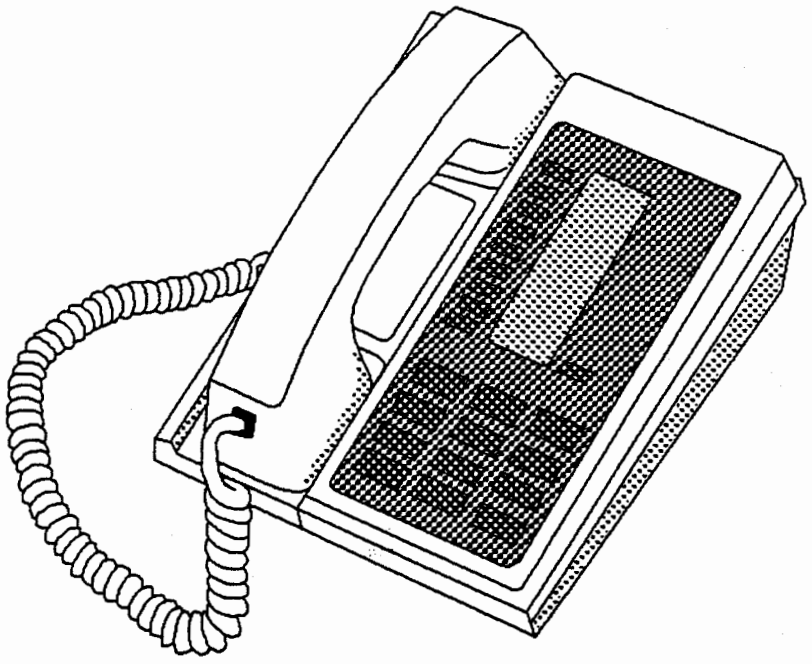
Summary

- Accumulate information and obtain professional training
- Develop reasonable goals and objectives an overall records program, or program enhancements
- Identify tangible and intangible benefits
- Develop a draft plan that identifies personnel requirements and program schedule for implementing the recommendations
- Present the program in a visual presentation for top management outlining the plan along with expected goals and benefits
- Ask for support, discuss it, and once obtained, use it to convince personnel of the importance of the program, its goals and policies

Once you get your program successfully established, don't forget the importance of continuing to sell the concept and possibilities of records management in your city.

Appendixes

Networking



City Records Management Manual

Appendix A

Networking

One of your biggest assets will be networking with other City Recorders, Records Managers and the State Archivist, who is:

Roy Turnbaugh
State Archivist
800 Summer Street NE
Salem, OR 97310
373-0701

Also, you may find membership in the following organizations helpful, who provide beneficial newsletters, handbooks, and educational opportunities:

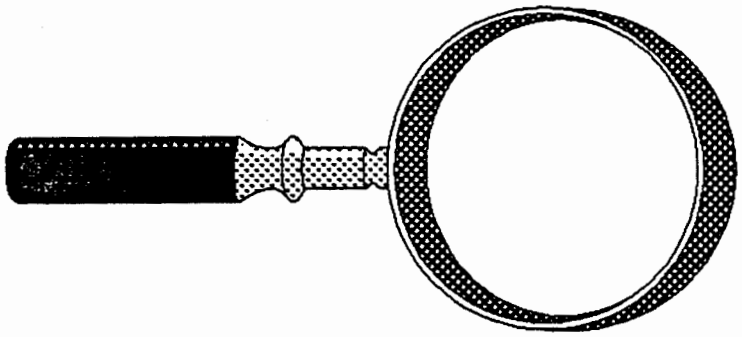
OREGON ASSOCIATION OF MUNICIPAL RECORDERS (OAMR)

ASSOCIATION OF RECORDS MANAGERS AND ADMINISTRATORS (ARMA)

NATIONAL ASSOCIATION OF GOVERNMENT ARCHIVISTS AND RECORDS ADMINISTRATORS (NAGARA)

INTERNATIONAL INSTITUTE OF MUNICIPAL CLERKS (IIMC)

Glossary



"It's Worth a Careful Look"

Records Management Manual

Appendix B

Glossary

Access
The availability of or the permission to consult records, archives, or manuscripts.

Accession
The act and procedures involved in transfer of records or papers into the physical custody of an archival agency, records center, or manuscript repository.

Active Records
Records maintained in an area where the records are actively referred to during the everyday operations. Usually are no older than two years and are referred to at least bi-monthly.

Adequacy of Documentation
A standard of sufficiently and properly recording actions and/or decisions. Derives from the legal requirement that "agency heads" make and preserve records containing adequate and proper documentation of the organizations functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities.

Administrative Records
Records relating to budget, personnel, supply and similar housekeeping or facilitative, functions common to most agencies, in contrast to program records.

Administrative Value
A record that assists in the operation of government, and insures administrative consistency and continuity.

Alphabetical File
A file in which documents are arranged alphabetically by name or subject.

Alphanumeric
A filing system or code which combines alphabetic and numeric symbols to classify records.

Appraisal
The process of determining the value and thus disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival Records
Records of continuing and enduring value useful to the citizens of the city and necessary to the administrative functions of public agencies in conduct of those services and activities mandated by law.

Archival Value
A record having continuing/long term value and is usually assigned a "permanent" (or indefinite) retention period.

Archives
Those records of any public institution which are adjudged worthy of permanent preservation for reference and research

purposes and which have been selected for deposit in the permanent archives of this city

Archives Administration
The management of direction of the program of an archival agency, including the following basic functions: appraisal, disposition, accessioning, preservation, arrangement, description, reference service, exhibition and publication.

Audio-visual Records
Records in pictorial or aural form, regardless of format. Includes still photographs (or still pictures), graphic arts (poster or original art), motions pictures, video recordings, audio (or sound) recordings, and related records.

Case File
Groupings of documents that pertain to a particular person place or thing. A case or project file may consist of correspondence, form records, memoranda or a combination of those, all of which pertain to the same person, place or thing.

Central Files
The records or files of one or several offices or organizational units physically and/or functionally centralized and supervised in one location.

Closed File
A file in which action has been completed and to which further documents are not likely to be added.

Computer Output Microfilm (COM)
The process of converting the data on a magnetic computer tape directly onto microfilm.

Confidential Records
A record of information requiring protection against unauthorized disclosure.

Continuing Authorization
This is the legal authority to destroy currently created records at a designated time or upon fulfillment of specific events or conditions.

Copy
A reproduction of the contents of an original document. Copies identified include action copy, information or reference copy official file copy, read or chronological file copy, suspense or tickler file copy, and stock copy.

Correspondence
Letters, memorandums, notes, telecommunications, and any other form of addressed, written communications sent and received.

Cubic Feet
For records inventory purposes, an approximate measurement to describe the amount of space records occupy. Approximations:

- Letter-size file drawer = 1.5 cf.
- Legal size file drawer = 2 cf.
- Legal/lateral size = 4.5 cf.
- Single file folder (¾" thick) = .10 cf.
- One carton (15"x12"x10") = 1 cf.

Current Records
Records regularly used for the conduct of the current business of an organization.

Custody
Guardianship, or control, of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or the other is specified.

Deacidification
The process by which the pH of a paper document is raised to a minimum of 7.0 to assist in its preservation. The process is now generally used before documents are thermoplastically laminated.

Declassification
The purpose or result of determining that

information is no longer confidential.

Disposition
The actions taken with regard to non-current records following their appraisal. The actions include transfer to a records center for temporary storage, transfer to an archival agency, donation to an eligible repository, reproduction of microfilm and destruction.

Dossier
An accumulation of documents in a folder or other file unit, concerned with the same purpose and filed together to give information about a real or corporated person. The term is sometimes applied to a case file or a particular transaction.

Electronic Record-keeping
A system of record keeping in which information is stored on electronic or optical media instead of recorded on paper and is identified, controlled, and disposed of according to records management practices.

Encapsulation
A method of providing support to a fragile and brittle document, which generally is in a single sheet format, by placing the document between two sheets of polyester film, the edges of which are held together by double-sided tape, machine sewing, heat seal or ultrasonic weld.

Environment
Conditions surrounding the system that influence the system's operation.

Exempt Records
These are documents which can be destroyed under ORS 192.170 when no longer needed for administrative purposes and without authorization by the State Archivists. Included are the following:

(a) Inquiries and requests from the public and answers thereto not required by law to be preserved or not required as evidence of public or private legal right or liability.

(b) Public records which are duplicated by reason of their having been photocopied.

(c) Letter of transmittal and acknowledgement, advertising, announcements, and correspondence or notes pertaining to reservations of accommodations or scheduling of personal visits or appearances.

Facsimile (Fax)
An exact copy of a document, drawing, photograph, or the like. A method or devise for transmitting such a copy via telephone or radio for reproduction elsewhere.

File
An organized collection of related data, usually arranged into logical records which are stored together and treated as a unit.

Fumigation
The process of exposing records, usually in a vacuum or other airtight chamber, to poisonous gas or vapor to destroy insects, mildew, or other forms of life that may endanger them.

Governmental Records
The term "governmental records" mean state and local records, including all cards, correspondence, discs, maps, memoranda, microfilms, papers, photographs, recordings, reports, tapes, writings and other data, information or documentary material, regardless of physical form or characteristics, storage media or conditions of use, made or received by an office or agency of the state and an officer or agency of the county, city, town, school, district, municipal subdivision or corporation or other public authority or political entity within the state pursuant to state law or in connection with the transaction of public business by an officer.

Holding Maintenance
Unfolding documents, placing them in acid-free folders and boxes and shelving them in environmentally controlled and secure storage.

Image, Microfilm
A microimage of one side of a single document.

Inspection, Microfilm
Periodic checks of stored original silver-halide microfilmed records (and duplicate records stored for security purposes) to detect deterioration or damage (e.g. for brittleness, buckling, mold, or mildew, discoloration or fading).

Inventory
A descriptive list of each record series giving such data as title, inclusive dates, quantity, arrangement, relationships to other series, and description of subject content. A survey of records conducted prior to disposition or the development of records retention schedules.

Lamination
(1) A mechanically assisted process, generally proceeded by deacidification, for reinforcing a weak or damaged paper document by enclosing it between two sheets of plastic foil, usually cellulose acetate, and two sheets of tissue which, through the application of heat and pressure, become thermoplastic and impregnate the original. More properly referred to as thermoplastic lamination to distinguish it from hand lamination or commercial and industrial lamination process. (2) A manual process for protecting or reinforcing a weak or damaged paper document by enclosing it between two sheets of tissue which are bound to the document by acetate.

Legal Size
A standard paper size 8 ½ x 14 inches. Capable of holding legal size papers or documents.

Letter Size
A standard size paper 8 ½ x 11 inches. Capable of holding letter size papers or documents.

Linear Foot
The measurement of shelf space occupied by records. One linear foot of textual records is the equivalent of one cubic foot.

Logical Record
A compilation of related data elements, referring to one person, place, thing, or event, that are treated as a unit. Logical records can have a specified number of characters (fixed-length records) or the number of characters in each record can vary within limits (variable-length records).

Machine-Readable Records
Information recorded on media such as magnetic tapes, disks, diskettes, optical disks or punched paper; the information is coded for retrieval by machines. Increasingly referred to as electronic records.

Microfiche
A sheet of microfilm containing multiple microimages in a grid pattern. It usually uses a title which can be read without magnification.

Microfilm
A fine grain, high resolution film containing an image greatly reduced in size from the original. The recording of microphotographs on film.

Non-record
Published books and pamphlets, book and pamphlets printed by a governmental printer, worksheets used to collect or compile data after that data has been included in a record, answer pads for a telephone or other informal notes, desk calendar, stenographers' notebooks after the information contained therein has been transcribed, unused forms except ballots and as indicated in a retention schedule,

brochures, newsletters, magazines, newspapers except those excerpts used as evidence of publication, scrapbooks, and physical property artifacts.

Non-record Materials
Government-owned information materials excluded from the legal definition of records. Included extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. Also called non-records.

Numerical File
A file in which documents are arranged in numerical sequence as a primary means of reference.

Office Files and Memoranda
All records, correspondence, exhibits, books, booklets, drawings, maps, blank forms, or documents not defined and classified as official public records; all duplicate copies of official public records filed with a public agency; all documents and reports made for internal administration of the office which they pertain but not required by law to be filed or kept with such agency; and all other documents or records determined to be office files and memoranda.

Office of Record
The office assigned the responsibility for the custody and maintenance of the records of the activities it serves.

Permanent Record
Records which have a permanent or enduring historical, administrative, legal or fiscal value and, in consequence thereof, should be retained and preserved indefinitely.

Personal Record
Any item, collection, or grouping of information about an individual that is maintained by an agency. It includes, but is not limited to, the individual's education, financial, medical, or employment history, or items that contain or make reference to the individual's name, identifying number, symbol, or other identifying particular assigned to the individual, such as finger or voice print or photograph.

Physical Record
A record treated as a unit because of its physical form. A collection of data defined in terms of physical parameter, rather than logical content.

Political Subdivision
This means a city, county, district, or any other municipal or public corporation of this state.

Processing, Microfilm
Developing and fixing images on film after exposure.

Production, Microfilm
Exposing images on film and processing them for inspection, duplication, and use.

Protective Enclosure
Various types of protective containers for the storage of fragile items.

Public Record
Those records created by public funds which are adjudged worthy of permanent preservation for reference and research purposes to the creating agency, other state agencies, and/or the public and which have been deposited or selected for deposit in the State Archives.

"Public records" shall include all written, typed or printed books, papers, letters, documents and maps made or received in pursuance of law by the public officers of the state, counties, municipalities and other subdivisions of government in the transaction of public business and shall also include any records authorized to be made by any law of this state belong-

ing or pertaining to any court of record or any public record authorized by law or any papers, pleading, exhibit, or other writing filed with, in or by any such, court, office, or officer.

Quality Assurance and Inspection
Those procedures required to ensure good quality exposed original silver-halide microfilm and reproductions made from them. Includes, but not limited to, such tests as those for residual hypo thiosulfate, density, resolution and base fog as defined by AIIM/ANSI standards.

Record
Any nonverbal information created or received pursuant to law, charter, ordinance, or in connection with any other activity relating to or having effect upon the transaction of public business, regardless of physical form or characteristics. Records include but not limited to: correspondence, memoranda, publications, forms, ledgers, vouchers, personal data, magnetic and papers tapes, cards and discs, maps, photographs, engineering drawing, computer generated information and microfilm.

Recordkeeping Requirements
Statements in statues, regulations, or agency directives providing general and specific information on particular records to be created and maintained by the agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, agency recordkeeping requirements should be issued for all activities at all levels and for all media, and should distinguish records from non-record materials for agency purposes.

Records Center
A facility, sometimes especially designed and constructed, for the low-cost and efficient storage and furnishing of reference service on semi-current records pending their ultimate disposition.

Records Coordinator
Coordinates the departments' records program by administering records policies and procedures, scheduling record series, supervising the destruction of records, by assisting in establishing and maintaining filing systems; and serves as liaison between the department and the records officer.

Records Management
The application of management techniques to the creation, utilization, maintenance, retention, preservation, and disposition of records, undertaken to reduce costs and improve efficiency in records-keeping. Includes management of filing and microfilming equipment and supplies; filing information retrieval systems; files, correspondence, reports, and forms management; historical documentation; micrographic; system applications; retention scheduling; vital records protection; and disaster recovery.

Records Retention Plan
A two part plan for identifying the permanently valuable records of an agency; the first part designated categories of records that deserve preservation, or those functions and activities for which the documentation should be preserved, and the second part, the location and titles of particular series or segments of series in which the documentation or categories can be found.

Records Series
Consist of records accumulated over a period of time and arranged in an organized file or set of files which can be described, handled, and disposed of as a unit. A record series may consist of records of a single type or format, or of records kept together because they relate to a particular subject, or result from one activity. The physical form of records in a series may vary; paper, film or other media (including computer storage); volumes, folders, reels, etc. being used at

different time. The filing arrangement may be chronologic, alphabetic, numeric, coded, or any combination of filing arrangements. A series may, at a particular time, consist of a single folder, or of hundreds of feet of files. Each record series must be specifically defined and include only records with the same retention period.

Retention Period
A retention period is calculated from the date the public record was created.

Schedule
A document governing, on a continuing basis, the retention and disposition of the recurring records series of an organization or agency. Sometimes referred to as records schedule, a records control schedule, a retention schedule, a disposal schedule, a records retention schedule, and a comprehensive records schedule.

Series
File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a record series.

Specific Authorization
This is the legal authority to destroy records which are no longer created, or to destroy records through a particular date or under a particular condition.

State Agency
This means any state officer, department, board, commission, institution, or court created by the Constitution or statues of this state. It does not include the Legislative Assembly or its committees, officers, and employees.

Transfer
Movement of records, usually from a government agency to a records center, for storage, service and protection.

Transitory Records
Records having only transitory value. These include original and informational copies of documents that do not contain procedural or policy matter applicable to the receiving office, that do not require action by the receiving office, that involve a routine transaction, or that do not contain information of continuing reference value.

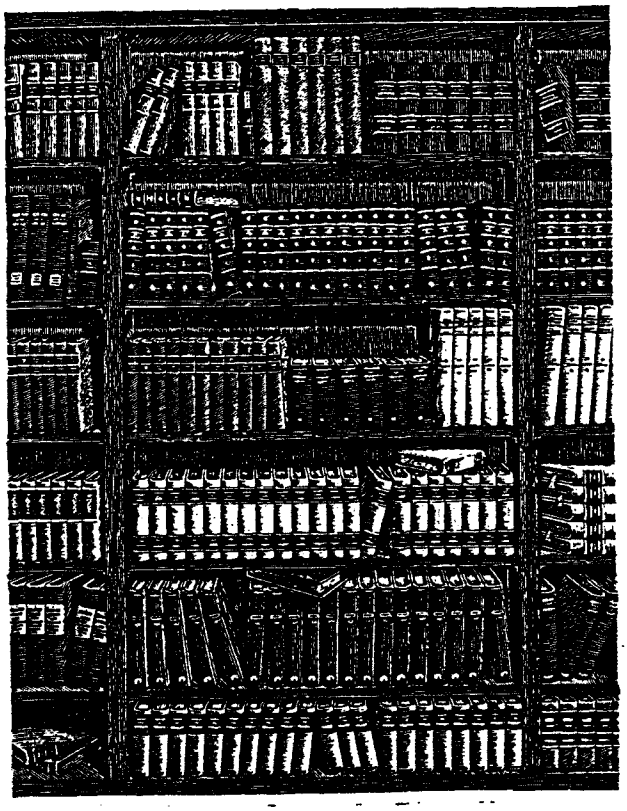
Vital Records
Records essential to the continued functioning or reconstruction of an organization during and after an emergency and also those records, essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency-operating and rights,-and-interests records. Recommended that these be duplicates, or extra copies, located off-site.
A program sometimes referred to as a disaster recovery program, to copy and maintain off-site those essential records necessary for an office or an agency to carry on its activities, and to protect the rights and interests of government and individual citizens, following disaster.

Working Papers
Documents such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents.

Sources:

Society of American Archivists
Association of Records Managers and Administrators
Association or Information and Image Management
City of Bellevue, Washington
Records Management, SW Publishing Co.
Oregon State Archives
City of Salem, Oregon
The American Archivist

Bibliography



City Records Management Manual

Appendix C

Bibliography

Association of Records Managers and Administrators (ARMA). *Standards Program —Vital Records.* Prarie Village, Kansas: ARMA International, 1984 (*available from ARMA, 4200 Somerset, suite 215, Prairie Village, KS 66208*).

Oregon Department of Justice. *Attorney General's Public Records and Meetings Manual.* Salem: State Printing Division, 1989.

Barton, John P. *An Ounce of Prevention —A Handbook on Disaster Contingency Planning.* Toronto: Toronto Area Archivists Group Education Foundation, 1985.

Benedon, William. *Records Management.* Englewood Cliffs, New Jersey: Prentice Hall, Inc., 1969.

Blount, Gail. "If Records Management Is Such a Neat Idea—Why Is It Tough to Sell," *ARMA Quarterly* (October 1985): 12–17.

Bulgawicz, Susan L. *Disaster Prevention and Recovery: A Planned Approach.* Prarie Village, Kansas: ARMA International, 1988.

"Disaster Recovery Consultant Survey," *Disaster Recovery Journal* (June 1990): 12-16.

"Filing Systems—Color Coding Basics," *ARMA Quarterly* (July 1990): 34-35, 57.

Gill, Suzanne L. *File Management and Information Retrieval Systems.* Englewood, Colorado: Libraries Unlimited Inc., 1988.

Information Systems Division, Oregon Executive Department. *Guideline for Disaster Recovery.* Salem: Executive Department, 1990.

How to File and Find It. Lincolnshire, Illinois: Quill Corporation, 1989.

Kesner, Richard M. *Automation for Archivists and Records Managers: Planning and Implementation Strategies.* Chicago: American Library Association, 1984.

Penn, Ira A. *Records Management Handbook.* Brookfield, Vermont: Gower Publishing Company, 1989.

Ricks, Betty R. *Information Resource Management.* Cincinnati, Ohio: Southwestern Publishing Co., 1984.

Robek, Mary F. *Information and Records Management.* Mission Hills, California: Glencoe Publishing Company, 1987.

Schied, John P. *The Business Forms Handbook.* Alexandria, Virginia: National Business Forms Association, 1979.

Skupsky, Donald S. *Recordkeeping Requirements*. Denver: Information Requirements Clearinghouse, 1988.

"The National Personnel Records Center Fire: A Study in Disaster" *American Archivist* \ (October 1974): 521-549.

"The Teeth of the Program—the Records Audit" *ARMA Records Management Quarterly* (July 1985): 12-21.

"Vital Records Protection: Preserving Recorded Information" *ARMA Quarterly* (April 1982): 38-42.

Waegemann, Peter C. *Handbook of Record Storage and Space Management*. Westport, Connecticut: Quorum Books. 1983.

Wallace, Patricia E. *Records Management: Integrated Information Systems*. New York: John Wiley and Sons, 1987.

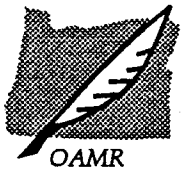
Waters, Peter *Procedures for Salvage of Water-Damaged Library Materials* Washington D.C.: Library of Congress, 1975.

Oregon Administrative Rules

City Records Management Manual

Appendix D

Oregon Administrative Rules



DIVISION 30

RECORDS MANAGEMENT PROCEDURES

General
166-30-005

These regulations prescribe procedures for obtaining lawful authority to destroy or otherwise dispose of public records and special procedures for such authorized disposition. They apply to an public records created and stored by state or local agencies

Appointment of Records Officer
166-30-016

To establish a records management program to insure orderly retention and destruction of all public records, and to insure the preservation of public records of value, each state or local agency should designate a Records Officer to organize and coordinate records scheduling, retirement storage, and destruction. The State Archivist will provide training and assistance for Records Officers.

Inventory and Appraisal (State Agencies)
166-30-021

To insure accurate identification and evaluation of its records, each state agency will, with the advice and assistance of the State Archivist, prepare a comprehensive inventory of all of the public records of each of its organizational units, including the records of any other agency in its official custody. Each public record will be identified and described on a separate form provided by the State Archivist.

Public Records Destruction Authorization (State Agencies)
166-30-026

Authorization for destruction of public records by state agency must be obtained as follows:

(1) No authorization is required to destroy materials which are excluded or exempt by statute from the definition of public records. ORS 192.005(5), ORS 192.170)

(2) If any of the records identified during the comprehensive inventory (OAR 166-30-021 are listed in an applicable General Schedule, the agency may destroy any public records from such series which have been retained longer than the minimum period specified.

(3) A completed "Record Series Inventory Worksheet" for each public record being scheduled shall be sent to the State Archivist for review. When the Record Series Inventory Worksheets have been completed to the satisfaction of the State Archivist for the public records in each of the state agency's organizational units and public records in its official custody, the State Archivist will prepare a Special Schedule. The State Archivist will return the Special Schedule to the agency for the signature of the agency head or designated signatory. The signed schedule, in dupli-

cate, shall then be returned to the State Archivist for approval Public records for which retention periods have been established by rule shall appear on these schedules to facilitate comprehensive records scheduling. A retention period established by a Special Schedule shall supersede a retention period on an applicable General Schedule established by rule, insofar as it applies to the same public record.

(4) A Special Schedule approved by the State Archivist, or an applicable General Schedule published in these rules, is an authorization for a state agency to destroy listed public records which have met the minimum retention period, subject to the prior audit requirements of OAR 166-30-041 and any suspension ordered under the provisions of OAR 166-30-045. Unless otherwise stated, a retention period is calculated from the date the public record was created.

(5) Special Schedules approved after January 1, 1987, will have an expiration date set by the State Archivst.

Public Records Destruction Authorizations (Local Agencies)
168-30-027

Authorization for destruction of public records by local agencies must be obtained as follows:

(1) No authorization is required to destroy materials which are excluded or exempt by statute from the definition of public records. (ORS 192.005(5), ORS 192.170).

(2) A Special Schedule approved by the State Archivist, or an applicable General Schedule published in these rules, is an authorization for a local agency to destroy listed public records which have met the minimum retention period, subject to the prior audit requirements of OAR 166-30-041 and any suspension ordered under the provisions of OAR 166-30-045. Unless otherwise stated, a retention period is calculated from the date the public record was created.

(3) Notwithstanding any retention period listed in a General Schedule, no public record created in or prior to 1920 shall be destroyed without the express written permission of the State Archivist.

(4) Specific approval from the State Archivist by means of a Special Schedule is required to dispose of public records which are not listed in an applicable General Schedule found in these rules. A completed "Record Series Inventory Worksheet" for each public record being scheduled shall be sent to the State Archivist for review. When the Record Series Inventory Worksheet has been completed to the satisfaction of the State Archivist, the State Archivist will prepare a Special Schedule which includes each public record inventoried. The State Archivist will return the Special Schedule to the local agency for review and the signature of the agency head or designated signature. The signed schedule, in duplicate, shall then be returned to the State Archivist for approval.

(5) A Special Schedule approved for an individual local agency shall supercede an applicable General Schedule, insofar as it applies to the same public record.

(6) Special Schedules approved after January 1, 1987, will have an expiration date set by the State Archivist.

Prior Audit of Fiscal Public Records Required
166-30-041

No public records of fiscal transactions shall be destroyed, even though the required minimum retention period has passed until after the required audit for the period covered by the public records has been completed and the auditor has released the public records for destruction. If federal funds are involved, requirements of the United States Government must be observed if they require longer retention than the state. Computer tape and disc public records of fiscal transactions must be retained until after audit even though

paper or microfilm printouts of the public records exist, unless the responsible auditor approves earlier disposal of them.

Suspension of Scheduled Public Records Destruction
166-30-045

Upon receipt of a request from the Attorney General, a District Attorney, or upon receipt of a court order, the State Archivist will immediately suspend scheduled destruction of public records until further notice. Suspensions may also be ordered, or authorizations be cancelled, for other reasons such as accidental loss of a duplicative public record or governmental reorganizations which change the value of particular public record. Notice of any such suspension or cancellation will be furnished the state or local agency Records Officer.

Disposal of Records
166-30-060

A Special Schedule approved by the State Archivist, or an applicable General Schedule published in these rules, is an authorization for an agency to destroy records which have met the minimum retention period, subject to the prior audit requirements of OAR 166-30-041 and any suspension ordered under the provisions of OAR 166-30-045. Disposal of such public records, and public records eligible for destruction under the provisions of any statute shall be by:

l) shredding, pulping, or incineration. Public Records which are confidential by law and negotiable instruments (even when cancelled or satisfied in writing) must be destroyed by shredding, pulping, or incineration. The destruction should be supervised and witnessed by a responsible employe of the agency. When using a contractor to destroy public records, the state or local agency must require posting of a bond or undertaking by the contractor to indemnify the state or local agency against any claims or actions resulting from his failure to protect the confidentiality of the public records, and must require a provision precluding sale, transfer, or delivery of the public records to a third party prior to data obliteration. The agreement shall also include provisions requiring secure transit to and handling by the contractor; and prompt processing of the public records by the contractor to fully obliterate the data they contain by shredding, pulping, or incineration.

(2) Recycling. Records which are not confidential by law may be sold or traded for recycling of the fibre or chemical they contain, provided that the sale or trade agreement included provisions to injure that the public records are promptly converted into a form which precludes use of the information they contain.

(3) Deposit in a Library or Museum. The originals of public records which have been microfilmed in compliance with ORS 192.040 to 192.070 and OAR 166-30-070, and other public records which have continuing local historical value although destruction is authorized, may be deposited in a Library, Museum, or Historical Society if disclosure of the record is not prohibited by law and the depository agrees to comply with ORS 162.305, 192.420, and 192.430. Agreements for such deposits must stipulate that the depository cannot sell or otherwise dispose of the records except by lawful and complete destruction or by returning them to the depositing agency. The State Archivist shall be notified in writing prior to such deposits.

Microfilming
166-30-070

Microfilm may be substituted for any paper or machine readable records if it is made according to the following standards:

(l) A security copy of microfilm of public records which have a required minimum retention period of 10 years or longer must be made and stored in accordance with the American National Standards Institute specifications for Microfilm

for Archival Records on silver gelatin film. The security copy must be reserved and used solely as a master for making working copy duplicate firm when required.

(2) Working copies of microfilm, and microfilm of public records with a minimum retention of less than 10 years, may be made in accordance with agency standards and requirements for the retention of the public records, including the option of using any film, processing system, or storage containers the agency may select.