Idaho Records Center

A Program of the Idaho State Archives

Records Management Guide
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C.L. "BUTCH" OTTER, GOVERNOR

Idaho State Historical Society
Janet Gallimore, Executive Director

Rod House, State Archivist
Idaho State Archives
2205 Old Penitentiary Road
Boise, Idaho 83712
Phone: (208) 334-2620
Email: rod.house@ishs.idaho.gov
Fax: (208) 334-2626

history.idaho.gov

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CHAPTER 1: INTRODUCTION AND PURPOSE

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

VISION:

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

GOALS:

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

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

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

RECORDS

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

PURPOSE

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

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

This "Records Management Guide" has several important objectives:

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

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

THE CHALLENGE

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

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

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

THE SOLUTION -- “RECORDS MANAGEMENT”

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

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CHAPTER 2: RESPONSIBILITIES AND RECORD TYPES

AGENCY RESPONSIBILITIES

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

PUBLIC RECORDS LAW RESPONSIBILITIES

The Idaho Public Records Law grants every person, during regular office hours, the right to copy and examine any public record of the state except as otherwise provided by law. A Public record includes, but is not limited to, any writing containing information relating to the conduct or administration of the public's business prepared, owned, used or retained by any state or local agency regardless of physical form or characteristic. Agencies are urged to become familiar with the Public Records Law. This can be achieved by obtaining a copy of the Idaho Public Records Law Manual through the Office of the Attorney General.
http://legislature.idaho.gov/idstat/Title9/T9CH3SECT9-338.htm

DEPARTMENT OF ADMINISTRATION RESPONSIBILITIES

Idaho Code § 67-5751 Records Management

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

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

(a) Pertaining to retention periods for all state records,
(b) Establishing a standard filing system for all state agencies,
(c) Prescribing conditions and procedures for destruction of state records,
(b) Ensuring efficient utilization of manpower, building space, and supplies with regard to paper flow and forms usage, and
(e) Pertaining to proper and efficient utilization of microfilming services."

DEFINITION OF A RECORD

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

TYPES OF RECORDS

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

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

VITAL RECORDS

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

Vital Records are identified as those documents necessary for:

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

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

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

HISTORICAL OR ARCHIVAL RECORDS

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

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

IMPORTANT RECORDS

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

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

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

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

USEFUL RECORDS

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

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

ACTIVITY LEVELS

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

Active Record

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

Semi-Active Record

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

Inactive Record

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

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CHAPTER 3: COMPONENTS OF A RECORDS MANAGEMENT PROGRAM

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

Public Access and Information:

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

Current Records Storage:

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

Non-Current Records Storage:

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

Multi-media Records Management:

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

Essential Records Protection:

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

Disaster Preparedness:

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

Records Disposition:

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

RECORDS INVENTORY

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

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

The identification of records should provide the following information:

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

The analysis of the records should answer:

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

FILES MANAGEMENT SYSTEM

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

WHY A STANDARDIZED FILING SYSTEM IS IMPORTANT

- *Integrity/Continuity of Records:* Records remain complete and accessible despite changes in agency organization, personnel, and records keeping technology.
- *Efficiency:* Minimize time wasted searching for information.
- *Communication:* A common filing language fosters cooperation in the retrieval and exchange of information throughout the agency and state government in general.
- *Records Retention and Disposition:* Separates records with different retention values to assist retention and disposition activities.

ESSENTIAL ELEMENTS OF FILING

- *Simple:* Easy filing system enables quick and accurate records filing and retrieval.
- *Logical:* File headings are descriptive and arranged in natural sequence.
- *Usable:* File headings relate to the function of records and the way the files are used.
- *Flexible:* Accommodates expansion or contraction of records volume, different records-keeping technologies, the transfer of inactive records to non-current storage, and the destruction of obsolete records.

RECORDS SERIES CONCEPTS

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

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

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

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

FILES CLASSIFICATION

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

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

A file classification system should:

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

FILES MANAGEMENT SYSTEM

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

1. ***Conduct a thorough files inventory.***
   Designate an “office of record” that is responsible for safeguarding the official record copy and providing copies to satisfy public and administrative needs.

2. ***Define the files management system.***
   - What are the functions and purposes of the files?
   - Who uses the records?
   - What kinds of information do the files hold?
   - What technology and media is used?
   - Is the system centralized or decentralized?

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

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

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

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

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

3. ***Define the primary file classifications:***
   - What is the record type or series?
   - Is each one given a separate classification?

4. ***Define the secondary and tertiary classifications and arrangements:***
   - Alphabetical?
   - Numeric?
   - Chronological?
   - Subject?
   - Location?
   - Agency?

5. ***Develop a standard files classification outline:***
   - Work with staff to develop file headings.
   - Compile and review the outline.
   - Distribute the outline to all agency staff.
   - Train records keepers and users.
   - Implement the files classification system throughout the agency.

6. ***Evaluate and select standard filing media, equipment, and supplies:***
   - Paper
   - File cabinets
   - Guides
   - Fasteners
   - Folders Tabs
   - Labels

7. ***Evaluate and select microfilm standards:***
   - Roll or Fiche
   - Manual or computer-assisted retrieval
   - Reels

- Boxes
- Labels

8. ***Evaluate and select audio/visual standards:***
   - Tape: size, format
   - Film: size, format
   - Storage containers
   - Labels

9. ***Evaluate and select electronic/digital standards:***
   - Storage formats
   - Software

10. ***Develop files maintenance, reference, and disposition procedures:***
    - Maintenance
    - Receiving and Logging
    - Sorting
    - Routing
    - Indexing and coding
    - Cross referencing files

11. ***Develop control procedures:***
    - Out cards and charge-out documentation
    - Routing slips

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

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

RETENTION SCHEDULING

WHAT IS A RECORDS RETENTION SCHEDULE?

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

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

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

The retention schedule should list:

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

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

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

IDENTIFY RETENTION VALUES

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

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

Some additional policies that may be established are:

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

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

Administrative Value:

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

Legal Value:

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

Fiscal Value:

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

Historical/Research/Archival Value:

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

Material with "NO" Retention Value:

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

IMPLEMENTATION OF A RECORDS RETENTION SCHEDULE

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

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

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

Reduction of Retention Periods:

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

Developing Records Retention Schedules:

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

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

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

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

Submitting Proposed Retention Schedules:

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

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

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

Approval of Records Retention Schedules:

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

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

Internal Working Schedules:

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

STORAGE RISKS

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

MAJOR CAUSES OF DETERIORATION FOR STORED RECORDS

HEAT:

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

HUMIDITY:

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

LIGHT:

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

INSECTS AND RODENTS:

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

ACIDS:

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

ELECTROMAGNETIC DISRUPTION:

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

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CHAPTER 4: ESTABLISHING A RECORDS MANAGEMENT PROGRAM

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

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

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

RECORDS MANAGEMENT PROGRAM STRATEGIES

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

Determine the scope of the proposed Records Management Program.

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

Develop a Program Statement.

The program statement should describe the program's mission, goals, objectives, and the resources necessary to successfully carry out the program. Ask the State Archivist, other agencies with successful records management programs, and key agency personnel for input.

Appoint a Records Officer.

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

Announce the Records Management Program.

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

Appoint a Records Management Review Committee (OPTIONAL).

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

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

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

Provide orientation to Records Coordinators and other key personnel.

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

Complete a comprehensive "records inventory".

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

Review and rank the organization's sections.

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

Identify and then evaluate the adequacy.

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

Identify the current advantages, disadvantages.

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

Determine where improved records and information could be a basis.

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

Establish Records Management policies and procedures.

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

Implement a "records management software".

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

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

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

Establish forms management procedures.

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

Create a "Records Management manual".

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

Inform, orient, educate.

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

RECORDS OFFICER RESPONSIBILITIES

RECORD OFFICER

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

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

To implement the Records Management Program, the Records Officer:

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

RECORDS COORDINATOR RESPONSIBILITIES

RECORDS COORDINATOR

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

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

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

***Compile statistics including**:*

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

Cost Savings/Cost Avoidance

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

CONDUCTING A RECORDS INVENTORY

SCHEDULING THE INVENTORY

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

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

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

INVENTORY METHOD

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

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

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

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

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

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

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

STORING RECORDS

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

Ideal Storage Guidelines:

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

UNIFORM FILING SYSTEM

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

RULES OF FILING

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

GUIDES

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

To be effective, a guide must:

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

FOLDERS

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

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

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

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

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

LABELS

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

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

USE OF GUIDES, FOLDERS AND LABELS

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

1. File behind the guide.

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

2. Select the proper number of guides.

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

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

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

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

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

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

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

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

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

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

5. Use of heavyweight folders or pockets.

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

6. Special folders.

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

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

7. Miscellaneous folders.

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

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

8. Allow adequate work space in equipment.

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

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

9. Label the equipment.

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

10. Typing Labels.

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

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

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

Omit all periods, commas and other forms of punctuation.

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

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

EXAMPLE: LARSON John Company

A. Typing labels for End Tab Folders.

Type two identical labels for each folder.

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

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

EXAMPLE: Boise Idaho 83720
3076 Easton
HETT JEFFERY L

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

B. Typing labels for Top Tab Folders.

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

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

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

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

EQUIPMENT

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

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

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

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

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

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

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

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

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

5. Is it easy to file and retrieve material?

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

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

MANUAL FILE SYSTEMS

VERTICAL FILES

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

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

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

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

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

LATERAL FILES

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

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

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

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

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

OPEN-SHELF FILES

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

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

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

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

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

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

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

SHELF FILES

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

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

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

MECHANIZED FILES

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

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

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

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

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

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

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

MARKING THE RECORD FOR FILING

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

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

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

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

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

PREPARATION FOR FILING

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

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

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

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

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

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

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

MAINTENANCE

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

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

CROSS-REFERENCE CONTROL

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

Two types of cross-reference should be used:

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

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

As filed: EMPLOYEES
SEE: PERSONNEL

There are three methods of completing cross-referencing.

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

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

3. Permanent cross-reference guides or folders.

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

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

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

3. Give a brief description of the material.

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

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

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

CHARGE-OUT CONTROL

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

Without charge-out control, personnel:

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

Charge-out control:

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

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

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

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

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

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

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

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

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

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

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

FOLLOW-UP CONTROL

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

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

Follow-up control is devised to:

1. Protect records

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

3. Produce records quickly.

4. Guarantee handling of important matters as scheduled.

Follow-up control assures:

1. Completion of routine tasks and emergency assignments.
2. That retention and active use of workable ideas are not lost or busied in personal files.
3. Forward planning for conferences and meetings; completion of assignments.
4. That people do not have to rely on memory alone.
5. That a manager using follow-up controls effectively will gain a reputation for knowing things.

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

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

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

USE OF COLOR FOR LABELS

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

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

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

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

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

ALPHABETICAL CONTROL

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

NUMERICAL CONTROL

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

ALPHABETIZING

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

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

1. Letter by Letter.

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

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

2. Word by Word.

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

As written	*As Filed:*
Bob Anderson	ANDERSONBob
Bill Anderson	ANDERSONBill
Bart Anderson	ANDERSONBart

3. Nothing before something.

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

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

4. Unit by Unit.

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

Hyphenated words and prefixes are treated as one filing unit.

A. <u>Compound words</u>

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

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

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

B. <u>Prefixes</u>

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

5. Titles, appendages, Degrees.

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

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

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

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

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

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

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

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

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

6. Abbreviations.

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

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

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

7. Apostrophe.

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

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

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

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

8. Firm Names.

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

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

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

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

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

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

9. Correspondence.

A. Individual.

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

B. Firm Correspondence.

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

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

C. Correspondence from Subsidiaries or Divisions.

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

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

D. Correspondence from Subsidiaries or Divisions.

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

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

10. Company Terms.

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

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

11. Conjunctions and Prepositions.

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

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

12. Using "THE" in Titles

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

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

13. Banks

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

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

14. Institutions.

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

As written:

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

As filed:

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

15. Nicknames

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

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

16. Government

A. Federal

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

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

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

B. State

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

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

C. County.

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

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

D. Foreign government.

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

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

17. Numbers in alphabetic Files

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

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

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

NUMERIC FILING

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

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

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

Some organizations that might have application for numeric filing are:

1. Legal organizations for records of litigation. The Attorney General's Office uses a numeric system for opinions.

2. Engineering organizations for projects and plans.

3. Financial organizations for purchase orders, vouchers, etc.

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

⏩ADVANTAGES:

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

⏩DISADVANTAGES:

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

The basic numeric systems are:

1. Straight numeric.

2. Middle digit numeric.

3. Terminal digit numeric.

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

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

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

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

Terminal digit order

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

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

SUBJECT FILING

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

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

Never use miscellaneous folders in a subject file.

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

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

GEOGRAPHIC FILING

A geographic filing system arranges records by location.

The locations can be:

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

Each group is arranged in alphabetic sequence.

GLOSSARY OF RECORDS AND INFORMATION MANAGEMENT TERMS

- A -

ACADEMY OF CERTIFIED ARCHIVISTS (ACA)

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

ACCESS

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

ACCESS TIME

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

ACCURACY RATIO

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

ACID-FREE PAPER

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

ACTIVE RECORD

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

ACTIVITY RATIO

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

ADDRESS

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

ADMINISTRATIVE RECORD

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

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

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

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

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

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

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

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

ANNOTATION
A note added or attached to an original record.

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

APPRAISAL
See RECORDS APPRAISAL.

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ARCHIVAL INTEGRITY

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

ARCHIVAL QUALITY

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

ARCHIVAL STANDARDS

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

ARCHIVES

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

ARCHIVING

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

ARCHIVIST

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

ARTIFICIAL INTELLIGENCE (AI)

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

ASSOCIATION FOR CANADIAN ARCHIVISTS (ACA)

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

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ASSOCIATION FOR INFORMATION AND IMAGE MANAGEMENT (AIIM)
An organization whose principal mission is to develop standards for microforms and information storage technologies involving images. It is also a standards-setting body for these disciplines.

ASSOCIATION OF RECORDS MANAGERS AND ADMINISTRATORS (ARMA)
The principal educational records and information management organization in the United States and Canada, and one of the organizations accredited by the American National Standards Institute to develop records management standards.

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

AUDIT
See RECORDS AUDIT.

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

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

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

- B -

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

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

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BAR CODE

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

BASELINE

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

BATCHING

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

BAUD RATE

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

BENCHMARKING

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

BIT

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

BIT MAP

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

BLIP CODE

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

BLOCK-NUMERIC

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

BOILERPLATE

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

BOOLEAN LOGIC

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

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

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

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

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

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

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

- C -

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

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

CAROUSEL FILE
See ROTARY FILE.

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

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CASE FILE

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

CASE SENSITIVE

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

CATALOG

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

CATHODE RAY TUBE (CRT)

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

CENTRAL FILE

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

CENTRAL PROCESSING UNIT (CPU)

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

CERTIFICATE OF DESTRUCTION

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

CERTIFICATION/CERTIFIED COPY

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

CERTIFIED ARCHIVIST (CA)

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

CERTIFIED RECORDS MANAGER (CRM)

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

CHAIN

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

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

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

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

CHIEF INFORMATION OFFICER (CIO)
High-level position in an organization where the person is responsible for all the information needs of the entire organization.

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

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

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

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

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

CLASSIFIED RECORD (INFORMATION)
See CONFIDENTIAL RECORD.

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

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CLIENT/SERVER COMPUTING

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

CLIMATE CONTROL

See ENVIRONMENTAL CONTROL.

CLOSED FILE

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

CODE OF ETHICS

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

CODE OF FEDERAL REGULATIONS (CFR)

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

CODING

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

COLD SITE

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

COLLATING

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

COLOR CODING

Using color as an identifying aid in a filing system.

COMMERCIAL RECORDS CENTER

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

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

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

COMPACT SHELVING

See MOBILE-AISLE SYSTEM.

COMPOUND DOCUMENT

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

COMPRESSION

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

COMPUTER LITERATE

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

COMPUTER-ASSISTED DESIGN (CAD)

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

COMPUTER-ASSISTED RETRIEVAL (CAR)

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

COMPUTER-INPUT MICROFORM (CIM)

The process whereby computer input can be taken directly from microforms by scanning and character recognition.

COMPUTER-OUTPUT LASER DISK (COLD)

Technique for the transfer of computer-generated output to optical disk so that it can be viewed or printed without use of the original program.

COMPUTER-OUTPUT MICROFILM (COM)

The process that converts and records data from a computer onto microfilm in human-readable format.

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CONFIDENTIAL RECORD

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

CONSERVATION

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

CONTINGENCY PLAN

See DISASTER RECOVERY PLAN.

CONTEXTUAL INFORMATION

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

CONVENIENCE FILE

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

CONVERSION

See BACKFILE CONVERSION and FILE CONVERSION.

COORDINATE INDEXING

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

COPY

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

COPY MANAGEMENT

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

COPYRIGHT

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

CORRESPONDENCE

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

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

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

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

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

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

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

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

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

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

- D -

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

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DATABASE

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

DATABASE MANAGEMENT SYSTEM (DBMS)

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

DATA PROCESSING

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

DECENTRALIZED FILE

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

DECIMAL CLASSIFICATION

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

DEFAULT

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

DELETE

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

DENSITY

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

DESCRIPTOR

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

DESKTOP PUBLISHING (DTP)

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

DESTRUCTION

See RECORDS DESTRUCTION.

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DESTRUCTION NOTICE

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

DESTRUCTION SUSPENSION

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

DIAZO FILM

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

DICTIONARY ARRANGEMENT

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

DIGITAL

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

DIGITIZE

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

DIRECT ACCESS

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

DIRECT ENTRY

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

DIRECT-READ-AFTER-WRITE (DRAW)

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

DIRECTIVES MANAGEMENT

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

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DISASTER RECOVERY PLAN

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

DISCOVERY PROCEEDINGS

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

DISKS

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

DISPERSAL

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

DISPOSITION

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

DOCUMENT

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

DOCUMENT MANAGEMENT (DM)

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

DOCUMENTATION

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

DOTS PER INCH (DPI)

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

DOWNLOADING

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

DOWNSIZING

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

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

DRAFT
A rough or preliminary form of a document.

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

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

- E -

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

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

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

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

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

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

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

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

ENCRYPTION
Any procedure used in cryptography to prevent unauthorized use.

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

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

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

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

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

ESSENTIAL RECORD
See VITAL RECORD and IMPORTANT RECORDS.

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

EXCEPTION REPORTING
Reporting items when conditions are other than normal.

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

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- F -

FACSIMILE (FAX)

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

FIELD

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

FILE

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

FILE CLASSIFICATION SYSTEM

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

FILE CONVERSION

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

FILE FOLDER

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

FILE FOLDER LABEL

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

FILE GUIDE

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

FILE INTEGRITY

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

FILE MAINTENANCE

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

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FILE MANAGEMENT

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

FILE NAME

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

FILE RECOVERY

The restoration of computer files using backup copies.

FILE SAVE

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

FILE SERVER

See SERVER.

FILE TRANSFER PROTOCOL (FTP)

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

FILING EQUIPMENT (CABINET)

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

FILING INCH

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

FILING SYSTEM

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

FILING UNIT

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

FINDING AID

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

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

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

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

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

FISCAL YEAR
Any 12-month period established for accounting purposes.

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

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

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

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

FOLDER
See FILE FOLDER.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- G -

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

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

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

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

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

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

GUSSET
An expansive spine on file folders used to increase capacity.

- H -

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

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

HARDWARE
Equipment or physical devices used to store or process data.

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

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

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

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

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

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

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

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

HORIZONTAL PAGE
See LANDSCAPE PAGE. See also PORTRAIT PAGE.

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

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

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- I -

ICON
A symbol representing an object or idea.

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

IMAGE PROCESSING
See IMAGING.

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

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

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

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

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

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

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

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

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

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INFORMATION

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

INFORMATION MANAGEMENT (IM)

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

INFORMATION RESOURCES MANAGEMENT (IRM)

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

INFORMATION SYSTEMS (IS) (or SERVICES)

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

INFORMATION TECHNOLOGY (IT)

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

INFORMATIONAL VALUE

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

INFRASTRUCTURE

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

IN-HOUSE

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

INPUT

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

INSERT

The act of placing additional text into a document.

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

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

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

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

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

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

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

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

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

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

INVENTORY
See RECORDS INVENTORY

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

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

- J -

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

- K -

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

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

KEYWORD INDEXING
Compiling an index exclusively using keywords.

KEYWORD SEARCHING
Locating records using keywords.

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

KNOWLEDGE-BASED SYSTEM
See EXPERT SYSTEM.

- L -

LABEL
See FILE FOLDER LABEL.

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

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

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

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

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

LEGAL SIZE
Paper that measures 8½ inches by 14 inches.

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

LETTER SIZE
Paper that measures 8½ inches by 11 inches.

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

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

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

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

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

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

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

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

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

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

- M -

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

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

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

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

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

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

MASTER FILE
See MAIN FILE or OFFICIAL RECORD.

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

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

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

MEMORY
The internal storage in a computer.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

MONITOR
See VIDEO DISPLAY TERMINAL (VDT).

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

MOVABLE SHELVING
See MOBILE-AISLE SYSTEM.

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

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MULTIPLE DOCUMENT

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

MULTITASKING

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

- N -

NATIONAL ASSOCIATION OF GOVERNMENT ARCHIVES AND RECORDS ADMINISTRATORS (NAGARA)

A U.S. government nationwide association of local, state, and federal records agencies interested in improving administration of government records and providing records centers for the storage of inactive government records.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) [formerly known as National Archives and Records Service (NARS)]

A U.S. government archival agency responsible for appraising, accessioning, preserving, and making available permanent records having sufficient historical or other value to warrant their continued preservation by the federal government. See also NATIONAL ARCHIVES OF CANADA.

NATIONAL ARCHIVES OF CANADA

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

NETWORK

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

NETWORK ARCHITECTURE

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

NETWORKING

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

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

NOMENCLATURE
A set of terms or symbols and their definitions.

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

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

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

NUMERIC CHARACTER
A character between the digits 0 and 9, inclusive.

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

- O -

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

OFFICE OF PRIMARY RESPONSIBILITY
See OFFICE OF RECORD or OFFICIAL RECORD.

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

OFF-LINE
Data processing performed independently of a central processing unit.

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OFF-SITE STORAGE

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

ON-LINE

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

ON-SITE STORAGE

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

OPEN ACCESS

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

OPEN-SHELF FILING

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

OPERATING SYSTEM

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

OPERATIONAL RECORD

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

OPTICAL CHARACTER RECOGNITION (OCR)

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

OPTICAL DISK (OD)

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

OPTICAL SCANNER

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

ORAL HISTORY

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

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

ORIGINATING DEPARTMENT
The department or other organizational unit that originates a record.

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

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

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

- P -

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

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

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

PENDING FILE
Materials held for further settlement or action.

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

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

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

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

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

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

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

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

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

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

POLICY
See RECORDS MANAGEMENT POLICY.

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

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

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

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

PRESERVATION
See RECORDS PRESERVATION.

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

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

PRINTOUT
The paper output from a computer.

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

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

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

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

PROCESSING
See RECORDS PROCESSING.

PROFESSIONAL RECORDS AND INFORMATION SERVICES MANAGEMENT INTERNATIONAL (PRISM) (formerly ACRC)
A not-for-profit trade association that provides educational and advocacy resources to promote sound information management solutions for its members and the business public.

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

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

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

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PROPRIETARY RECORD
A record owned exclusively by an organization.

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

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

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

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

- R -

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

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

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

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

READING FILE
See also CHRONOLOGIC FILE.

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

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

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

RECORD SERIES
See RECORDS SERIES.

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

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

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

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

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

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

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

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

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RECORDS DESTRUCTION

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

RECORDS DISPOSITION

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

RECORDS INVENTORY

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

RECORDS MANAGEMENT (RM)

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

RECORDS MANAGEMENT MANUAL

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

RECORDS MANAGEMENT POLICY

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

RECORDS MANAGER (RM)

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

RECORDS PRESERVATION

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

RECORDS PROCESSING

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

RECORDS PROTECTION

Safeguarding records against intentional or unintentional destruction or damage.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

RETENTION SCHEDULE
See RECORDS RETENTION SCHEDULE.

RETRIEVAL
1. The process of locating and withdrawing a record from a filing system or records center.
2. The action of accessing information from stored data on a computer system.

RETRIEVAL (EFFICIENCY) RATIO
A measure used to evaluate a records system in which the time to locate a record is compared with the number of records requested.

RETURN ON INVESTMENT (ROI)
A profit or yield that results from an investment usually required to justify the investment.

RISK ASSESSMENT
An evaluation of the probabilities of an adverse event occurring and the possible extent of the damage in order to help minimize the exposure.

ROTARY FILE
A storage unit moving in a circular movement horizon-tally or vertically, such as a conveyor, carousel, lazy Susan, or Ferris wheel.

ROUGH SORT
Sorting documents in approximately the same order as the filing system in which they will be placed, e.g., in an alphabetic file, putting all the As, Bs, and Cs together. See also FINE SORT and SORTING.

ROUTING
The manual or electronic circulation of material among staff members.

- *S* -

SAMPLING
The selection of items from a body of records made in such a way that, taken together, the items selected are representative of the whole.

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SAVE
A command to the computer to store work on tape or disk.

SCANNER
A device that converts an image of a document to electronic form for processing and storage.

SCHEDULING
See RECORDS RETENTION SCHEDULE.

SCREEN
Surface for displaying information.

SCREENING
Eliminating material before it is filed.

SEARCH
Extended investigation for requested information. A systemic examination of the available information in a specific field of interest.

SECONDARY-DIGIT ORDER
A system of numeric filing in which the secondary digits are used as the finding tool.

SECONDARY SUBJECT/HEADING
In a classification system, the first subdivision of the primary subject. See also SUBHEADING.

SECURITY AREA
A controlled location where sensitive records are stored.

SECURITY CLASSIFICATION
1. A classification placed on records limiting their accessibility to those having specific authority to retrieve or use them.
2. In government, used for information, the disclosure of which would harm the national security.

SECURITY COPY
A copy of a document made in order to preserve the information in case the original is lost, damaged, or destroyed. See also BACKUP COPY and VITAL RECORDS.

'SEE ALSO' REFERENCE (SA)
A reference from one category to another that may be helpful to the person consulting an index or filing system.

'SEE' REFERENCE
An entry to direct users from a synonymous term to the term chosen as the most important and popular.

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SEMIACTIVE RECORD
A record that is infrequently referred to but is still needed for reference. See also ACTIVE RECORD and INACTIVE RECORD.

SERVER
A device that provides shared services to workstations over a computer network, e.g., file server, print server, mail server, etc.

SERVICE BUREAU
An establishment that sells services to perform a specific records management function.

SHELF FILE
Open-sided shelving equipment in which records are accessed horizontally. See also OPEN-SHELF FILING.

SHELF LIFE
The period of time before deterioration renders materials unusable or the content of no value.

SHELF LIST
A listing of files/records in the exact order in which they are located as files on shelves.

SHREDDER
A device used for the destruction of records by mechanical cutting, thereby reducing the documents to fine strips, shreds, particles, or pulp.

SIGN-OUT
See CHARGE-OUT.

SILVER HALIDE FILM
Original photographic film of which the photosensitive layer is composed of silver halides suspended in a suitable binder. See also DIAZO FILM.

SNAKING
A system of filing records continuously, from one row to another, in a winding format.

SOCIETY OF AMERICAN ARCHIVISTS (SAA)
A professional organization that establishes standards and guidelines for the identification, preservation, and use of records of historical value.

SOFTWARE
Computer programs that instruct a computer to perform specific functions.

SORTING
The arrangement of documents in the sequence in which they are to be filed or stored. See also FINE SORT and ROUGH SORT.

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SOURCE DOCUMENT
Record on which an original transaction was captured; can be hard copy or electronic.

SPECIAL LIBRARIES ASSOCIATION (SLA)
A professional organization whose membership consists of librarians working in other than traditional public libraries.

SPECIFICATIONS
Detailed documented requirements containing the standards with which the system must conform. See also STANDARDS.

SPREADSHEET SOFTWARE
Software that allows a user to create an electronic worksheet on which data calculations can be performed such as projections, budgeting, planning, etc.

STABILITY
The ability of materials to resist decomposition.

STAGING AREA
An area set aside for preparing and processing incoming/outgoing materials whether for filing areas or records centers. See also HOLDING AREA.

STAND-ALONE SYSTEM
A system capable of operating on its own independently of another system, device, or link to a local area network (LAN).

STANDARD OPERATING PROCEDURE (SOP)
Specified instructions established to aid in the performance of individual tasks and responsibilities. Also called *standing operating procedure*.

STANDARDS
A complete and well-defined set of published rules pertaining to a certain subject. See also SPECIFICATIONS.

STANDARDS COUNCIL OF CANADA, THE
An organization with the mandate to coordinate and oversee the efforts of the National Standards System that includes organizations and individuals involved in voluntary standards development, promotion, and implementation in Canada.

STATUTE OF LIMITATIONS
A period of time in which legal action can be taken. Federal, state, and provincial statutes of limitation should be considered when developing the retention period of records.

SUBHEADING
A secondary heading used as the division of a subject to delineate a particular group under the major heading. See also SECONDARY SUBJECT/HEADING.

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SUBJECT CLASSIFICATION SYSTEM
A plan for the classification and coding of documents by subject.

SUBJECT ENTRY
A heading under a person, place, or thing that represents the content of the item being indexed.

SUBJECT FILE
A file in which the documents relate to a specific subject matter.

SUBJECT-NUMERIC
A filing classification system that uses a combination of word abbreviations and numbers to represent subjects. See also ALPHANUMERIC.

SUBJECT ORDER
Filing alphabetically in topic order.

SUBSERIES
Within a records series, a group of records readily separable in terms of physical form, type, subject, or filing arrangement.

SURVEY
See RECORDS SURVEY.

SUSPENSE FILE
See TICKLER FILE.

SYNCHRONOUS
A property of transmission where speed of operation is fixed and related to the system involved. See also ASYNCHRONOUS.

SYNTHETICAL INDEX
An index that brings together like items or concepts as in a coordinate indexing system.

- T -

TAB
A projection beyond the main body of a guide or folder upon which the caption appears.

TAB CUT
The length of the tab expressed as a proportion of the width/height of the folder or guide, e.g., 1/3 cut means a tab is 1/3 the width/height of the folder or guide; 1/5 means it is 1/5 the width/height of the folder or guide.

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TAPE

1. Recording medium for data in computer programs. Generally used as a mass or portable storage medium in magnetic form.
2. Audio- or videotapes can also be records.

TARGET

In micrographics, any document or chart containing identification information, coding, or test charts.

TASK

A unit of work.

TECHNICAL REFERENCE FILE

See REFERENCE MATERIALS.

TELECOMMUNICATION

Any process that permits the passage of information from a sender to one or more receivers in any usable form (printed copy, fixed or moving pictures, visible or audible signals, etc.) by means of any electromagnetic system (telephone line, radio, optical transmission, guided waves, etc.).

TELECONFERENCE

A meeting among three or more people located at two or more locations connected via communication lines.

TEMPORARY RECORDS

1. Records appraised as having temporary or limited value and approved for destruction, either immediately or after a short specified retention period.
2. Also, records temporarily in a holding area until they are placed in their final location. See also TRANSITORY RECORD.

TERABYTE

One trillion bytes. See also BIT, BYTE, GIGABYTE, KILOBYTE, and MEGABYTE.

TERMINAL-DIGIT FILING

A system of numeric filing using the last two or three digits right to left of each number as the primary division under which the record is filed.

TERTIARY SUBJECT

In a classification system, a subdivision of the secondary subject.

TEST PLAN

The recovery plans and procedures that are used in a systems test to ensure viability. A test plan is designed to exercise specific action tasks and procedures that would be encountered in a real disaster.

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TEXT
That part of a document that contains the substantive information to be conveyed. Sometimes called the body of the document.

TEXT FILE
Text saved without any type specification or other formatting.

THERMOGRAPHY
Photocopying processes relying upon heat for formation of the image.

THROUGHPUT
1. A measure or rate of the productive work done by a person or machine.
2. The total useful information processed or communicated during a specified time period.

TICKLER FILE
A date-sequenced file by which matters pending are flagged for attention on the proper date.

TOPICAL FILING SYSTEM
A system in which all items are maintained in strict alphabetic order without regard to level of importance or functional grouping. Also known as *straight alphabetic filing*. This system is most suitable for small collections.

TRADEMARK
A word or mark that points distinctly to the origin of ownership of merchandise to which it is applied and that is legally reserved for the exclusive use of the owner.

TRADE NAME
A name given by a manufacturer or merchant to a product to distinguish it as made or sold by them and that may be used for protection as a trademark.

TRANSFER
1. The act of changing the physical custody of records with or without change of legal title.
2. The relocating of records from one storage area to another.

TRANSFER LIST
See TRANSMITTAL LIST.

TRANSITORY RECORD
Routine correspondence, documents, or records with short-term value. The retention period is limited to the interval required for completion of the action covered by the communication. See also TEMPORARY RECORDS.

TRANSMISSION CONTROL PROTOCOL (TCP)
The TCP/IP layer that provides reliable process-to-process data stream delivery between nodes in inter-connected computer networks. TCP requires that IP (Internet Protocol) is the underlying protocol.

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TRANSMITTAL LIST
A document that lists the records being transferred from one area to another such as from active (office) storage to inactive (records center) storage. The document may also transfer legal responsibility for the records as well as physical custody.

TURNAROUND TIME
Elapsed time between dispatch and receipt of material back at the starting point.

TRUNCATE
1. The act of cutting off the decimal point and number to its right. This does not include rounding.
2. The act of shortening or abbreviating by cutting off the end of the word or phrase.

TURNKEY SYSTEM
A computer system that is ready to use, containing all hardware and software needed to perform a given application already installed.

TUTORIAL
Another name for a training manual, tool, or program. In the world of computers, it could mean a manual, disk, or help program.

TYPE SIZE
The height of the characters of a font. Usually measured from the bottom of the lowest character (such as *g*) to the top of the tallest (such as *Q*). Also called *point size* because it is typically measured in points. See also FONT SIZE.

TYPOGRAPHY
The art and science of setting or designing type. This also is the style and arrangement of type on a printed piece.

- U -

UNDERCUT
A cutaway area in front of the tab on a folder or guide allowing more reading space for a larger label.

UNIFORM FILE CLASSIFICATION
Classification system used to establish common titles and preserve a set order of records.

UNITERM
A method of indexing that involves the selection of keywords to represent the content of the record or document that is being indexed.

UNSCHEDULED RECORDS
Records for which no retention period has yet been determined.

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‘USE’ REFERENCE

A notation in a list or thesaurus that indicates the preferred heading and notes other headings that are not to be used.

USER

Anyone who uses systems/programs developed for a computer.

- V -

VACUUM DRYING

The treatment of water-soaked documents by placing them in a vacuum chamber, creating a vacuum, and introducing warm, dry air. See also FREEZE DRYING and VACUUM FREEZE DRYING.

VACUUM FREEZE DRYING

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

VALUATION

The determination, based on fair market prices, of the monetary value of documents. See also RECORDS APPRAISAL.

VARIABLE DATA

1. Data that is not part of a form’s design and varies from page to page on the form.
2. Data that changes on a form as opposed to constant data that remains the same.

VARIABLE-LENGTH RECORD

A computer-stored record that has an unspecified or unfixed number of constituent parts (fields, words, characters).

VAULT

A security storage area constructed of fire-resistant material and structurally independent from the building in which it is located.

VECTOR

Line between two points with a value associated with that line to represent a characteristic element of a picture. See also RASTER.

VERTICAL FILE CABINET

Storage equipment that is deeper than it is wide. Files are arranged front to back. See also LATERAL FILE CABINET.

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VERTICAL PAGE
See PORTRAIT PAGE. See also LANDSCAPE PAGE.

VIDEO DISPLAY TERMINAL (VDT)
A screen that allows stored data to be viewed for reviewing, manipulating, editing, or printing.

VIDEO TELECONFERENCING
Audio plus full visual conferencing for two or more people. Typically, such systems provide room-to-room linkages with live television and voice communication.

VIRUS
A computer program that replicates itself into other programs that are shared among systems with the intention of causing damage.

VITAL RECORD
A record identified as essential for the continuation or survival of the organization if a disaster strikes. Such records are necessary to re-create the organization's legal and financial status and to determine the rights and obligations of employees, customers, stockholders, and citizens.

VITAL RECORDS SCHEDULE
A detailed list identifying the vital records, their location, protection instructions, and method of protection in case the records were lost during a disaster.

VOICE MAIL
A computerized answering service that automatically answers a telephone call by playing a greeting, sometimes in the user's voice, and recording a message.

- W -

WALK-THROUGH
An informal survey of office and storage areas to provide an overview of records holdings and to highlight special problem areas.

WATERMARK
A translucent mark or design in paper incorporated during manufacture for purposes of decoration or identification.

WEB SITE
The unique location (address) on the World Wide Web for a service, company, product, or individual containing links to other pages and/or sites. See HOMEPAGE and WORLD WIDE WEB.

WEEDING (FILES)
The removal of individual documents or files lacking continuing value. Also known as culling, purging, stripping, or screening.

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WHAT YOU SEE IS WHAT YOU GET (WYSIWYG)

A description of programs in which the picture on the screen is an accurate representation of the page that is ultimately printed.

WIDE AREA NETWORK (WAN)

A high-speed data transmission network that links mainframe computers, personal computers, etc., located in geographic places more than one mile apart, allowing user groups to share computer data and software. See also LOCAL AREA NETWORK.

WINDOW

An area of a computer display screen used for some purpose. Different applications can be displayed simultaneously in different windows.

WORD-BY-WORD ARRANGEMENT

A filing method that treats each word as an individual filing unit. See also LETTER-BY-LETTER ARRANGEMENT.

WORD PROCESSING

The use of a computer system to input, revise, store, and print textual/graphic material.

WORKFLOW AUTOMATION

A process in which the sequence of actions, activities, or tasks used to run a business is automated, including tracking the status of each instance of the process, as well as tools for managing the process itself.

WORKING COPY

A duplicate or copy of a document that may be marked up or annotated.

WORKING PAPERS

Documents such as notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents. Usually retained by the originator at the point of use with limited retention value.

WORK-IN-PROGRESS (WIP)

Business activities that still require some action. Once the transaction is completed, most of the documents involved become records that are listed on a records retention schedule.

WORKSTATION

1. In a local area network, a desktop computer that runs application programs and serves as an access point to shared network resources.
2. A high-performance microcomputer optimized for professional applications in fields such as digital design, scanning, and network architecture.
3. A desk area where work is performed.

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WORLD WIDE WEB (WWW)

A worldwide hypermedia system (a network of networks containing hyperlinks) that allows browsing through information in many databases. WWW is the multimedia center of the Internet.

WRITE-ONCE-READ-MANY (WORM)

Digital optical disk on which data is recorded once and can be read as often as necessary.

- X -

XEROGRAPHY

See PHOTOCOPYING.

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ABBREVIATIONS

ACA	Academy of Certified Archivists
ACA	Association of Canadian Archivists
ACRC	Association of Commercial Records Centers (now PRISM)
AI	Artificial Intelligence
AIIM	Association for Information and Image Management
ALA	American Library Association
ANSI	American National Standards Institute
ARMA	Association of Records Managers and Administrators, Inc.
ASCII	American Standard Code for Information Interchange
BFMA	Business Forms Management Association
CA	Certified Archivist
CAD	Computer-Assisted Design
CAR	Computer-Assisted Retrieval
CD-ROM	Compact Disk–Read-Only Memory
CFR	Code of Federal Regulations
CHRON	Chronologic File
CIM	Computer-Input Microform
CIO	Chief Information Officer
CLA	Canadian Library Association
COLD	Computer-Output Laser Disk
COM	Computer-Output Microform
CPU	Central Processing Unit
CRM	Certified Records Manager
CRT	Cathode Ray Tube
DBMS	Database Management Systems

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DM	Document Management
DPI	Dots Per Inch
DRAW	Direct-Read-After-Write
DTP	Desktop Publishing
DVD	Digital Video Disk
EDI	Electronic Data Interchange
EDM	Electronic Document Management
ELF	Eliminate Legal-size Files
E-MAIL	Electronic Mail
FAX	Facsimile
FIFO	First-In-First-Out
FOIA	Freedom of Information Act (U.S. legislation)
FTP	File Transfer Protocol
GB	Gigabyte
ICA	International Council on Archives
ICRM	Institute of Certified Records Managers
IM	Information Management
IRM	Information Resources Management, or Information and Records Management
IRMC	International Records Management Council
IS	Information Systems, or Information Services
ISO	International Organization for Standardization
IT	Information Technology
KB	Kilobyte
LAN	Local Area Network
LIFO	Last-In-First-Out
LILO	Last-In-Last-Out

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MB	Megabyte
NAGARA	National Association of Government Archives and Records Administrators
NARA	National Archives and Records Administration
OCR	Optical Character Recognition
OD	Optical Disk
PC	Personal Computer
PRISM	Professional Records and Information Services Management International [formerly Association of Commercial Records Centers (ACRC)]
RAM	Random-Access Memory
RFP	Request for Proposal
RIM	Records and Information Management
RM	Records Management, or Records Manager
ROI	Return on Investment
ROM	Read-Only Memory
SAA	Society of American Archivists
SLA	Special Libraries Association
SOP	Standard Operating Procedure
TCP/IP	Transmission Control Program/Internet Protocol
VDT	Video Display Terminal
WAN	Wide Area Network
WIP	Work-In-Progress
WORM	Write-Once–Read-Many
WWW	World Wide Web
WYSIWYG	What You See is What You Get

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APPENDIX 1: IDAHO CODE TITLE 67 CHAPTER 57 - DEPARTMENT OF ADMINISTRATION

67-5751 Records Management.

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

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

- Pertaining to retention periods for all state records.
- Establishing a standard filing system for all state agencies.
- Prescribing conditions and procedures for destruction of state records.
- Ensuring efficient utilization of manpower, building space, and supplies with regard to paper flow and forms usage.
- Pertaining to proper and efficient utilization of microfilming services.

67-5751A Historical Records.

Upon the determination of the director of the department of administration that certain public records have no apparent official value but have historical value, those records shall be transferred to, and may constitute a part of, the collection of the state historical society.

67-5752 Records Management Manual.

The director of administration shall develop and distribute to all state agencies a records management manual containing all the rules and procedures developed for records management. Each state agency shall comply with rules and procedures promulgated.

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APPENDIX 2: ELECTRONIC DOCUMENT MANAGEMENT

The following policy pertaining to electronic documents has been adopted and put into effect by the Information Technology Resource Management Council (ITRMC). For more information, contact the ITRMC Staff.

POLICY, STANDARDS, GUIDELINES AND CONVENTIONS

Date Established: May, 1998
Last Revised: February 19, 2003

ISSUER: **ITRMC** [Authority Idaho Code, 67-5745 (A) (B) (C)]
SUBJECT: **Electronic Document Management**

Abstract:

For purposes of this policy, a document is defined as an ***'electronic information object'*** which resides in a computer system. These 'information objects' can take on a number of forms, including the following:

- Word Processing Files;
- Spreadsheets;
- Computer Aided Drafting (CAD) drawings;
- Computer Output to Laser Disk (COLD) files;
- Scanned Images;
- Audio files;
- Video clips;
- Database information including Binary Large Objects (BLOBs);
- A sequence of events - called workflows; and
- Others.

Definition:

An "Electronic Document Management System" (EDMS) is a collection of interdisciplinary technologies, methods, tools, and skills required to manage information objects, no matter what their origin, location, form, purpose, or destination.

Policy:

All EDMS implementations must comply with the State's records management policies and statutes. The Records Management Guide can be found at http://adm.idaho.gov/purchasing/RecordsCenter/RecordRetentionBook.pdf.

Storage:

Objects of legal or long-term value must be recorded on at least two (2) physical electronic media and stored in separate locations. The electronic imaging media used must comply with ANSI/ISO standards.

Legal Issues:

The media and system combined must be able to show, to the court's criteria of acceptance, that the objects, documents, records, or information:

- Is authentic (is a true and accurate copy of the original).
- Was made near to the time of the event in question.
- Was created and maintained as a regular course of business.
- Was created with input procedures that are documented and defined and can be verified by proven tests for accuracy.

Security:

EDMS must include access restriction procedures and software controls to prevent the retrieval of data or index information by unauthorized personnel. Further, any EDMS must provide the ability to review object access information, including what, when and who.

Data Entry:

Regardless of the data entry method or subsystem chosen (document imaging, COLD, video, text, etc.), index entry verification must be performed to ensure the accuracy of index information and to prevent rendering a record 'lost' due to incorrect data entry.

Image Compression-Decompression:

Document imaging systems must support the International Consultative Telegraph and Telephone Committee (CCITT) standards with no proprietary alterations to the algorithm. Software used for compression and decompression must be one hundred persent (100%) compatible in all clients and servers on the network. All records must be compressed when being transmitted on the State's network.

Scanning:

Document scanners must comply with standards developed by the TWAIN Working Group (http://www.twain.org/).

Annotation:

A document imaging system must support the ability to annotate an image without physically modifying the image. The EDMS must provide annotation security and multiple layers of annotations.

Image File Format:

The system must use non-proprietary file header formats to label digital images.

Indexing:

Indexing (adding properties to information objects) must be done using an American National Standards Institute (ANSI) Standard Query Language (SQL) Data Base Management System (DBMS) which can reside remote from the storage location. The index must be accessible and able to be modified through user-written standard application development languages, subject to the appropriate security considerations.

Media:

Non-erasable media must be utilized for permanent storage. This media must comply with ANSI/ISO standards.

Time Line:

Immediate Implementation

For more information, contact the ITRMC Staff at (208) 332-1876.

For current online version:
http://www2.state.id.us/itrmc/plan&policies/Policies/p1030.htm

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APPENDIX 3: PUBLIC ACCESS RIGHTS TO GOVERNMENT RECORDS

The right to public access of state and local government records is defined by the *Idaho Public Records Act*, Idaho Code, Title 9, Chapter 3, and Sections 9-337 through 9-349A. The Idaho Public Records Act declares that state and local government records are open to public access subject to certain exemptions which are intended to protect the personal privacy of individuals and the integrity of vital governmental functions.

Public access to federal government records is defined by the *Freedom of Information Act*.

IDAHO CODE REFERENCES

Idaho Code has several references to the public's rights to State government records and to the agency requirements for managing their records (Idaho Code Section 9-338, Public records – Right to examine; 9-339, Response to request for examination of public records; 9-340, Records exempt from disclosure; 9-341, Exempt and nonexempt public records to be separated; 9-342, Access to records about a person by a person; 9-342A, Access to air quality and hazardous waste records, etc.). The following is a brief description of these specific references.

PUBLIC RECORDS DEFINED

The term "public records" includes, but is not limited to, any writing containing information relating to the conduct or administration of the public's business prepared, owned, used or retained by any state or local agency regardless of physical form or characteristics. (Idaho Code Section 9-337(10).) The term "public records" includes, but is not limited to, any paper, correspondence, form, bound volume, film, magnetic record, drawing, or other document, regardless of media, that has been created or received by any state or local government agency during the course of public business.

USE OF MICROFILM

Microfilm is recommended for large volumes of records that have long periods of retention. Complete, clear, and authenticated microfilm copies of public records that meet statutory standards have the same legal status as the paper originals. (Idaho Code Section 9-328 (state); 9-331A (county)).

RECORDS AS PUBLIC PROPERTY

All public records shall be and remain the property of the agency. Outgoing officials and employees must pass such records on to their successors. The records shall not be placed in the custody of any other person or agency, public or private, or released to individuals except for disposition pursuant to law, or as otherwise provided by law. Furthermore, public records shall be preserved, stored, transferred, destroyed and otherwise managed according to applicable law.

ACCESS TO PUBLIC RECORDS

Access must be provided for the public inspection and copying of agency records according to the provisions of the *Idaho Public Records Act* (Idaho Code Sections 9-337 through 9-349A).

BASIC PUBLIC DISCLOSURE REQUIREMENTS

PROTECTION OF AGENCY RECORDS AND FUNCTIONS:

Idaho Code 67-5752 cites that agencies are required to adopt reasonable rules and procedures to protect their records from loss, disorganization, or damage and to prevent disruption of vital agency functions while providing full public access as provided by statute.

INSPECTION AND COPYING DURING REGULAR BUSINESS HOURS:

Records must be available for public inspection and copying during the agency's regular business hours (Idaho Code Section 9-338[7]).

FEES CHARGED FOR COPIES:

Under Idaho Code Section 9-338 (8)(a) of the public records statue, an agency may establish a copying fee schedule which “may not exceed the actual cost of the agency for copying the record.” Section 9-338(8)(c) allows an agency to waive any cost or fee for copies or labor when the requester demonstrates either an inability to pay or that the public’s interest or the public’s understanding of the operations or activities of government or its records would suffer by the assessment or collection of any fee.

PROMPT RESPONSE REQUIREMENT:

Under Idaho Code Section 9-339, within three (3) working days of receiving a request for access to its records, an agency must make the requested records available for inspection and copying or acknowledge the request and provide a reasonable estimate, not to exceed ten (10) working days, of the time needed to make the records available.

DENIAL OF PUBLIC DISCLOSURE REQUESTS:

Under Idaho Code Section 9-339, denial of a public records request must state that the attorney to the agency has reviewed the request or that the agency has chosen not to have such review, and must indicate the statutory authority for denial, and must inform the requester of appeal rights.

THE RELATION OF RECORDS MANAGEMENT TO PUBLIC ACCESS

Efficient public records management practices enable an agency to meet the requirements of the *Idaho Public Records Act* with the least possible disruption of day-to-day operations.

RECORDS RETENTION SCHEDULES:

A working retention schedule, supplemented as needed to meet unique requirements, should encompass every record series held by an agency. The addition of a column denoting the legal accessibility of each record series for public inspection and copying can help record custodians respond more efficiently to public requests.

REGULAR DISPOSITION OF OBSOLETE RECORDS:

The regular disposition (transfer or destruction) of records which have reached the end of their established retention period lessens the agency's exposure to public demands, saves storage costs, and removes clutter from office and records storage space.

TRANSFER OF HISTORICALLY VALUABLE RECORDS TO STATE ARCHIVES:

The transfer of historically valuable records to State Archives places valuable records in facilities that promote long term preservation. These storage facilities can provide research space and professional staff support to facilitate public access. The timely transfer of these records will permit agencies to concentrate on current operations.

USE OF EFFICIENT FILING AND STORAGE PRACTICES:

Efficient practices of filing and storage of current records and transfer of non-current records will reduce costs and facilitate rapid retrieval of active documents.

PRESERVATION OF RECORDS

The Idaho State Historical Society has the authority and responsibility for preserving the historical records of Idaho (Idaho Code 67-4123). The Historical Society can require any government agency to deposit official books, records, documents, or original papers, not in current use, which are of definite historical importance.

When such documents are accepted, the Historical Society is required to provide certified copies, when requested by any person, providing that such person pay a reasonable fee

AUTHORITY TO ADOPT GENERAL RECORDS RETENTION SCHEDULES

State agencies shall establish a records control program based on records retention schedules submitted to the Department of Administration for approval. The Department of Administration may approve, amend, or reject these schedules. Once a records retention schedule is approved, the agency has the authority to process the records listed in accordance with the schedule until it is revised or amended (Idaho Code Section 67-5751 and 67-5752).

DESTRUCTION OF RECORDS

Idaho State law classifies records according to three categories: 1) permanent, 2) semi-permanent, and 3) temporary. Records that are identified as “permanent” must be kept for not less than ten years. (Idaho Code 50-907 (a)). Permanent records include, but are not limited to:

- Bond registers
- Budget records
- Building plans and specifications
- Cash books
- General ledgers
- Cemetery records

- Real property records, including liens and all other records affecting title
- Proceedings of the governing body
- Ordinances, policies, resolutions
- Warrant registers
- Records deemed to be permanent by the governing body.

Public officers who destroy records without proper authorization may jeopardize the status of their agency in any legal proceeding and may be found guilty of a felony if they cause records to be destroyed without authorization.

APPENDIX 4: STORAGE OF PUBLIC RECORDS STANDARDS

IDAHO CODE CHAPTER 41. STATE HISTORICAL SOCIETY

67-4126 Powers and Duties of Board.

The board of trustees of the society shall have powers and duties as follows:

- To appoint a director of the society as provided herein and advise him in the performance of his duties and formulate general policies affecting the society.
- To encourage and promote interest in the history of Idaho and encourage membership in the society.
- To collect for preservation and display artifacts and information illustrative of Idaho history, culture and society.
- To print such publications and reports as may be deemed necessary.
- To encourage creation of county historical societies and museums in the counties of Idaho.
- To facilitate the use of Idaho records for official reference and historical research.
- To accept from any state, county, or city, or any public official, any official books, records, documents, original papers, newspaper files, printed books, or portraits, not in current use. When such documents are so accepted, copies therefrom shall be made and certified under the seal of the society upon application of any person, which person shall pay for such copies reasonable fees established by the society.
- To require that any state, county, or city, or any public official, deposit official books, records, documents, or original papers, not in current use, which are of definite historical importance, in the society for preservation and to provide methods whereby such materials, which have no significance, may be destroyed.
- To establish such rules as may be necessary to discharge the duties of the society.
- To employ such personnel as may be necessary for the administration of its duties in accordance with the rules of the administrator of the division of human resources promulgated pursuant to chapter 52, title 67, Idaho Code.
- To have and use an official seal.
- To delegate and provide subdelegation of any such authority.
- To identify historic, architectural, archaeological, and cultural sites, buildings, or districts, and to coordinate activities of local historic preservation commissions.
- To serve as the geographic names board of the state of Idaho.

STORAGE OF PUBLIC RECORDS STANDARDS

PURPOSE

Standards for the storage of public records. This document sets forth standards for the preservation of inactive public records of enduring historical value as authorized by Idaho Code, § 67-4126. In order preserve records that have enduring historical or archival value, the State Archivist establishes standards for the storage of such records stored either at the State Archives Building or retained at the office of record.

RECORD STORAGE FACILITY

The standards or the storage of public records of enduring historical value cited herein are available from the American National Standards Institute, (ANSI), Inc., 11 West 42nd Street, New York, NY 10036 or other standards-setting organizations as cited in the definitions. Exclusions. For the purposes of this document, the term "records storage facility" excludes:

- Central file areas and file rooms containing active records used and maintained in their office of origin.
- Records staging areas used for the temporary storage of records before their transfer to a records center, State Archives, or other disposition, provided no records are held in these staging areas for a period not to exceed six (6) months.
- Records storage areas used solely for the storage of noncurrent records that have approved retention of less than three years and are not suitable for transfer to a records storage facility due to requirements for high security, technical servicing, or other special record keeping provisions.

1. Any records storage facility for public records shall be constructed of noncombustible and fire-resistive materials. The facility shall be of a nature that minimizes the potential for and the resultant effects of fire.

    - Reference ANSI/NFPA 220 Types of Building Construction, Chapter 3 Types of Construction
    - Reference ANSI/NFPA Types of Building Construction, Chapter 3 Building Construction
    - Reference ANSI/NFPA Types of Building Construction, Chapter 5-2 Fire Restrictive Buildings
    - Reference ANSI/NFPA 232 Protection of Records, Chapter 2 Standards Records Vaults

2. The facility should be a stand-alone structure. In the event the structure is shared with other tenants, fire walls of approved construction shall separate the records storage facility from other areas in the building.

    - Reference ANSI/ NFPA 232A, Archives and Records Centers, Chapter 2-3 Fire Risk Evaluation Factors

3. If the record storage facility is located in a structure with other non-related tenants, activities conducted in other parts the building shall not be of the nature which would create a hazard to the records stored there.

    - Reference ANSI/NFPA 232A Archives and Records Centers, Chapter 2-3 Fire Risk Evaluation Factors
    - Reference ANSI/NFPA 80A Fire Doors and Fire Windows, Protection from Exterior Fire Exposure

4. Access to the facility shall be restricted to authorized personnel. Adequate security procedures and systems shall be provided to prevent loss, theft, or destruction of public records and to ensure the safety and integrity of the public records stored there.

5. A record storage facility shall maintain a fire prevention program based on good housekeeping practices. Smoking, use of open flame devices or the presence of flammable materials shall be prohibited in storage areas.

    - Reference ANSI/NFPA 232AM Chapter 2-6 Fire Prevention Program

6. The facility shall have appropriate fire detection and suppression systems with procedures in place to ensure their effectiveness.

    - Reference ANSI/NFPA 232A Archives and Records Centers, Chapter 5-1 Fire Detection
    - Reference ANSI/NFPA 72 National Fire Alarm Code, Protective Signaling Systems
    - Reference ANSI/NFPA 72E National Fire Alarm Code, Automatic Fire Detectors
    - Reference ANSI/NFPA 72H National Fire Alarm Code, Testing Procedures for Signaling Systems
    - Reference ANSI/NFPA 10 Portable Fire Extinguishers Reference ANSI/NFPA 1 Fire Prevention Code
    - Reference ANSI/NFPA 13 Installation of Sprinkler Systems
    - Reference ANSI/NFPA 13A Inspection & Testing of Sprinkler Systems
    - Reference ANSI/NFPA 231 General Storage, Chapter 5-1 Automatic Sprinkler Systems
    - Reference ANSI/NFPA 232AM Chapter 5-2 Automatic Sprinkler Systems
    - Reference ANSI/NFPA 232AM Chapter 5-4 Gaseous Extinguishment
    - Reference ANSI/NFPA 232AM Chapter 5-5 Comparison of Systems
    - Reference NBS Technical Notice 839, Fire Protection

7. A slightly positive air pressure balance should be maintained within the records storage area so a to ensure (1) consistency of temperature and relative humidity and (2) minimize infiltration of contaminants.

    - Reference ANSI IT9.11 Chapter 7.2 Air Conditioning Requirements

8. Air handling ducts shall be equipped with fire detectors and applicable shutoff apparatus.

    - Reference ANSI IT9.11 Chapter 7.2 Air Conditioning Requirements
    - Reference ANSI/NFPA 232AM Chapter 7-4 Air Conditioning/Ventilation
    - Reference ANSI/NFPA 90A Installation of Air Conditioning/Ventilation

9. The facility shall have a power supply sufficient to maintain environmental controls, security, lighting, fire detection and suppression equipment.

    - Reference ANSI/NFPA 232A, Archives and Records Centers, Chapter 5 Fire Control Systems

10. No cellulose nitrate films shall be stored in the facility

    - Reference ANSI IT9.11 Chapter 7.3 Air Purity
    - Reference ANSI/NFPA 40 Storage & Handling of Cellulose Nitrate Film
    - Reference ANSI/NFPA 232A Archives and Records Centers, Chapter 2-1 Types of Media

11. All door openings of the records storage facility shall be fitted with a suitable and approved fire-resistant door.

    - Reference ANSI/UL 155 Test for Fire Resistance of Vault Doors
    - Reference ANSI/NFPA 232 Chapter 2-10 Vault Door Specifications

12. All electrical wiring within the facility, exclusive of low-power alarm circuits, shall be encased in approved conduit.

    - Reference ANSI/NFPA 70 National Electric Code
    - Reference ANSI/NFPA 232 Chapter 2-11 Electrical Service
    - Reference ANSI/UL 155 Test for Fire Resistance of Vault Doors

13. Portable fire extinguishers of a type appropriate for Class A fires shall be readily accessible inside and immediately outside the record storage area.

    - Reference ANSI/NFPA 10 Standard for Portable Fire Extinguishers
    - Reference ANSI/NFPA 232 Protection of Records, Chapter 2-13 Fire Suppression

14. All record storage containers within a facility shall be kept at least six (6) inches from piping or conduits.

    - Reference ANSI/NFPA 232 Protection of Records, Chapter 2-12 Operating Practices

15. Work, reference and storage areas shall be constructed so as to avoid prolonged exposure of archival records to direct or indirect sunlight which contain ultraviolet rays which can damage archival material. Ultraviolet light filters shall be placed on all fluorescent lights in areas where archival records are stored, displayed, processed or researched.

16. Storage containers, folders and other enclosures for archival material shall be constructed of acid-free buffered, lignin free paper or other material free of harmful off-gassing material.

STORAGE OF MICROFORMS AND OTHER PROCESSED FILM

1. Film enclosures. Film in roll form storage enclosures.

   A. Processed photographic films rolled on cores or reels and stored in rolled form, including microfilm, motion picture film, aerial film, and some portrait films, shall not be wound tightly but not under extreme pressure. Cores and reels shall be of non-corroding material such as plastic compounds or nonferrous metals.

   B. Rolls of photographic film shall be stored containers to provide protection against dirt and physical damage. Film shall be in a clean condition before it is stored for maximum storage life expectancy. Rolls of film less than 150 meters in length shall be stored so the diameter of the roll is in a vertical position. Rolls greater than 150 meters in length shall be stored so the diameter of the film is in an horizontal position. Any film which gives off acidic fumes, including nitrate or some vesicular films, shall not be stored with silver, diazo, or dye-gelatin film and shall be stored in a location physically separated from other photographic film.

   C. Enclosures for microfilm and other rolled film shall be labeled to properly identify the contents of the enclosures and facilitate the storage and retrieval of the same per NISO Z39.62-1993, Eye-Legible Information on Microfilm Leaders and Trailers and on Containers of Processed Microfilm on Open Reels as amended and supplemented, incorporated herein by reference.

      - Ref.: ANSI IT9.11-1991, Photography (Film) - Processed Safety Film - Storage.
      - Ref.: ANSI PH153-1984. Photography (Processing) - Processed Films, Plates, and Papers Filing Enclosures and Canisters for Storage.
      - Ref.: NISO Z39.62-1993, Eye-Legible Information on Microfilm Leaders and Trailers and on Containers of Processed Microfilm on Open Reels.
      - Ref.: ANSI/NFPA 40-1982. Storage and Handling of Cellulose Nitrate Motion Picture Film.

2. Archival roll form storage enclosures. For archival storage of photographic films stored in rolled form, the same requirements as those for roll film storage enclosures shall be observed. In addition the following requirements shall be met for archival storage of such films:

   A. Plastic materials used for reels or cores should not contain peroxides. Only non-corrosive plastic or paper bands shall be used to for holding film on reels or cores. If paper bands are used, the paper shall meet minimum requirements established by ANSI IT9.2-1991. Imaging Media - Photographic Processed Films, Plates, and Papers--Filing Enclosures and Storage Canisters and ASTM D3458-1985. Standard Specification for Bond and Ledger Paper for Permanent Records as amended and supplemented, incorporated herein by reference.

      - Ref.: ANSI IT9.2-1991. Imaging Media--Photographic Processed Films, Plates, and Papers--Filing Enclosures and Storage Canisters
      - Ref.: ASTM D3458-1985. Standard Specification for Bond and Ledger Paper for Permanent Records.

B. A schedule for periodic inspection for evidence of deterioration of rolled films, plates and prints in archival storage facilities shall be established and conducted including such procedures as established by ANSI/AIIM MS45-1990, ANSI PH4.8-1985, ANSI IT9.9-1990, each as amended and supplemented, incorporated herein by reference.

- Ref.: ANSI/AIIM MS45-1990. Recommended Practice for Inspection of Stored Silver-Gelatin Microforms for Evidence of Deterioration.
- Ref.: ANSI PH4.8-1985. Photography (Chemicals)--Residual Thiosulfate and Other Chemicals in Films, Plates, and papers--Determination and Measurement.
- Ref.: ANSI IT9.9-1990. Imaging Media--Stability of Color Photographic Images—Methods for Measuring.

3. Film in sheet or slide form storage enclosures.
   A. Photographic film in sheet form shall be stored in suitable enclosures, which will maximize the life expectancy of the film. Stored films in sheet form shall not be stacked so they are under high pressure. Photographic slides should be stored in cardboard, nonferrous metal or plastic boxes. Color, diazo, and heat-processed film in opaque folders or envelopes or otherwise protected from exposure to light.
   B. Paper or plastic material used for envelopes, sleeves, jackets, folders or cartons for the storage of such film shall meet, as a minimum requirement, the specifications of ANSI PH1.53-1984 as amended and supplemented, incorporated herein by reference, especially if such materials are in direct contact with the surface of the films. Suitable materials for plastic enclosures include un-coated polyester (polyethylene terephthalate) and cellulose acetate. Glassine envelopes and chlorinated, nitrated or highly plasticized sheeting shall not be used.
   C. Adhesives used in joints and seems of such enclosures shall meet the requirements of ANSI PH1.53-1984 as amended and supplemented, incorporated herein by reference.

4. Archival sheet or slide form storage enclosures. For archival storage of photographic films stored in the form of sheets and slides, the same requirements as those for sheet or slide form storage enclosures shall be observed. In addition the following requirements shall be met for archival storage of such films:
   A. Enclosure construction shall preclude the use of adhesives if possible. Pressure sensitive permanently tacky adhesives and those based on natural rubbers shall not be used. Photographic quality gelatin or polyvinyl acetate and cellulose acetate adhesives suitable for use with paper may be used when necessary.
   B. Films of different generic types which may have interactions with each other, for example silver gelatin and diazo, shall not be interfiled or stored in physical contact with each other.
   C. A schedule for periodic inspection for evidence of deterioration of photographic films in sheets or slide form in archival storage facilities shall be established and conducted including such procedures as established by ANSI/AIIM MS45-1990,

ANSI PH4.8-1985, ANSI IT9.9-1990 each as amended and supplemented, incorporated herein by reference.

- Reference ANSI/AIIM MS45-1990.
- Ref.: ANSI PH4.8-1985.
- Ref.: ANSI IT9.9-1990.

5. Storage housing.
   A. Photographic films shall be stored in closed storage housings such as drawers or cabinets, or if open shelves and racks may be used if the film is in closed containers.
   B. Storage housing shall be constructed from noncombustible and non-corrosive materials such as anodized aluminum, stainless steel, or steel with baked-on non-plasticized synthetic resin lacquer. Storage housings shall not be constructed of combustible material such as wood, particle board or materials which produce active fading agents.

6. Environmental conditions. Humidity and temperature storage environment limits. Temperature and relative humidity within a record storage facility for microforms or other processed film shall be maintained within the suitable range for the type of film being stored in medium-term storage as recommended in ANSI IT9.11-1991. Imaging Media--Processed Safety Photographic Film--Storage. [Revision of ANSI PH1.43-1985]. Short term cycling of temperature humidity shall be avoided.
   A. For medium-term storage of silver-gelatin film on a polyester base, maximum temperature for extended periods shall not exceed 25 degrees Centigrade (77 degrees Fahrenheit) and a temperature below 20 degrees Centigrade (68 degrees Fahrenheit) is preferable. Relative humidity of a medium-term storage environment for silver-gelatin films shall not exceed 60% and it shall not be lower than 30%.
   B. For medium-term storage of color film storage, a storage environment shall not exceed 10 degrees centigrade (50 degrees Fahrenheit) is recommended for proper storage. Protection may be increased by storing film at low temperature and low humidity.

      - Reference ANSI IT9.11 Chapter 7.1 Humidity & Temperature

7. Archival storage environment. Temperature and relative humidity within an archival storage facility for microforms or other processed film shall be maintained within the suitable range for the type of film being stored in archival storage as recommended in ANSI IT9.11-1991. Imaging Media--Processed Safety Photographic Film--Storage. [Revision of ANSI PH1.43-1985]. Short term cycling of temperature humidity shall be avoided.
   A. For archival storage of silver-gelatin film on a polyester base, maximum temperature for extended periods shall not exceed 18 degrees Centigrade (65 degrees Fahrenheit) and a constant temperature below 15 degrees Centigrade (60 degrees Fahrenheit) is preferable. Added protection may be obtained by long-term storage at lower temperatures. Relative humidity of a archival storage

environment for silver-gelatin films shall not exceed 40% and it shall not be lower than 30%.

B. For archival storage of color film on a polyester base, a storage environment shall not exceed 2 degrees Centigrade (35 degrees Fahrenheit). Protection may be increased by storing color film at low temperature and low humidity.

- Reference ANSI IT9.11 Chapter 7.1 Humidity & Temperature

C. Air-conditioning requirements. A properly controlled air conditioning system may be necessary to maintain humidity and temperature within a storage facility within the limits specified herein, particularly for archival storage where the requirements are more stringent.

1) Solid particles which may abrade film or react with an image shall be removed from the air supplied to housings or rooms used for storage of microforms or other processed film. The air delivery system for archival storage facilities shall be equipped with a HEPA filter capable of removing dust and other pollutant particles as defined by the Institute for, Environmental Sciences standard IES CS-1, Standard for HEPA Filters. as amended and supplemented, incorporated herein by reference:

- Reference IES CS-1, Standard for HEPA Filters.

2) Gaseous impurities such as sulfur dioxide, hydrogen sulfide, peroxides, ammonia, acidic fumes, ozone, and nitrogen oxides, which cause deterioration of film bases or degradation of the image in some films shall be removed from the air by suitable washers or absorbers. Preferably, an archival storage facility for films should be located as far as possible from urban or industrial sources of contaminants.

3) Gases given off by decomposing nitrate film will damage or destroy images on safety film. Safety film shall not be stored in the same room or in rooms connected by ventilating ducts.

STORAGE OF ELECTRONIC RECORDING MEDIA

1. Agencies shall maintain all long-term and permanent backup or security electronic recording media in a storage facility, either on-site or off-site, with constant temperature (below 68 degrees Fahrenheit) and relative humidity (30 to 40 percent) controls unless other standards are promulgated for a particular media herein.
2. Agencies shall annually read a statistical sample of all electronic media containing long-term or permanent records to identify any loss of information and to discover and correct the cause of data loss.
3. Agencies shall copy all long-term or permanent electronic records before the media are 10 years old onto tested and verified new media. The test will verify that the media is free of permanent errors.
4. Agencies shall back up and refresh electronic records on a regular basis to safeguard against the loss of information due to equipment malfunctions or human error. Duplicate copies of long-term or permanent records shall be maintained in storage areas located in buildings separate from the location of the records that have been copied.
5. Agencies shall prohibit smoking and eating in any electronic media storage libraries or other storage facilities, including test or evaluation areas.
6. Agencies shall ensure that all authorized users can identify and retrieve information stored on diskettes, removable disks, tapes, or optical disks by establishing and adopting procedures for external labeling of the contents of such diskettes, disks, tapes, or optical disks.
7. External labels (or the equivalent automated management system) for electronic recording media used to store long-term or permanent records shall provide unique identification for each storage media, including:
   A. The name of the organizational unit responsible for the data;
   B. System title, including the version number of the application;
   C. Special security requirements or restrictions on access, if any; and
   D. Software in use at the time of creation.
8. Information shall be maintained for all media used to store electronic records designated for long-term or permanent retention and storage, including:
   A. File title;
   B. Dates of creation;
   C. Dates of coverage;
   D. The recording density;
   E. Type of internal labels;
   F. Volume serial number, if applicable;
   G. The number of tracks;
   H. Character code/software dependency;
   I. Information about block size; and
   J. Sequence number, if the file is part of a multi-media set.

STORAGE AND MAINTENANCE OF MAGNETIC COMPUTER TAPE

1. Agencies shall maintain the storage and test areas for computer magnetic tapes containing permanent and unscheduled records at the following temperatures and relative humidities: 62 to 68 degrees Fahrenheit constant temperature and 35 to 45 percent constant relative humidity.
2. Magnetic tapes should be hung or racked vertically in standard storage units and should be rotated according to an established schedule to avoid damage to the tapes.
3. Agencies shall periodically rewind under controlled tension all tapes containing records scheduled for long-term and permanent retention every 3-1/2 years, but frequent rewinding should not be practiced to avoid damaging the tape. Stored tapes shall be rewound immediately before use to restore proper tension to the tape.

DEFINITIONS

ARCHIVAL FILM

"Archival film" means a photographic film that when stored under archival storage conditions and providing the original images are of suitable quality, is suitable for preservation of records having permanent value. Films suitable for archival records are described in ANSI PH1.28-1984 and ANSI PH1.41-1984 as amended and supplemented.

ARCHIVAL STORAGE CONDITIONS

"Archival storage conditions" means those controlled conditions that are suitable for preservation of records having permanent legal, administrative or historical value and which will prolong the useful life of any type or form of record media.

AGENCY

"Agency" or "agencies" means any board, body, department, commission, or office of an official in the State of Idaho, or any political subdivision thereof, or any public board, body, commission or authority created pursuant to law.

AIIM

"AIIM" means the Association for Information and Image Management (AIIM), a standards-setting body affiliated with the American National Standards Institute (ANSI), which is the principal developer of standards for microforms and information storage technologies involving images, such as optical disks and scanners. The address of the association for the purpose of ordering publications is as follows:

Association for Information and Image Management
AIIM Publication Sales
1100 Wayne Ave., Suite 1100
Silver Spring, MD 20910-5603
Telephone: (301) 587-8202
Fax: (301) 587-2711

ANSI

"ANSI" means the American National Standards Institute (ANSI), a private national standards organization in the United States, which coordinates the development and maintenance of various industry standards. ANSI serves as the United States' representative to the International Organization for Standardization (ISO). The institute's address is as follows:

American National Standards Institute
11 West 42nd St., 13th Floor
New York, NY 10036
Telephone: (212) 642-4900
Fax: (212) 302-1286 (orders only)

ARMA

"ARMA" means the Association of Records Managers and Administrators International (ARMA), which is the principal records and information management association in the United States and Canada, and one of the organizations accredited by the American National Standards Institute (ANSI) to develop records management standards. The association's address is as follows:

Association of Records Managers and Administrators International
4200 Somerset Dr., Suite 215
Prairie Village, KS 66208
Telephone: (800) 422-2762
Fax: (913) 341-3742

ASCII

"ASCII" means American Standard Code for Information Interchange, a binary code used as a common denominator between incompatible formats, since most applications can export and import ASCII files.

ASTM

"ASTM" means American Association for Testing and Materials. The address of the association is as follows:

American Association for Testing and Materials
916 Race Street
Philadelphia, PA 19103

EBCDIC

"EBCDIC" means Extended Binary Coded Decimal Interchange Code, a data code used in IBM mainframes and other midrange computers that stores one alphanumeric character or two decimal digits within a byte.

DOD

"DoD" means Department of Defense, a cabinet-level agency of the United States government, which establishes standards for the department's functional community for use in automated information systems. The Department's address for the purpose of ordering publications is as follows:

Department of Defense
Defense Technical Information Center (DTIC)
8725 John J. Kingman Rd., Suite 0944
Fort Belvoir, VA 22060-6218
Telephone: (800) 225-3842

FIPS

"FIPS" means Federal Information Processing Standard. The standard cited in this rule is available from:

National Technical Information Service
Department of Commerce
Springfield, VA 22161

FILM ENCLOSURE

"Film enclosure" means any item in close or direct contact with photographic film or microfilm , such as reels, cores, spools, cassettes, magazines cans, canisters, folder, envelopes, cartons, sleeves or aperture cards, used to house, store or protect the such film.

FIRE-PROTECTIVE STORAGE FACILITIES

"Fire-protective storage facilities" means storage facilities designed to protect records against excessive temperatures, water and other fire-fighting agents, steam or other gases produced by burning insulation and other building materials, and collapsing structures.

FIRE-RESISTIVE VAULTS

"Fire-resistive vaults" means vaults as defined in ANSI/NFPA 232-1980.

INACTIVE RECORDS

"Inactive records" means records no longer required in the conduct of current business that can therefore be accessioned by an archival repository, temporarily stored in a records center or destroyed. These are records with a reference rate of less than one search per letter size file cabinet drawer, or one cubic foot of documents, per month.

IEEE

"IEEE" means the Institute of Electrical and Electronic Engineers, the world's largest technical professional organization, which establishes standards in the fields of electrical, electronics and computer engineering. The Institute's address for the purpose of ordering publications is as follows:

Institute of Electrical and Electronic Engineers
IEEE Computer Society Press
Customer Service Center
10662 Los Vaqueros Circle
P.O. Box 3014
Los Alamitos, CA 90720-1314
Telephone: (800) CS-BOOKS
Fax: (714) 821-4641

IES

"IES" means the Institute of Environmental Sciences, which is a professional society of engineers, scientists and educators from industry and academic institutions in the environmental sciences. The institute's address is as follows:

Institute of Environmental Sciences
940 East Northwest Highway
Mt. Prospect, IL 600056

INSULATED RECORD CONTAINERS (CLASS 150)

"Insulated record containers (Class 150)" means record storage containers as defined in ANSI/UL 72-1983.

ISO

"ISO" means the International Organization for Standardization, which coordinates national standards bodies worldwide. The organization's address is as follows:

International Organization for Standardization
Central Secretariat
1, rue de Varembre
Case postale 56
CH-1211 Geneve 20
Switzerland
Telephone: 41 22 749 01 11
Fax: 41 22 733 34 30

LONG-TERM STORAGE

"Long-term storage" means storage conditions that are suitable for ensuring a minimum useful life of a record or series of records required by a Federal or State statute or regulation to be retained by the originating agency for 10 or more years after creation, filing, or completion.

NAPM

"NAPM" means National Association of Photographic Manufacturers, which is a trade and technical information organization of photographic products manufacturers and suppliers and standards developer for the fields of photography and optics. Standards secretariat and developer for ANSI/NAPM IT (Imaging Technology) committees, ISO TC42-Photography and ISO TC172-Optics and optical instruments. The organization's address is as follows:

National Association of Photographic Manufacturers
550 Mamaroneck Ave.
Harrison, NY 10528
Telephone: (914) 698-7603
Fax: (914) 698-7609

NBS

"NBS" means National Bureau of Standards, now the National Institute of Standards and Technology (q.v.).

NFPA

"NFPA" means National Fire Protection Association, an international nonprofit organization producing scientifically-based consensus codes and standards, research, and education programs for fire and related safety issues. The address of the association is as follows:

National Fire Protection Association
1 Batterymarch Park
Quincy, MA 02269-9101
Telephone: (617) 770-3000
Fax: (617) 770-0700

NISO

"NISO" means the National Information Standards Organization, which is the principal United States organization for the development of library, archival and information management standards. Its members include the Society of American Archivists (SAA), National Archives and Records Administration (NARA), American Library Association (ALA), and the Association for Information and Image Management (AIIM). The address of the organization for the purpose of ordering publications is as follows:

National Information Standards Organization
NISO Press Fulfillment
P.O. Box 338
Oxon Hill, MD 20750-0338
Telephone: (800) 282-NISO (282-6476)
Fax: (301) 567-9553

NIST

"NIST" means the National Institute of Standards and Technology, formerly the National Bureau of Standards, the principal standards agency within the United States government. NIST oversees the development of Federal information processing standards and conducts related studies for other Federal agencies. The institute's address for the purpose of ordering publications is as follows:

National Institute of Standards and Technology
National Technical Information Service (NTIS)
U.S. Department of Commerce
Telephone: (703) 487-4650

NML

"NML" means National Media Laboratory, an industry consulting group supporting U.S. government evaluation, development, and deployment of advanced storage media systems. The laboratory's address for publications is:

National Media Laboratory
Publications and Technology Transfer
Bldg. 235-3A-20
St. Paul, MN 55144-1000
Telephone: (612) 736-4969

PERMANENCE

"Permanence" means the capacity to retain properties such as strength and color over extended periods of time, as influenced by internal factors (e.g. chemical composition) and external conditions (e.g. light, temperature, relative humidity, and atmospheric contaminants). The current trend is to substitute the term "life expectancy" for "permanence."

PUBLIC RECORD

"Public record" or "records" means any and all public records as defined in Idaho Code.

RECORDS STORAGE FACILITY

"Records storage facility" means a records center or other facility maintained and administered for the storage, maintenance, and reference use of public records pending their ultimate disposition.

RELATIVE HUMIDITY

"Relative humidity" means the ratio of the quantity of water vapor in the atmosphere to the quantity of water vapor which would saturate the atmosphere at the existing temperature. Also, the ration of the pressure of water vapor present in the atmosphere to the pressure of water vapor required to saturate the air at the existing temperature.

SAA

"SAA" means the Society of American Archivists (SAA), the oldest and largest organization for archives and archivists in North America. The association establishes standards and guidelines for the identification, preservation and use of records of historical value. The society's address is as follows:

Society of American Archivists
600 S. Federal, Suite 504
Chicago, IL 60605
Telephone: (312) 922-0140
Fax: (312) 347-1452

STATE HISTORICAL RECORDS ADVISORY BOARD

"State Historical Records Advisory Board" or the "SHRAB" means the state board, appointed by the Governor, under the authority of federal statutes governing the National Archives and Records Administration (44 U.S.C. 2104) and in federal regulations governing the National Historical Publications and Records Commission NHPRC) (36 C.F.R. Part 1206). SHRAB also derives its purpose from federal statutes that are NHPRC's statutory authority (44 U.S.C Chapter 25). The Mission of the Idaho State Historical Records Advisory Board is to be an advocate for the creation, preservation, dissemination and use of information that accurately chronicles the people and institutions of Idaho, both public and private.

STORAGE HOUSING

"Storage housing" means a physical structure supporting items enclosing or holding records and may consist of racks, shelves, drawers or cabinets.

UL

"UL" means Underwriters Laboratory Inc., a provider of product safety certification and quality system registration services. The corporation's address is as follows:

Underwriters Laboratory Inc.
333 Pfingsten Rd.
Northbrook, IL 60062
Telephone: (847) 272-8800

APPENDIX 5: DISASTER PREPAREDNESS

Before a disaster occurs, each agency should develop a disaster preparedness plan for their records. A disaster preparedness plan details how records and information should be protected in the course of normal operations, and how they should be handled in recovery efforts after an actual disaster. The Historical Society will aid agencies in setting up a disaster plan for their records.

EMERGENCY PROCEDURES FOR THE RECOVERY OF PAPER RECORDS

In the event of a disaster, work must begin immediately to care for vital records.

Some general guidelines are as follows:

- Assess the damage. Determine the extent and kinds of damage, and the volume of records damaged.
- Set priorities for recovery using your disaster preparedness plan as a guide. Records which are still active, necessary for current business, and were not duplicated elsewhere, should receive attention first.
- Prepare a damage assessment and control worksheet for each damaged records series and organize by file cabinet, shelf unit, or by other logical grouping. The worksheet should note the records series title, original location of the records, damage incurred, and restoration plan and priority.
- Transfer damaged records to temporary storage or to an area where restoration can begin.

Professional assistance is available from the State Historical Society. Call 334 - 2682 from 8:00 A. M. to 5:00 P. M. Monday through Friday and Building Security at 334 - 2222 at all other times.

FIRE DAMAGE

Closely packed paper burns with difficulty; therefore, the damage caused by fire may be superficial.

***Salvage Procedures**:*

- Remove documents from containers
- Gently spread papers out to inspect the extent of the damage.

For minimum damage (smoke damage, sooty, lightly charred at edges):

- Allow paper to dry in an open place

- Clean gently with a soft brush
- Humidify by circulating moist air
- Re-file in clean folders and place in new or restored cabinets

For moderate damage (edges heavily charred, paper discolored by heat, very dirty, brittle):

- Spread papers out in a very humid, well-ventilated area
- Brush off the worst dust and soot
- Re-file in clean folders, or make copies and discard the originals, depending on the documents' retention value and reference rate

For badly damaged (badly charred, very dirty, extremely brittle):

- Separate pages
- Remove surface soot or dirt if possible
- Copy, microfilm, or use infrared photography if necessary
- Discard originals

Burnt documents

- Discard. Complete an inventory of the records that have been destroyed, if the records can be identified.

WATER DAMAGE

Mold damage, disintegration, and the bonding of paper into inseparable mats are the main problems resulting from water damage. Quick action is the key to recovery of water-damaged records. After twenty-four hours, mold begins to grow, and paper fibers begin to bond between the pages or turn into paper pulp.

***Salvage Procedures**:*

- Drain excess water from records
- Remove additional moisture by blotting with an acid-free paper
- Spread out in warm, dry, well-ventilated room
- Flatten while still slightly damp
- Fumigate to kill mold spores
- Clean with a soft brush to remove dead mold spores
- Place into clean folders and re-file

If there is a large volume of damaged records (more than a few cubic feet), it is best to freeze the records immediately. Freezing arrests further damage and allows for the treatment of small batches over a longer period of time. Arrangements for deep-freezing can be made with most local cold-storage companies.

RECOVERY REFERENCES

For more extensive information on records disaster prevention, planning, and recovery techniques of disaster-damaged records, including nonpaper media such as film and magnetic tapes, a manual titled “Disaster Preparedness” may be obtained from the State Archives.

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APPENDIX 6: SAMPLE RECORDS MANAGEMENT POLICY

The following generic policies can be used in the development of a records management policy.

DEFINITION OF STATE OF IDAHO RECORDS

All papers, correspondence, memoranda, accounts, reports, maps, plans, photographs, sound and video recordings, files, microfilm, magnetic, or paper tapes, punched cards, or other documents, regardless of physical form or characteristic, which have been or shall be created, received, filed, or recorded by State of Idaho employees in pursuance of law or in the conduct, transaction, or performance of any business or duty, whether or not confidential or restricted in use, are hereby declared to be records of the State of Idaho. These records shall be created, maintained, and disposed of in accordance with the provisions of law or procedures authorized by the Department of Administration and in no other manner. Materials acquired solely for reference, exhibit, or display, and stocks of publications shall not constitute records for purposes of this definition.

RECORDS DECLARED PUBLIC PROPERTY

All State of Idaho records are declared to be the property of citizens of Idaho. No government official or employee has, by virtue of his or her position, any personal or property rights to such records even though he or she may have developed or compiled them. The unauthorized destruction, removal from files, or private use of such records is prohibited.

RECORDS MANAGEMENT PROGRAM STATEMENT

A Records Management Program shall implement agency-wide policies and standard procedures for managing records according to the provisions of the Public Records Act and all other state and federal statutes and regulations which govern agency records management practices, including:

- Effective compliance with public disclosure requirements;
- Insurance of records systems integrity and accessibility;
- Transfer of historically valuable records to the State Archives;
- Removal of non-current records from active office storage;
- Protection and security backup of records essential to agency authority and operations;
- Disaster preparedness; and
- Systematic identification and disposal of records which have reached the end of the retention period specified on the retention schedule.

RECORDS MANAGEMENT POLICY

All governmental agencies, offices, etc. shall provide efficient, economical, and effective controls over the creation, distribution, organization, maintenance, use, and dispositions of all State of Idaho records through a comprehensive system of integrated procedures for the management of records from their creation to their ultimate disposition. A Records Officer shall administer a Records Management Program that will coordinate records management operations and direct and control the disposition of public records in accordance with laws and established procedures.

All agency heads are responsible for the implementation and operation of effective files operations, records transfers and dispositions, and other records maintenance activities in their areas of responsibility. Records coordinators shall be designated within their area to provide support for the Records Officer and to oversee records management in their assigned area.

The Records Coordinators will work with the Records Officer to ensure that:

- Records are accessible for public inspection and their security is maintained according to the provisions of the Public Disclosure Act.
- All information systems preserve the integrity and accessibility of public records for the duration of the established retention periods.
- Only active (referred to at least once per month) records are stored in valuable office space.
- Non-current records are shifted to low-cost records center storage on a regular basis.
- Records essential to agency authority and operations are adequately protected from damage or loss.
- The agency is prepared to recover or replace records damaged or lost in a disaster.
- Historically valuable records are preserved and transferred to the State Archives.
- Records are destroyed at the end of the retention period specified on the approved retention schedule.

RECORDS OFFICER RESPONSIBILITIES

- Plan, formulate, and prescribe basic files management and records disposition policies, system, standards, and procedures.
- Prepare records retention and disposition schedules in cooperation with agency staff, define and identify vital, historical, and/or permanent records; and establish retention periods for all records in accordance to laws, regulation, agency requirements, etc.
- Provide records management advice and assistance by preparing policies and/ or procedures and on-site consultation.
- Develop, disseminate, and coordinate files maintenance, records disposition procedures, or computer assisted retrieval programs to meet current and long-term needs of the agency.
- Establish and monitor compliance with standards for filing and storage equipment throughout the agency. Keep detailed records of equipment,

supplies, and staff costs, including the amount of storage space and equipment released for other uses and suggested changes to enable management to realize the greatest efficiency and effectiveness in records management.

- Develop a forms design and control system, micrographics controls and procedures, electronic records management policies and procedures, etc.
- Train other personnel in the fundamentals of records management and their role in the records management program.
- Review retention schedules annually and update or amend as needed.
- Coordinate file management and records disposition.
- Implement destruction and transfers that are required by the records retention schedule.
- Develop a disaster plan to insure maximum availability of records for re-establishing operations quickly with minimum disruption and expense.
- Ensure the preservation of historically valuable records.
- Prepare reports and budgets for the Records Management Program as needed.

NON-CURRENT RECORDS NOT TO BE FILED IN OFFICE FILES

Records that are no longer required to support current operations shall be transferred to less costly off-site storage, or be destroyed when such action is indicated by an approved records schedule. Non-current records shall not be maintained in active office files or equipment.

ARCHIVES

An archives site shall be established to store inactive records and shall insure the security of such records from deterioration, theft, or damage during the period of storage and shall include fast, efficient retrieval of information from these stored records.

Permanent preservation of historically valuable records shall also be provided, and unless otherwise restricted by law or regulation, shall be open to the public for research purposes. Transfer to the State Archivist will be coordinated by the Records Officer.

The transfer of public records to any records storage center or other type of facility shall not take place without a detailed transfer list.

DEVELOPMENT OF RECORDS RETENTION AND DISPOSITION SCHEDULES

All State of Idaho offices shall adopt records retention and disposition schedules and destroy, transfer, or otherwise dispose of records in accordance with the policies set forth by the records schedules.

Retention periods shall be included in the records schedule which shall be submitted to the Records Officer and agency officials for approval or objection to any retention period listed on the schedule within a (designated time). At the expiration of the (designated time), if no objection has been made, the records schedule shall be adopted and shall have the full force as sufficient authorization for records destruction or other action. If an objection is made the Records Officer in cooperation with other authorities shall determine an appropriate retention period and shall revise the schedule and notify the originating office.

When a records retention schedule is adopted, it shall constitute full authority to transfer, microfilm, image, archive, destroy, or take other actions with respect to government records. The agency must keep documentation (as required in SG0035) of these activities.

The Records Officer shall coordinate all intended destruction activities. Any public records that are to be destroyed and are not listed on an adopted records retention schedule must also have a detailed destruction list prepared. The list and a written notification of intended destruction shall be sent to the appropriate authorities for their approval.

ONE-TIME DESTRUCTION OF OBSOLETE RECORDS

Prior to the implementation of the records management program, a one-time destruction of obsolete records may be made by or under the supervision of the Records Officer. Prior to such destruction the Records Officer shall submit to appropriate authorities for approval detailed lists that identify which records are to be destroyed.

MICROGRAPHICS STANDARDS

Microfilm used for archival or security purposes must meet the technical standards as defined by the American National Standards Institute (ANSI) or as required by law. The master negatives shall not be used for making copies and shall be stored off-site under the environmental and security standards of ANSI. Microfilm records must be indexed. The employee that films the records shall check and certify that the microfilm record is a true and accurate duplication of the original record and shall cause the certification to be included as part of the microfilm record.

The public is given identical access to records on microfilm to which they would be entitled to under law if the records were in any other medium. A reasonable fee can be charged for reproduction of official or unofficial copies from records on microfilm.

The Records Officer shall determine the length of time the various records could be stored before the cost of storage during their retention periods would exceed the cost of preserving them in microfilm. Additionally, the following records may also be considered for microfilming:

- Records whose historical value is best insured by microfilming.
- Records whose information is indispensable to continued business operations, and therefore require a security copy.
- Records which require high volume retrieval and/or numerous copies to be made, and which could be made more efficiently or economically by using microfilm.

APPENDIX 7: GUIDELINES FOR MANAGING E-MAIL IN STATE OF IDAHO GOVERNMENT AGENCIES

INTRODUCTION

Electronic mail (e-mail) is an important communication tool for conducting government business in the State of Idaho. Increasingly, government agencies use e-mail systems to distribute memos, circulate drafts, disseminate directives, transfer official documents, send external correspondence, and support various aspects of government operations. Well-designed and properly managed e-mail systems expedite business communications, eliminate paperwork, and automate routine office tasks. More advanced office systems being contemplated by State government will employ mail frameworks in more complex work flow and document management processes, and move more government record keeping to online computerized systems.

Because of the dynamic and often informal nature of e-mail, many questions have arisen over the official and legal status of e-mail messages. **Idaho Code Section 9-338**, "Public Records -- Right to Examine," Information Technology Resource Management Council's ("ITRMC") **Information Technology Policy P1040**, "Employee Electronic Mail and Messaging Use," and **ITRMC Information Technology Standard S2120**, "Electronic Mail - Messaging" were developed to comply with ITRMC's Policies and the *Records Management Guide,* to clarify agency responsibilities in meeting the requirements of the Idaho Code, policies and standards mentioned above, and represent best practices that are designed to assist agencies in implementing the requirements.

Since e-mail meets the statutory definition of a public record in the State of Idaho, it is subject to management requirements which may not be obvious. For example, e-mail may be subject to public records requests, yet its users may have inappropriate expectations of privacy and informality. E-mail may be destroyed inappropriately or it may be accumulating in systems when it should more properly be destroyed after it no longer has value to the agency. Case law shows that e-mail certainly is discoverable under actions brought against the government and its inappropriate retention, therefore, brings risk. This document will provide State agencies with current guidelines and best practices to assist in the management of their e-mail records.[1]

1. This document was developed by the State of Idaho's State Records Center (**http://adm.idaho.gov/purchasing/record_cnt.htm**) and the Idaho State Historical Society's State Archives (**http://www.idahohistory.net/**) departmental staff, with the advice and assistance of members of ITRMC (**http://www2.state.id.us/itrmc/**), to assist State agencies with the management of their e-mail.

DEFINITIONS

The very term “e-mail” is confusing because it is used synonymously to mean both the e-mail system and the messages distributed by the system. It can also be used to describe the action of sending or receiving an e-mail message. For the purposes of this document, the word “e-mail” is distinguished by the following terms:

E-MAIL SYSTEMS

E-mail systems are the applications that enable users to compose, transmit, receive and manage text and/or graphic e-mail messages and images across Local Area Networks (“LAN”) and Wide Area Networks (“WAN”) and through gateways connecting the latter with the Internet. Within the State of Idaho government, the e-mail environment is almost exclusively Microsoft Outlook based.

E-MAIL MESSAGES

E-mail messages are any communication supported by e-mail systems for the conduct of official agency business internally, between other state, local and federal agencies, and externally with constituents, voters, vendors, clients, citizens and others. This definition applies equally to the contents of the communication, the transactional information associated with each message, and any attachments to the body of the message.

E-MAIL SERVER

E-mail server is the hardware on which the application resides. For most State agencies, this server is housed and physically managed within their department. Messages stored on this server belong to the agency. **Any public records requests for messages stored on these servers will be handled by the agency.** For proper records management, e-mail messages need to be moved off of this server and stored in a secure environment under the agency’s control.

TRANSACTIONAL INFORMATION

Transactional information is information about the e-mail message (“metadata”). It can include the name of the sender and all recipients, the date and time the message was created and sent, the host application that generated the message, and all of the systems and computers the message was routed through. Some or all of this metadata may or may not be a visible part of the message. The federal courts have ruled that this information is a vital part of the message itself, an important consideration when storing e-mail messages.

MANAGING E-MAIL MESSAGES AS PUBLIC RECORDS

E-mail messages are a form of business communication and they contain information about business activities which, like records in other formats, are subject to audit, public records requests, and to legal processes such as discovery and subpoena. E-mail messages sent or received in the course of business transactions are government

records and must be retained and managed for as long as they are needed for administrative, fiscal, legal or historical requirements.

IDENTIFICATION OF E-MAIL MESSAGES

The first step after receiving a message is to determine if the message is an agency record and then establish what kind of record the message is. While the agency records officer should be the person coordinating the records management activities of the agency, the originator of the record (i.e., author of the message) and/or the recipient are usually the persons who make the initial retention decision based on the nature of the message within the scope of his or her responsibilities.

The first question that needs to be asked is, **"Is the e-mail related to agency business?**"

Figure 1.1, "Decision Sequence for Determining E-Mail Retention," illustrates the steps in this process.

If the answer is "No," then the message is considered "**non-record**" material. Non-record material has nothing to do with the actions of the agency and should be deleted immediately. Examples may include:

Personal Messages:
Employees need to be trained that the e-mail system is provided by the State for work use primarily. While a certain amount of personal material may be acceptable, abuse of the system can lead to disciplinary action and even dismissal. All agencies should have an appropriate use policy that determines the amount of personal messages acceptable on the system. (See **ITRMC Information Technology Policy P1040**, "Employee Electronic Mail and Messaging Use")

Spam:
"Spam" is the term for electronic "junk" mail. It is similar to the advertising mail that you get at home. It is completely unsolicited and unwanted. Some spam mail can be offensive in nature and sent by hackers as a way of disrupting normal business operations. Spam is a growing problem in government e-mail accounts. While there are tools and techniques for restricting the amount of spam you receive, there are currently no ways to keep it out completely without interfering with the ability to receive important messages. Agencies should contact their IT staff if they are receiving large amount of spam e-mail.

Unsolicited E-Mail:
Unsolicited e-mail could be considered a type of spam, but in this context is referring to mail that may be unwanted but is somewhat business related, such as advertising from vendors. This could also include non-work related e-mail from co-workers, such as jokes, miscellaneous news articles, non-work related announcements, etc. As with personal messages, an agency e-mail use policy needs to spell out how much non-work related e-mail can be on the system.

If the message is business related, then the message needs to be classified as to the appropriate type of record it is. The proper retention period should then be applied.

VALUE AND RETENTION OF E-MAIL RECORDS

All e-mail messages do not have the same value to the agency and, therefore, do not have the same retention period. The information in the e-mail, the reason it was created, and the administrative, fiscal, legal and/or historical value of the e-mail to the agency determines what kind of record the message is. The majority of e-mail messages in most agencies are minor administrative records having only brief convenience or reference value. However, e-mail is used to transmit records having significant administrative, legal, research or other value and may need to be retained long-term while some may need to be retained permanently.

As public records, e-mail messages are subject to the same retention requirements as the same type of record, not the medium or format. This means that e-mail messages must be retained and disposed of in the same manner as the agency's other records according to the records retention scheduled approved by the State Records Center and the Idaho State Historical Society State Archivist and the records committee for that agency. Retention periods for e-mail records will vary according to the information the messages contain and the functions the messages perform. Just as an agency cannot schedule all paper or microfilm records together under a single retention period, an agency cannot simply schedule e-mail as a single record series.

Any record, paper or electronic, should not be destroyed if it is the subject of a public records request and/or legal action (e.g., discovery motion, subpoena, court order, etc.). Even if the retention period for the record allows for its destruction, it must be retained until the public records request (including any and all appeals) and/or the legal action is completed. Agencies should establish procedures for dealing with public records requests.

E-mail messages may have one of three different values depending on the information in and the function of the message to the agency: (Many of these types of records are found in the *Records Management Guide*, although they may also be covered in the agency-specific schedule.)

Informational and Reference Material:

Informational and reference material are transitory in nature, are of no meaningful value to an agency for documenting its policies, establishing guidelines or procedures, or to certify transactions, and may be destroyed as soon as they are no longer needed. Most e-mail messages fall into this category. Some examples of these types of messages are communications received from a professional listserv (not used for project development or creation of policy) or general announcements received by all employees, such as news of an upcoming fire drill or impending building repair. These records can be disposed of when they are no longer needed as outlined in the schedule:

> *Records Management Guide* - Administrative Records
> Series **SG 0042 - Working Papers**
> *Disposition:* Retain by agency until administrative need ends, then destroy.

Temporary Records:
Temporary records have some documentary value to the agency, but do not need to be retained permanently. The retention period is determined by assessing their administrative, fiscal or legal need. This time period may range from a few months to several years and should be defined in the agency's records schedule or the *Records Management Guide*. These records must remain accessible for the entire retention period specified in the schedule. E-mail records in this category should be managed and maintained like the rest of the agency's temporary records. Examples of a temporary record are (from the *Records Management Guide*):[2]

> *Records Management Guide* - Administrative Records
> Series **SG0018 - Correspondence (Routine)**
> *Disposition:* Retain by agency for 3 years and then destroy.

Permanent Records:
Permanent records are programmatic records of the agency that have lasting historical value because they document the function and duties of the agency over time. For State agencies, these records may eventually be transferred to the Idaho State Historical Society's State Archives for storage. Examples of a permanent record are (from the *Records Management Guide*):

> *Records Management Guide* - Administrative Records
> Series **SG0014 - Executive Correspondence**
> *Disposition:* Permanent. Contact State Archivist.

RESPONSIBILITY FOR RETENTION

Once it has been determined that an e-mail message is a record that needs to be retained, you need to determine who in the agency is the one responsible for retaining it: the sender or the recipient.

Figure 1.2, "Determining Responsibility for Retaining E-Mail Messages," provides an outline for determining who has this responsibility for retaining the e-mail message.

If the message comes from outside of the agency, this record represents incoming correspondence and should be retained by the person in the agency who received the message and acted on it. An exception to this would be if someone else (such as another section or division) in the agency is responsible for handling the action required to deal with the e-mail, the initial recipient may forward it to that person who would be responsible for filing the message.

If the message is sent and received by personnel within the same agency, not all of them need to retain a copy of the same message. If the message that was sent was not altered in any way (responded to, edited, had attachments added, etc.), then the original sender has the responsibility for retaining the message. If a recipient did make alterations to a

2. The examples used here are records common to all agencies. Other types of e-mail records that are specific to an agency may be found in the individual agency's records retention schedule.

message, then the recipient would be responsible for retaining the message. If there is a string of multiple replies between two or more people to the same message, then only the last reply needs to be saved **only if all of the replies and comments are captured in the final message.** This is done by ensuring that the "include original message text" feature is activated for any replies and forwards.

FILING STRUCTURES

Employees should be trained in using the agency's e-mail application to create folders for organizing their e-mail messages. An organized system of folders helps individuals in separating informational, temporary and permanent records and can help ensure that important records are not accidentally lost or misplaced. Folders are especially helpful if the individual's filing structure mirrors that of the agency, especially if the agency employs an electronic record keeping system.[3] The agency should develop a standardized system for naming files and folders to avoid confusion over the contents of a file.

Figure 1.3, "Sample Filing Structure for E-Mail," provides a sample filing structure for an individual's e-mail account.

This should be a location on the agency's network that is secure and backed-up on a regular basis. All agencies need to establish logical and coherent filing structures and naming conventions for creating folders on the agency's network drive(s). An organized system of folders helps individuals in separating and classifying informational, temporary and permanent records and can help ensure that important records are not accidentally lost or misplaced. Employees need to be trained in how to create folders in Outlook and where/how to place the folders on the network drive(s).

These folders **should not be located on the individual's workstation** (their "C" drive). This is not a secure location and is not backed-up to protect from accidental loss. The folders should also not be located in the Outlook "Inbox." These folders should be located in the "personal folders" section created for that individual located on the agency network or in an electronic record keeping system if the agency employs one. (See "**Preservation of E-Mail Records, Near-Line Storage**") Agencies should utilize their IT staff to assist with the proper placement of Outlook or other network folders.

ACCESSIBILITY OF E-MAIL RECORDS

Because e-mail messages are public records, they are subject to the same public records' requirements as any of the agency's other public records. The legal issues governing this access are frequently very complex. E-mail messages must be managed in such a way that agencies can respond promptly to public records requests.

E-mail messages that are available for public inspection must remain accessible throughout their **entire** retention period and should be maintained in a manner which permits efficient and timely retrieval. Developing a standardized system of document naming, filing, indexing and retrieval (within Outlook or grouped together with other files in

3. In the context of this document, an "electronic record keeping system" is an electronic system that stores and organizes electronic files for enhanced distribution and access. It can also be referred to as a document management system.

electronic record keeping systems), will assist an agency in maintaining the accessibility of non-exempt e-mail messages throughout the required retention period.

Appropriate measures should be taken by the agency's records custodian to insure that e-mail messages that are the subject of pending public records requests and/or litigation are not deleted from the e-mail, or other electronic record keeping system, before the request and any appeals are met. When the custodian is made aware of the request or litigation, agencies should generate a separate file that captures a complete copy of the appropriate e-mail message(s) and maintain that copy in a separate secure directory under the control of the designated records custodian for a period of thirty (30) days or as long as the case is being litigated or appealed. Documentation of this procedure (date, time and number of messages) should also be created and maintained as long as the file is maintained. Once a secure copy of the message(s) has been generated, the other copy can be handled according to the agency's records management procedures and with the principles spelled out in these guidelines.

Having e-mail messages that are inaccessible, either through hardware/software obsolescence or because of faulty indexing schemes, can be as problematic as inappropriately destroying the records and could expose the agency to legal risk. (See "**Filing Structures**" above for a sample filing structure)

PRESERVATION OF E-MAIL RECORDS

Government agencies have the responsibility for developing guidelines and procedures to incorporate e-mail messages into their overall record keeping systems following policies approved by the State Records Center. Agency administrators should also develop policies and systems designs to ensure that e-mail records are appropriately preserved, secured and made accessible throughout their established retention periods. Procedures and systems configurations will vary according to the agency's needs and particular hardware and software used.

Simply backing up the e-mail system onto tapes or other media or purging all messages after a set amount of time are not appropriate strategies for managing e-mail.

Agency records of long-term value should not be stored on individual workstations. The records should be stored on a secure drive that has the proper security features to protect the records from alteration or destruction and to provide regular back-up. Offsite employees with laptops should download their messages to the agency's network drives on a regular schedule.

ON-LINE STORAGE

On-line storage maintains e-mail messages in the e-mail application itself. This is a good method for storing temporary and short-term records (less than five [5] year retention). Microsoft Outlook does have limited capability which can be employed by using the "archiving" function in the application.

There are several advantages to storing e-mail messages in the e-mail application. The messages can be searched and retrieved quickly and easily with electronic indexing. The dynamic functionality of the messages can be retained, and the messages can be stored

in their native format. Since the agency already has the e-mail application in place, the costs are less than running the e-mail application with a parallel system.

Messages must be moved off the main e-mail server and into a secure drive or the application will not respond properly and messages could be lost.

NEAR-LINE STORAGE

Near-line storage involves the transfer of the e-mail messages and transactional information into an electronic record keeping system, other than the e-mail system itself. For example, an e-mail message dealing with a particular project could be stored in a file on the agency's network drive with other electronic files dealing with the same project. The message still retains some of its functionality, including the ability to be indexed and retrieved electronically. If the agency stores other records in electronic format, then the e-mail messages can be integrated with other related project files.

Disadvantages to storing records near-line are the potential costs for the equipment, maintenance and service for the electronic record keeping system. The agency should consider the costs and benefits, and the compatibility of their e-mail application and the electronic record keeping system. Storing messages external to the e-mail application may mean converting the messages to a different format, which could result in the loss of important information. Records with retention periods of more than five (5) years need to be migrated and possibly converted to new formats and systems as older ones become outdated. Finally, if the agency still maintains many of its records in paper, then the two systems (paper filing system and the electronic system) must be integrated and work together.

OFF-LINE (PAPER) SYSTEMS

In some cases, especially for permanent and long-term (greater than ten [10] to fifteen [15] years) records, the best preservation solution may be to print the e-mail messages, and transactional information, onto paper. This solution makes sense if the agency does not already have an electronic system in place that is designed for long-term records' protection and accessibility or if a majority of its records are kept in paper form.

The biggest advantage to off-line storage is the stability of the medium. Agencies do not have to worry about hardware and software becoming outdated and the records becoming irretrievable. E-mail messages can be filed with other records of the same type or series directly, making the retention and disposition process easier.

The disadvantage is that the e-mail messages lose their dynamic functionality as electronic documents. They cannot be searched and retrieved as quickly and efficiently as in a well-managed electronic system. Finally, with the pervasive use of e-mail applications in the course of government business, the volume of paper records will build up quickly.

PDF/A FOR LONG-TERM ARCHIVAL

The PDF/A formats specified in the **ISO 19005 Standard** strive to provide a consistent and robust subset of Portable Document Format ("PDF") which can safely be archived over a long period of time or used for reliable data exchange in enterprise and government environments.

PDF/A is targeted at reliable long-time preservation of digital documents. The standard is based on PDF 1.4, and imposes some restrictions regarding the use of color, fonts, annotations, and other elements. There are two (2) types of PDF/A-1, both of which can be created and processed with PDFlib.

PDF/A LEVELS A AND B

PDF/A-1b (formally ISO 19005-1 Level B) ensures that the visual appearance of a document is preservable over the long term. PDF/A-1b ensures that the document will look the same when it is processed some time in the future.

PDF/A-1a (formally ISO 19005-1 Level A) is based on level B, but adds properties which are known from the "Tagged PDF" type. It adds structure information and reliable text semantics in order to preserve the document's logical structure and natural reading order. PDF/A-1a not only ensures that the document will look the same when it is processed some time in the future, but also that its contents (semantics) can be reliably interpreted and will be accessible to physically impaired users.

For more information on PDF/Archives, check out the white paper at:
http://www.adobe.com/enterprise/pdfs/pdfarchiving.pdf

OTHER MANAGEMENT CONSIDERATIONS FOR E-MAIL SYSTEMS

Electronic systems share some of the same management concerns as off-line (paper) systems. Below are some considerations to help agency officials on overall management of e-mail records.

TRANSACTIONAL INFORMATION (METADATA)

This data is the information about the e-mail message that accompanies the message for routing, tracking and usage purposes. It can include the name of the sender and all recipients, the date the message was created and sent, information about the host application that generated the message, and a record of all of the systems and computers the message was routed through. In some e-mail applications, this metadata is a visible part of the message; in some applications, it is in the header; and in some other applications, the metadata is stored in a "properties" file. Transactional information is an important consideration in any information system for retention of e-mail and any legal use that may be made of an e-mail message.

DISTRIBUTION LISTS

In a distribution list, groups of recipients are referenced under a common name. For instance, if an employee is a member of a planning committee, then a list can be created that contains the e-mail addresses of all of the members of that committee. To send a message to the entire committee, the list name is typed into the "To" line of the message rather than each individual address. If such lists are used, then the names and addresses of all the list members need to be retained along with the message, if that information is important to the evidentiary value of the message. For example, knowing that a message

was sent to “Budget Committee” but not knowing the names of the recipients omits part of a documentary function the message was intended to serve.[4]

BACK-UPS AND SYSTEM SECURITY

Electronic storage systems should be backed up regularly to protect from system failures, unintentional deletions or tampering. Routine back-up procedures are for emergency recovery purposes, however, and do not constitute a long-term record keeping solution for e-mail. Recovering messages from back-up tapes can be problematic and many tapes are re-used repeatedly.

Agencies should develop procedures to provide for the security of e-mail records so that they cannot be altered or deleted, intentionally or unintentionally. This security is important to ensure that the e-mail records remain reliable and authentic evidence of the agency’s activity, for regulatory, auditing and legal accountability. The agency needs to document its procedures for handling and securing agency e-mail, who has access to the system, and maintain an audit trail tracking any alterations to messages in the system.

DELETION OF E-MAIL MESSAGES

Non-permanent records should be deleted when the proper retention period has expired. However, simply deleting the message **does not** necessarily remove it from the hard drive or server. Utility programs can be purchased to make sure hard drives are wiped clean and the messages are completely removed. This will eliminate wasted storage space and help avoid legal consequences if deleted messages are recovered. As with any of these procedures, the destruction policy needs to be well documented and followed by all levels of the agency.

Expired messages should be removed from back-up tapes of both the e-mail server and from any other electronic record keeping system the agency may employ. Even if the e-mail messages have been properly deleted from the electronic files, messages on back-up tapes are still discoverable and could present legal liability to the agency.

CONTROL OF COPIES

Because e-mail messages can be forwarded and routed to multiple addresses, copies of the messages could exist after the retention period has expired. All agency staff should be trained in identifying what constitutes the official or “record” copy. In most cases, the author or creator and/or the principal recipient of the e-mail message is responsible for maintaining the record copy, but the retention for other copies is governed by the function the record plays in documenting the work of the recipient. Employees should be encouraged to delete unofficial copies of messages as soon as possible.

WHEN AN EMPLOYEE LEAVES

Any time an employee leaves an agency, the employee’s e-mail messages need to be reviewed by the appropriate personnel to ensure that any records are properly classified

4. Ad-hoc lists created in an individual “Contacts” folder put the individual addresses in the message. However, lists that are on the global list in Exchange only put the name of the list on the message. One work around for this is for the sender to blind copy (“BCC”) themselves and they will receive a message with all of the addresses listed that can be filed for record keeping purposes.

and stored, and that any non-records are disposed of in the correct manner. This should be done before the former employee's account is removed form the e-mail server. Ideally, the employee would be doing this type of file management on a regular basis, just as they do with paper files. Employee exit procedures, however, should verify that records remaining in an e-mail account are appropriately transferred to others within the organization or deleted, as is dictated by retention schedules.

If the employee had personal messages on the e-mail system, the agency is under no obligation to retain that information. However, in cases where the employee was dismissed or demoted due to misuse of the e-mail system, these messages may be used as evidence by the agency or the employee in responding to the charges. While the agency is not obligated to retain non-business related material, it cannot destroy evidence and may be required to allow the employee access to these messages in order to rebut the charges.

Agencies should, in consultation with their legal counsel, come up with written procedures for the handling of the e-mail account of dismissed employees. The procedures should include:

- How the dismissed employee's account will be handled. The messages could be filed off to a secure folder on the agency's network drive, CD-ROM, etc.;
- Who will review the messages. This should be someone in the agency who is familiar with the records that could be in the employee's e-mail account and has the authority to make decisions about deleting records;
- The agency should retain the messages in the employee's account for at least fifty-one (51) days to allow for appeals of disciplinary actions to the Idaho Personnel Commission. Once an appeal is made, then messages must be retained for the duration of any legal investigation, audit, lawsuit or administrative hearing; and
- If no appeal is made in that fifty-one (51) day period, then the non-record messages may be deleted.

EMPLOYEE TRAINING

All agency employees should be trained in using the records retention schedule to identify and classify the records they create. They should be aware of proper retention and disposition procedures and of who to contact when records need to be transferred out of their custody. Because individual employees have direct control over the creation and distribution of e-mail messages, agencies should provide training for their employees on agency e-mail procedures. Depending on the type of e-mail and record keeping system an agency uses, policies and procedures will vary.

In addition to those mentioned previously, the following issues should be addressed in any e-mail policy:

APPROPRIATE USAGE OF E-MAIL SYSTEMS

The e-mail system is provided, at the agency's expense, to assist employees in carrying out government business. The e-mail system is property of the agency and the agency has the right to monitor and review the use of the system. The courts have been fairly consistent about the use of computing resources at the workplace, especially the government workplace, for personal transactions: these transactions are not private, nor do they belong to the individual.[5] E-mail should be used only to transmit business related information. Every agency should develop a written policy statement for its employees regarding appropriate usage of an e-mail system. **ITRMC Information Technology Policy 1040**, "Employee Mail and Electronic Messaging Use," provides the minimum requirements for an agency to follow.

E-MAIL CONFIDENTIALITY / PRIVACY

E-mail messages travel through several computers and networks and could be captured and viewed at any point along the way. E-mail communications should be used with the assumption that a message might be read by many people, not just the intended recipient. Sensitive or confidential information should not be transmitted via e-mail unless the proper protocols have been followed to secure the message.

Because e-mail has become such a commonly used business communication tool, care needs to be taken to protect personal privacy rights of other co-workers (or any other third party). While information of a personal nature (social security numbers, home telephone numbers and addresses, medical conditions, etc.) should not be included in e-mail messages, it is unreasonable to expect staff to not use the benefits of the messaging system for this type of communication. While these messages are usually exempt from public records requests, they could be stored in an Inbox with non-exempt messages and exposed inadvertently.

SUBJECT LINES

Proper use of clear and concise subject lines helps in identifying the content of e-mail messages and in indexing and retrieving e-mail messages stored in electronic record-keeping systems. Clear, concise subject lines are also a courtesy for the recipient in identifying important messages from the sea of unimportant junk, or spam, e-mail that a person may receive. A good subject line should be as descriptive as possible about the content of the message. Below are some examples of good and bad subject lines:

5. See **ITRMC Information Technology Policy 1040**, "Employee Mail and Electronic Messaging Use."

POOR OR CONFUSING SUBJECT LINES	GOOD OR DESCRIPTIVE SUBJECT LINES
Helpful Info	Contact Info
Report	Quarterly Financial Report
Minutes	Jan 99 Board Minutes
Important	Revised Admin. Procedures
Today?	Lunch Plans Today?
News	New Agency Head Appointed

VIRUSES

Government agencies are one of the most popular targets for people trying to disrupt computer systems. Many viruses can be attached to e-mail messages sent to government recipients without the sender's knowledge. Agency staff members may even receive viruses from someone they know and trust. Agencies should establish policies regarding the opening of e-mail attachments and for system security.

This discussion covers only the most basic issues involved in a very complex subject. In preparing e-mail policies and procedures, agencies should involve the agency's information technology, records management and legal counsel staff.

FIGURE 1.1: DECISION SEQUENCE FOR DETERMINING E-MAIL RETENTION

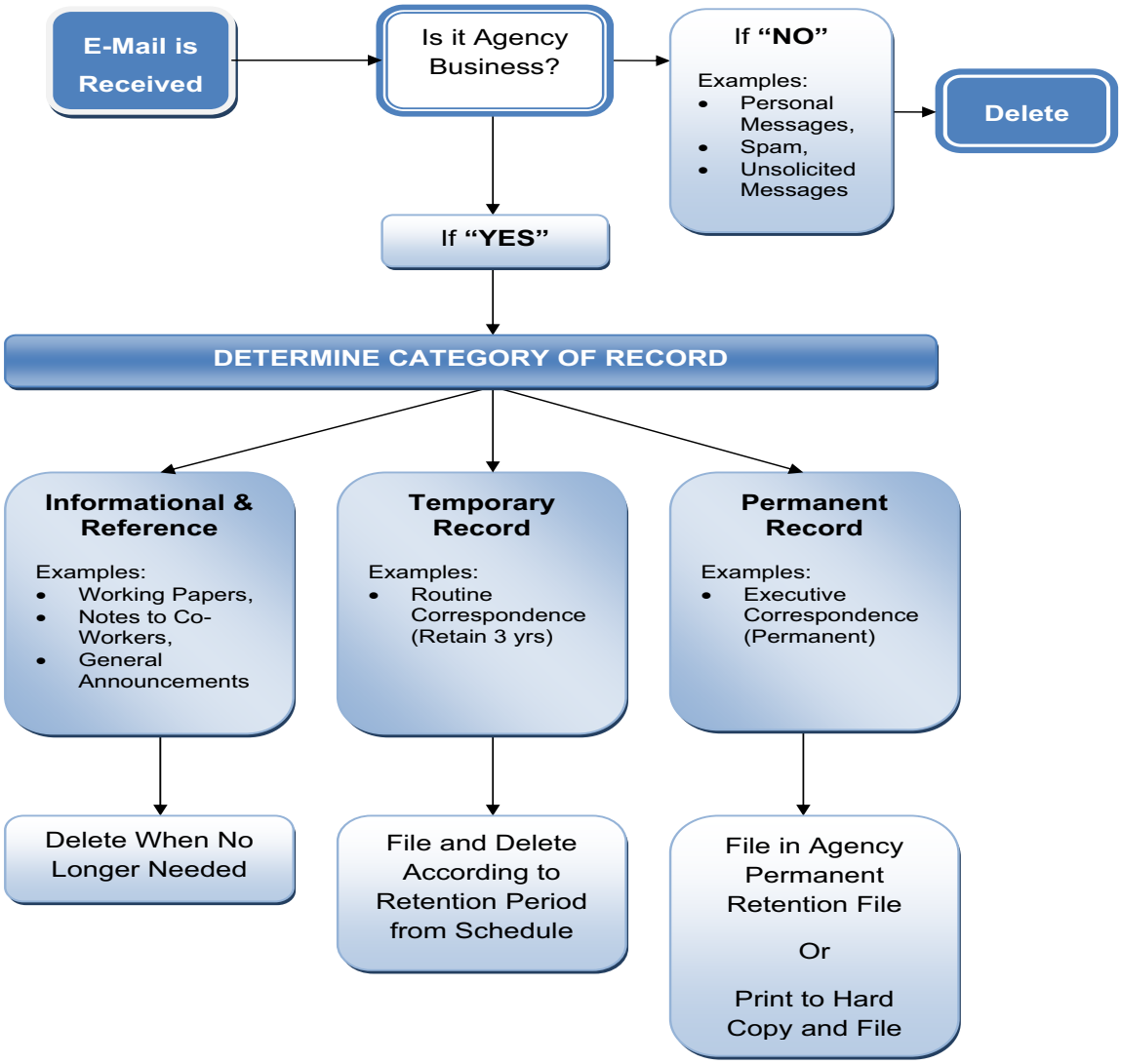

FIGURE 1.2: DETERMINING RESPONSIBILITY FOR RETAINING E-MAIL MESSAGES

Because e-mail messages can be forwarded and routed to multiple addresses, copies of the messages may exist in many areas of the agency. In most cases, the author, or originator, of the e-mail message is responsible for maintaining the "record" copy. However, in cases in which the recipient has altered the message (made changes, added attachments, etc.) or when the message is coming from outside the agency (and, therefore, not documented anywhere within the agency), the recipient is the one responsible for retaining the message.

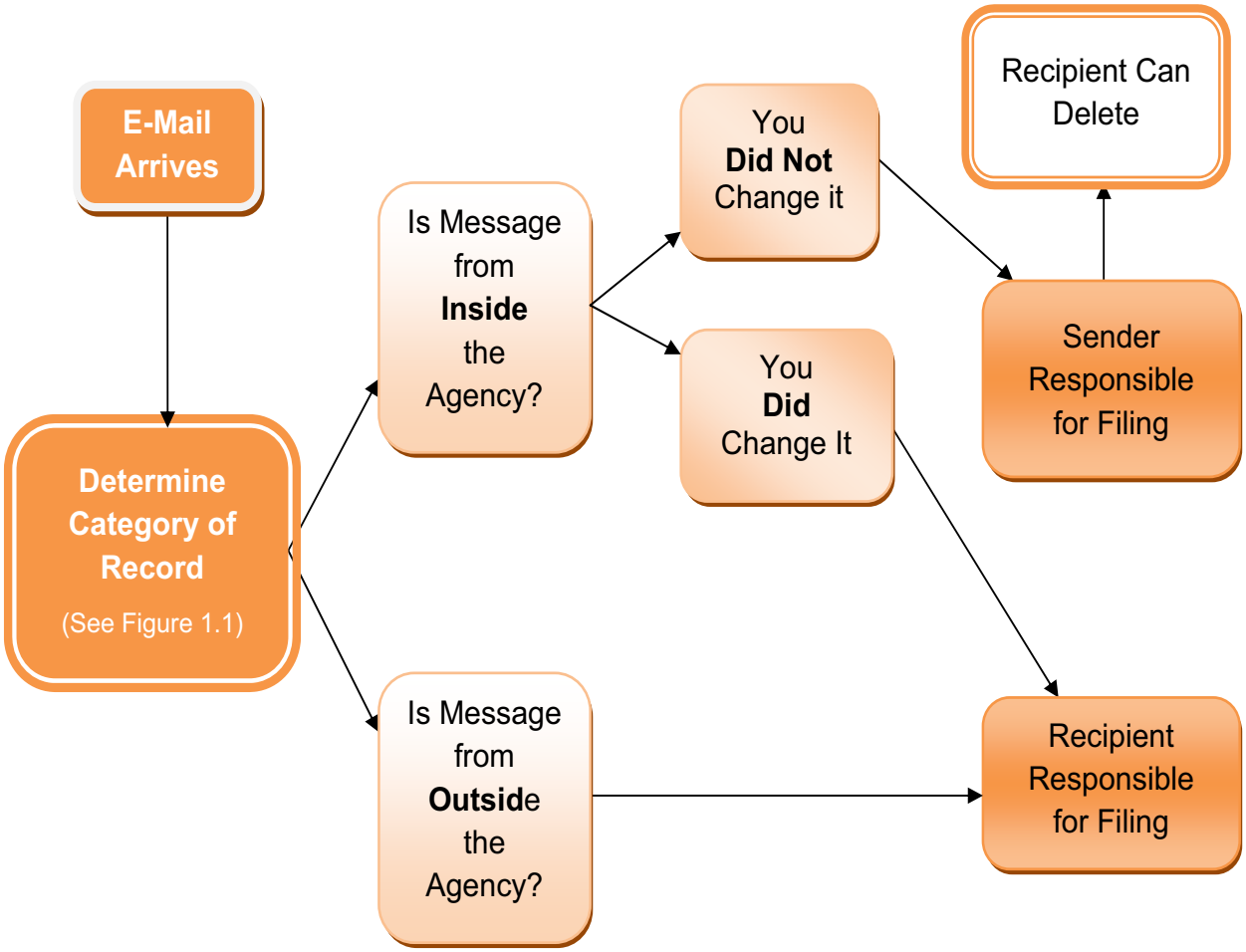

FIGURE 1.3: SAMPLE FILING STRUCTURE FOR E-MAIL

The following is an example of an agency filing structure for e-mail:

NON-RECORD MESSAGES - Delete at will

- **Personnel Messages** (An agency appropriate use policy should detail the amount of personal messages allowed on the e-mail system.); and
- **Spam / Unsolicited e-mail**.

INFORMATIONAL AND REFERENCE MATERIAL - Delete when no longer useful

- **Drafts** - Publications, reports, memos;
- **Meeting Notices**; and
- **Working Papers**.

TEMPORARY MESSAGES - Delete per Retention Schedule

- **Routine correspondence** (Delete after three [3] years).

PERMANENT MESSAGES - (As defined by Retention Schedules) Check with agency records officer for appropriate filing procedures

- **Executive Correspondence** - Usually from agency or division head;
- **Annual or Summary Reports;**
- **Policies and procedures** - Final copy; and
- **Meeting Minutes** (Board or Commission).

APPENDIX 8: RECORD CENTER POLICIES AND PROCEDURES

RECORDS RESPONSIBILITIES

RESPONSIBILITY ASSIGNED TO THE DEPARTMENT OF ADMINISTRATION

Idaho Code § 67-5751 gives the Director of the Department of Administration the responsibility of developing a statewide records management program. The Department of Administration provides technical assistance in complying with legal requirements and developing systems for managing records. Information is provided on records retention scheduling, micrographics, filing and information retrieval, essential record protection, disaster preparedness and recovery, records center operations, records access and disclosure, and media storage standards.

STATE RECORD CENTER

The State Record Center (SRC) is housed within the Department of Administration. It publishes this "Records Management Guide" and assists State agencies in any area of records management -- setting records retention schedules, storing records, producing microfilm and COLD, processing requests for disposal of records, and reviewing proposed new forms prior to printing.

The SRC, in conjunction with the Legislative Auditor and the State Archives, is also responsible for approving all records retention schedules and the overall destruction of records.

State Record Center personnel are available to aid agencies in:

- Records Inventory and Retention
- Microfilm Systems and Applications
- Micrographics Services
- Records Disposition
- Computer Output to Laser Disk (COLD) Applications

RECORD CENTER POLICIES AND PROCEDURES

Records are indispensable in the efficient and economical operation of state government. They serve as the memory and are evidence of past events as well as the basis for future actions. When created, maintained and disposed of in a systematic and orderly fashion, records are a tremendous asset. If records are created, maintained and disposed of in a haphazard and disorderly manner, they reduce the effectiveness of an organization and increase its costs substantially.

The purpose of the State Record Storage Center is to provide the basic principles with which a workable and economical records management program for agencies can be formulated and put into effect.

OBJECTIVES OF THE PROGRAM

To Save Space

- By removal of inactive records from costly office space,
- By removal of records no longer of value from storage space, and
- By a systematic flow of records from office to storage to disposal.

To Save Money

- By providing low cost storage for inactive records,
- By controlling and reducing the purchase of additional equipment, and
- By releasing surplus filing equipment.

To Save Time

- By reducing the volume of records that are filed and refiled.
- By instituting systems whereby each agency knows what records it has and where they are kept,
- By providing an orderly, efficient manner for storing and retrieving inactive records.

STATE RECORD CENTER

State government creates a tremendous amount of records, which in turn require the use of office space or separate storage facilities to maintain these records. In response to this need, a State Record Storage Center has been established for the economical, efficient storage of records of all State agencies.

Most agencies have records that are no longer needed within the office, but for statutory or other reasons must be kept for a specific period of time. In order to release costly office space, these types of records should be transferred to the State Record Center where storage space is less costly. The Center provides a systematic method for managing records; it is not a “warehouse”, but a facility where records can be stored in a controlled environment, and then be retrieved and delivered if the agency has a need to access them. Generally, all record series which are not referred to at lease once a month per file drawer, should be stored in the Center. When records are transferred to the State Record Center, the agency so doing loses no rights of control and access. The Center is only a custodian of the agency records, and access will only be by agency approval.

Agency records for which the State Record Center acts as custodian may not be subpoenaed from the Center but must be subpoenaed from the agency to which the records belong.

PREPARING RECORDS FOR TRANSFER

In order to provide better service to an agency requesting information and to standardize procedures, the State Record Center (SRC) has instituted the following procedures for preparing records for transfer to the State Record Center. Standardized cardboard containers must be used for storing records at the State Record Center.

- Pack records in the same order that they are filed in the office.
- Leave space within the container for ease of reference (about 3” of working space per box).
- Face letter size documents toward the front (printed end) of the box.
- Face legal size documents toward the side of the box (left side of printed end).
- Do not place records with different retention periods in the same box.
- Complete Form SRC-001, Record Transfer List (See Appendices). Submit the list to SRC for processing. A copy of the Transfer List will be sent back to the agency after the SRC has assigned its location. More than one (1) box may be listed on each List if the content of the box has the same record retention.
- Use a consecutive numbering system for numbering boxes.
- Use as much description as needed to identify records for future retrieval. Item numbers may be used as needed.
- Use standard sized record storage boxes (15” length x 11.5” width x 10.5” height).
- Remove or replace hanging file folders with plain folders.
- Place a detailed list of the contents inside, which includes Agency Box Number, Name of Agency, Box content identifiers.

IMPORTANT NOTE:

Non-standard size storage boxes will not be accepted for storage at the SRC.

RECORD CENTER OPERATIONS

Once the records are boxed, ready for transfer, and Form SRC-001 has been filled out, all that is needed for the records to be picked up and taken to the Center is a telephone call. Once in the Center, only employees of the agency with the legal custody of the records, or those persons with a letter of authorization from the agency, will be allowed access to the records. In addition a State agency may, when depositing records in the Center, impose in writing any special restrictions which may apply to the access of restricted/ classified records. In every circumstance, the State Record Center will take all necessary and proper measures to insure the security of those records. State Record Center staff have also signed written agreements of confidentiality towards this intent.

REQUESTING RECORDS FROM THE CENTER

Requests for records and/or inquiries for information contained on a record can be made by telephone, fax, written request, or a personal visit. However, it is preferred that request be made by telephone prior to a personal visit to allow retrieval time and eliminate unnecessary delays during your visit. It will be a necessary assumption of the State Record Center staff that if a person requesting a record(s) has access to the Record Center vault location number, then he or she has the agency's approval to do so (except for classified records).

Request only the specific folder or individual records required. If files have not been classified, it is not necessary to ask for the entire box to obtain one particular record. Requests for records must include the following:

- Name of agency and division
- First and last name, telephone number, and location of requesting person.
- Title, description, box number, and vault location of the record.
- Whether or not the records will be returned.

When a large number of records are required and the time element is not critical, a written request should be submitted. A Request for Stored Record, Form SRC-002, see Appendices, must be used and can be sent by Statehouse Mail, fax, or electronically. Once again, request only the specific folder or individual records required.

If a records request is received before 9:00 A.M., delivery will usually be made during the same morning. Later requests will be delivered in the afternoon or the following day, unless specified as an emergency request.

In most cases an agency will request a particular record or series of records. However, when only information is needed, the Center can provide such service by a return phone call with the requested information (assuming the records have not been classified). This eliminates the need for delivering the records. All requests for stored records are documented by use of the Request for Stored Record.

INFORMATION TECHNOLOGY RESOURCE MANAGEMENT COUNCIL

The Information Technology Resource Management Council (ITRMC) reviews and evaluates the information technology and telecommunications systems presently in use by state agencies, recommends and establishes statewide policies, and prepares statewide short and long-range IT and Telecommunications Plans.

Within the context of those plans, the ITRMC establishes statewide IT and telecommunications standards, guidelines, and conventions assuring uniformity and compatibility of state agency systems. The ITRMC, established in 1996, follows the philosophy of local control and central coordination, and has statutory authority, Idaho Code, Section 67-5745 and 67-5748. The ITRMC Vision is: Assure standardized, effective, and efficient statewide access to information and services.

STATE ARCHIVES ROLES AND RESPONSIBILITIES

Idaho Code, Section 67-4126, makes the State Archives responsible for identifying, storing, preserving, and providing public access to government records, which have continuing historical value beyond their usefulness to the agencies, which created them.

Archival records must be transferred to the State Archive's office in Boise.

The State Archives also serves as a focal point for public records management standards guidelines, procedures and educational offerings covering:

- Essential records protection.
- Files classification/maintenance.
- Electronic records management.
- Microfilm preparation/transfer.
- Non-current records storage and retrieval.
- Security storage of microfilm copies of essential records.
- Disaster preparedness and recovery information.
- Records retention and disposition.
- Archival records transfer procedures.

SERVICES OF HISTORICAL SOCIETY LIBRARY AND STATE ARCHIVES

The Idaho State Historical Society Library and State Archives holds a large collection of material relating to the history of Idaho and the Pacific Northwest. The collection is extremely varied in subject, geographic area, and time period. It includes both historical and genealogical information and covers a wide variety of mediums, including manuscripts, state archival records, books, periodicals, oral history interviews, motion picture films and videos, microfilm, and maps. In addition, the Historical Society Library and State Archives collection supports the State Historical Society's other collections as a repository of general reference materials.

INFORMATION REQUESTS

To send a reference question through e-mail, please read the following section before submitting a request:

- Staff is happy to help with questions whether by telephone, e-mail, fax, or U.S. Postal Service. When sending a query, please keep in mind the following:
- Queries will be answered in the order received regardless of the format in which they arrive. Depending on the number of requests received at any given time, it may take staff two to four weeks to prepare an answer.
- INCLUDE YOUR NAME AND MAILING ADDRESS in case photocopies, brochures, and other information need to be mailed. Your phone number or e-mail address is also helpful, in case there are questions about your query.
- MAKE YOUR REQUEST AS SPECIFIC AS POSSIBLE and include dates, places, and individual's full names. Don't ask for "all the information you have on John Smith." State exactly what information is needed.
- IF POSSIBLE, CHECK BASIC SOURCES FIRST. Go to your local public library and use an encyclopedia, dictionary, or atlas to look up general topics.
- KEEP YOUR QUESTION SHORT. Staff can't answer requests that require more than one hour of time to research. A list of private researchers who will undertake searches for a fee is available upon request.
- DO NOT SEND THE SAME REQUEST TO MORE THAN ONE STAFF MEMBER. Queries will be directed to the appropriate staff member for response.
- Requests that can be answered in less than 30 minutes will be charged for photocopies at $.50 per page ($5.00 minimum) and postage.
- Requests that take between 30 and 60 minutes to answer will be charged a $15.00 research fee, in addition to photocopying charges and postage.

- Requests that require more than one hour of research time by staff cannot be answered. In most cases, prepayment is required; staff will notify patrons of estimated costs before the research is undertaken.
- For historical reference questions, send email to steve.barrett@ishs.idaho.gov.

INTER-LIBRARY LOAN

Most materials on microfilm (exceptions include the Idaho Statesman newspaper and Sanborn maps) and transcripts and audiotapes of oral history interviews may be borrowed through interlibrary loan services at the borrower's local library.

Archival and manuscript materials, books, periodicals, maps, and audio-visual materials are not loaned.

Materials are loaned only to academic, public, and historical agency libraries. Requests must be received on a standard ALA-approved ILL form. Material is loaned for a maximum of two weeks use and must be used in the borrowing library. There is a limit of two reels of microfilm and three oral history tapes/transcripts per patron request. Materials may not be renewed.

Out-of-state libraries will be charged a $5.00 minimum shipping and handling fee for each transaction. Prepayment is required; make checks payable to the Idaho State Historical Society. Please do not send cash. There is no charge to Idaho patrons.

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LIBRARY AND ARCHIVES CATALOG

The Library and Archives collections are cataloged on OCLC LaserCat, a national database available at many public, school, and university libraries.

The Library and Archives also maintains a number of card catalogs and other printed indexes and finding aids which are available to on-site patrons.

PHOTOCOPYING

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Library/Historical/State Archives Collections are available to the public at

Public Archives and Research Library
Idaho History Center
2205 Old Penitentiary Road
Boise, Idaho 83712

Location on map can be obtained on the web at:
http://www.idahohistory.net

Telephone numbers - Public Archives:

- Telephone: 208-334-2620
- Fax: 208-334-2626

Telephone numbers - Idaho State Historical Society:

- Telephone: 208-334-2682
- Fax: 208-334-2774

Hours:

- Wednesday – Saturday: 9:00 a.m. - 5:00 p.m.
- Closed major State holidays.

IDAHO STATE HISTORICAL SOCIETY
RECORDS SERIES DESCRIPTION

INSTRUCTIONS: COMPLETE ONE FORM FOR EACH RECORDS SERIES

Records Group No. _____
Records Group Title _____
Records Series Title _____
Description of Records Series:

Beginning Date: _____ Ending Date: _____
(If series is ongoing, use current date)

Volume of Existing Records by Record Type:

Paper Records:	_____	C.F.	Audio-tape:	_____	Items
Machine Readable:	_____	Items	Moving Image:	_____	Reels
Microfilm:	_____	Rolls	Microfiche:	_____	Items
Architectural Drawings:	_____	Items	Maps:	_____	Items
Sound Collection:	_____	Items	Video-tape:	_____	Items
Photo Collection:	_____	Items	Bound records:	_____	vols
Other:					

Estimated Annual Growth (paper records only):_____ C.F.

Special Media Index Numbers (if any): _____

IDAHO STATE HISTORICAL SOCIETY
TRANSFER OF RECORDS

Date: _____ Initials of agency head or representative: _____

Contact Person: _____
Name Title Phone

From: _____
Department

Inclusive Dates: _____ Total Volume _____
(Please use cubic foot storage boxes)

Restrictions on Records: Yes No NOTE: If Yes, attach Copy of Authority

RECORD SERIES TITLE: _____

BOX NUMBER	DESCRIBE CONTENTS OF EACH BOX	INCLUSIVE DATES OF EACH BOX

ATTACH ADDITIONAL SHEETS IF NECESSARY

_____ _____
NAME AND TITLE OF ISHS REPRESENTATIVE DATE

RECORD INVENTORY AND ANALYSIS
State of Idaho
Department_____

1. Department	2. Bureau	3. Section or Unit

4. Location of Records (room, floor, building	___ Office ___ Storage Area

6. Describe the information contained in the record (inclued purpose, form number, and agency control number)

7. Record Volume	8. Method of Filing	9. inclusive dates of Records
___ Boxes ___ Drawers ___ Others Size Cubic Feet of Records	Alphebetic By Numeric By Other	From To

10. Type of Record

Document				Microfilm	
___ Legal ___ Letter Other	___ Card File _____X_____	___ Punched Card	___ Magnetic Tape	___ 16 mm ___ 35 mm ___ Other	

11. Are records still created?	12. Annual Accumulation	13. Is Record Audited
___ Yes ___ No ___ Unknown	Cubic Feet	___ Yes How Often_____ ___ No

14. Does Record contain confidential information?	15. How Current is this information?	
___ Yes ___ No		

16. Does Record Originate in this office? If yes, complete page 2 of form
___ Yes ___ No If No, where does it originate?

17. Reference to record (Check appropriate blocks, insert number of months or years, circle month or hear)
___ **DAILY FOR_____ Mo., Yr(s)** ___ **WEEKLY FOR _____ Mo., Yr(s** **YEARLY FOR _____ Y** **Never after _____ Mo., Yr(s).**

18. RECOMMENDED RETENTION PERIOD AND JUSTIFICAT	**19. STATUTORY OR REGULATORY REQUIREMENTS**
A. In Operating Area	A. Revised Code
B. In Records Center	Years
Justification	B. Agency Regulation
	Years

20. Additional Remarks

Inventory Taken by	Date	Reviewed By	Date
Revoew By (Records Manager)	Date	Schedule Number Establis	Approved by Records Management

RETURN BOTH COPIES TO CENTRAL RECORDS MANAGEMENT
White - Central Records Copy Yellow - Agency File After Action

STATE OF IDAHO
RECORDS RETENTION SCHEDULE

Page
OF

Department	Division	Address	City	State	Zip code

Department Approval (Include Title)	Date	Records Management Approval	Date

RECORDS CONTROL NO.	RECORD TITLE	Retention Period				REMARKS
		OFFICE	RECORD CENTER	MICRO-FILM	MAG TAPE	

State of Idaho
Department of Administration

STATE RECORD CENTER

RECORD TRANSFER LIST

Date Transferred	Location	Record Center Use Only

Department	Division	Records Beginning Date	Record End Date

Agency Code	Program Code	Subsidiary,Group,Bureau	Contact	Telephone

Record Storage Box	Item No.	Description	Form Number	Most Recent/ Inclusive Years	Retention Requirement	Vault Location (Records Center Use Only)

SRC-001 Rev. 10/96

REQUEST FOR RECORDS
DISPOSAL AUTHORIZATION

STATE OF IDAHO

TO: State Record Center

Page of
FOR SRC USE ONLY
Control No.

Department:	Street Address, City, State, Zip code:	Date

Department Approval: (include Title)

Are Any of these Records on Microfilm? If yes, enter M/F Next to the Title of Records ☐ Yes ☐ No	Location of Records.
Are Any of these Records Stored Elsewhere? If Yes, Identify the other Locations. ☐ Yes ☐ No	Volume. Sq. Ft. of Floor space. Cu. Ft of Records

Disposal If approved, Please indicate Yes or No if your Department wants the State Record Center to Handle the Disposal of these records.
If Yes, PLEASE Call for current costs. If No, the Records will be delivered to your office.

☐ Yes ☐ No Department Approval: (include Title)

RECORD S G NUMBER	RECORD TITLE (INCLUDE CONTENTS DESCRIPTION)	INCLUSIVE DATES	TOTAL RETENTION

SUBMIT COMPLETED FORM TO STATE RECORD CENTER FOR PROCESSING.

The State Record Center uses a secure web-based inventory tracking system for all records stored at our facility. Please call the State Record Center at (208) 327-7060, or e-mail duane.bogstie@adm.idaho.gov, for more information and to schedule training for use of this system.

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APPENDIX 9: RECORDS RETENTION SCHEDULE FOR STATE GOVERNMENT AGENCIES

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APPENDIX 9: RECORDS RETENTION SCHEDULE FOR STATE GOVERNMENT AGENCIES

GUIDELINES

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

The following records retention schedule is reviewed and modified, if necessary, on a yearly basis. The schedule is designed to be a reference in designing individualized agency retention schedules and to provide a level of uniformity in records retention throughout Idaho state government. The State Record Center, Department of Administration, should be contacted regarding proposed changes or modifications to the records in this schedule, or if activities of an agency require different retention.

All retention periods are filed by either the fiscal or calendar year. For all UNANNOTATED DUPLICATE COPIES, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

INTRODUCTION TO RECORDS RETENTION SCHEDULE

This schedule is intended for use within an agency's records management program. Regardless, until an agency creates a version of this records retention series specific to its facilities, these are the accepted and established time frames and limitations that should be adhered to.

Retention Schedule Headings Definitions	
Series #	Number associated with each schedule type
Series Title	A general description of the series
Office of Record	Office that commonly creates the record and holds it during its active period
Retention Period	Time to retain the record; life of the record
Transfer Instructions	Where a record goes after its active period
Archival	**A** – Indicates the record is or may be permanent and have historic value **R** – Indicates a required review by the Records Manager to determine value
Vital	**X** – Record is vital for immediate operation of the office of origin or the institution.
Guidance: Restricted Access	**RA** – Refers to the security needs of a record series. Must be justified. ***Access to applicable records should be limited to authorized personnel and approved individuals due to privacy and educational interests. Questions about limits should be based on the type of records, its content and the nature of the request for access and use.*** Records may contain, but are not limited to, confidential, personal or proprietary information.
Guidance: Authorities	Federal and State laws, regulations or requirements that pertain to the series. Where not specifically referenced, Idaho Code § 9-337 through 9-347 of the Public Records Law has been applied. Note that there are exemptions for the access requirements of this law. These may be noted as well.

Retention Codes (Refer to Records Regardless of Format; Type May Vary)	
AC	After closed, terminated, completed, expired, settled or last date of contract
AV	As long as administratively valuable
CE	Calendar Year End (December 31st)
FE	Fiscal Year End (June 30th)
LA	Life of Asset
PM	Permanent
UA	University Archives
US	Until Superseded

HOW TO USE THESE SCHEDULES

ESTABLISHING A SCHEDULE

This schedule assumes that:

- The person using it is knowledgeable about his/her office or agency's records;
- An inventory of the records of the office or agency will be performed;
- Time will be taken to apply the definitions to the records found on hand; and
- Records will not be destroyed or reorganized without supervision of the agency's Records Manager or consultation with the State Archivist.

FUNCTIONS AND TYPES OF RECORDS

This schedule is intended to address records common to most offices and agencies of the State of Idaho. Not every type of record listed here will occur in every agency. Some agencies will discover they have records that do not appear to fit any of these series. For those records, contact the State Archivist or the agency's Records Manager for guidance.

HIERARCHY OF RECORDS WITHIN AN AGENCY

Put simply, not every office holding a copy of a record is holding the *record copy*. An example is time sheets. The record copy of a time sheet is the one signed and sent to the payroll office. Any copies kept in other offices to confirm later payroll reports (e.g., proper charges to accounts, etc.) are a short-term record, as are any personal copies in other offices. The Office of Record is the payroll office.

When trying to assess the value of a record in the focus area, bear this concept in mind: Where does the ultimate responsibility for a document, report or record lie? There are instances where a record has value for different reasons in different offices. This is the primary reason a physical inventory of records is essential to this process.

WHEN A RECORD SHOULD BE RETAINED LONGER THAN ITS RETENTION

Documents, regardless of format or storage media (e.g., electronic files), associated with any dispute, audit or legal proceeding should not be destroyed or altered without consultation with the agency's Records Manager, General Counsel, Deputy Attorney General or the State Archivist.

CONFIDENTIALITY, RESTRICTED ACCESS AND PUBLIC RECORDS

The need to limit access to a record type does not mean that it is unavailable as a public record.

- Requests for access to public records should be handled by personnel familiar with the requirements of the laws and regulations that apply to the information requested; and
- For some records flagged in this schedule as "RA – Restrict Access," copies can be furnished where restricted information is blocked out or redacted to make it available to a public records request. An example is a contract that may be copied if social security number, names, etc., have been obscured.

Concerns about making records available to a public records request should be addressed to the agency's Records Manager, General Counsel, Deputy Attorney General or the State Archivist.

CREATING AN AGENCY'S RETENTION SCHEDULE

Once an inventory is completed and a summary of the record series which occur in the agency's office has been compiled, based on this general schedule, a set of decisions will need to be made to establish the Office of Record for each record type. ***NOTE:*** For many common series, like "correspondence," the Office of Record will probably be the "office of origin" until it is time to transfer the inactive years of material to the State Archives. Other records have obvious "homes," like payroll records (Accounting or Payroll) and permanent or long-term personnel files (Human Resources). It should be noted that smaller-scale agencies may find that a central office becomes the Office of Record for many record types because of staffing or the preference of the agency director. For agencies with regional offices around the State, these decisions may seem problematic. However, with a careful focus on the needs of the offices within an agency and by consulting the State Archivist, these decisions can be made to the benefit of all.

One of the established benefits of records management, with improved accountability of the Office of Record, is efficiency, in both expense and time, of being able to retrieve a record when it is truly needed, without multiple copies taking up space throughout an agency or an office.

HOW TO USE THE RETENTION SCHEDULE FORMAT

Please consider the sample inserted below. Microsoft Excel was used to create this version of the retention schedule document. The fields of the table should be adhered to for compatibility with other State agencies and offices within a given agency.

The *Records Retention Form*, an online Excel fill-in form document, may be accessed at http://adm.idaho.gov/purchasing/record_cnt.htm.

SAMPLE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0110	**PERIODIC BUDGET REPORTS** Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.		FE +3, then destroy			
SG1310	**LOSS CONTROL INSPECTION REPORTS** An annual self-inspection report used to identify potential hazards within the building or on the agency property. This record may also be used as evidence in defense of a claim. ***GUIDANCE:*** - Retain by agency until superseded or obsolete, then send to Risk Management.	Risk Manage-ment	US +12, then destroy			
SG18312	**STUDENTS - FINANCIAL AID RECORDS - FFEL AND DIRECT LOANS** Records related to borrower's eligibility and participation. All audit requirements to be met prior to disposal. ***GUIDANCE:*** - AC - End of the award year in which the student last attended. - Retention based on 34 CFR § 668.24		AC +3, then destroy			**RA**-Access: FERPA, Confi-dential Record.
SG18559	**COMPUTER SYSTEMS - HARDWARE DOCUMENTATION** Operational and maintenance requirements of computer hardware, such as operating manuals, hardware configurations, control systems. ***GUIDANCE:*** - Series may relate to property management schedules.		PM	A	X	**RA**–Access may be restricted as part of facility security plans.

NOTE: A column may be added for specific agency series numbers to allow for associating a records series with an in-house procedure or policy.

ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0001	**ACKNOWLEDGMENT FILES** Acknowledgment, transmittal of inquiries, and requests that have been referred elsewhere for reply. ***GUIDANCE:*** - AC - After acknowledgement and/or referral.		AC +1, then destroy			
SG0002	**ADMINISTRATIVE HEARING TRANSCRIPTS** Transcripts of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached. May include audio and video recordings if minutes are not taken.		PM			Contact State Archivist.
SG0003	**ADMINISTRATIVE REFERENCE / READING FILES** Record of all memoranda and correspondence generated by another agency for general reference by all agency employees.		AV or 1, then destroy			

LEGEND:

Retention Codes: **AC-**After closed, terminated, completed, expired, settled or last date of contact; **AV**-As long as administratively valuable; **CE**-Calendar Year End (December 31st); **FE**-Fiscal Year End (June 30th); **LA**-Life of Asset; **PM**-Permanent; **UA**-University Archives; **US**-Until Superseded

Archival: **A**-Record is or may be permanent and have historic value; **R**-Required review by the Records Manager to determine value.

Vital: **X**-Record is vital for immediate operation of the office of origin or the institution

Guidance: **RA**-Refers to the security needs of a record series. Must be justified.

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0004	**ADMINISTRATIVE RULE RECORDS** Also known as the administrative record. Information an agency relies upon when making a rule including copies of the proposed rule, change in the proposed rule, and the rule analysis; the public comment received and recorded by the agency during the public comment period; the agency's response to the public comment; the agency's analysis of the public comment; and the agency's report of its decision-making process. Also may include records and other information used by agencies to support rule-making decisions. Agencies are required to file the administrative record along with their responsive pleadings with the court when the rule is challenged.		AC +4, then destroy.			
SG0005	**ADMINISTRATIVE RULEMAKING FILES** Papers of short-term interest which have no documentary or evidential value. Includes transmittal correspondence, copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; and quasi-official notices such as for holidays, charity, and fund appeals, bond campaigns, and other similar papers.		AV or 1, then destroy			

LEGEND:

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Vital: **X**-Record is vital for immediate operation of the office of origin or the institution

Guidance: **RA**-Refers to the security needs of a record series. Must be justified.

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0006	**AGENCY WRITTEN HISTORIES** Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audio-visual agency histories. This series documents the efforts of an agency or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.		PM			Contact State Archivist.
SG0007	**ATTORNEY GENERAL'S OPINIONS** Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.		PM			Contact State Archivist.

LEGEND:

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Vital: **X**-Record is vital for immediate operation of the office of origin or the institution

Guidance: **RA**-Refers to the security needs of a record series. Must be justified.

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0008	**COMMITTEE AND ADMINISTRATIVE HEARING RECORDINGS** Audio and video recordings which document what transpired at committee and board meetings, conferences, and administrative hearings. **NOTE:** If summary minutes of these meetings are not taken, the recordings are permanent and should be transferred to appropriate storage. Contact State Archivist. ***GUIDANCE:*** - AC - After meeting minutes have been approved.		AC +1, then destroy			
SG0009	**COMMITTEE AND CONFERENCE FILES** Records created by a committee or conference, including advisory committees, relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recordings if minutes are not taken.		PM			Contact State Archivist.

LEGEND:

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Guidance: **RA**-Refers to the security needs of a record series. Must be justified.

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0010	**DAILY ACTIVITY SCHEDULES** Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of employees. Records containing substantive information relating to the official activities of high-level officials which are not incorporated into memoranda, reports, correspondence, or other records included in the official files. Include calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the employees.		AC +1, then destroy.			
SG0014	**EXECUTIVE CORRESPONDENCE** Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements. Includes electronic mail that communicates the above.		PM			Contact State Archivist.
SG0015	**FEASIBILITY STUDIES** Studies conducted before the installation and implementation of any technology, equipment, process, or procedure. Includes studies and systems analysis for the initial establishment and major changes of these systems.		PM			Contact State Archivist.

LEGEND:

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Guidance: **RA**-Refers to the security needs of a record series. Must be justified.

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0016	**FINDING AIDS** Indices, lists, catalogues, registers, and other finding aids necessary for the efficient use of other records. ***GUIDANCE:*** - AC - Until records to which they pertain are destroyed or destroy when no longer needed for reference.		AC, then destroy			
SG0017	**FORMS DEVELOPMENT FILES** Working papers, background materials, requisitions, specifications, processing data, and control records which provide documentation to the creation and establishment of a form.		US +1, then destroy			
SG0018	**CORRESPONDENCE (ROUTINE)** Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.		AC +3, then destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0020	**INCOMING DOCUMENT LOG** Records which provide detailed information on incoming documents that require distribution or action.		AC +1, then destroy			
SG0021	**INTERNAL ADMINISTRATIVE CORRESPONDENCE**		AC +2, then destroy			
SG0022	**INTERNAL COMMITTEE AND CONFERENCE FILES** Records relating to executive establishment, organization, membership, and committee policy to handle problems or issues within an agency. ***GUIDANCE:*** - AC - After termination of committee.		AC +2, then destroy			
SG0023	**LITIGATION CASE FILES** Document judicial proceedings, which involve the state agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information.		PM			Contact State Archivist.

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0024	**MAILING LISTS** Lists of individuals, companies, or other entities with which the agency corresponds. Information includes street addresses, electronic mail addresses, and phone and FAX numbers.		US, then destroy			
SG0025	**MANAGEMENT IMPROVEMENT REPORTS** Reports on analysis and implementation of programs and operation of those programs.		AC +10, then destroy			
SG0026	**ORGANIZATIONAL FILES** Records detailing an organization, which could include charts and reorganization studies. Also administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects. Formally prepared descriptions of the responsibility assigned to the senior executive officers of an agency at the division level and above.		PM			Contact State Archivist.

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0028	**PENDING FILES** Papers arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date. ***GUIDANCE:*** - AC - Retain until incorporated into official file when reply is received or action taken, retain in conjunction with that record series.		AC			
SG0029	**PERFORMANCE AUDIT REPORTS** These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agencies programs, operations and productivity. The reports may be prepared by internal and/or external resources.		PM			Contact State Archivist.
SG0030	**POLICIES AND PROCEDURES MANUAL** Policies and procedures that govern the operation and administration of various programs within the organization.		PM			Contact State Archivist.
SG0031	**POLICY AND PROCEDURE CASE FILES** Case Files related to policy and procedure issuances which document the development of the issuance. Includes issuances related to routine administrative functions (e.g., payroll, procurement, and personnel).		US +2, then destroy			

LEGEND:

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Guidance: **RA**-Refers to the security needs of a record series. Must be justified.

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0032	**PROPOSED LEGISLATION RECORDS** Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.		PM			Contact State Archivist.
SG0033	**PUBLICATIONS** Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical. ***GUIDANCE:*** - Creating agency shall transfer one copy to State Archives when published.		PM			
SG0034	**PUBLIC RECORD REGISTER SHEETS** Descriptive listings of agency records transferred to the State Archives. Information includes records series number, agency name and address, record series title and inclusive dates, classification information, accession number, agency box number, description of box contents, and date of transfer.		Retain by agency for reference			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0035	**RECORDS DISPOSITION FILES** Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs.		PM			Contact State Archivist.
SG0036	**RECORDS MANAGEMENT FILES** Records used in creating and establishing records management programs. They may contain records inventories, correspondence, classification designations, records control, equipment, filing procedures/manuals, training information, and other documents created by the State Archives and other agencies to facilitate records management practices. May also contain information on records management equipment and/or computer software.		PM			Contact State Archivist.
SG0037	**RECORDS TRANSFER SHEETS** Descriptive listings of agency records transferred to the State Records Center. Information includes record series number, agency name and address, Records Officer's name and signature, Chief Administrative Officer's name, record series title and inclusive dates, CLASSIFICATION information, accession number, agency box number, description of box contents, and records center box location.		AC +5, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0038	**TECHNICAL REFERENCE FILES** These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.		AV or 1, then destroy			
SG0042	**WORKING PAPERS** Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyzes, notes, interim reports regarding a particular case files, and financial performance audits.		AV, then destroy			

LEGEND:

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AGRICULTURE, DEPARTMENT OF RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1901	**AGRICULTURE WATER QUALITY PROJECT FILES** Files pertaining to the Agriculture Water Quality Project which is designed to monitor and maintain water purity. These records involve tests, maps, analysts, reports, plans and other documents necessary to conducting the project. ***GUIDANCE:*** - Retain within agency until no longer needed on a regular basis, then archive.		PM			
SG1902	**APPROVED CHEMIGATION EQUIPMENT RECORDS** Contains lists and specifications for State approved chemigation equipment for licensed chemigators.		US, then destroy			
SG1903	**HAZARDOUS MATERIAL RECORDS** Records of hazardous material, their qualities, users, dangers associated with exposures, locations, movements, restrictions, containers, and the disposal of such materials and their containers.		AC +3, then PM			

LEGEND:

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SG1904	**HAZARDOUS MATERIAL TRAINING RECORDS** Contains records of all training related to handling of hazardous material. ***GUIDANCE:*** - Retain by division for length of employment plus 5 years, then retain 25 years at State Archives.		AC +30, then destroy			
SG1905	**HOMEOWNER AND WELL INFORMATION** Information about the property and owners of wells. May include descriptions, photographs, directions to the locations, and other information pertinent to testing wells. ***GUIDANCE:*** - Retain within agency until no longer needed on a regular basis, then archive.		PM			
SG1906	**PERSONAL PROTECTIVE EQUIPMENT FIT TEST FILES** Records of the results of fit tests for the protective equipment used by the department to ensure the safety of its employees when handling hazardous or potentially hazardous materials. ***GUIDANCE:*** - LA - Until equipment tested is replaced.		LA, then destroy			

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SG1907	**PESTICIDE MANAGEMENT PLANS** Plans for controlling the exposure of groundwater to pesticide, results of tests, policy, substance regulation, treatment practice, and other documents which indicate the procedure of handing and controlling the use of pesticides. ***GUIDANCE:*** - Retain within agency until no longer needed on a regular basis, then archive.		PM			
SG1908	**LICENSING RECORDS – DEVICE** Record of machines that have been inspected for proper calibration and functionality in respect to their given role in the standardization of commerce and have been found to meet the requirements of the State or Federal standards. Such machines may be used for commerce within the state for the duration of their license.		AC +3, then destroy			
SG1909	**MEDICAL MONITORING FILES** These include records of substance, pests, or other potential causes of medical conditions to which the employees may have been exposed. They may include physical examinations of the employee while they are/were employed and records of medical examinations after the end of their employment. ***GUIDANCE:*** - AC - After last date of employment. - Retain by agency for 3 years, then transfer to State Archives.		AC +30, then destroy			

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SG1910	**WELL LOGS** Logs of tests of the water quality of wells in the state. ***GUIDANCE:*** - Retain within agency until no longer needed on a regular basis, then archive.		PM			
SG1911	**WORKER PROTECTION STANDARD TRAINING MATERIALS** Materials and presentations to workers and handlers of pesticides and others.		US, then destroy			
SG1912	**WORKER PROTECTION STANDARD TRAIN THE TRAINERS RECORDS** List of handler/worker trainers under the Worker Protection Standard. ***GUIDANCE:*** - Retain by agency for 3 years, then transfer to State Archives.		PM			

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SG1913	**AGRICULTURAL INSPECTION REPORTS** The series includes inspections detailing the sanitation and presence of diseases, noxious weeds or pests in a given location where agricultural activities are conducted, and inspections which detail the fitness of a particular establishment to conduct agricultural or agriculture related commercial activities. ***GUIDANCE:*** - Retain by agency for 5 years.		AC +5, then destroy			

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SG1914	**LABORATORY TEST RECORDS** This record series documents the conducting of and results of laboratory tests that are done for private or public organizations by a state agency's laboratory. They may be informative or regulatory in nature. Any and all documents pertaining to the request for the test, the conducting of the test, and the final result of the test are laboratory test records. ***General Laboratory Records:*** A. Laboratory protocol and testing procedures B. Laboratory inspection reports ***Animal Disease Test Results and Records:*** C. Reportable / notifiable disease test records D. Other test records		*A.* US, then PM *B.* US or 10, then destroy *C.* AC +10, then destroy *D.* AC +3, then destroy			Contact State Archivist.

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SG1915	**PHYTOS PPQ FORMS 577, 578, 579** These forms detail the actions in the department regarding the operation of businesses under national policy for the international standards of plant sanitation. ***GUIDANCE:*** - Retain by agency for 3 years.		AC +3, then destroy			

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SG1916	**LICENSING RECORDS, ESTABLISHMENT** Series documents the application process and licensing history of establishments regulated by state law and administrative rule. Types of establishments may include cemeteries, barber and beauty shops, mortuaries, crematoriums, funeral homes, pharmacies, animal euthanasia sites, dog kennels, drug manufacturers, or drug wholesalers, etc. Records may include, but are not limited to, license and certificate records, applications, inspection reports, background investigations, staff résumés, reports, lists of licensed establishments, and related correspondence and documentation. A. Cemeteries, barber and beauty shops, mortuaries, crematoriums, funeral homes, pharmacies, animal euthanasia sites, dog kennels, drug manufacturers, drug wholesalers, etc. B. All others, including licenses for nurseries, cheese factories, cheese re-processors, condensers, creameries, ice cream makers, mix making plants, powdered milk plants, cream buyers / shippers, haulers, bee keepers, herb growers, egg distributors and candlers, grade “A” dairy permits, grade “A” milk processor permits, manufacture milk producer permits, manufacture milk processors permits, sampler permits, or other similar documents for similar industries and licenses in accordance with the requirements of state and federal law. This series also includes inspections, reports, and information directly pertinent to the issuing of the license or permit.		*A.* AC +3, then PM *B.* AC +7, then destroy			Contact State Archivist.

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BOARD AND COMMISSION RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1501	**APPEAL AND REVIEW RECORDS** Series documents reviews of decisions made by the board or commission or appeals to the board or commission concerning decisions made by state agencies, local governments, or special districts. Records may include but are not limited to narrative history or description of case; minutes and testimony; exhibits; reports and findings of fact; final orders, opinions, conclusions, or decisions; audio recordings; working papers; hearing schedules and lists of participants; and related correspondence and documentation.		*Case Files:* AC +3, then PM *Working Files:* AC, then destroy			
SG1502	**BOARD AND COMMISSION MEMBER RECORDS** Series documents board and commission activities and serves as a reference source for board and commission members. Records may include but are not limited to correspondence, plans, statements of goals and objectives, minutes, committee reports, budgets, financial statements, reports, and other reference material. Records are often compiled in a notebook for each member.		AC +3, then destroy			

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SG1503	**BOARD AND COMMISSION MEMBERS PERSONNEL RECORDS** Series documents the appointment or election and subsequent personnel actions of board and commission members. If the office is appointive, records may include appointment letters from the governor or agency director and confirmation by the Senate if required. If the office is elective, election records may be included. Records may also include but are not limited to résumés; applications; personnel actions; interest forms for executive appointments; job descriptions; employee data sheets; and related correspondence and documentation.		AC +3, then PM			
SG1504	**BOARD AND COMMISSION MEETING MINUTES** Series documents the official proceedings of the board or commission meetings. Records may include agendas; minutes; meeting notices; items for board action; contested case hearings schedules; committee reports; exhibits; and related correspondence and documentation. Records may also include audio recordings of meetings used to prepare summaries.		AC +3, then PM			
SG1505	**BOARD AND COMMISSION FORMATION AND ORGANIZATIONAL RECORDS** Series documents the formation and organization of the board or commission. Records may include but are not limited to by-laws; position and policy statements; mission and goal statements; rules and regulations; work plans; and related documentation.		AC +3, then PM			

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SG1506	**COMMODITY ASSESSMENT RECORDS** Series documents the assessment of fees to handlers, growers, and processors of agricultural products to fund the production and market research, educational, and promotional activities of the agricultural commodity commission. Records include the amount produced or processed and the commission's assessment per unit of production.		AV or 3, then destroy			
SG1507	**COMMODITY PROMOTION RECORDS** Series documents the activities of the agricultural commodity commission to promote the marketing and sale of agricultural commodities. Records may include newsletters; circulars; advertisements; seminar reports; trip records; promotional statistical reports; marketing budgets; special events records; press releases; and related documentation and correspondence.		AC +3, then PM			

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SG1508	**COMPLAINT AND DISCIPLINARY RECORDS, INDIVIDUAL** Series documents complaints brought against licensed and un-licensed individuals alleging professional practice violations and any resulting disciplinary actions. Types of complaints may include violations of laws, rules, or ethical standards; negligence; practicing outside scope of activities to which licensed; breach of confidentiality; and incompetence. Records may include investigation records; complaint forms; narrative description of complaint; complaint log; complaint disposition; hearings and appeals records; audio tapes; disciplinary actions such as suspension or revocation; and related correspondence and documentation.		AC +5, then destroy			
SG1509	**COMPLAINT AND INVESTIGATION RECORDS, ESTABLISHMENT** Series documents complaints brought against establishments alleging violation of laws and administrative rules that govern operation of the establishment. Records may include but are not limited to correspondence; description of complaint; case files; legal notices and orders; hearing records; audio recordings and transcripts; license and certificate records; exhibits; investigative reports; working notes and files; investigation committee records, minutes, and agendas; and related correspondence and documentation.		AC +10, then destroy			

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SG1510	**CROP PRODUCTION AND ACREAGE RECORDS** Series documents the number of acres devoted to production of an agricultural commodity and the amount of production. Records may include but are not limited to crop production register, acreage survey, type of crop, year, total acreage, total production, name and address of grower, and related correspondence and documentation.		AV or 3, then destroy			
SG1511	**EDUCATION PROGRAM REVIEW RECORDS** Series documents the review of public and private educational programs, including college and university certification programs, to determine if license requirements, continuing education standards, or teacher certification requirements are being met. Records may include but are not limited to correspondence; reports from the college about its faculty, students, and curriculum; catalogs; self-study evaluations; lists of accredited schools; course listings and descriptions; program descriptions and literature; seminar and workshop agendas; and related correspondence and documentation.		AV or 3, then destroy			

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SG1512	**EXAMINATION AND ADMINISTRATION RECORDS** Series documents the administration of license examinations. Examinations may be administered locally by the licensing board, by an outside examination service, or by a national board. Records may include but are not limited to correspondence with applicants; master copy of exams; development of exam and exam question records; sample exams with answers; examination booklets; and related correspondence and documentation. Records may also include results of the examination including a roster listing student name, ID number, and examination score. Records may include statistical data and analysis of exam scores and statistics on the administration of the exam in other states. Examination scores may also be found in the individual licensee files in Licensing Records.		AC +3, then PM			
SG1513	**INCOMPLETE LICENSE APPLICATION RECORDS** Series documents the application process that was initiated but never completed by the applicant. Series may include incomplete, pending, inactive, or denied status applications. Series includes the records of applicants whose files may lack one or more of the following: application, fee, documents such as certificate of education, and examination scores. Applicants may also lack the necessary education and experience, have low exam scores, or fail to satisfy other qualifications.		AV or 3, then destroy			

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SG1514	**INSPECTION RECORDS, ESTABLISHMENT** Series documents inspections of establishments to ensure compliance with laws and administrative rules that govern operation of the establishment. Types of establishments may include mortuaries, cemeteries, crematoriums, funeral homes, or barber and beauty shops. Records may include but are not limited to inspection ledgers; case files; advertisements; contracts; corporation history; inspection reports; license and certificate records; equipment checks; and related correspondence and documentation. ***GUIDANCE:*** - AC - After last inspection.		AC +2, then destroy			
SG1515	**LICENSEE ROSTERS** Series documents persons who are licensed by the board. Records consist of a list which may include licensee name, address, and phone number; license status (current, lapsed, or inactive); type of license; license number; employer name, address, and phone number; method of licensing; dates of initial licensing, renewal, or expiration; audit number; and related documentation. Roster may be published in the form of a directory.		AC +3, then PM			

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SG1516	**LICENSING RECORDS, ESTABLISHMENT** Series documents the application process and licensing history of establishments regulated by state law and administrative rule. Types of establishments may include cemeteries, barber and beauty shops, mortuaries, crematoriums, funeral homes, pharmacies, animal euthanasia sites, dog kennels, drug manufacturers, or drug wholesalers. Records may include but are not limited to license and certificate records; applications; inspection reports; background investigations; staff résumés; reports; lists of licensed establishments; and related correspondence and documentation. Excluding Real Estate Brokerage Companies.		AC +3, then PM			
SG1517	**LICENSING RECORDS, INDIVIDUAL** Series documents the process of licensing individuals who have met the professional standards of the licensing board. The licensing process may include application, evaluation, testing, training, licensing, and certification. Series indicates type of license and may include applications; certificate of education or college transcripts; verification of national or out-of-state licensure; examination scores; cashiering information on fees paid; copies of individual licenses; blank licenses and license audit records; verification of work and supervisory experience; résumés; continuing education records; and background investigative reports. Series may also include renewal notices; copies of licenses or temporary permits; special certification or permit documentation; apprentice and intern licensing records; and related correspondence and documentation. Records are arranged alphabetically by licensee name.		LA or 3, then destroy			

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SG1518	**LOBBYIST RECORDS** Series is used to document lobbyist and lobbyist employer activities. Records may include but are not limited to expenditure reports; registration statements; termination records; guidelines; correspondence; and related documentation. Series includes active, inactive, and terminated files.		AC +3, then destroy			
SG1519	**REPORTS AND STUDIES** Series provides a record of findings, assessments, recommendations, research activities, studies, accomplishments, goals, and other activities of the board or commission. These reports or studies are reported to the public; the commission's umbrella or oversight agency; other agencies and organizations; the governor or legislature; or the federal government. Series may include project evaluation reports; public surveys; program or plan summaries; progress or performance reports; biennial, annual, or monthly reports; workload studies; photographs; monitoring reports; needs assessment studies; project outlines and schedules; administrative histories; statistics; working papers and drafts; and related correspondence, and documentation. ***GUIDANCE:*** - Transfer one copy of final report, product or study to State Archives after 3 years. - AC - Working papers, background documentation and draft material: After final document produced, or as required by government or agency.		*Final:* AC +3, then PM *Working:* AC +3, then destroy			

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SG1520	**SPECIAL COMPLAINT, MEDIATION OR HUMAN RIGHTS CASE FILE** Series may include supplemental information. Information covered by Idaho Code §9-340C is exempt from disclosure.		PM			Contact State Archivist.

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BUDGET RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0101	**BUDGET REPORTS, ANNUAL** Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.		PM			Contact State Archivist.
SG0102	**GRANT MONTHLY REPORTS, BLOCK** Monthly reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.		AC +3, then destroy			
SG0103	**GRANT YEARLY REPORTS, BLOCK** Annual reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.		PM			Contact State Archivist.
SG0104	**BUDGET ALLOCATION FILES** Allocation and re-allocation schedules, proposing monthly obligations under each authorized appropriation.		AC +3, then destroy			

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SG0105	**BUDGET BACKGROUND RECORDS** Records used to assist in the preparation of the division budget and to justify budget requests presented to the department director. They also contain work programs, etc. Copies of budget estimates and justification prepared or consolidated in formally organized budget offices. Included are appropriation language sheets, narrative statements, workload/expansion plans and related schedules and data.		AC +3, then destroy			
SG0107	**BUDGET POLICY FILES** Correspondence or subject files of formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.		PM			Contact State Archivist.
SG0108	**GRANT CASE FILES** Accepted proposals and applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds and project budgets. ***GUIDANCE:*** - AC - After grant has expired, unless otherwise noted in the grant.		AC +3, then destroy.			

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SG0109	**GRANT CONTROL FILES** Indices, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.		US, then destroy.			
SG0110	**PERIODIC BUDGET REPORTS** Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.		FE +3, then destroy.			
SG0111	**UNSUCCESSFUL GRANT APPLICATION FILES** Rejected and withdrawn grant applications, memoranda, correspondence, and other records relating to the decision to reject the grant proposal. ***GUIDANCE:*** - AC After rejection and withdrawal.		AC +3, then destroy.			

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CARTOGRAPHIC RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0201	**CARTOGRAPHIC RECORDS** Cartographic records include maps (printed, automated, and microfilmed, aerial photography, globes, models, raised relief maps, and remote sensing imagery. These records have a special place in preserving the history of Idaho and should be regularly inventoried and if in electronic form, regularly upgraded and migrated.		PM			Contact State Archivist.
SG0202	**GEOGRAPHIC INFORMATION SYSTEMS (GIS)** When agencies retain data in Geographic Information Systems (GIS), including off-line, AND the related records are judged to be archival (have long term and research value beyond the agency), it is particularly crucial that the documentation be preserved along with the digital records. When archival electronic (digital) records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. May include maps and data related to hazardous materials storage, natural resource, mine and well-head locations (ex: natural gas), as well as representations of compilations of demographic information. ***GUIDANCE:*** - Refer to SG0408, Data Documentation, for permanent databases.		PM			

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COMMUNICATION RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0301	**MAIL CONTROL RECORDS** Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, including statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post).		AC +3, then destroy			
SG0302	**STATE MAIL AND DELIVERY SERVICE RECEIPTS** Records of receipts for mail and packages received through the state mail system.		AC +1, then destroy			
SG0303	**TELECOMMUNICATIONS REFERENCE VOUCHER AND BILLING RECORDS** Reference copies of vouchers, bills, and invoices, relating to the installation, change, removal, and servicing of equipment.		AC +3, then destroy			
SG0304	**TELECOMMUNICATIONS SERVICE AGREEMENTS** Copies of agreements with background data and other records relating to agreements for telecommunications services.		AC +4, then destroy			

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SG0305	**TELECOMMUNICATIONS SERVICE RECORDS** Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and other similar services.		AC +5, then destroy			
SG0306	**TELECOMMUNICATIONS STATISTICAL REPORTS** Statistical information gathered from a telecommunication program to document cost and volume. Information includes repair orders, billings, new equipment purchases, and accounting information.		AC +5, then destroy			
SG0307	**TELEPHONE MESSAGE REGISTERS** Message registers, logs, performance reports, daily load reports, and related or similar records.		AC +6 months, then destroy			
SG0308	**TELEPHONE MESSAGES** Incoming and outgoing telephone messages.		AC +2 months, then destroy			

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DATA PROCESSING RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0401	**ACTIVITY MONITORING RECORDS** Records which monitor the activities of a data processing system. Information includes console logs, physical, and on-line access.		AV +1, then destroy			
SG0402	**BATCH / DATA ENTRY CONTROL FORMS** Information on all batch or data entry records received by the mainframe.		AC +3, then destroy			
SG0403	**COMPUTER HARDWARE MAINTENANCE RECORDS** Records documenting the service, repair, and inspection of computer hardware (mainframes, mini and micro computers), which also include service/maintenance agreements.		LA +1, then destroy			
SG0404	**COMPUTER JOB SCHEDULES AND REPORTS** Schedules or similar records showing computer jobs to be run, and other reports by computer operators or programmers of work performed.		AV +1, then destroy			

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SG0405	**COMPUTER UTILIZATION AND BILLING REPORTS** Records showing computer use by each agency and any charges for space or time.		AC +5, then destroy			
SG0406	**COMPUTER-PRODUCED OUTPUT** Machine-produced reports showing transactions that were accepted, rejected, suspended, or processed.		AC +2, then destroy			
SG0407	**DATA DOCUMENTATION FOR NON-PERMANENT DATABASES** Records generally created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. *This schedule applies to documentation for databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods.* ***GUIDANCE:*** - US - After superseded or until deletion of database.		US +1, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0408	**DATA DOCUMENTATION FOR PRIMARY OPERATIONS DATABASES** Records generally created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. This documentation only includes that of data bases whose information is considered permanent or otherwise significant. User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. *This schedule applies to documentation for databases whose information are considered permanent or otherwise significant. Documentation may include metadata and information organized in data warehouse systems.*		PM			Contact State Archivist.
SG0409	**DATA PROCESSING PLANNING RECORDS** Records created and used in the development, redesign, or modification of an automated system or application, including project management records, status reports, system or subsystem specifications, user requirements and specifications, and memoranda and correspondence. May also include studies, analyzes, and short-range plans.		PM			Contact State Archivist.

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SG0410	**PROGRAM SOURCE CODE** Automated program code which generates the machine-language instructions used to operate an automated information system. Paper copy of program code, flowcharts, maintenance log, system change notices, and other records that document modifications to computer programs. These records are maintained for reference, as backup, to insure adequacy of change documentation, or to rectify errors in program implementation after related programs are replaced, modified, or cease to be used.		AC +3, then destroy			
SG0412	**SYSTEM DOCUMENTATION FOR NON-PERMANENT DATABASES** User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. *This schedule applies to documentation for-databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods.* ***GUIDANCE:*** - US - After superseded or until deletion of database.		US +1, then destroy			

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SG0413	**SYSTEM DOCUMENTATION FOR PERMANENT DATABASES** User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. This documentation only includes that of databases whose information is considered permanent or otherwise significant. ***GUIDANCE:*** - Transfer to State Archives immediately.		PM *Duplicate copies:* AV, then destroy			

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EDUCATION, STATE BOARD OF - AGENCY SPECIFIC RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18500	**Administration - Agency Director's Records** Series provides a record of the administrative activities of the agency director such as executive leadership of the organization, financial and personnel management, policy development, budget development and approval, public contact and lobbying. Series also documents the activities and decisions of the board responsible for governing agency operations or for advising its operations. Records may include: Correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports. Also may include minutes, agendas, tape recordings, and Board Committee records. Records may also include [Agency] constitution and by-laws, intergovernmental agreements, organization charts, draft and approved budgets.		PM	A	X	

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SG18501	**Administration - Complaint and Investigation Records, Agency or Internal Unit** Series documents complaints brought against establishments alleging violation of laws and administrative rules that govern operation of the establishment and documentation of any resulting disciplinary actions. Records may include, but are not limited to, correspondence; description of complaint; case files; legal notices and orders; hearing records; audio recordings and transcripts; license and certificate records; exhibits; investigative reports; working notes and files; investigation committee records, minutes, and agendas; and related correspondence and documentation. ***GUIDANCE:*** - See also Idaho Code § 9-340E, Exemptions from Disclosure. - AC - After case is closed.		AC +7, then destroy	R	X	**RA**–May be restricted due to attorney-client privilege, personal information.
SG18502	**Administration - Contracts and Leases** All documents having to do with contracts, leases, etc. Exception: building construction contracts. ***GUIDANCE:*** - AC - Expiration or termination of the instruments according to its terms. Statute of limitations for contracts claims is 5 years. Department of Administration uses 6 years.		AC +6, then destroy			

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SG18503	**Administration - Correspondence - Executive** Correspondence pertaining to the programs, administration, etc. of an agency or its offices. ***GUIDANCE:*** - See also Idaho Code § 9-340E, Exemptions from Disclosure.		PM	R	X	**RA**–May be restricted due to personal information.
SG18504	**Administration - Correspondence - General** Correspondence pertaining to the routine operations of an agency or its offices. ***GUIDANCE:*** - See also Idaho Code § 9-340E, Exemptions from Disclosure.		AC +3, then destroy			**RA**–May be restricted due to personal information.
SG18505	**Administration - Customer / Patron Surveys** Institutional research. Includes surveys returned by clients, etc. regarding agency performance, services, etc. **NOTE:** Some materials may warrant long-term retention. ***GUIDANCE:*** - See also Idaho Code § 9-340E, Exemptions from Disclosure.		AC +3, then destroy	R		**RA**–May be restricted due to personal information.

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SG18506	**Administration - Desk Calendars / Appointment Books** Records that document appointments, itineraries, etc. of an agency official or employee.		CE +1, then destroy			**RA**–May be restricted due to security interest of individuals.
SG18507	**Administration - Division Records** Series documents the activities, decisions, and reports of divisions that oversee or advise programs or functions of the agency. Records may include: Division agendas, staff-level meeting minutes, proposed budgets, reports and routine correspondence. **NOTE:** Division minutes and correspondence may become part of agency history that is permanent. Some materials may warrant long-term retention.		AC +3, then destroy	R		
SG18508	**Administration – Donation / Gift Records** Records documenting the donation of archival material, artifacts, manuscripts, and publications to the agency. May include descriptive lists, transfer of publication/copyrights, restrictions. ***GUIDANCE:*** - See also Idaho Code § 9-340E, Exemptions from Disclosure.		PM			**RA**–Access may be restricted due to contents of documenta-tion, es-pecially with artifacts, and cultural resources.

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SG18509	**Administration - Event and Conference Records** Records detailing the nature and subject of the agency event, including but not limited to brochures, advertising, and press releases.		PM	A	X	
SG18510	**Administration - External Affairs - Education and Outreach Program Records** Series provides a record of administration of the agency's education and public outreach programs. These programs may include tours, lectures, workshops, electronic media, and other adult and children's events and activities. Records may include publicity and promotion (advertisement) records, reports, orientation and training class records such as teaching packets, brochures, flyers, photographs, audio tapes, videotapes, session or class schedules, attendance rosters, and correspondence. Records may also include agreements and contracts.		PM	A	X	**RA**–Access may be restricted as attendance rosters may include individual information that may be confidential, depending on program purpose and participants.
SG18511	**Administration - Forms - History File** Series includes master set of agency or division forms, including design requests. ***GUIDANCE:*** - Copy of form to be furnished to State Archives, once implemented.		PM	A	X	

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SG18512	**Administration - Forms - Records Inventory** Lists of all record series used by an agency, resulting from inventory.		PM	A	X	
SG18513	**Administration - Mail and Telecommunications Listings** Any records listing address, phone numbers, fax numbers or e-mail addresses.		US, then destroy			**RA**–May be restricted due to personal information, security of individuals.
SG18514	**Administration - Meetings - Agenda and Minutes** Official minutes and agenda of open meetings. ***GUIDANCE:*** - The archival requirement will be met by sending a copy to State Archives. - Final version - Approved formal minutes by the governing body.		PM	A	X	
SG18515	**Administration - Meetings - Closed** Certified agendas or tape recordings of closed meetings. ***GUIDANCE:*** - See also Idaho Code § 9-340E, Exemptions from Disclosure.		PM	A	X	**RA**–May be restricted depending on content.

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SG18516	**Administration - Organization Charts** Any documentation that shows program accountability.		PM	A	X	
SG18517	**Administration - Plans and Planning Records** Plans, etc. relating to planning new or redefining programs, services, etc.		PM	A	X	
SG18518	**Administration - Proposed Legislation** Drafts of proposed legislation and related correspondence.		AC +3, then destroy			
SG18519	**Administration - Staff Meeting Minutes** Minutes from internal agency staff meeting.		PM	A	X	
SG18520	**Administration - Strategic Plans** Information resources and operational strategic plans.		PM	A	X	

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SG18521	**Agency Oversight - Education Program Review Records** Series documents the review of public and private educational programs, including college and university certification programs, to determine if license requirements, continuing education standards, or teacher certification requirements are being met. Records may include, but are not limited to, correspondence; reports created by colleges about faculty, students, and curriculum; college catalogs and self-study evaluations for programs under review; lists of accredited schools; course listings and descriptions; program descriptions and literature; seminar and workshop agendas; and related correspondence and documentation. **NOTE:** Some materials may warrant long-term retention. These materials should be reviewed for archival materials. ***GUIDANCE:*** - See also Idaho Code § 9-340E, Exemptions from Disclosure. - AC - After close of the periodic review.		AC +3, then destroy			**RA**–May be restricted due to personal information.

LEGEND:

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Archival: **A**-Record is or may be permanent and have historic value; **R**-Required review by the Records Manager to determine value.

Vital: **X**-Record is vital for immediate operation of the office of origin or the institution

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SG18522	**Agency Oversight - Licensing Examination and Administration Records** Series documents the administration of license examinations whether given in-house or through an approved service. [Ex: Adult Basic Education and Technical Professional exams. Records may include but are not limited to correspondence with applicants.] When developed in-house: Exam materials (master copy of exams with answers); blank examination booklets; exam and question development records; sample exams with answers. Records of applicants for license: [Ex: results of the examination including a roster listing name, ID number, and examination score. Records may include statistical data and analysis of exam scores and statistics on the administration of the exam in other states. ***GUIDANCE:*** - See also Idaho Code § 9-340E, Exemptions from Disclosure. - A variety of federal regulations apply, depending on the subject area and type of the license. Current federal code allows the SBoE to designate the office(s) of record for licensure documentation.		PM	A	X	**RA**–May be restricted due to personal information.

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SG18523	**Agency Performance Measures Documentation** Example: Documents supporting effectiveness of appropriations requests or strategic plan. ***GUIDANCE:*** - **CAUTION:** The FE+3 retention period overrides any shorter retention period for materials from other records series if those records are needed for documenta-tion of agency performance measures.		FE +3, then destroy		X	
SG18524	**Agency Staffing Reports** Any reports regarding staffing statistics.		PM	A	X	

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SG18525	**Agency Written Histories** Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Includes: Narrative audio or audio-visual agency histories. This series documents an agency or unit's informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. May include but is not limited to: materials on planning and arrangements; presentation materials and handouts; reports; photographs; promotional and publicity materials; press releases and news clippings; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence. **NOTE:** Some materials may warrant long-term retention. These materials should be reviewed for archival materials. Also appropriate for higher education schedule.		PM	A	X	
SG18526	**Annual Reports** Series provides a record of the primary functional activities and accomplishments of the agency for the previous year. Reports may include narratives, statistics; graphs; diagrams; member lists; descriptions of programs; events and exhibits; and annual financial statements.		PM	A	X	

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SG18527	**Appeal and Review Records** Series documents reviews of decisions made by boards or commissions, including appeals to the board or commission concerning decisions made by state agencies, local governments, or special districts. Records may include but are not limited to narrative history or description of appeal; minutes and testimony; exhibits; reports and findings of fact; final orders, opinions, conclusions, or decisions; audio recordings; hearing schedules and lists of participants; and related correspondence and documentation.		PM	A	X	
SG18528	**Audiovisual Records** Series includes informative and educational materials produced by agency prepared for distribution, also for broadcast via television/ cable/radio/web-based media for education, in-house training, presentations, public service announcements, etc. Format may include video, film, still and digital photography, audio tape, “b-roll” and related electronic media.		PM	A	X	
SG18529	**Biographical Information (VITAS)** For all levels and positions if biographical files are created.		PM	A	X	**RA**-May contain information restricted per Idaho Code § 9-340E, Exemptions from Dis-closure.

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SG18530	**Board and Commission Records - Member Records** Series documents board activities and serves as a reference source for board and commission members. Records may include but are not limited to correspondence, plans, statements of goals and objectives, minutes, committee reports, budgets, financial statements, reports, and other reference material. Records are often compiled in a notebook for each member. **NOTE:** Some materials may warrant long-term retention. These materials should be reviewed for archival materials. ***GUIDANCE:*** - AC - After final term expires.		AC +3, then destroy	R		
SG18531	**Board and Commission Records - Appointed or Elected Personnel Records** Series documents personnel actions related to appointment or election of members and subsequent human resource records. For appointive offices: records may include appointment letters from the governor or agency director, and Senate confirmation, if required. For elective offices: election records may be included. Series may include, but is not limited to: résumés; applications; personnel actions; interest forms for executive appointments; job descriptions; employee data sheets; and related correspondence and documentation.		PM	A	X	

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SG18532	**Board and Commission Records - Formation and Organizational** Series documents the formation and organization of the board or commission. Records may include but are not limited to bylaws; position and policy statements; mission and goal statements; rules and regulations; work plans; and related documentation.		PM	A	X	
SG18533	**Board and Commission Records - Meeting Minutes** Series documents the official proceedings of the board or commission meetings. Records may include agendas; minutes; meeting notices; items for board action; contested case hearings schedules; committee reports; exhibits; and related correspondence and documentation. Records may also include audio recordings of meetings used to prepare summaries.		PM	A	X	
SG18534	**Collection Management - Finding Aids, Materials Catalogs** Lists providing patrons with access to library, archives, or museum holdings by subject, title, description, author and/or donor. For Libraries: includes author's name, title of book or other media, call number, bibliographic description, and related information. For Museums and related collections: includes physical description, source and provenance.		US, then destroy	R	X	

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SG18535	**Collection Management - Circulation Records, Materials** Records, regardless of format, documenting the circulation of materials such as books, magazines, record albums, audio and video tapes, and computer software. May include patron identification, date circulated and date due.		AC, then destroy		X	
SG18536	**Collection Management - Circulation Records, Patron** Series includes patron-specific information maintained to support patron use of collections. ***GUIDANCE:*** - US - Record is purged when transaction completed.		US, then destroy		X	**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Dis-closure.

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SG18537	**Collection Management - Loan Records** Series documents the processing and documentation of incoming objects loaned from outside sources and/or objects being loaned out from the permanent collection. Records may include loan requests and agreements, insurance coverage agreements, descriptions of objects received or loaned out, inspection and condition reports, acknowledgments and receipts, lender lists, inventory lists, packing and shipping records, facilities reports, damage reports, and insurance reports. Records may also include U.S. and foreign customs forms. ***GUIDANCE:*** - AC - Return of item / object.		AC +3, then destroy		X	**RA**-Access may be restricted to maintain security of collections per Idaho Code § 9-340E, Exemptions from Dis-closure.
SG18538	**Collection Management - Inter-Library Loan Records, Material Tracking** Records documenting materials borrowed and loaned by the library through an inter-library loan program in response to patron and other library requests. May include requests, notices, tracking logs, and other records.		AC +3, then destroy			**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Dis-closure.

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SG18539	**Collection Management - Accession Records** Information related to library, archives, or museum acquisitions. Book accessions usually includes author, title, publisher, jobber, year purchased, purchase price, and other bibliographic and accession data. Non-book media accessions may document provenance and related details, such as condition. ***GUIDANCE:*** - Examples: (a.) To maintain privacy of donors; (b.) Due to security needs of collections (i.e., archaeological and cultural resources). - Some federal regulations may also apply.		PM	A	X	**RA**-Access restricted per Idaho Code § 9-340E, Exemptions from Dis-closure.
SG18540	**Collection Management - Bindery Lists** List of books, periodicals, newspapers, etc. sent to book binder for binding. ***GUIDANCE:*** - AC - After binding is complete.		AC +1, then destroy			

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SG18541	**Collection Management - Exhibit Records** Series documents the planning, development, installation and maintenance of temporary and permanent on-site and off-site exhibitions, research of materials and objects, and publication of exhibits. Records may include exhibit contracts, copyright releases, design and installation records, permanent and temporary exhibit inventory listings, exhibit catalogs, photographs and slides, exhibit scheduling records, brochures, and correspondence. ***GUIDANCE:*** - Examples: (a.) To maintain privacy of donors; (b.) Due to security needs of collections, (i.e., archaeological and cultural resources). - Some federal regulations may also apply.		PM	A	X	**RA**-Access restricted per Idaho Code § 9-340E, Exemptions from Dis-closure.
SG18542	**Collection Management - Lending Requests or Inter-Library Loan Records** Patron-specific information. ***GUIDANCE:*** - US - Record is purged when transaction completed.		US, then destroy		X	**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Dis-closure.

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SG18543	**Collection Management - Loans and Collections Insurance Records** Series documents insurance coverage as part of risk management for museum collections and loan objects. Records may include insurance policies, riders, certificates of insurance, correspondence, damage and loss claims, and reports.		AV, then destroy		X	**RA**-Access may be restricted in the interest of security.
SG18544	**Collection Management - Master Shelf Lists / Inventories** Inventories of all holdings, including volumes and titles added or withdrawn from the collection. Usually arranged by shelf, showing title, author or office, accession number, publisher, date acquired, cost, and number of copies. Used as an inventory control.		AV, then destroy		X	
SG18545	**Collection Management - Overdue Book Records** Records used to monitor status of overdue books and other media. Also used to notify patrons to return overdue library materials. Often includes notices and lists. Lists may document long-overdue materials and can be useful in collection action.		AC, then destroy			**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Dis-closure.

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SG18546	**Collection Management - Patron's Borrower Registration Records** Records used to grant citizens library cards and privileges as well as to control circulation of library holdings. Individual borrower registration information may include name, address, telephone number, date of birth, signature, expiration date, identification number, and related data.		US, then destroy		X	**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Dis-closure.
SG18547	**Collection Management - Patron's Borrowing / Loaning Records** Records concerning the borrowing and loaning of archives, library or museum materials.		US, then destroy		X	**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Dis-closure.

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SG18548	**Collection Management - Patron's Registration for Use of Special Library or Collection Materials** Records concerning the use of rare, valuable or other restricted library materials. Records may show patron name, patron address, patron signature, etc. ***GUIDANCE:*** - AC - Last date of contact.		AC +3, then destroy			**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Dis-closure.

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18549	**Collection Management - Permanent Collection Records** Series documents the management of objects and materials in permanent collections. Series documents the accession, use, care, maintenance, storage and disposition of collections; also provides a record of de-accession of objects no longer in the collection. Records may include policies and procedures for acquisition and de-accession, records of appraisal and authenticity, catalogs and lists of accession and/or de-accession, regardless of format (paper/fiche/electronic), deeds of gift, donor records, inventory and location records, condition/conservation records, photographs of objects, collections use records, and library shelf lists and finding aids. ***GUIDANCE:*** - Examples: (a.) Maintain privacy rights of donors; (b.) Due to security needs of collections (ex: data on archaeological and cultural resources). - Some federal regulations may also apply.		PM	A	X	**RA**-Access restricted per Idaho Code § 9-340E, Exemptions from Dis-closure.
SG18550	**Collection Management - Selection Records** Records documenting the selection of books and other library materials (monographs, periodicals, films, etc.).		AV, then destroy			

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SG18551	**Computer Services - Data Processing Policies and Procedures** Manuals/Guidelines establishing data processing procedures: i.e., system back-ups. ***GUIDANCE:*** - **CAUTION:** Does not include technical documentation of processors necessary for reading or processing of electronic records.		PM	A	X	
SG18552	**Computer Systems - Audit Trail Records** Files used for electronic data audits: i.e., on-line updates and security logs, etc. ***GUIDANCE:*** - All audit requirements have been met.		PM	A	X	
SG18553	**Computer Systems - Backups (Master Files)** If original computer files lost, these files must meet the retention for their content's specific category. ***GUIDANCE:*** - **CAUTION:** Records stored in this format can be subpoenaed during litigation.		US or 1, then destroy		X	

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SG18554	**Computer Systems - Backups** Backups on tape, disk, CD, DVD, etc. retained until superseded. ***GUIDANCE:*** - **CAUTION:** Records stored in this format can be subpoenaed during litigation.		Overwrite or destroy			
SG18555	**Computer Systems - Batch Data Entry Control Records** Logs used to reconcile batches submitted for processing.		AV, then destroy			
SG18556	**Computer Systems - Data Warehouses, Development Documentation** System Development for initial setup and all subsequent changes/		PM	A	X	
SG18557	**Computer Systems - Data Warehouses, Equipment / System Documentation** Source Material ***GUIDANCE:*** - LA - Life of data warehouse.		LA, then destroy			

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SG18558	**Computer Systems - Finding Aids, Indexes and Tracking Systems** Automated indexes, etc. that provide access to hard copy and electric records. ***GUIDANCE:*** - Retention based on Idaho Code 28-50-112, Electronic Records Retention.		PM	A	X	
SG18559	**Computer Systems - Hardware Documentation** Operational and maintenance requirements of computer hardware, such as operating manuals, hardware configurations, control systems. ***GUIDANCE:*** - Series may relate to property management schedules.		PM	A	X	**RA**–Access may be restricted as part of facility security plans.
SG18560	**Computer Systems - Job Schedules and Reports** Schedules showing computer jobs to be run.		AC +3, then destroy			
SG18561	**Computer Systems - Master Files** Relatively long-lived computer files containing sets of complete and accurate electronic records. ***GUIDANCE:*** - AC - Completion of third update cycle.		AC, then destroy		X	

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SG18562	**Computer Systems - Output Records for Computer Production** Reports showing output of transactions.		AV, then destroy		X	
SG18563	**Computer Systems - Processing Files** Machine readable files used to create, update, etc. master files. ***GUIDANCE:*** - AC - Completion of third update cycle.		AC, then destroy		X	
SG18564	**Computer Systems - Quality Assurance Records** Quality Assurance Records pertaining to software and hardware performance.		PM	A	X	
SG18565	**Computer Systems - System Activity Reports** Internal listing of all incoming/ outgoing agency telephone activity.		AC +2, then destroy			
SG18566	**Computer Systems - System Monitoring Records** Files that monitor computer systems, i.e. tape activity logs etc.		PM	A	X	

LEGEND:

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SG18567	**Computer Systems - Technical Documentation** Records adequate to specify all technical characteristics necessary for reading or processing of electronic records. ***GUIDANCE:*** - AC - Until electronic records are transferred to new software environment.		AC, then destroy		X	
SG18568	**Copyright and Reproduction Records - Agency-Owned Materials** Series records the activities, policies and procedures related to copyright ownership and reproduction of agency-owned objects and publications. Series documents agreements with other parties for private or commercial use, reproduction, publication and sale of written materials and photographs of agency-owned objects and publications. Records may include reproduction, resale and publication policies and procedures, contracts and agreements, use restriction forms, photographic release forms and service request forms, requests for reproduction or publication permission for photographs or documents, fee schedules, correspondence.		PM	A	X	**RA**-May contain proprietary information. Also, may contain attorney-client privileged information.

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SG18569	**Copyright and Reproduction Records - Externally-Owned Materials** Series records agency activities, policies and procedures related to copyright ownership and reproduction of externally-owned materials, and of the agency's use of these items. Includes: agreements with other parties for use, reproduction, publication and sale of written materials and photographs of externally-owned objects and publications. Records may include reproduction, resale and publication policies and procedures, contracts and agreements, use restriction forms, photograph release forms, photographic service request forms, requests for permission to reproduce or publish photographs or documents, fee schedules, correspondence, and work orders for purchase of printed materials.		PM	A	X	**RA**-May contain proprietary information.
SG18570	**Equipment - Calibration** Calibration records for equipment or instruments.		US, then destroy			
SG18571	**Equipment - Descriptions and Specifications** Set by the agency.		AC +3, then destroy			
SG18572	**Equipment - History File** Equipment Service Agreements, includes maintenance agreements, installation and repair logs, etc.	Office of Origin & Facility Opera-tions	LA +3, then destroy			

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SG18573	**Equipment - Manuals** Instruction and operating manuals.	Office of Origin	LA, then destroy			
SG18574	**Equipment - Warranties** ***GUIDANCE:*** - AC - After disposal of equipment.		AC +1, then destroy			
SG18575	**Facility Operations – Appraisals** Building or property.		AC +3, then destroy		X	
SG18576	**Facility Operations - Buildings Plans and Specifications** Includes architectural and engineering drawings, etc. ***GUIDANCE:*** - State-owned buildings are classified LA (Life of Asset) and must be reviewed by the University Archivist for historical value before disposal.		PM *For Leased structures:* AC +2, then destroy	A	X	**RA**-Access may be limited as part of facility security plan.
SG18577	**Facility Operations - Buildings Space Requests**		AC +1, then destroy			

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SG18578	**Facility Operations - Buildings, As-Built Plans** ***GUIDANCE:*** - State-owned buildings are classified LA (Life of Asset) and must be reviewed by the State Archivist for historical value before disposal.		LA, then destroy	A	X	
SG18579	**Facility Operations - Buildings, Construction Contract and Inspection Records** Building construction contracts, surety bonds, and inspection records. ***GUIDANCE:*** - State-owned buildings are classified LA (Life of Asset) and must be reviewed by the State Archivist for historical value before disposal.		LA, then destroy	A	X	
SG18580	**Facility Operations - Buildings, Construction Project Files** Planning, design, construction records and all bids, etc. ***GUIDANCE:*** - State-owned buildings are classified LA (Life of Asset) and must be reviewed by the State Archivist for historical value before disposal.		LA, then destroy	A	X	
SG18581	**Facility Operations - Damage Reports** Reports of damage to state property.		FE +3, then destroy			

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SG18582	**Facility Operations - Lost and Stolen Property Reports**		FE +3, then destroy			**RA**-Access may be restricted where legal proceedings are involved.
SG18583	**Facility Operations - Maintenance Work Orders** Housing, buildings and grounds.		AC +3, then destroy			
SG18584	**Facility Operations - Parking Permits or Assignments** For staff or volunteers.		AC +1, then destroy			**RA**-Access may be limited as part of facility security plan.
SG18585	**Facility Operations - Property Disposal Records** Documenting disposal of inventoried property.		PM	A	X	
SG18586	**Facility Operations - Property Management Sequential Number Logs** Property logs.		US +3, then destroy			
SG18587	**Facility Operations - Reservation Logs** Reservation logs, etc. for the use of meeting rooms, auditoriums, etc.		AC +1, then destroy			**RA**-Access may be limited as part of facility security plan.

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SG18588	**Facility Operations - Security Access Records** Documents the issuance of keys, identification cards, passes, passwords, etc. ***GUIDANCE:*** - AC - Until superseded, date of expiration, or date of termination, whichever is sooner.		AC +2, then destroy		X	**RA**-Access may be limited as part of facility security plan.
SG18589	**Facility Operations - Service Orders** Agency copy of forms completed by mechanical service personnel for installation or repair.		AC +1, then destroy			
SG18590	**Facility Operations - Space Utilization Reports**		AC +1, then destroy			
SG18591	**Facility Operations - Surplus Property Sale Reports**		PM	A	X	
SG18592	**Facility Operations - Utility Usage Reports**		AC +1, then destroy			
SG18593	**Facility Operations - Vehicle Operation Logs**		AC +1, then destroy			
SG18594	**Facility Operations - Water Tests / Treatment**		PM	A	X	

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SG18595	**Facility Operations - Year-to-Date Inventory Activity Listing** Documents changes within inventory system. Includes agency and division name, tag #, etc.		FE +3, then destroy			
SG18596	**Fiscal - Accounts Payable Information**		FE +3, then destroy			
SG18597	**Fiscal - Accounts Payable Ledgers**		FE +3, then destroy			
SG18598	**Fiscal - Accounts Receivable Ledgers**		FE +3, then destroy			
SG18599	**Fiscal - Annual Financial Reports**		PM	A	X	
SG18600	**Fiscal - Annual Operating Budgets** Division / Departmental.		FE +3, then destroy			
SG18601	**Fiscal - Appropriation Requests** Includes any supporting documentation in the appropriation request.		FE +3, then destroy			

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SG18602	**Fiscal - Audit Reports** Final Audits and Reviews performed by or examining the Agency. Publication or release of final audit findings. ***GUIDANCE:*** - Becomes final record at time of publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by that agency.		PM	A	X	
SG18603	**Fiscal - Balancing Records** Reconciliation.		FE +3, then destroy			
SG18604	**Fiscal - Bank Statements**		FE +3, then destroy			
SG18605	**Fiscal - Billing Detail - Telecommunications** Includes all detailed listings of long distance calls. [Long Distance Reports are records of the Provider.]		FE +3, then destroy			
SG18606	**Fiscal - Cancelled Checks** Stubs / warrants / drafts.		FE +3, then destroy			
SG18607	**Fiscal - Capital Asset Records**		LA +3, then destroy			

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SG18608	**Fiscal - Cash Counts** Cash bank / "till" reconciliation.		FE +3, then destroy			
SG18609	**Fiscal - Cash Deposit Vouchers** Cash deposit slips.		FE +3, then destroy			
SG18610	**Fiscal - Cash Receipts Log, Daily**		FE +3, then destroy			
SG18611	**Fiscal - Cash Receipts** Includes receipts for fees - permits, licenses, renewals, etc.		FE +3, then destroy			
SG18612	**Fiscal - Charge Schedules / Price Lists** Schedules of prices charged by agency for services and facility use and documents used to determine the price.		US +3, then destroy			
SG18613	**Fiscal - Comptroller Statements**		FE +3, then destroy			
SG18614	**Fiscal - Deeds and Easements** Proof of ownership and right-of-way on property.		PM	A	X	

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SG18615	**Fiscal - Detail Chart of Accounts** One for all accounts in use for a fiscal year.		FE +3, then destroy			
SG18616	**Fiscal - Development Program (Fund-Raising) Records** Development programs raise funds and other resources for support of the agency, organization, and its programs through cultivation of individual, corporate, government and foundation support and special events. These programs also develop, submit and report on grants. Series records the administration of these programs. Records may include: publicity and promotion records, reports, budgets, grant records, fund raising event and project records, records of gifts-in-kind (Ex: volunteer hours, not physical property) and gift income records, mailing lists, bulk mailing records, and correspondence. **NOTE:** Some materials may warrant long-term retention. These materials should be reviewed for archival materials.		PM	R	X	
SG18617	**Fiscal - Disputed Call Documentation** Relating to disputed long distance calls and evidence of employee repayment where applicable.		FE +3, then destroy			
SG18618	**Fiscal - Encumbrance Detail**		FE +3, then destroy			

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SG18619	**Fiscal - Encumbrance Vouchers** Orders, statements, change orders, etc.		FE +3, then destroy			
SG18620	**Fiscal - Expenditure Journal or Register**		FE +3, then destroy			
SG18621	**Fiscal - Expenditure Vouchers** Travel, payroll, etc.		FE +3, then destroy			
SG18622	**Fiscal - External Reports** Special purpose - i.e. federal financial reports, salary reports, etc.		FE +3, then destroy			
SG18623	**Fiscal - Federal Tax Records** Includes FICA records. ***GUIDANCE:*** - AC - Tax due date, date the claim is filed, or date tax is paid whichever is later. - Retention: 26 CFR § 31.6001-1(e)(2).		AC +4, then destroy		X	**RA**-Access should be limited due to personal information.
SG18624	**Fiscal - Freight Bills Paid**		FE +3, then destroy			

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SG18625	**Fiscal - Fright Claims** ***GUIDANCE:*** - AC - Resolution of claim.		AC +3, then destroy			
SG18626	**Fiscal - General and Subsidiary Ledgers**		FE +3, then destroy			
SG18627	**Fiscal - General Journal Vouchers**		FE +3, then destroy			
SG18628	**Fiscal - Gift Income Records** Series documents volunteer hours donated and related cash-valued donations, not gifts of artifacts, books, or real property.		FE +3, then destroy			
SG18629	**Fiscal - Grant Applications and Proposals**		FE +3, then destroy			
SG18630	**Fiscal - Grants - Federal** ***GUIDANCE:*** - AC - Satisfaction of all Uniform Admin. Requirements for Grants and Cooperative Agreements (the Common Rule). - **CAUTION:** Retention requirements may vary depending on the specific federal funding agency.		AC +3, then destroy	R	X	

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SG18631	**Fiscal - Grants - State** Information on file, including travel, correspondence, etc. ***GUIDANCE:*** - AC - End of grant.		AC +3, then destroy	R	X	
SG18632	**Fiscal - Insurance Claim Files** ***GUIDANCE:*** - AC - Resolution of claim.		AC +3, then destroy		X	
SG18633	**Fiscal - Insurance Policies** For all types. ***GUIDANCE:*** - AC - Expiration or termination of the policy according to its terms.		AC +5, then destroy		X	
SG18634	**Fiscal - Internal Fiscal Management Reports** Includes agency monthly budget reports.		FE +3, then destroy			
SG18635	**Fiscal - Inventory Detail Report** Updates agency portion of the inventory listing and adds, changes etc., items from inventory.		FE +3, then destroy			
SG18636	**Fiscal - Investment Transaction Riles**		FE +3, then destroy			

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SG18637	**Fiscal - Long-Term Liability Records** Bonds, etc. ***GUIDANCE:*** - AC - Retirement of debt.		AC +4, then destroy	A	X	
SG18638	**Fiscal - Postage Records** Records and reports of postage expense, including postal meter usage.		FE +3, then destroy			
SG18639	**Fiscal - Receipts Journal or Register**		FE +3, then destroy			
SG18640	**Fiscal - Reconciliations**		FE +3, then destroy			
SG18641	**Fiscal - Reimbursable Activities** Requests and approval for reimbursed expenses for travel, training, etc.		FE +3, then destroy			
SG18642	**Fiscal - Returned Checks** Uncollectable warrants or drafts. ***GUIDANCE:*** - AC - After deemed uncollectable.		AC +3, then destroy			

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SG18643	**Fiscal - Signature Authorizations** Records authorizing an employee to initiate financial transactions for the agency. Also, spending authority limits.		US + FE +3, then destroy			**RA**-Access may be limited to protect financial systems.
SG18644	**Fiscal - Special Checks** Checks generated outside of normal processes.		AC +5, then destroy			
SG18645	**Fiscal - Transmittal of Funds** Cost Center transfers.		FE +3, then destroy			
SG18646	**Fiscal - Worksheets** Worksheets for preparing fiscal reports.		FE +3, then destroy			

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SG18647	**Friends of the Agency Records** These are non-profit citizens groups created to promote public support for the archives, library, museum, or other agency activities. (Non-fee paying membership.) Series includes agency copy of records documenting the activities of these groups. Activities include programs, costs, acquisitions, special events, policies, procedures, citizen participation, and others. Records may include minutes, agendas, exhibits, bylaws, non-profit statements, membership lists, budget and financial statements, and related materials. It is recommended that materials from this series be reviewed periodically to establish continued value.	Non-Profit Group's Offices	AV, then destroy			
SG18648	**Geographical Information Systems (GIS)** Documentation of sources of information. ***GUIDANCE:*** - Retention based on Idaho Code 28-50-112, Electronic Records Retention.		PM	A	X	

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SG18649	**Legal - Litigation Files** Records created by or for an agency regarding a lawsuit. **NOTE:** Cases which set legal precedent or exhibit historical value should be evaluated by State Archives. ***GUIDANCE:*** - File closes at end of the lawsuit through decision not to file, decision of the court, end of appeal, etc.		PM	A	X	**RA**-May contain attorney-client privileged info.
SG18650	**Legal - Open Records Requests - Approved** All documentation relating to request for records - furnished to the public.		PM	A	X	
SG18651	**Legal - Open Records Requests - Denied** All documentation relating to denied requests under Idaho Public Records Law.		PM	A	X	
SG18652	**Legal - Opinions and Advice** From agency legal counsel or the Attorney General. ***GUIDANCE:*** - **CAUTION:** Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation.		PM	A	X	**RA**-May contain attorney-client privileged infoforma-tion.

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SG18653	**Licensing Records - Complaint and Disciplinary Records, Individual** Series documents complaints brought before agency and divisional offices responsible for licensing or certification of teachers and other professions against individuals [alleging professional practice violations] and documentation of any resulting disciplinary actions. Complaints may include: violations of laws, rules, or ethical standards; negligence; practicing outside scope of activities to which licensed; breach of confidentiality; and incompetence. Records may include: investigation records; complaint forms; narrative description of complaint; complaint log; complaint disposition; hearings and appeals records; audio tapes; disciplinary actions such as suspension or revocation; and related correspondence and documentation. **NOTE:** Cases which set legal precedent or exhibit historical value should be evaluated by State Archives. ***GUIDANCE:*** - AC - After case is closed.		AC +7, then destroy	R	X	**RA**–Access may be restricted due to personal information or legally privileged information.
SG18654	**Licensing Records - Individual, Applications, Processing** Series documents the process of licensing individuals who have met the professional standards of the licensing board. The licensing process may include application, evaluation, testing, training, licensing, and certification.		AC +3, then destroy			

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SG18655	**Licensing Records - License Application (Incomplete)** Series documents the application process for applicants that initiated, but never completed, licensing processes. Series may include: incomplete, pending, inactive, or denied status applications.		AC +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18656	**Member Records** Series documents administration of the agency's membership program and the status of its membership (fee paid). Records may include publicity and promotion records, individual member records, membership rosters, reports, membership drive records, mailing lists, address changes, bulk mailing records, and correspondence.		AC +3, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18657	**News or Press Releases** News or press releases issued by agency, division, commission or board.		PM	A	X	
SG18658	**Personnel - Accumulated Leave Adjustment Request** Used to create and adjust employee leave balances.		FE +3, then destroy			

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SG18659	**Personnel - Affirmative Action Plan** Affirmative Action Plans for regular employees and apprenticeship programs. ***GUIDANCE:*** - Retention based on 29 CFR 30.8(e) for apprenticeship plans.		AC +5, then destroy			
SG18660	**Personnel - Americans with Disabilities Act (ADA)** Documenting compliance with the ADA Act ***GUIDANCE:*** - Retention based on 28 CFR 35.105(c).		AC +3, then destroy			
SG18661	**Personnel - Applications for Employment - Hired** Applications, etc. required by employment advertisement. ***GUIDANCE:*** - AC - Termination of employment.		AC +5, then destroy			**RA**-Access may be restricted due to personal information.
SG18662	**Personnel - Applications for Employment - Not Hired** Applications, résumés, etc. required by employment advertisement. ***GUIDANCE:*** - AC - Date position is filled. - Retention based on 29 CFR 1602.31(a) (State Agencies).		AC +2, then destroy			**RA**-Access may be restricted due to personal information.

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SG18663	**Personnel - Apprenticeship Records** Application and work records of selected and rejected apprentices. ***GUIDANCE:*** - Retention based on 29 CFR 30.8(e).		AC +5, then destroy			**RA**-Access may be restricted due to personal information.
SG18664	**Personnel - Aptitude and Skills Test - Test Paper** Aptitude test papers required for job or promotion. ***GUIDANCE:*** - Retention based on 29 CFR 1602.31 (State Agencies).		AC +2, then destroy			**RA**-Access may be restricted due to personal information.
SG18665	**Personnel - Aptitude and Skills Test - Validation Records** Records of the validation of aptitude and skills tests. ***GUIDANCE:*** - Retention based on 29 CFR 1602.31 (State Agencies). - LA - As long as the test is used by an agency.		LA +2, then destroy			**RA**-Access may be restricted due to personal information.
SG18666	**Personnel - Benefit Plans** Employee benefit plans: i.e. pension, life, health etc. ***GUIDANCE:*** - Retention based on 29 CFR § 1627.3(b)(2).		US +1, then destroy			**RA**-Access may be restricted due to personal information.

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SG18667	**Personnel - Complaint Records** Complaints received and records documenting their resolution. ***GUIDANCE:*** - **CAUTION:** If a complaint becomes the subject of litigation, it is subject to a longer retention period		FE +3, then destroy			**RA**–Access may be restricted due to personal information or legally privileged information.
SG18668	**Personnel - Corrective Action Documentation** Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve job performance. ***GUIDANCE:*** - AC - Termination of corrective action. - **CAUTION:** if, during the retention period these records, they are used to support personnel disciplinary action, the records should be retained according to Personnel Disciplinary Action series.		AC +3, then destroy			**RA**–Access may be restricted due to personal information or legally privileged information.

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SG18669	**Personnel - Disciplinary Action Documentation** Disciplinary actions are those actions that affect pay or status. They include demotion, dismissal, etc. ***GUIDANCE:*** - AC - Termination of employment. - **CAUTION:** Agencies should observe this retention in all offices related to the action.		AC +3, then destroy		X	**RA**–Access may be restricted due to personal information or legally privileged information.
SG18670	**Personnel - Employee Affidavits** Employee Affidavits for insurance, personnel, or other uses the Administration has sought their statements. ***GUIDANCE:*** - AC - Termination of employment.		AC +3, then destroy			**RA**–Access may be restricted due to personal information.
SG18671	**Personnel - Employee Benefits** Documents relating to selection of benefits other than insurance. ***GUIDANCE:*** - **CAUTION:** Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for them.		US, then destroy		X	**RA**–Access may be restricted due to personal information.

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SG18672	**Personnel - Employee Counseling Records** Notes, etc. relating to job-specific counseling. ***GUIDANCE:*** - AC - Termination of counseling.		AC +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18673	**Personnel - Employee Deduction Authorizations** Documents relating to all deductions of Pay. ***GUIDANCE:*** - AC - After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		AC +3, then destroy		X	
SG18674	**Personnel - Employee Earnings Records**		AC +4, then destroy		X	
SG18675	**Personnel - Employee Insurance Records** Agency copy of selection records by employees of insurance offered by the state. ***GUIDANCE:*** - **CAUTION:** Documents which serve as payroll deduction authorizations must be maintained for the retention period prescribed for them.		US, then destroy			**RA**-Access may be restricted due to personal information.

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SG18676	**Personnel - Employee Recognition Records** Awards, incentives, etc. ***GUIDANCE:*** - AC - Termination of employment. - Review by the State Archivist for historical value before disposal.		AC +3, then destroy	R		
SG18677	**Personnel - Employee Savings Bond Ledgers**		FE +3, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18678	**Personnel - Employment Announcement** ***GUIDANCE:*** - Retention based on 29 CFR 1602.31(a) (State Agencies).		AC +2, then destroy			
SG18679	**Personnel - Employment Contracts** ***GUIDANCE:*** - AC - Original date of hire.		AC +50, then destroy		X	**RA**-Access may be restricted due to personal information.

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SG18680	**Personnel - Employment Eligibility** Documentation or verification of Federal reporting form INS I-9. ***GUIDANCE:*** - AC - Termination of employment, with a minimum of 4 years. - Retention: 8 CFR § 274.a.2(b)(2)(i) / (A) and (c)(2).		AC +4, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18681	**Personnel - Employment Selection Records** All records that document the selection process: i.e., polygraph, physicals, interview notes, etc. ***GUIDANCE:*** - Retention: 29 CFR § 1602.31(a) (State Agencies) - **CAUTION:** Does not include criminal history checks.		AC +2, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18682	**Personnel - Equal Employment Opportunity (EEO) Report** Includes documentation to complete EEO reports. ***GUIDANCE:*** - Retention based on 29 CFR §1602.30, §1602.32, §1602.39, §1602.41, §1602.48, and §1602.50.		AC +3, then destroy			

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SG18683	**Personnel - Equal Pay Records** Reports, etc. used to monitor compliance with Federal Equal Pay Act). ***GUIDANCE:*** - Retention based on 29 CFR §1620.32(c).		AC +2, then destroy		X	
SG18684	**Personnel - Former Employee Verification Records** Minimum information includes name, social security number, exact dates of employment, and last known address. ***GUIDANCE:*** - AC - Original date of hire.		AC +50, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18685	**Personnel - Grievance Records** Review of employee grievances against policies and working conditions etc. Includes record of actions taken. ***GUIDANCE:*** - AC - Final decision on the grievance. - **CAUTION:** Does not include formal complaints filed with the Equal Employment Office (EEO) of the U.S. Department of Labor.		AC +6, then destroy		X	**RA**-Access may be restricted due to personal information.

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SG18686	**Personnel - Hiring Process - Criminal History Checks** Criminal history record information on job applications or from DPS. ***GUIDANCE:*** - AC - After hiring decision made. - **CAUTION:** Some agencies authorized to obtain criminal history records from ISP are required to destroy after used for the immediate purpose obtained.		AC +1, then destroy			**RA**-Access may be restricted due to personal information.
SG18687	**Personnel - Human Resources Information System (HRIS) Report** HRIS Reports and supporting documentation.		AC +3, then destroy		X	
SG18688	**Personnel - Institutional Employment Report**		PM	A	X	
SG18689	**Personnel - Job Procedure Record** Any document detailing duties of positions on position-by-position basis.		US +3, then destroy			
SG18690	**Personnel - Labor Statistics Report** Reports providing statistical information on labor force.		AC +3, then destroy			

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SG18691	**Personnel - Leave Status Report** Cumulative report for each pay cycle showing leave status.		FE +3, then destroy		X	
SG18692	**Personnel - Liability Release Form** Statements of employees, patrons, etc. who have released the agency from liability.		PM	A	X	
SG18693	**Personnel - License and Driving Record Check**		US, then destroy			**RA**-Access may be restricted due to personal information.
SG18694	**Personnel - Mail - Forwarding Address**		AC +1, then destroy			**RA**-Access may be restricted due to personal information.
SG18695	**Personnel - Overtime Authorization**		AC +2, then destroy			
SG18696	**Personnel - Overtime Schedule**		AC +2, then destroy			

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SG18697	**Personnel - Payroll - Direct Deposit Application / Authorization**		US, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18698	**Personnel - Payroll - Income Adjustment Authorization** Used to adjust gross pay, FICA, retirement or compute taxes. ***GUIDANCE:*** - Retention based on 29 CFR § 1627.3(a); 29 CFR § 516.6(c).		AC +3, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18699	**Personnel - Performance Appraisal** Performance Appraisals of employees. ***GUIDANCE:*** - Retention based on 29 CFR § 1620.32(c).		AC +2, then destroy			**RA**-Access may be restricted due to personal information.
SG18700	**Personnel - PERSI Enrollment File** ***GUIDANCE:*** - AC - From filing date.		AC +6, then destroy			**RA**-Access may be restricted due to personal information.

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SG18701	**Personnel - PERSI Record of Hours Worked** Irregular help, half-time or greater. ***GUIDANCE:*** - AC - From date of hire.		AC +50, then destroy			**RA**-Access may be restricted due to personal information.
SG18702	**Personnel - PERSI Termination Record**		AC +6, then destroy			**RA**-Access may be restricted due to personal information.
SG18703	**Personnel - Personnel Information or Action Form** PAF forms- Documents to officially change pay, titles, benefits, etc. ***GUIDANCE:*** - Retention based on 29 CFR § 1602.31(a) (State Agencies0.		AC +2, then destroy			**RA**-Access may be restricted due to personal information.

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SG18704	**Personnel - Physical Examination / Medical Report** Examination reports for positions where health and fitness monitoring is required. ***GUIDANCE:*** - Some positions require 30 year retention per 29 CFR § 1910-1020(d). - **CAUTION:** Does not include pre-employment physical examinations. - New: 4/2001 Standards for Privacy of Individually Identifiable Health Information, 45 CFR Part 160 may apply.		US +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18705	**Personnel - Policy and Procedures Manual** Any manual, etc. that established standard office procedures. ***GUIDANCE:*** - Previous revision should be transferred to Archives as new revision is approved.		PM	A	X	
SG18706	**Personnel - Position / Job Classification Review File** Relates to review and modification of job classifications within an agency.		US +3, then destroy			
SG18707	**Personnel - Position / Job Description** Job descriptions, includes all tasks performed and skills required.		US +3, then destroy		X	

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SG18708	**Personnel - Résumé - Unsolicited** Applies to agency replies stating résumé will be kept in case a job opens.		AC +1, then destroy			**RA**-Access may be restricted due to personal information.
SG18709	**Personnel - Shared Leave** ***GUIDANCE:*** - Idaho Code § 67-5335(7) effective July 1, 1998.		AC +5, then destroy			**RA**-Access may be restricted due to personal information.
SG18710	**Personnel - Sick Leave Pool Documentation** Requests submitted, approvals, number of hours transferred in and out, etc.		FE +3, then destroy			

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SG18711	**Personnel - State Deferred Compensation Record** State Deferred Compensation Records. Maintain the most current version of the requested amount(s). ***GUIDANCE:*** - For instructions in determining closure, etc. Refer also to PEBSCO / Nationwide Retirement Solutions (State contracted administrator). - AC - All accounts with vendor(s) for the individual participant have been closed.		AC +5, then destroy		X	
SG18712	**Personnel - Time Card and Time Sheet** **NOTE:** Copies maintained by Office of Origin are not the record.		AC +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18713	**Personnel - Time Off and / or Sick Leave Request**		FE +3, then destroy			**RA**-Access may be restricted due to personal information.

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SG18714	**Personnel - Training - Hazardous Materials** Records of training given employees in an agency hazard communications program.	Person-nel Office	PM	A	X	**RA**-Access may be restricted due to personal information.
SG18715	**Personnel - Training Administration Record** In-house training material dealing with agencies policies and services. ***GUIDANCE:*** - AC - Termination of employment.		PM	A	X	**RA**-Access may be restricted due to personal information.
SG18716	**Personnel - Training and Development Evaluation File** Feedback on training. ***GUIDANCE:*** - AC - From date of evaluation.		AC +3, then destroy			
SG18717	**Personnel - Training and Educational Achievement Record – Individual** Records documenting training, testing, or continual education. ***GUIDANCE:*** - AC - Termination of employment. - **CAUTION:** Does not include hazardous material training records.		AC +3, then destroy			**RA**-Access may be restricted due to personal information.

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Vital: **X**-Record is vital for immediate operation of the office of origin or the institution

Guidance: **RA**-Refers to the security needs of a record series. Must be justified.

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18718	**Personnel - Training Materials** Materials developed by agency for training entities or individuals it regulates or serves. ***GUIDANCE:*** - Contact State Archivist for review before destruction.		US +1, then destroy			
SG18719	**Personnel - Unemployment Claim Record**		AC +3, then destroy		X	
SG18720	**Personnel - Unemployment Compensation Records**		AC +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18721	**Personnel - W-2 Form** Employees' Withholding Exemption Certificate W-2. ***GUIDANCE:*** - AC - From date of termination. - Retention based on 26 CFR § 31.6001-1 (e) (2).		AC +5, then destroy			**RA**-Access may be restricted due to personal information.

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SG18722	**Personnel - W-4 Form** Employees' Withholding Exemption Certificate W-4. ***GUIDANCE:*** - AC - From date of termination. - Retention based on 26 CFR § 31.6001-1 (e) (2).		AC +5, then destroy			**RA**-Access may be restricted due to personal information.
SG18723	**Personnel - Work Schedules / Assignments** Series documents the administration of the agency's employee work schedules.		AC +1, then destroy			
SG18724	**Photography, Staff - Identification Photograph** Electronic or conventional [pre-1929]. ***GUIDANCE:*** - Transfer to State Archives or store according to Department of Administration storage standards.		PM	A	X	
SG18725	**Photography, Staff - Identification Photograph** Electronic or conventional (1930 to present.) Overwrite digital photos of staff - retain last permanently. ***GUIDANCE:*** - Transfer to State Archives or store according to Department of Administration storage standards.		US, then destroy *Final photo:* PM	A	X	

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SG18726	**Photography** Series includes all forms of photography: negatives, prints, digital, etc., regardless of institutional or agency office creating. ***GUIDANCE:*** - Transfer to State Archives or store according to Department of Administration storage standards.		PM	A	X	
SG18727	**Procurement - Material Specification**		AC +3, then destroy			
SG18728	**Procurement - Order Acknowledgment**		AC +1, then destroy			
SG18729	**Procurement - Estimate File** Supply and repair cost estimates.		AC +1, then destroy			
SG18730	**Procurement - Packing Slip**		AC +1, then destroy			
SG18731	**Procurement - Performance Bond** Bonds posted by individuals or entities under contract with the agency. ***GUIDANCE:*** - **CAUTION:** Does not include construction or architectural surety bonds.	Purchas-ing	PM	A	X	

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SG18732	**Procurement - Purchasing Log** Log, etc. providing a record of purchase orders issued, orders received, etc.		FE +3, then destroy			
SG18733	**Procurement - Sales Journal or Register**		FE +3, then destroy			
SG18734	**Procurement - Bid Documentation** Includes bid requisition/authorizations, invitation to bid, bid specifications and evaluations. ***GUIDANCE:*** - **CAUTION:** If a formal written contract is the result of a bid, etc., the bid and its supporting documentation must be retained for the same period as the contract.		FE +3, then destroy			
SG18735	**Publications - Promotional** Publications distributed to the public to advertise services, programs, and activities. May include brochures, newsletters, activities calendars, schedules, special events flyers, and other records.		PM	A	X	

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SG18736	**Publications - Record Copy** Minimum - 1 copy of each publication that does not fall under other series numbers. Includes, but is not limited to, reports (annual and periodic), journals, books, catalogs, promotional literature, flyers, calendars and announcements. ***GUIDANCE:*** - Transfer a minimum of 1 copy of each to State Archives annually, separate requirement from the State Depository Program detailed in the State Printing Guide.		PM	A	X	
SG18737	**Records Management - Destruction Approval Sign-Offs** Agency-level documents authorizing destruction of records.		PM	A	X	
SG18738	**Records Management - Plans and Policies** Records documenting the policies set for agency's records management. Maintain each revision permanently.		PM	A	X	
SG18739	**Records Management - Records Control Materials** Series includes indexes, card files, shelf lists etc.		PM	A	X	
SG18740	**Records Management - Records Disposition Log** Logs listing records destroyed or transferred.		PM	A	X	

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SG18741	**Records Management - Records Inventory Worksheets**		PM	A	X	
SG18742	**Records Management - Records Retention Schedule** Certification of agency or office records by type - signed original for institution or agency. ***GUIDANCE:*** - Original is retained permanently by the State Archives.		PM	A	X	
SG18743	**Reports and Studies** Series provides a record of findings, assessments, recommendations, research activities, studies, accomplishments, goals, and other activities of the board or commission. These reports or studies are reported to the public; the board's umbrella or oversight agency; other agencies and organizations; the governor or legislature; or the federal government. Series may include project evaluation reports; public surveys; program or plan summaries; progress or performance reports; annual reports; workload studies; photographs; monitoring reports; needs assessment studies; project outlines and schedules; administrative histories; statistics; related correspondence, and documentation.		PM	A	X	

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SG18744	**Research Inquiry and Response Records** Series provides a record of research requests received and responses made to them by agency staff. Records may include written or electronic inquiries and responses. Information may include name of researcher, subject of inquiry or request, and reply.		AC +3, then destroy			**RA**–Access may be restricted as part of agreement to respond (example, information given con-fidentially.
SG18745	**Safety - Disaster Preparedness and Recovery Plans**		PM	A	X	**RA**–Access may be restricted as part of agen-cy security plan.
SG18746	**Safety - Evacuation Plans** Plans for evacuation of agency facilities in cases of emergency. Record copy of each revision should be sent to State Archives (example, Safety Office / Risk Management). ***GUIDANCE:*** - Record copy should be maintained centrally.		PM	A	X	**RA**–Access may be restricted as part of agency security plan.

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SG18747	**Safety - Fire Orders** Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code. ***GUIDANCE:*** - AC - Deficiency corrected.		AC +3, then destroy			
SG18748	**Safety - Hazard Communication Plans**		PM	A	X	**RA**-Access may be restricted as part of facility security plans.
SG18749	**Safety - Hazardous Materials Disposal Records** See also Material Data Safety Sheets. Material Safety Data Sheets must be kept for those chemicals currently in use that are affected by the Hazard Communication Standard in accordance with 29 CFR § 1910.1200(g). ***GUIDANCE:*** - Retention based on 29 CFR § 1910.1020 (d) (1)(ii)(B).		PM	A	X	**RA**-Access may be restricted as part of facility security plans.

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SG18750	**Safety - Incident Reports** Reports concerning incidents which, upon investigation, were of a non-criminal nature. ***GUIDANCE:*** - **CAUTION:** May include exposure records, including personal information. - Exposure records require 30 year retention per 29 CFR § 1910.1020(d)(1)(ii)(B)		AC +3, then destroy *Exposure Records:* AC +30, then destroy			**RA**-Access may be restricted due to personal information.
SG18751	**Safety - Inspection Records** Fire, safety, and other inspection records of facilities and equipment. ***GUIDANCE:*** - AC - Date of the correction of the deficiency, if the inspection report reveals a deficiency. - **CAUTION:** Does not include inspection reports of building construction.		AC +3, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18752	**Safety - Material Data Safety Sheets** Either the MSDS or the following information: Some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used, must be retained for the period required. From the CFR: (d)(2) Nothing in this section is intended to mandate the form, manner or process by which an employer preserves a record so long as the information contained in the record is preserved and retrievable, except that chest X-ray films shall be preserved in their original state. ***GUIDANCE:*** - AC - After the end of use of the substance. - Retention per 29 CFR 1910(d)(1)(ii)(B) - Material safety data sheets and paragraph **(c)(5)(iv)** records concerning the identity of a substance or agent need not be retained for any specified period as long as some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years. - Material safety data sheets must be kept for those chemicals currently in use that are effected by the Hazard Communication Standard in accordance with 29 CFR 1910.1200(g).	Mini-mum: All areas using listed materials	AC +30, then destroy			

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SG18753	**Safety - Workplace Chemical Lists** ***GUIDANCE:*** - Should be matched to container labels per 29 CFR § 1910.1200 (g).		AC +30, then destroy			
SG18754	**Vehicle - Inspection, Repair and Maintenance Records**		LA +1, then destroy			
SG18755	**Vehicle - Title and Registration**		AC +1, then destroy		X	
SG18756	**Visitor Control Registers** Records documenting visitors to limited access or restricted areas of agency facilities.		AC +3, then destroy			**RA**–Access may be restricted in the interest of visitor safety and as part of a facility security plan.

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SG18757	**Volunteer Records** Series documents the administration of the agency's volunteer and intern programs. Records may include recruitment and selection records, volunteer personnel and intern personnel information forms, intern agreements, volunteer and intern time records, emergency notification forms, publicity records, insurance documentation, and correspondence. ***GUIDANCE:*** - AC - End of term of volunteer or intern.		AC +3, then destroy			**RA**–Access may be restricted due to personal information.
SG18758	**Website / Webpages - Internet / Intranet** System development documentation for initial setup and all subsequent changes. ***GUIDANCE:*** - Idaho Code 28-50-112, Electronic Records Retention.		PM	A	X	
SG18759	**Website / Webpages - Internet / Intranet** Content of pages. ***GUIDANCE:*** - Idaho Code 28-50-112, Electronic Records Retention.		PM	A	X	

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EDUCATION, STATE BOARD OF - HIGHER EDUCATION RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1801	**ACADEMIC CALENDAR** Institution's official calendar for the academic year and documents used in its creation.		PM	A	X	
SG1802	**ACADEMIC COURSE MANAGEMENT - CONSENT / RELEASE FORMS** Example: Consent forms for field trips.		AC +3, then destroy			**RA-**Student information falls under FERPA; may not be accessed without student release.
SG1803	**ACADEMIC COURSE MANAGEMENT - COURSE OUTLINES AND DESCRIPTIONS**		PM	A	X	
SG1804	**ACADEMIC COURSE MANAGEMENT - CLASS - COURSE INFORMATION AND DESCRIPTIONS**		PM	R	X	

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SG1805	**ACADEMIC COURSE MANAGEMENT - CLASS - SCHEDULE CHANGE REQUESTS**		PM	R	X	**RA**-Due to FERPA, student information is included.
SG1806	**ACADEMIC COURSE MANAGEMENT - CLASS - ROLLS, ROSTERS AND ROLL SUMMARIES** Not Attendance.		PM	A	X	**RA**-Due to FERPA, student information is included.
SG1807	**ACADEMIC COURSE MANAGEMENT - CURRICULUM CHANGE RECORDS**		PM	R		
SG1808	**ACADEMIC COURSE MANAGEMENT - CURRICULUM DEVELOPMENT RECORDS** Documentation of content and support materials.		PM	R		**RA**-Due to examination materials.

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SG1809	**ACCIDENT REPORTS AND ASSOCIATED DOCUMENTATION** With claims filed. ***GUIDANCE:*** - **Exception:** 45 CFR§164.512(l) Standard: disclosures for workers' compensation. A covered entity may disclose protected health information as authorized by and to the extent necessary to comply with laws relating to workers' compensation or other similar programs, established by law, that provide benefits for work-related injuries or illness without regard to fault. - Retention based on 29 CFR § 1904.6.		AC +5, then destroy		X	**RA**-Access may be restricted due to personal information. Exception appears in Guidance section at left.
SG1810	**ACCIDENT REPORTS AND ASSOCIATED DOCUMENTATION - INJURIES** Accident or occupational disease reports submitted to Workers' Compensation Commission or maintained internally. ***GUIDANCE:*** - Retention: 29 CFR § 1904.6. - 45 CFR §164.512(l) Standard: Disclosures for workers' compensation.		AC +3, then destroy		X	**RA**-Due to personal information.
SG1811	**ACCREDITATION RECORDS** Records kept according to Accreditation Organization requirements. May be reports or compilations of information.		PM	A	X	

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SG1812	**ADMINISTRATION - MAIL AND TELECOMMUNICATIONS LISTINGS** Any records listing address, phone numbers, fax numbers or e-mail addresses.		US , then destroy			**RA**-May be exempt from disclosure under the public records law.
SG1813	**ADMINISTRATION - MAINTENANCE AGREEMENTS FOR SPECIALIZED INSTRUMENTS AND EQUIPMENT** ***GUIDANCE:*** - CE - End of year when item goes out of use or excessed.		CE +3, then destroy			
SG1814	**ADMINISTRATION - PLANS AND PLANNING RECORDS** Plans, etc. relating to planning new or redefining programs, services, etc.		PM	A	X	
SG1815	**ADMINISTRATION - MEETING AGENDA AND MINUTES** Official minutes and agenda of open meetings. ***GUIDANCE:*** - The archival requirement will be met by sending a copy to the University Archives and State Archives.	Agency retains permanent record copy	PM	A	X	

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SG1816	**ADMINISTRATIVE - WORK SCHEDULES, ASSIGNMENTS** May contain hours of work, work location, supervisor or contact information. ***GUIDANCE:*** **- CAUTION:** Access to student work schedules fall under FERPA and not an education record.		AC +1, then destroy			**AR**-FERPA
SG1817	**ADMINISTRATIVE - ACCESSION RECORDS - ARCHIVES, LIBRARY AND MUSEUM** Any records that show how the library, etc., gained possession of particular items in its collection.		PM	A	X	
SG1818	**ADMINISTRATIVE - BINDERY LISTS** List of books, periodicals, newspapers, etc. sent to the book binder for binding.		AC +1, then destroy			
SG1819	**ADMINISTRATIVE - CORRESPONDENCE (ADMINISTRATIVE)** Correspondence pertaining to the programs, administration, etc. of an agency. ***GUIDANCE:*** **- CAUTION:** This record series should be used only for correspon-dence that is not included in or directly related to another record series in this schedule.		PM	R	X	**RA**-Access may be restricted due to content, social security numbers, etc., attorney-client , or proprietary information.

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SG1820	**ADMINISTRATIVE - CORRESPONDENCE (GENERAL)** Correspondence pertaining to the routine operations of an agency.		AC +3, then destroy			
SG1821	**ADMINISTRATIVE - CORRESPONDENCE - GENERAL TRACKING RECORDS** Any record to track incoming / outgoing mail, correspondence, etc.		AC +1 , then destroy			
SG1822	**ADMINISTRATIVE - CUSTOMER SURVEYS** Institutional Research. Surveys returned by clients, etc. regarding agency performance. **NOTE:** Some materials may warrant long-term retention. These materials should be reviewed for archival materials.		AC +3 , then destroy	A, R		**RA**-Access may be restricted where individually identifiable information has been gathered.
SG1823	**ADMINISTRATIVE - DELIVERY REPORTS**		AC +1, then destroy			
SG1824	**ADMINISTRATIVE - DESK CALENDARS / APPOINTMENT BOOKS** Document appointments, itineraries, etc. of an agency official or employee.		CE +1, then destroy			**RA**-While active, these records may be restricted to secure officials and employees.

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SG1825	**ADMINISTRATIVE - DIRECTIVES** Documents that officially initiate, amend, etc. general office procedures.		PM	A	X	
SG1826	**ADMINISTRATIVE - EVENT AND CONFERENCE RECORDS** Records detailing the nature and subject of the event, including but not limited to, brochures, advertising, and press releases.		PM	A	X	
SG1827	**ADMINISTRATIVE - EXECUTIVE ORDERS** Documents that initiate, etc. procedures that govern an agency and its programs.		PM	A	X	
SG1828	**ADMINISTRATIVE - FACILITIES RESERVATION LOGS** Reservation logs, etc. for the use of meeting rooms, auditoriums, etc.		AC +1 , then destroy			**RA**-While active, these records may be restricted to secure officials and employees, and students.
SG1829	**ADMINISTRATIVE - FORMS HISTORY FILE** Master set of forms, including design requests. ***GUIDANCE:*** - Copy of form to be furnished to University Archives, once form use is implemented.		PM	A	X	

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SG1830	**ADMINISTRATIVE - FORMS INVENTORY** Listing of all forms used by an agency. ***GUIDANCE:*** - List should be developed by University Archives.		PM	A	X	
SG1831	**ADMINISTRATIVE - MEETING NOTES** Notes from open meetings which will be used to make official minutes. ***GUIDANCE:*** - Final version: Approved formal minutes by the governing body.		PM	A	X	
SG1832	**ADMINISTRATIVE - MEETINGS, AUDIO OR VIDEOTAPES OF OPEN MEETINGS** Transcribed into official minutes. ***GUIDANCE:*** - Hold in office one year; transfer to University Archives or State Archives.		PM	A	X	
SG1833	**ADMINISTRATIVE - MEETINGS, CERTIFIED AGENDAS OR TAPE RECORDINGS OF CLOSED MEETINGS** Certified agendas or tape recordings of closed meetings. ***GUIDANCE:*** - Hold in office one year; transfer to University Archives.		PM		X	**RA**-Contents may be exempted from public records law.

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SG1834	**ADMINISTRATIVE - MILEAGE REPORTS** ***GUIDANCE:*** - State of Idaho Rules. Check cite.		FE +3, then destroy			
SG1835	**ADMINISTRATIVE - OFFICE PROCEDURES** Any manual, etc. that established standard office procedures.		PM	A	X	
SG1836	**ADMINISTRATIVE - ORGANIZATION CHARTS**		PM	A	X	
SG1837	**ADMINISTRATIVE - PHOTOCOPIER USE LOGS AND REPORTS**		AC +1 , then destroy			
SG1838	**ADMINISTRATIVE - PROPOSED LEGISLATION** Drafts of proposed legislation and related correspondence.		AC +3 , then destroy			
SG1839	**ADMINISTRATIVE - PUBLICATION DEVELOPMENT FILES** Background material, drafts, original artwork etc. used in publication.		AC +3 , then destroy	R		**RA**-Some materials may have archival value, ex: artwork.

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SG1840	**ADMINISTRATIVE - REQUISITIONS FOR IN-AGENCY COPY / PRINTING SERVICE** Includes word processing and data processing.		AC +1 , then destroy			
SG1841	**ADMINISTRATIVE - RESEARCH APPLICATIONS**		AC +3, then destroy	R		**RA-**Access may be restricted due contain proprietary information. Idaho Code § 9-340D
SG1842	**ADMINISTRATIVE – RULES, POLICIES AND PROCEDURES** Manuals, guidelines, etc. that set out rules, policies, etc. that govern an institution's programs.		PM	A	X	
SG1843	**ADMINISTRATIVE - SPEECHES AND PAPERS** Notes or text or speeches, papers, etc. delivered in conjunction with work.		PM	A	X	
SG1844	**ADMINISTRATIVE - STAFF MEETING MINUTES** Minutes from internal agency staff meeting.		PM	A	X	

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SG1845	**ADMINISTRATIVE - STRATEGIC PLANS** Information resources and operational strategic plans.		PM	A	X	
SG1846	**ADMINISTRATIVE - SUPPLY USAGE RECORDS**		FE +1 , then destroy			
SG1847	**ADMINISTRATIVE - VISITOR CONTROL REGISTERS** Records documenting visitors to limited access or restricted areas of agency facilities.		AC +3 , then destroy			**RA**-Access many be restricted due to personal information.
SG1848	**AGENCY PERFORMANCE MEASURES DOCUMENTATION** Progress indicators used as background for SBoE report. Example: Documents supporting effectiveness of appropriations requests or strategic plan. ***GUIDANCE:*** **- CAUTION:** The FE+3 retention period overrides any shorter retention period for materials from other records series if those records are needed for documentation of agency performance measures.		FE +3, then destroy		X	
SG1849	**AGENCY STAFFING REPORTS** Any reports regarding staffing statistics.		PM	A	X	

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SG1850	**ATHLETICS - CONFERENCE RECORDS** ***GUIDANCE:*** - Each institution should base retention on its NCAA agreements.		AC +3 , then destroy	R		
SG1851	**ATHLETICS - EVENT TICKET SALES** Institutions shall refer to their NCAA agreements. ***GUIDANCE:*** - Each institution should base retention on its NCAA agreements NCAA-2. - AC - Event date.		AC +5, then destroy	R		
SG1852	**AUDIOVISUAL RECORDS / ANALOG AUDIO / VIDEO RECORDINGS** Information includes game footage, performances, presentations, distance education, etc. ***GUIDANCE:*** - Transfer to State Archives or institution / agency archives.		PM	A	X	
SG1853	**AUDIOVISUAL RECORDS -TRAINING VIDEOS** Original videos produced at the institution for in-house training.		PM	A	X	

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SG1854	**BIOGRAPHICAL INFORMATION (VITAS)** For all levels and positions if biographical files are created. ***GUIDANCE:*** - Transfer to University Archives based on date of termination +3.		PM	A	X	**RA**-May contain information restricted due to Public Record exemption Idaho Code § 9-340C.
SG1855	**CERTIFICATIONS AND LICENSES** Issued by the institution to agency.		PM	A	X	
SG1856	**COMPUTER - GEOGRAPHICAL INFORMATION SYSTEMS - GIS** Documentation of sources of information. ***GUIDANCE:*** - Electronic records.		PM	A	X	
SG1857	**COMPUTER - DATA WAREHOUSES - SYSTEM DEVELOPMENT DOCUMENTATION** Documentation of initial setup and all subsequent changes. ***GUIDANCE:*** - Electronic records.		PM	A	X	

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SG1858	**COMPUTER - DATA WAREHOUSES - SOURCE MATERIAL DOCUMENTATION** ***GUIDANCE:*** - Electronic records. - LA - Life of data warehouse.		LA , then destroy			
SG1859	**COMPUTER SERVICES - CHARGE BACK RECORDS TO DATA PROCESSING SERVICES USERS** Records used to calculate cost of computer use.		FE +3, then destroy			
SG1860	**COMPUTER SERVICES - DATA PROCESSING POLICIES AND PROCEDURES** Manuals / guidelines establishing data processing procedures, i.e., system back-ups. ***GUIDANCE:*** - **CAUTION:** Does not include technical documentation of processors necessary for reading or processing of electronic records.		PM	A	X	
SG1861	**COMPUTER SYSTEMS** Backups retained until superceded. ***GUIDANCE:*** - Electronic records.		Overwrite or destroy			

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SG1862	**COMPUTER SYSTEMS - BATCH DATA ENTRY CONTROL RECORDS** Logs used to reconcile batches submitted for processing. ***GUIDANCE:*** - Electronic records. - AV - Administrative value should be stated in a written policy.		AV, then destroy			
SG1863	**COMPUTER SYSTEMS - COMPUTER JOB SCHEDULES AND REPORTS** Schedules showing computer jobs to be run. ***GUIDANCE:*** - Electronic records.		AC +3, then destroy			
SG1864	**COMPUTER SYSTEMS - QUALITY ASSURANCE RECORDS** Quality assurance records pertaining to software and hardware performance. ***GUIDANCE:*** - Electronic records.		PM	A	X	
SG1865	**COMPUTER SYSTEMS - SYSTEM ACTIVITY REPORTS** Internal listing of all incoming / outgoing agency telephone activity. ***GUIDANCE:***		AC +2, then destroy			

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	- Electronic records.					
SG1866	**COMPUTER SYSTEMS - SYSTEM MONITORING RECORDS** Files that monitor computer systems, i.e. tape activity logs etc.		PM	A	X	
SG1867	**COMPUTER SYSTEMS - AUDIT TRAIL RECORDS** Files used for electronic data audits, i.e., on-line updates and security logs, etc. ***GUIDANCE:*** - All audit requirements have been met.		PM	A	X	
SG1868	**COMPUTER SYSTEMS - FINDING AIDS, INDEXES AND TRACKING SYSTEMS** A. Automated indexes, etc. that provide access to hard copy and electric records for information that is considered permanent or otherwise significant. Data obtained from other sources and maintained in a database in conjunction with a licensing or other software application from which reports, statistics, and histories may be obtained ***GUIDANCE:*** - Permanent. B. Licenses and applicant fingerprint and Licenses records maintained as part of licensing database. ***GUIDANCE:***		PM	A	X	

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	-Permanent.					
SG1869	**COMPUTER SYSTEMS - HARDWARE DOCUMENTATION** Operational and maintenance requirements of computer hardware, such as operating manuals, hardware configurations, control systems.		PM	A	X	**RA**-Access may be limited as part of facility security plan.
SG1870	**COMPUTER SYSTEMS - MASTER FILES** Relatively long-lived computer files containing sets of complete and accurate electronic records. ***GUIDANCE:*** - AC - Completion of third update cycle.		AC, then destroy		X	
SG1871	**COMPUTER SYSTEMS - OUTPUT RECORDS FOR COMPUTER PRODUCTION** Reports showing output of transactions.		AV, then destroy		X	

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SG1872	**COMPUTER SYSTEMS - PROCESSING FILES** Machine readable files used to create, update, etc. master files. ***GUIDANCE:*** - AC - Completion of third update cycle.		AC , then destroy		X	
SG1873	**COMPUTER SYSTEMS - TECHNICAL DOCUMENTATION** Records adequate to specify all technical characteristics necessary for reading or processing of electronic records. ***GUIDANCE:*** - AC - Maintain each generation until electronic records are transferred to new software environment.		AC , then destroy		X	
SG1874	**COMPUTER SYSTEMS FILES - MASTER FILES (BACKUPS)** These files must meet the retention for their content's specific category.		US or 1, then destroy		X	
SG1875	**EQUIPMENT - CALIBRATION RECORDS (EQUIPMENT OR INSTRUMENT)**		US , then destroy			
SG1876	**EQUIPMENT - DESCRIPTIONS AND SPECIFICATIONS**		AC +3, then destroy			

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SG1877	**EQUIPMENT - HISTORY FILE - EQUIPMENT SERVICE AGREEMENTS** Includes maintenance agreements, installation, repair logs, etc.	Facility Operations	LA +3 , then destroy			
SG1878	**EQUIPMENT - INVENTORY DETAIL REPORT FORMS** Updates agency portion of the inventory listing and adds, changes etc., items from inventory		FE +3, then destroy			
SG1879	**EQUIPMENT - MANUALS**		LA, then destroy			
SG1880	**EQUIPMENT - WARRANTIES**		AC +1 , then destroy			
SG1881	**FACILITY OPERATIONS - LICENSES AND PERMITS FOR NON-VEHICLES** Example: trailers, backhoes.		AC +3 , then destroy		X	
SG1882	**FACILITY OPERATIONS - APPRAISALS - BUILDING OR PROPERTY**		AC +3, then destroy		X	
SG1883	**FACILITY OPERATIONS - BUILDING AS-BUILT PLANS**		PM	A	X	

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SG1884	**FACILITY OPERATIONS - BUILDING CONSTRUCTION CONTRACT AND INSPECTION RECORDS** Building construction contracts, surety bonds, and inspection records.		PM	R	X	
SG1885	**FACILITY OPERATIONS - BUILDING CONSTRUCTION PROJECT FILES** Planning, design, construction records and all bids, etc.		PM	R	X	
SG1886	**FACILITY OPERATIONS - BUILDING PLANS AND SPECIFICATIONS** Includes architectural and engineering drawings, etc. ***GUIDANCE:*** - Records of State-owned buildings are classified LA and must be reviewed by the University Archivist for historical value before disposal.		PM *Leased structures:* AC +2, then destroy	R	X	**RA**-Access may be limited as part of facility security plan.
SG1887	**FACILITY OPERATIONS - BUILDING SPACE REQUESTS**		AC +1, then destroy			
SG1888	**FACILITY OPERATIONS - OPERATIONS LOGS - VEHICLES**		AC +1, then destroy			

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SG1889	**FACILITY OPERATIONS - PARKING PERMITS OR ASSIGNMENTS** For student, staff and faculty.		AC +1, then destroy			**RA**-Segre-gate student records to maintain confidential-ity as student records fall under FERPA.
SG1890	**FACILITY OPERATIONS - PARKING SERVICE RECORDS** Records accounting for the management of parking at the agency or institution, such as distribution of spaces by type, maintenance request.		AC + 3 , then destroy			
SG1891	**FACILITY OPERATIONS - PROPERTY DESTRUCTION, CERTIFICATES OF**		PM	A	X	
SG1892	**FACILITY OPERATIONS - SURPLUS PROPERTY SALE REPORTS**		PM	A	X	
SG1893	**FACILITY OPERATIONS - CONTRACTS AND LEASES** All documents having to do with contracts, leases, etc. Exception: building construction contracts. ***GUIDANCE:*** - AC - Expiration or termination of the instruments according to its terms. Statute of limitations for contract claims is 5 years. Idaho Department of		AC +6 , then destroy			

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	Administration uses 6 years.					
SG1894	**FACILITY OPERATIONS - DAMAGE REPORTS** Reports of damage to state property.	Property Manage-ment	FE +3 , then destroy			
SG1895	**FACILITY OPERATIONS - INVENTORY LISTING OF YEAR-TO-DATE ACTIVITY** Shows changes within inventory system; including agency, division, tag #, etc.		FE +3, then destroy			
SG1896	**FACILITY OPERATIONS - LOST AND STOLEN PROPERTY REPORTS**		FE +3 , then destroy			**RA**-Access may be restricted where legal proceedings are involved.
SG1897	**FACILITY OPERATIONS - MAINTENANCE WORK ORDERS - HOUSING, BUILDINGS AND GROUNDS**		AC +3 , then destroy			

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SG1898	**FACILITY OPERATIONS - PROPERTY DISPOSAL RECORDS** Documenting disposal of inventoried property.		PM	A	X	
SG1899	**FACILITY OPERATIONS - PROPERTY MANAGEMENT - SEQUENTIAL NUMBER LOGS** Property logs.		US +3 , then destroy			
SG18100	**FACILITY OPERATIONS - SECURITY ACCESS RECORDS** Issuance of keys, identification cards, passes, passwords, etc. ***GUIDANCE:*** - AC - Until superseded, date of expiration, or date of termination, whichever is sooner.		AC +2, then destroy		X	**RA**-Access may be limited as part of facility security plan.
SG18101	**FACILITY OPERATIONS - SERVICE ORDERS** Agency copy of forms completed by mechanical service personnel for installation or repair.		AC +1 , then destroy			
SG18102	**FACILITY OPERATIONS - SPACE UTILIZATION REPORTS**		AC +1 , then destroy			
SG18103	**FACILITY OPERATIONS - UTILITY USAGE REPORTS**		AC +1 , then destroy			

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SG18104	**FACILITY OPERATIONS - WATER TESTS / TREATMENT**		PM	A	X	
SG18105	**FACILITY OPERATIONS - INVENTORY - ANNUAL PHYSICAL REPORT** Property, equipment, supply verification.		FE +3, then destroy			
SG18106	**FACILITY OPERATIONS INVENTORY - NOTICES OF EQUIPMENT REMOVED FROM AREA**		FE +3, then destroy			
SG18107	**FISCAL - ACCOUNTS PAYABLE INFORMATION**		FE +3, then destroy			
SG18108	**FISCAL - ACCOUNTS PAYABLE LEDGERS**		FE +3, then destroy			
SG18109	**FISCAL - ACCOUNTS RECEIVABLE LEDGERS**		FE +3, then destroy		X	
SG18110	**FISCAL - ANNUAL FINANCIAL REPORTS**		PM	A	X	

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SG18111	**FISCAL - ANNUAL OPERATING BUDGETS** Departmental.		FE +3, then destroy			
SG18112	**FISCAL - APPROPRIATION REQUESTS** Includes any supporting documentation in the appropriation request .		FE +3, then destroy			
SG18113	**FISCAL - AUDITS - REPORTS** Audits and reviews performed by or on the agency. ***GUIDANCE:*** - Becomes final record at time of publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by that agency.		PM	A	X	
SG18114	**FISCAL - BALANCING RECORDS** Reconciliation.		FE +3, then destroy			
SG18115	**FISCAL - BANK STATEMENTS**		FE +3, then destroy			

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SG18116	**FISCAL - BILLING DETAIL - TELECOMMUNICATIONS** Includes all detailed listings of long distance calls. ***GUIDANCE:*** - Long distance reports are records of the provider.		FE +3, then destroy			
SG18117	**FISCAL - CANCELED CHECKS / STUBS / WARRANTS / DRAFTS**		FE +3, then destroy			
SG18118	**FISCAL - CAPITAL ASSET RECORDS**		LA +3, then destroy			
SG18119	**FISCAL - CASH COUNTS**		FE +3, then destroy			
SG18120	**FISCAL - CASH DEPOSIT VOUCHERS** Cash deposit slips.		FE +3, then destroy			
SG18121	**FISCAL - CASH RECEIPTS** Includes receipts for fees for permits, licenses, renewals, etc.		FE +3, then destroy			

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SG18122	**FISCAL - CHARGE SCHEDULES / PRICE LISTS** Schedules of prices charged by agency for services and facility use and documents used to determine the price.		US +3, then destroy			
SG18123	**FISCAL - COMPTROLLER STATEMENTS**		FE +3, then destroy			
SG18124	**FISCAL - DAILY CASH RECEIPTS LOGS**		FE +3, then destroy			
SG18125	**FISCAL - DEEDS AND EASEMENTS** Proof of ownership and right-of-way on property.	Controller s /Property Manage-ment	PM	A	X	
SG18126	**FISCAL - DETAIL CHART OF ACCOUNTS** One for all accounts in use for a fiscal year.		FE +3, then destroy			
SG18127	**FISCAL - DISPUTED CALL DOCUMENTATION** Relating to disputed long distance calls and evidence of employee repayment were applicable.		FE +3, then destroy			
SG18128	**FISCAL - ENCUMBRANCE DETAIL**		FE +3, then destroy			

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SG18129	**FISCAL - ENCUMBRANCE VOUCHERS** Orders, statements, change orders, etc.		FE +3, then destroy			
SG18130	**FISCAL - EVENT AND CONFERENCE RECORDS - TICKET SALES**		AC +3, then destroy			
SG18131	**FISCAL - EXPENDITURE VOUCHERS** Travel, payroll, etc.		FE +3, then destroy			
SG18132	**FISCAL - EXPENDITURES JOURNALS OR REGISTERS**		FE +3, then destroy			
SG18133	**FISCAL - EXTERNAL FISCAL REPORTS** Special purpose, i.e., federal financial reports, salary reports, etc.		FE +3, then destroy			
SG18134	**FISCAL - FEDERAL TAX RECORDS** Includes FICA records. ***GUIDANCE:*** - AC - Tax due date, date the claim is filed, or date tax is paid whichever is later. - Retention is based on 26 CFR §31.6001-1(e)(2).		AC +4, then destroy		X	**RA**-Access should be limited due to personal information.

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SG18135	**FISCAL - FREIGHT BILLS PAID**		FE +3 , then destroy			
SG18136	**FISCAL - FREIGHT CLAIMS** ***GUIDANCE:*** - AC - Resolution of claim.		AC +3, then destroy			
SG18137	**FISCAL - GENERAL AND SUBSIDIARY LEDGERS**		FE +3 , then destroy			
SG18138	**FISCAL - GENERAL JOURNAL VOUCHERS**		FE +3, then destroy			
SG18139	**FISCAL - GIFT INCOME RECORDS**		FE +3 , then destroy			
SG18140	**FISCAL - GRANTS - APPLICATIONS AND PROPOSALS**		FE +3, then destroy	R		
SG18141	**FISCAL- GRANTS - STATE INFORMATION ON FILE**		AC +3 , then destroy			

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SG18142	**FISCAL - GRANTS DOCUMENTATION - FEDERAL** ***GUIDANCE:*** - AC - Satisfaction of all Uniform Administration Requirements for Grants and Cooperative Agreements (the Common Rule). - **CAUTION:** Retention requirements may vary depending on the specific federal funding agency.		AC +3 , then destroy		X	
SG18143	**FISCAL - INSURANCE CLAIM FILES** ***GUIDANCE:*** - AC - Resolution of claim.		AC +3 , then destroy		X	
SG18144	**FISCAL - INSURANCE POLICIES** All types. ***GUIDANCE:*** - AC - Expiration or termination of the policy according to its terms.		AC +5, then destroy		X	
SG18145	**FISCAL - INTERNAL FISCAL MANAGEMENT REPORTS** Includes agency monthly budget reports.		FE +3, then destroy			
SG18146	**FISCAL - INVESTMENT TRANSACTION FILES**		FE +3, then destroy			

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SG18147	**FISCAL - LONG-TERM LIABILITY RECORDS** Bonds, etc.		PM	A	X	
SG18148	**FISCAL - POSTAGE RECORDS** Records and reports of postage expense, including postal meter usage .		FE +3 , then destroy			
SG18149	**FISCAL - PURCHASE VOUCHERS** Requisitions, purchase orders, receiving reports, invoices or statements, change orders, etc.		FE +3, then destroy			
SG18150	**FISCAL - RECEIPTS JOURNALS OR REGISTERS**		FE +3, then destroy			
SG18151	**FISCAL - RECONCILIATIONS**		FE +3, then destroy			
SG18152	**FISCAL - REIMBURSABLE ACTIVITIES, REQUESTS AND AUTHORIZATIONS TO ENGAGE IN** Requests and approval for reimbursed expenses, travel, training, etc.		FE +3, then destroy			

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SG18153	**FISCAL - RETURNED CHECKS / WARRANTS / DRAFTS (UNCOLLECTABLE)** ***GUIDANCE:*** - AC - After deemed uncollectable.		AC +3, then destroy			
SG18154	**FISCAL - SIGNATURE AUTHORIZATIONS** Records authorizing an employee to initiate financial transactions for the agency.		US +FE +3, then destroy			**RA**-Access may be limited to protect financial systems.
SG18155	**FISCAL - SPECIAL CHECKS**		AC +5, then destroy			
SG18156	**FISCAL - TRANSMITTAL OF FUNDS / COST CENTER TRANSFERS**		FE +3, then destroy			
SG18157	**FISCAL - TRUTH-IN-LENDING STATEMENTS**		AC +15, then destroy		X	**RA**-Access may be restricted due to personal information, especially of students FERPA.

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SG18158	**FISCAL - WORKSHEETS FOR PREPARING FISCAL REPORTS**		FE +3, then destroy			
SG18159	**HEALTH SERVICES - STUDENT AND OTHER - MEDICAL REPORTS** Reconciliation report and insurance provider listing payments to provider. ***GUIDANCE:*** - May be effected by (HIPAA) Standards for Privacy of Individually Identifiable Health Information, 45 C.F.R. Part 160.		AC +5, then destroy			**RA**-Access restricted due to FERPA (stu-dent info).
SG18160	**HEALTH SERVICES - STUDENT AND OTHER MEDICAL: MEDICAID / MEDICARE RECORDS** ***GUIDANCE:*** - AC - Cost report filed with Medicaid intermediary. - May be affected by (HIPAA) Standards for Privacy of Individually Identifiable Health Information, 45 C.F.R. Part 160.		AC +5, then destroy			**RA**-FERPA, Confidential Record.
SG18161	**HEALTH SERVICES - STUDENT AND OTHER MEDICAL: MEDICAL FINANCIAL ASSISTANCE RECORDS** Records indicating financial assistance to a patient other than Medicaid or Medicare. ***GUIDANCE:*** - May be affected by (HIPAA) Standards for Privacy of Individually Identifiable Health Information, 45 C.F.R. Part 160.		AC +3, then destroy			**RA**-Access restricted due to FERPA (student info).

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SG18162	**INVENTORY AND OTHER COST FILES** Production, job, labor, quotes, pricing, specifications, etc.		FE +3, then destroy			
SG18163	**INVENTORY RECORDS - LIBRARY, BOOKSTORE AND RELATED AREAS** Hold until after audit. ***GUIDANCE:*** - AC - Audit completion.		AC +3, then destroy		X	
SG18164	**INVENTORY SYSTEM UPDATE LISTINGS** Shows all additions, changes, deletions and transfer times for the monthly processing period. ***GUIDANCE:*** - AC - Transfer of information into annual listing.		AC +1, then destroy			
SG18165	**LEGAL - CASE RECORDS - INSTITUTIONAL OR AGENCY** ***GUIDANCE:*** - Records confidential until resolution or final adjudication. - Transfer to Archives.		PM	A	X	**RA**-May contain attorney-client privileged info.

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SG18166	**LEGAL - COPYRIGHT INFORMATION** Information pertaining to copyrights held by the University, or others' copyrights that the University has permission to use.		PM	A	X	**RA**-May contain proprietary information.
SG18167	**LEGAL - COPYRIGHT RECORDS** Legal records of the University's copyrighted materials.		PM	A	X	**RA**-May contain attorney-client privileged info.
SG18168	**LEGAL - LITIGATION FILES** Records created by or for an agency regarding a lawsuit. ***GUIDANCE:*** - File closes at end of the lawsuit through decision not to file, decision of the court, end of appeal, etc. - R - Cases that set legal precedent or exhibit historical value should be evaluated by State Archivist.		PM	R	X	**RA**-May contain attorney-client privileged info.
SG18169	**LEGAL - OPEN RECORDS REQUESTS - APPROVED** All documentation relating to request for records, furnished to the public.		PM	A	X	
SG18170	**LEGAL - OPEN RECORDS REQUESTS - DENIED**		PM	A	X	

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SG18171	**LEGAL - OPINIONS AND ADVICE** From agency legal counsel or the Attorney General. ***GUIDANCE:*** - **CAUTION:** Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation.		PM	R	X	**RA**-May contain attorney-client privileged info.
SG18172	**LEGAL - ROYALTY AGREEMENTS / MARKETING CONTRACTS**		PM	A	X	**RA**-Access may be restricted due to proprietary information.
SG18173	**LIBRARY - CIRCULATION RECORDS** Patron-specific information. ***GUIDANCE:*** - US - Record is purged when transaction completed.		US , then destroy		X	**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Disclosure.

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SG18174	**LIBRARY - ILL LENDING REQUEST** Patron-specific information. ***GUIDANCE:*** - US - Record is purged when transaction completed.		US, then destroy		X	**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Disclosure.
SG18175	**LIBRARY - ILL SEARCH REQUESTS (BORROWING)** Items in which institution or agency has requested from other libraries through inter-library loan. ***GUIDANCE:*** - Libraries should adhere to limitations under USC 17, Sec. 108, U.S. Copyright Law.		AC +3, then destroy		X	**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Disclosure.
SG18176	**LIBRARY - STATISTICAL REPORTS TO NATIONAL ORGANIZATIONS** ***GUIDANCE:*** - May be maintained as reference material.		Non-Record			

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SG18177	**LIBRARY - PATRON RECORD, COMMUNITY** Information on patron used to track overdue materials, access and circulation privileges, for notice of availability of requested items, etc. ***GUIDANCE:*** - AC - Last date of contact.		AC +4, then destroy		X	**RA**-Access restricted to maintain patrons' privacy rights per Idaho Code § 9-340E, Exemptions from Disclosure.
SG18178	**LIBRARY - PATRON RECORD, STUDENT** Information on patron used to track overdue materials, access and circulation privileges, for notice of availability of requested items, etc. ***GUIDANCE:*** - AC - Student's last date of contact.		AC +4, then destroy		X	**RA**-FERPA regulates access and use of student information.
SG18179	**NEWS OR PRESS RELEASES** News or press releases issued by agency.		PM	R		
SG18180	**PERSONNEL - ACCUMULATED LEAVE ADJUSTMENT REQUESTS** Used to create and adjust employee leave balances.		FE +3, then destroy			

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SG18181	**PERSONNEL - ADA (AMERICANS WITH DISABILITIES ACT) DOCUMENTATION** Documenting compliance with the ADA. ***GUIDANCE:*** - Retention based on 28 CFR §35.105(c).		AC +3, then destroy			
SG18182	**PERSONNEL - AFFIRMATIVE ACTION PLANS** Affirmative Action Plans for regular employees and apprenticeship programs. ***GUIDANCE:*** - Retention based on 29 CFR §30.8 (e) for apprenticeship plans.		AC +5, then destroy			
SG18183	**PERSONNEL- APPLICATIONS FOR EMPLOYMENT - HIRED** Applications, etc. required by employment advertisement. ***GUIDANCE:*** - AC - Termination of employment.		AC +5, then destroy			**RA**-Access may be restricted due to personal information.
SG18184	**PERSONNEL - APPLICATIONS FOR EMPLOYMENT - NOT HIRED** Applications, résumés, etc. required by employment advertisement. ***GUIDANCE:*** - Retention is based on 29 CFR § 1602.31(a) (State Agencies), 29 CFR §1602.49(a) (State Universities).		AC +2, then destroy			

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SG18185	**PERSONNEL - APPRENTICESHIP RECORDS** Application and work records of selected and rejected apprentices. ***GUIDANCE:*** - Retention based on 29 CFR §30.8 (e).		AC +5, then destroy			**RA**-Access may be restricted due to personal information.
SG18186	**PERSONNEL - APTITUDE AND SKILLS TESTS - TEST PAPERS** Aptitude test papers required for job or promotion. ***GUIDANCE:*** - Retention based on 29 CFR §1602.31 (State Agencies), 29 CFR §1602.49 (State Universities).		AC +2 , then destroy			**RA**-Access may be restricted due to personal information.
SG18187	**PERSONNEL - APTITUDE AND SKILLS TESTS - VALIDATION RECORDS** Records of the validation of aptitude and skills tests. ***GUIDANCE:*** - LA - As long as the test is used by an agency. - Retention based on 29 CFR §1602.31 (State Agencies), 29 CFR §1602.49 (State Universities).		LA +2, then destroy			**RA**-Access may be restricted due to personal information.

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SG18188	**PERSONNEL - APTITUDE AND SKILLS TESTS** Aptitude or skills tests required by job applicants or current employees to qualify for a promotion or transfer. ***GUIDANCE:*** - Retention based on 29 CFR §1602.31 (State Agencies), 29 CFR §1602.49 (State Universities). - **CAUTION:** One copy of each different test should be retained for US+2 (different in terms of questions or administrative procedures).		US +2, then destroy			**RA**-Access may be restricted due to personal information.
SG18189	**PERSONNEL - BENEFIT PLANS** Employee benefit plans, i.e., pension, life, health etc. ***GUIDANCE:*** - Retention based on 29 CFR § 1627.3(b)(2).		US +1, then destroy			**RA**-Access may be restricted due to personal information.
SG18190	**PERSONNEL - COMPLAINT RECORDS** Complaints received and records documenting their resolution. ***GUIDANCE:*** - **CAUTION:** If a complaint becomes the subject of litigation, it is subject to a longer retention period.		FE +3, then destroy			**RA**-Access may be restricted due to personal information.

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SG18191	**PERSONNEL - CORRECTIVE ACTION DOCUMENTATION** Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve job performance. ***GUIDANCE:*** - AC - Termination of corrective action. - **CAUTION:** If during the retention period of these records they are used to support personnel disciplinary action, the records should be retained according to Personnel Disciplinary Action series.		AC +3 , then destroy			**RA**-Access may be restricted due to personal information.
SG18192	**PERSONNEL - DISCIPLINARY ACTION DOCUMENTATION** Disciplinary actions are those actions that affect pay, status or tenure. They include demotion, dismissal, etc. ***GUIDANCE:*** - AC - Termination of employment. - **CAUTION:** Agencies should observe this in all offices related to the action.		AC +3, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18193	**PERSONNEL - EEO REPORTS AND SUPPORTING DOCUMENTATIONS** Includes documentation to complete EEO reports. ***GUIDANCE:*** - Retention based on 29 CFR §1602.30, §1602.32, §1602.39, §1602.41, §1602.48, and §1602.50.		AC +3, then destroy			

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SG18194	**PERSONNEL - EMPLOYEE AFFIDAVITS** Employee affidavits for insurance, personnel, or other uses the administration has sought their statements.		AC +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18195	**PERSONNEL - EMPLOYEE BENEFITS - OTHER THAN INSURANCE** Documents relating to selection of benefits other than insurance. ***GUIDANCE:*** - **CAUTION:** Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for them.		US, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18196	**PERSONNEL - EMPLOYEE COUNSELING RECORDS** Notes, etc. relating to work-related, personal, etc. counseling. ***GUIDANCE:*** - AC - Termination of counseling.		AC +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18197	**PERSONNEL - EMPLOYEE DEDUCTION AUTHORIZATIONS** Documents relating to all deductions of pay. ***GUIDANCE:*** - AC - After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner. - Retention based on 29 CFR § 1627.3(a)		AC +3, then destroy		X	**RA**-Access may be restricted due to personal information.

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SG18198	**PERSONNEL - EMPLOYEE EARNINGS RECORDS** ***GUIDANCE:*** - Retention based on 29 CFR § 1627.3(a).		AC +4 , then destroy		X	**RA**-Access may be restricted due to personal information.
SG18199	**PERSONNEL - EMPLOYEE INSURANCE RECORDS** Agency copy of selection records by employees of insurance offered by the State. ***GUIDANCE:*** - **CAUTION:** Documents which serve as payroll deduction authorizations must be maintained for the retention period prescribed for them.		US, then destroy			**RA**-Access may be restricted due to personal information.
SG18200	**PERSONNEL - EMPLOYEE RECOGNITION RECORDS** Awards, incentives, tenure, etc. ***GUIDANCE:*** - AC - Termination of employment. - R - Archivist review for historic content.		AC +3, then destroy	R		
SG18201	**PERSONNEL - EMPLOYEE SAVINGS BOND LEDGERS**		FE +3, then destroy		X	**RA**-Access may be restricted due to personal information.

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SG18202	**PERSONNEL - EMPLOYMENT CONTRACTS** ***GUIDANCE:*** - AC - Original date of hire.		AC +50 , then destroy		X	**RA**-Access may be restricted due to personal information.
SG18203	**PERSONNEL - EMPLOYMENT ELIGIBILITY, DOCUMENTATION OR VERIFICATION OF** Federal reporting form - INS I-9. ***GUIDANCE:*** - AC - Termination of employment, with a minimum of 4 years. - Retention based on 8 CFR § 274.a.2(b)(2)(i)(A) and (c)(2).		AC +4, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18204	**PERSONNEL - EMPLOYMENT OPPORTUNITY ANNOUNCEMENTS** ***GUIDANCE:*** - Retention based on 29 CFR § 1602.31(a) (State Agencies), 29 CFR § 1602.49(a) (State Universities).		AC +2 , then destroy			

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SG18205	**PERSONNEL - EMPLOYMENT SELECTION RECORDS** All records that document the selection process, i.e., polygraph, physicals, interview notes, etc. ***GUIDANCE:*** - Retention based on 29 CFR § 1602.31(a) (State Agencies), 29 CFR § 1602.49(a) (State Universities). - **CAUTION:** Does not include criminal history checks.		AC +2 , then destroy		X	**RA**-Access may be restricted due to personal information.
SG18206	**PERSONNEL - EQUAL PAY RECORDS** Reports, etc. used to monitor compliance with Federal Equal Pay Act. ***GUIDANCE:*** - Retention based on 29 CFR §1620.32(c).		AC +2, then destroy		X	
SG18207	**PERSONNEL - FORMER EMPLOYEE VERIFICATION RECORDS** Minimum information includes name, social security number, exact dates of employment, and last known address. ***GUIDANCE:*** - AC - Original date of hire. - Retention based on PERSI requirements.		AC +50, then destroy		X	**RA**-Access may be restricted due to personal information.

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SG18208	**PERSONNEL - GRIEVANCE RECORDS** Review of employee grievances against policies and working conditions etc. Includes record of actions taken. ***GUIDANCE:*** - AC - Final decision on the grievance. - **CAUTION:** Does not include formal complaints filed with the Equal Employment Office (EEO) of the U.S. Department of Labor.		AC +6, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18209	**PERSONNEL - HAZARDOUS MATERIALS TRAINING RECORDS** Records of training given employees in an agency hazard communications program, i.e., risk management, safety office personnel.		PM	A	X	
SG18210	**PERSONNEL- HIRING PROCESS - CRIMINAL HISTORY CHECKS - NON-ACADEMIC** Criminal history record information on job applications or from DPS. ***GUIDANCE:*** - AC - After hiring decision made. - **CAUTION:** Some agencies authorized to obtain criminal history records from ISP are required to destroy after used for the immediate purpose obtained.		AC +1, then destroy			**RA**

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SG18211	**PERSONNEL - HUMAN RESOURCES INFORMATION SYSTEM (HRIS) REPORTS** HRIS Reports and supporting documentation.		AC +3, then destroy		X	
SG18212	**PERSONNEL - INSTITUTIONAL EMPLOYMENT REPORT**		PM		X	
SG18213	**PERSONNEL - JOB PROCEDURE RECORDS** Any document detailing duties of positions on position-by-position basis.		US +3, then destroy			
SG18214	**PERSONNEL - LABOR STATISTICS REPORTS** Reports providing statistical information on labor force.		AC +3, then destroy			
SG18215	**PERSONNEL - LEAVE STATUS REPORTS** Cumulative report for each pay cycle showing leave status.		FE +3, then destroy		X	
SG18216	**PERSONNEL - LIABILITY RELEASE FORMS / RECORDS** Statements of employees, patrons, etc. who have released the University from liability.		PM		X	

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SG18217	**PERSONNEL - LICENSE AND DRIVING RECORD CHECKS**		US, then destroy			**RA**-Access may be restricted due to personal information.
SG18218	**PERSONNEL - MAIL - FORWARDING ADDRESS**		AC +1, then destroy			**RA**-Access may be restricted due to personal information.
SG18219	**PERSONNEL - OPTIONAL RETIREMENT** Federal employees.		Transfer to Office of Personnel Manage-men t within 6 months			**RA**-Access may be restricted due to personal information.
SG18220	**PERSONNEL - OVERTIME AUTHORIZATION**		AC +2, then destroy			
SG18221	**PERSONNEL - OVERTIME SCHEDULES**		AC +2, then destroy			

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SG18222	**PERSONNEL - PAYROLL - INCOME ADJUSTMENT AUTHORIZATIONS** Used to adjust gross pay, FICA, retirement or compute taxes. ***GUIDANCE:*** - Retention based on 29 CFR § 1627.3(a) and 29 CFR § 516.6(c).		AC +3, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18223	**PERSONNEL - PAYROLL - DIRECT DEPOSIT APPLICATION / AUTHORIZATIONS**		US , then destroy		X	**RA**-Access may be restricted due to personal information.
SG18224	**PERSONNEL - PERFORMANCE APPRAISALS** Performance appraisals of employees; does not include faculty evaluations. ***GUIDANCE:*** - Retention based on 29 CFR § 1620.32(c).		AC +2, then destroy			**RA**-Access may be restricted due to personal information.
SG18225	**PERSONNEL - PERSI ENROLLMENT FILES** ***GUIDANCE:*** - AC - Filing date.		AC +6, then destroy			**RA**-Access may be restricted due to personal information.

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SG18226	**PERSONNEL - PERSI RECORD OF HOURS WORKED** Irregular help, half-time or greater. ***GUIDANCE:*** - AC - Date of hire.		AC +50, then destroy			**RA**-Access may be restricted due to personal information.
SG18227	**PERSONNEL - PERSI TERMINATION RECORDS**		AC +6, then destroy			**RA**-Access may be restricted due to personal information.
SG18228	**PERSONNEL - PERSONNEL INFORMATION OR ACTION FORMS** PAF forms. Documents to officially change pay, titles, benefits, etc. ***GUIDANCE:*** - Retention based on 29 CFR § 1602.31(a) (State Agencies), 29 CFR § 1602.49(a) (State Universities).		AC +2, then destroy			**RA**-Access may be restricted due to personal information.

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SG18229	**PERSONNEL - PHYSICAL EXAMINATIONS / MEDICAL REPORTS (PERIODIC REVIEW)** Examination reports for positions where health and fitness monitoring is required. **NOTE:** Some positions require 30 year retention per 29 CFR § 1910-1020(d). ***GUIDANCE:*** - **CAUTION:** Does not include preemployment physical examinations. - (HIPAA) Standards for Privacy of Individually Identifiable Health Information, 45 CFR Part 160, may apply.		US +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18230	**PERSONNEL - POLICIES AND PROCEDURES** Manuals, guidelines, etc. that define agency-wide policies concerning personnel. ***GUIDANCE:*** - Previous revision should be transferred to Archives as new revision is approved.		PM	A	X	
SG18231	**PERSONNEL - POSITION / JOB DESCRIPTIONS** Job descriptions, includes all tasks performed and skills required.		US +3, then destroy		X	

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SG18232	**PERSONNEL - POSITIONS / JOB CLASSIFICATION REVIEW FILE** Relates to review and modification of job classifications within an agency.		US +3, then destroy			
SG18233	**PERSONNEL - RÉSUMÉS (UNSOLICITED)** Applies to agency replies stating résumé will be keep in case a job opens.		AC +1, then destroy			**RA**-Access may be restricted due to personal information.
SG18234	**PERSONNEL - SHARED LEAVE** ***GUIDANCE:*** - Retention based on Idaho Code §67-5335(7), effective July 1, 1998.		AC +5, then destroy			**RA**-Access may be restricted due to personal information.
SG18235	**PERSONNEL - SICK LEAVE POOL DOCUMENTATION** Requests submitted, approvals, number of hours transferred in and out, etc.		FE +3, then destroy			**RA**-Access may be restricted due to personal information.

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SG18236	**PERSONNEL - STATE DEFERRED COMPENSATION RECORDS** Maintain the most current version of the requested amount(s). ***GUIDANCE:*** - For instructions in determining closure, etc., refer also to PEBSCO/Nationwide Retirement Solutions (State-contracted administrator). - AC - All accounts with vendor(s) for the individual participant have been closed.		AC +5, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18237	**PERSONNEL - TIME CARDS AND TIME SHEETS** **NOTE:** Copies maintained by Office of Origin are not the record should be retained as short a time as possible.		AC +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18238	**PERSONNEL - TIME OFF AND / OR SICK LEAVE REQUESTS**		FE +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18239	**PERSONNEL - TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS- INDIVIDUAL** Records documenting training, testing, or continual education. ***GUIDANCE:*** - AC - Termination of employment.		AC +3, then destroy			**RA**-Access may be restricted due to personal information.

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SG18240	**PERSONNEL - TRAINING ADMINISTRATION RECORDS** In-house training material dealing with agencies' policies and services. ***GUIDANCE:*** - **CAUTION:** Does not include hazardous material training records.		PM	A	X	
SG18241	**PERSONNEL - TRAINING AND DEVELOPMENT EVALUATION FILES** Feedback on training.		AC +3, then destroy			**RA**-Access may be restricted due to personal information.
SG18242	**PERSONNEL - TRAINING MATERIALS** Materials developed by agency for training entities or individuals it regulates or serves.		US +1, then destroy			
SG18243	**PERSONNEL - UNEMPLOYMENT CLAIMS RECORDS**		AC +3, then destroy		X	**RA**-Access may be restricted due to personal information.
SG18244	**PERSONNEL - UNEMPLOYMENT COMPENSATION RECORDS**		AC +3, then destroy			**RA**-Access may be restricted due to personal information.

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SG18245	**PERSONNEL - W-2 FORMS** Employees' Withholding Exemption Certificate W-2. ***GUIDANCE:*** - Retention based on 26 CFR § 31.6001-1 (e) (2).		AC +5, then destroy			**RA**-Access may be restricted due to personal information.
SG18246	**PERSONNEL - W-4 FORMS** Employees' Withholding Exemption Certificate W-4. ***GUIDANCE:*** - Retention based on 26 CFR § 31.6001-1 (e) (2).		AC +5, then destroy			**RA**-Access may be restricted due to personal information.
SG18247	**PHOTOGRAPHY** Regardless of institutional or agency office creating. **NOTE:** FERPA directory information release is retroactive from date of inclusion. ***GUIDANCE:*** - **CAUTION:** FERPA requires students give specific releases for the reuse of images if photography is not part of institution's directory information disclosure statement. - Release to Photograph for Publication may also be needed.		PM	A	X	

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SG18248	**PHOTOGRAPHY - STUDENT - IDENTIFICATION PHOTOGRAPHS - ELECTRONIC OR CONVENTIONAL (1930 TO PRESENT)** Overwrite periodic digital photos of students; retain last permanently. **NOTE:** FERPA directory information release is retroactive from date of inclusion. ***GUIDANCE:*** - Retention based on Idaho Public Records Law, photographic records. - **CAUTION:** FERPA requires students give specific releases for the reuse of images if photography is not included as part of institution's directory information disclosure statement.		US, then destroy *Final Photograph:* PM			
SG18249	**PHOTOGRAPHY - STUDENT - IDENTIFICATION PHOTOGRAPHS - ELECTRONIC OR CONVENTIONAL (PRE-1929)** ***GUIDANCE:*** - Retention based on Idaho Public Records Law, photographic records. - Transfer to University Archives or State Archives or store according to Department of Administration Records Storage Standards.		PM			
SG18250	**POLICE, CAMPUS - ACCIDENT RECORDS - TRAFFIC** Reports and supporting documentation concerning traffic accidents investigated, that are not make part of the offense record.		AC +3, then destroy			**RA**-Access may be restricted due to personal information, especially students'.

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SG18251	**POLICE, CAMPUS - LAW ENFORCEMENT - STATISTICAL REPORTS FILES** Statistical reports and summaries of crime incidents, accidents, etc. Includes Uniform Crime Reports sent to ID-DPS.		*Monthly Reports:* AV, then destroy *Annual Reports:* PM		X	
SG18252	**POLICE, CAMPUS - PARKING TICKETS** ***GUIDANCE:*** - AC - Ticket is paid or satisfied.		AC +1, then destroy			
SG18253	**PROCUREMENT - BID DOCUMENTATION** Includes bid requisition / authorizations, invitation to bid, bid specifications and evaluations. ***GUIDANCE:*** - **CAUTION:** If a formal written contract is the result of a bid, etc., the bid documents and its supporting materials must be retained for the same period as the contract.		FE +3, then destroy			
SG18254	**PROCUREMENT - ESTIMATE FILES** Supply and repair cost estimates.		AC +1, then destroy			
SG18255	**PROCUREMENT - MATERIAL SPECIFICATIONS**		AC +3, then destroy			

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SG18256	**PROCUREMENT - ORDER - ACKNOWLEDGMENTS**		AC +1, then destroy			
SG18257	**PROCUREMENT - PACKING SLIPS**		AC +1, then destroy			
SG18258	**PROCUREMENT - PERFORMANCE BONDS** Bonds posted by individuals or entities under contract with the agency. ***GUIDANCE:*** - **CAUTION:** Does not include construction or architectural surety bonds.	Purchas-ing	PM	X	A	
SG18259	**PROCUREMENT - PURCHASING LOGS** Log, etc. providing a record of purchase orders issued, orders received, etc.		FE +3, then destroy			
SG18260	**PROCUREMENT - SALES JOURNALS OR REGISTERS**		FE +3, then destroy			

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SG18261	**PUBLICATIONS - RECORD COPY** Includes, but is not limited to, catalogs, reports (annual and periodic), journals, promotional literature, flyers, calendars and announcements . ***GUIDANCE:*** - Transfer a minimum of 1 copy of each to University or State Archives annually.		PM	X	A	
SG18262	**RECORDS MANAGEMENT - DESTRUCTION SIGN-OFFS** Agency level documents authorizing destruction of records.		PM	A	X	
SG18263	**RECORDS MANAGEMENT - INSTITUTION-SPECIFIC RECORDS RETENTION SCHEDULE** Certification; signed original for institution or agency. ***GUIDANCE:*** - Original is retained permanently by the State Archives.		PM	A	X	
SG18264	**RECORDS MANAGEMENT - RECORDS CONTROL MATERIALS** Includes indexes, card files, shelf lists etc.		PM	A	X	
SG18265	**RECORDS MANAGEMENT - RECORDS DISPOSITION LOGS** Logs listing records destroyed or transferred.		PM	A	X	

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SG18266	**RECORDS MANAGEMENT - RECORDS INVENTORY WORKSHEETS**		PM		X	
SG18267	**RECORDS MANAGEMENT PLANS** Records that set policies for agency's records management.		PM	A	X	
SG18268	**REPORTS - ACTIVITY** Reports on workload monitoring, task completion etc.		AC +3, then destroy			
SG18269	**REPORTS - BIENNIAL OR ANNUAL AGENCY - NARRATIVE** Narrative reports sent to the governor and legislature as required by statute.		PM	A	X	
SG18270	**REPORTS - REPORTS ON PERFORMANCE MEASURES** Reports on agency performance submitted to executive and legislative budget offices. ***GUIDANCE:*** - Cut-off date of July 1st of odd-numbered calendar years.		PM	A	X	

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SG18271	**REPORTS AND STUDIES - NON-FISCAL - RAW DATA** Information and data used to compile non-fiscal reports. ***GUIDANCE:*** - **CAUTION:** Does not include source documentation used for information or data included in or directly related to another records series in this schedule.		PM	R		**RA**-Access may be restricted where individually identifiable data is included.
SG18272	**REPORTS AND STUDIES - NON-FISCAL** Non-Fiscal reports compiled by agency, committees or consultants.		PM	R		**RA**-Access may be restricted where individually identifiable data is included.
SG18273	**REQUESTS FOR INFORMATION** Requests for information preliminary to the procurement of goods etc. by direct purchase of bid. ***GUIDANCE:*** - AC - Closing date (date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable).		AC +3, then destroy			

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Guidance: **RA**-Refers to the security needs of a record series. Must be justified.

SG18274	**SAFETY - DISASTER PREPAREDNESS AND RECOVERY PLANS**		PM	A	X	**RA**-Access may be restricted as part of facility security plans.
SG18275	**SAFETY - EVACUATION PLANS** Plans for evacuation of agency facilities in cases of emergency. ***GUIDANCE:*** - Record copy should be maintained centrally.	Safety Office; Risk Manage-ment	PM	A	X	**RA**-Access may be restricted as part of facility security plans.
SG18276	**SAFETY - FIRE ORDERS** Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code. ***GUIDANCE:*** - AC - Deficiency corrected.		AC +3, then destroy			
SG18277	**SAFETY - HAZARD COMMUNICATION PLANS**	Safety Office	PM	A	X	**RA**-Access may be restricted as part of facility security plans.

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SG18278	**SAFETY - HAZARDOUS MATERIALS DISPOSAL RECORDS** See also Material Data Safety Sheets. Material safety data sheets must be kept for those chemicals currently in use that are effected by the Hazard Communication Standard in accordance with 29 CFR § 1910.1200(g). **NOTE:** Material safety data sheets must be kept for those chemicals currently in use that are effected by the Hazard Communication Standard in accordance with 29 CFR 1910.1200(g). ***GUIDANCE:*** - Retention based on 29 CFR § 1910.1020(d) (1)(ii)(B)		PM	A	X	**RA**-Access may be restricted as part of facility security plans.
SG18279	**SAFETY - INCIDENT REPORTS** Reports concerning incidents that, upon investigation, were of a non-criminal nature. **NOTE:** Material safety data sheets must be kept for those chemicals currently in use that are effected by the Hazard Communication Standard in accordance with 29 CFR 1910.1200(g). ***GUIDANCE:*** - **Exposure records** require 30 year retention per 29 CFR § 1910.1020 (d) (1)(ii)(B)		AC +3, then destroy *Exposure Records:* AC +30, then destroy			**RA**-May include exposure records, including personal information.

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SG18280	**SAFETY - INSPECTION RECORDS** Fire, safety, and other inspection records of facilities and equipment. ***GUIDANCE:*** - AC - Date of the correction of the deficiency, if the inspection report reveals a deficiency. - **CAUTION:** Does not include inspection reports of building construction.		AC +3, then destroy			

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SG18281	**SAFETY - MATERIAL SAFETY DATA SHEETS** Either the MSDS or the following information: Some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used, must be retained for the period required. From the CFR: (d)(2) Nothing in this section is intended to mandate the form, manner, or process by which an employer preserves a record so long as the information contained in the record is preserved and retrievable, except that chest X-ray films shall be preserved in their original state. **NOTE:** Material safety data sheets must be kept for those chemicals currently in use that are effected by the Hazard Communication Standard in accordance with 29 CFR 1910.1200(g). ***GUIDANCE:*** - AC - End of use of the substance. - Retention based on 29 CFR 1910(d)(1) (ii)(B). - Material safety data sheets and paragraph (c)(5)(iv) records concerning the identity of a substance or agent need not be retained for any specified period as long as some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least 30 years.	Mini-mum : All areas using listed materials	AC +30, then destroy			
SG18282	**SAFETY - WORKPLACE CHEMICAL LISTS** ***GUIDANCE:*** - Should be matched to container labels per 29 CFR § 1910.1200(g).		AC +30, then destroy			

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SG18283	**SAFETY REPORTS**		AC +3, then destroy			
SG18284	**STUDENT - REFUNDS AND REPAYMENTS** ***GUIDANCE:*** - Retention based on 34 CFR § 676.19(c). - Pell Grant Federal Regulation and other campus-based programs.		FE +5, then destroy		X	**RA**-FERPA, Confidential Record.
SG18285	**STUDENTS - 10TH DAY REPORTS; INSTITUTIONAL RESEARCH - CREATES** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.	Registrar Office of Record	PM		X	
SG18286	**STUDENTS - ACADEMIC PROBATION / SUSPENSION** Records relating to a student's academic probation or suspension. ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		AV , then destroy		X	**RA**-FERPA, Confidential Record.
SG18287	**STUDENTS - ACADEMIC PROGRESS RECORDS** ***GUIDANCE:*** - Retention based on 34 CFR § 668.47 through .48	Financial Aid	AC +5, then destroy		X	**RA**-FERPA, Confidential Record.

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SG18288	**STUDENTS - ACADEMIC RECORDS** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		PM		X	**RA**-FERPA, Confidential Record.
SG18289	**STUDENTS - ACADEMIC STATUS REPORT** Good standing, probation and dismissal. ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		PM (posted to transcript)		X	**RA**-FERPA, Confidential Record.
SG18290	**STUDENTS - ACADEMIC SUSPENSION WAIVER** ***GUIDANCE:*** - AC - Last date of contact. - Retention based on AACRAO Records Retention Guide.	Student Affairs	AC +5, then destroy		X	**RA**-FERPA, Confidential Record.
SG18291	**STUDENTS - ADD / DROP CLASS RECORDS** ***GUIDANCE:*** - AC - Graduation or last day of attendance. - Retention based on AACRAO Records Retention Guide.		AC +1, then destroy			**RA**-FERPA, Confidential Record.
SG18292	**STUDENTS - ADVISING RECORDS** ***GUIDANCE:*** - AC - Graduation or last day of attendance. - Retention based on AACRAO Records Retention Guide.		AC +1, then destroy		X	**RA**-FERPA, Confidential Record.

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SG18293	**STUDENTS - APPLICATIONS / ADMISSIONS, ACCEPTED** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide. - Students have access to admission comments.		*Maximum:* Last date of contact +5, then destroy		X	**RA**-FERPA, Confidential Record.
SG18294	**STUDENTS - APPLICATIONS / ADMISSIONS, REJECTED** ***GUIDANCE:*** - AC - Beginning of semester of application. - Retention based on AACRAO Records Retention Guide. - Students have access to admission comments.		AC +1, then destroy		X	**RA**-FERPA, Confidential Record.
SG18295	**STUDENTS - ATHLETIC ELIGIBILITY RECORDS** ***GUIDANCE:*** - Retention based on NCAA rules.	Faculty Athletic Repre-se ntative to NCAA	See institution's NCAA agreement		X	**RA**-FERPA, Confidential Record.
SG18296	**STUDENTS - ATHLETIC FILE** ***GUIDANCE:*** - AC - Graduation or last day of attendance. - Retention based on NCAA rules.	Faculty Athletic Represen tative to NCAA	AC +5, then destroy	R	X	**RA**-FERPA, Confidential Record.
SG18297	**STUDENTS - ATTENDANCE RECORDS**	Departme nt of Course	AC +5, then destroy			**RA**-FERPA, Confidential Record.

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SG18298	**STUDENTS - AUTHORITY TO INSPECT RECORDS** Incorporate into permanent student file.		PM		X	**RA**-FERPA, Confidential Record.
SG18299	**STUDENTS - CHANGE OF STATUS FORMS** ***GUIDANCE:*** - AC - Graduation or last day of attendance. - Retention based on AACRAO Records Retention Guide.		AC +5, then destroy		X	**RA**-FERPA, Confidential Record.
SG18300	**STUDENTS - CLASS SCHEDULES: PREPARATION RECORDS** Records retained by the advisor, registrar, etc. that served a preparation facet in making class schedules and degree plans. ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		AC +5, then destroy			**RA**-FERPA, Confidential Record.
SG18301	**STUDENTS - COMPREHENSIVE EXAMS (DOCTORAL)** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		AC +7, then destroy			**RA**-FERPA, Confidential Record.
SG18302	**STUDENTS - COURSE EQUIVALENCIES** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		US +1 , then destroy			**RA**-FERPA, Confidential Record.

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SG18303	**STUDENTS - DATA SHEETS** ***GUIDANCE:*** - AC - Last date of contact, ex: graduation. Not a permanent record in a student's file. - Retention based on AACRAO Records Retention Guide.		AC, then destroy	R		**RA**-FERPA, Confidential Record.
SG18304	**STUDENTS - DEGREE APPLICATIONS** ***GUIDANCE:*** - AC - Can be either from date of graduation or last date of attendance. - Retention based on AACRAO Records Retention Guide.		AC +2, then destroy		X	**RA**-FERPA, Confidential Record.
SG18305	**STUDENTS - DEGREE PLANS** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		PM		X	**RA**-FERPA, Confidential Record.
SG18306	**STUDENTS - DEPARTMENTAL GRADE BOOKS** ***GUIDANCE:*** - AC - End of Semester. Shorter period may be set by Academic Dean's policy.		AC +4, then destroy		X	**RA**-FERPA, Confidential Record.
SG18307	**STUDENTS - DISCIPLINARY RECORDS** ***GUIDANCE:*** - AC - Close of semester the disciplinary action is taken. - Retention based on AACRAO Records Retention Guide.	Student Affairs	AC +2, then destroy		X	**RA**-FERPA, Confidential Record.

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SG18308	**STUDENTS - END OF SEMESTER REPORTS - CREATED BY INSTITUTIONAL RESEARCH** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.	Registrar Office of Record	PM		X	**RA**-FERPA, Confidential Record.
SG18309	**STUDENTS - ENROLLMENT STATISTICS** ***GUIDANCE:*** - Records should not contain individually identifiable information. - Retention period based on AACRAO guidelines for statistical reports.		PM	R	X	
SG18310	**STUDENTS - ENROLLMENT VERIFICATION - RECORDS OF RELEASE OF INFORMATION** Should include name and contact information for requester. ***GUIDANCE:*** - **CAUTION:** Releases of student information should be handled in accordance with FERPA. - Retention based on AACRAO Records Retention Guide.	Registrar	AC +1, then destroy			**RA**-FERPA, Confidential Record.
SG18311	**STUDENTS - EXAM SIGN-UP SHEETS**		US +1, then destroy			**RA**-FERPA, Confidential Record.

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SG18312	**STUDENTS - FINANCIAL AID RECORDS - FFEL AND DIRECT LOANS** Records related to borrower's eligibility and participation. All audit requirements to be met prior to disposal. ***GUIDANCE:*** - AC - End of the award year in which the student last attended. - Retention based on 34 CFR § 668.24		AC +3, then destroy			**RA**-Access: FERPA, Confidential Record.
SG18313	**STUDENTS - FINANCIAL AID RECORDS - FISCAL OPERATIONS REPORT (FISAP) AND SUPPORTING RECORDS** All audit requirements to be met prior to disposal. ***GUIDANCE:*** - AC - End of the award year in which the report was submitted. - Retention based on 34 CFR § 668.24.		AC +3, then destroy		X	**RA**-Access FERPA, Confidential Record.
SG18314	**STUDENTS - FINANCIAL AID RECORDS - CAMPUS-BASED AND PELL GRANT** All audit requirements to be met prior to disposal. ***GUIDANCE:*** - AC - End of the award year in which the aid was awarded. - Retention based on 34 CFR § 668.24.		AC +3, then destroy			**RA**-Access FERPA, Confidential Record.

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SG18315	**STUDENTS - FINANCIAL AID RECORDS - PERKINS REPAYMENT RECORDS** After 12/87, includes original repayment schedule, though manner of retention remains same as promissory note. All audit requirements to be met prior to disposal. ***GUIDANCE:*** - AC - The date on which a loan is assigned to department, cancelled or repaid. - Retention based on 34 CFR § 668.24.		AC +3, then destroy			**RA**-Access FERPA, Confidential Record.
SG18316	**STUDENTS - FINANCIAL AID RECORDS - PERKINS ORIGINAL PROMISSORY NOTES** Before 12/87, included original repayment schedule. All audit requirements to be met prior to disposal. ***GUIDANCE:*** - AC - Until the loan is satisfied or documents are needed to enforce the obligation. - Retention based on 34 CFR § 668.24.		AC, then destroy			**RA**-Access FERPA, Confidential Record.

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SG18317	**STUDENTS - FINANCIAL AID RECORDS - FFEL AND DIRECT LOANS** All other records, including any other reports or forms. All audit requirements to be met prior to disposal. ***GUIDANCE:*** - AC - End of the award year in which the report was submitted. - Retention based on 34 CFR § 668.24.		AC +3, then destroy			**RA**-Access FERPA, Confidential Record.
SG18318	**STUDENTS - GRADE CHANGE FORMS** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		PM	A	X	**RA**-FERPA, Confidential Record.
SG18319	**STUDENTS - GRADE REPORTS** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		AC +1, then destroy			**RA**-FERPA, Confidential Record.
SG18320	**STUDENTS - GRADE SHEETS** Final official compilation, not departmental copies received from Registrar. ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.	Registrar	PM	A	X	**RA**-FERPA, Confidential Record.

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SG18321	**STUDENTS - GRADUATION STATUS AND RANKING** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		PM		X	**RA**-FERPA, Confidential Record.
SG18322	**STUDENTS - HEALTH SERVICES - PATIENT FILES / MEDICAL RECORDS** ***GUIDANCE:*** - AC - Can be either from date of graduation or last date of contact. - May be effected by (HIPAA) Standards for Privacy of Individually Identifiable Health Information, 45 C.F.R. Part 160 - **CAUTION:** Review student patient records for compliance with current FERPA requirements.		AC +5, then destroy		X	**RA**-FERPA, confidential record.
SG18323	**STUDENTS - HOUSING RECORDS** All audit requirements will be met prior to disposal. ***GUIDANCE:*** - Retention based on 34 CFR § 676.19(c). - Federal requirements for Pell Grant and other campus-based programs.		FE +5, then destroy	R	X	**RA**-FERPA, Confidential Record.
SG18324	**STUDENTS - ID REQUESTS**		AC +1, then destroy			**RA**-FERPA, Confidential Record.

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SG18325	**STUDENTS - IMMIGRATION RECORDS** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		AC +5, then destroy		X	**RA**-FERPA, Confidential Record.
SG18326	**STUDENTS - MASS ADD / DROP CHANGES**	Registrar	AC +1, then destroy			**RA**-FERPA, Confidential Record.
SG18327	**STUDENTS - MILITARY TRAINING, CREDIT FOR**		AV , then destroy		X	**RA**-FERPA, Confidential Record.
SG18328	**STUDENTS - NAME CHANGE REQUEST** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		AC +5, then destroy		X	**RA**-FERPA, Confidential Record.
SG18329	**STUDENTS - NONDISCLOSURE OF INFORMATION** ***GUIDANCE:*** - CE - Calendar year end, must be renewed annually by student.		CE +1, then destroy		X	**RA**-FERPA, Confidential Record.
SG18330	**STUDENTS - PASS / FAIL RECORDS** Records pertaining to classes taken on a pass / fail bases. ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		AC +1, then destroy			**RA**-FERPA, Confidential Record.

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SG18331	**STUDENTS - PERMITS FOR ADMISSION TO REGISTER** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		AV, then destroy			**RA**-FERPA, Confidential Record.
SG18332	**STUDENTS - PLACEMENT AND CAREER COUNSELING**		AC +5, then destroy			**RA**-FERPA, Confidential Record.
SG18333	**STUDENTS - RECOGNITION** Awards, etc.		AC +3, then destroy	R		**RA**-FERPA, Confidential Record.
SG18334	**STUDENTS - RECRUITMENT RECORDS** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		AC +1, then destroy			**RA**-FERPA, Confidential Record.
SG18335	**STUDENTS - REPORTS**		AC +5, then destroy		X	**RA**-FERPA, Confidential Record where information is individually identifiable.
SG18336	**STUDENTS - RESIDENCY QUESTIONNAIRE** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		AV , then destroy		X	**RA**-FERPA, Confidential Record.

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SG18337	**STUDENTS - SCHOLARSHIP APPLICATION (REJECTED)** ***GUIDANCE:*** - AC - Date of Decision. See also Student's Financial Aid Records.		AC +1, then destroy		X	**RA**-FERPA, Confidential Record.
SG18338	**STUDENTS - SCHOLARSHIP RECORDS (DEPARTMENTAL)** ***GUIDANCE:*** - AC - Award year. - Retention based on 20 U.S.C. 1094; 34 CFR § 668.24		AC +3, then destroy		X	**RA**-FERPA, Confidential Record.
SG18339	**STUDENTS - SCHOLARSHIP RECORDS (FEDERAL)** ***GUIDANCE:*** - AC - Date of decision / selection . - Retention based on Federal Register, 1-19-81, Part 3, Dept. of Education, VOL.46, NO.12,672.19,P3C.		AC +5, then destroy		X	**RA**-FERPA, Confidential Record.
SG18340	**STUDENTS - SCHOLARSHIPS - AWARDED, DONOR FILES, ETC.** ***GUIDANCE:*** - AC - Date of decision / selection . - Retention based on Federal Register, 1-19-81, Part 3, Dept. of Education, VOL.46, NO.12,672.19,P3C.		*Department Award:* AC +3, then destroy *All Others:* AC +5, then destroy	R	X	**RA**-FERPA, Confidential Record.

LEGEND:

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SG18341	**STUDENTS - SCORES AND REPORTS (EXTERNAL) ADMISSION** Example, GRE, SAT.		AC +5, then destroy		X	**RA**-FERPA, Confidential Record.
SG18342	**STUDENTS - STUDENT ORGANIZATIONS** May be listed as directory information by institution.		PM	A	X	**RA**-FERPA, Confidential Record.
SG18343	**STUDENTS - STUDENT TEACHING**		AC +10, then destroy			**RA**-FERPA, Confidential Record.
SG18344	**STUDENTS - TEST MATERIALS (EXTERNAL)**		AC +1, then destroy		X	**RA**-FERPA, Confidential Record.
SG18345	**STUDENTS - TESTS, STUDENT ACADEMIC**		AC +1, then destroy		X	**RA**-FERPA, Confidential Record.
SG18346	**STUDENTS - TRANSCRIPT REQUEST** ***GUIDANCE:*** - AC - Date of Request. - Retention based on AACRAO Records Retention Guide.		AC +1, then destroy		X	**RA**-FERPA, Confidential Record.

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SG18347	**STUDENTS - TRANSCRIPTS** ***GUIDANCE:*** - Retention based on AACRAO Records Retention Guide.		PM		X	**RA**-FERPA, Confidential Record.
SG18348	**STUDENTS - VA RECORDS** ***GUIDANCE:*** - AC - Last date of contact.		AC +5, then destroy			**RA**-FERPA, Confidential Record.
SG18349	**STUDENTS - WAIVER RECORDS**		AC +2, then destroy		X	**RA**-FERPA, Confidential Record.
SG18350	**STUDENTS - WITHDRAWAL / REINSTATEMENT** ***GUIDANCE:*** - AC - Last date of contact . - Retention based on AACRAO Records Retention Guide.		AC +5, then destroy		X	**RA**-FERPA, Confidential Record.
SG18351	**STUDENTS - WORK-STUDY: CERTIFICATES OF PAYMENT** All audit requirements to be met prior to disposal. ***GUIDANCE:*** - Retention based on 34 CFR § 676.19(c). Federal requirements for Pell Grant and other campus-based programs.		FE +5, then destroy			**RA**-FERPA, Confidential Record.

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SG18352	**VEHICLE TITLES AND REGISTRATIONS** ***GUIDANCE:*** - Renewed annually.		AC +1, then destroy			
SG18353	**VEHICLES - INSPECTION REPAIR AND MAINTENANCE RECORDS**		LA +1, then destroy		X	
SG18354	**WEBSITE / WEBPAGES - INTERNET / INTRANET** System development documentation (for initial setup and all subsequent changes). ***GUIDANCE:*** - Electronic records.		PM	A	X	
SG18355	**WEBSITE / WEBPAGES - INTERNET / INTRANET** Content of pages. ***GUIDANCE:*** - Electronic records.		PM	A	X	

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FACILITY MANAGEMENT RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0501	**AMERICANS WITH DISABILITIES ACT (ADA) FILES** Records that indicate compliance to Americans with Disabilities Act (ADA). Included are surveys of government buildings to determine accessibility to the physically challenged, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.		AC +15, then destroy			
SG0502	**APPRAISAL FILES** Files including location, description, value, and photographs of property.		US, then destroy			
SG0503	**AS-BUILT CONSTRUCTION PLANS AND SPECIFICATIONS** Final plans and specifications for approved and constructed state buildings.		PM			Contact State Archivist.
SG0504	**BUILDING AND EQUIPMENT SERVICE FILES** Requests for building and equipment maintenance services, excluding fiscal copies.		FE +3, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0505	**CONSTRUCTION BUDGET REQUESTS** Construction requests sent to the Division of Public Works that reveal budgetary impacts of planned construction. ***GUIDANCE:*** - Retain by Division of Public Works.	Division of Public Works	AC +5, then destroy			
SG0506	**CONSTRUCTION PLANS IN-REVIEW** Preliminary designs and specifications prepared by architectural firms for review by state agency.		AC +1, then destroy			
SG0507	**CONSTRUCTION PROJECT CASE FILES** Case files documenting the construction and/or renovation of state-owned buildings and structures and costs incurred.		PM			Contact State Archivist.
SG0508	**FACILITIES MANAGEMENT GUIDELINES** Information pertaining to handicapped access, historic preservation, energy conservation, environmental protection, and planning.		AC +3, then destroy			
SG0509	**MAINTENANCE WORK ORDERS** Requests from agencies for repair of building equipment, minor construction, or painting. ***GUIDANCE:*** - Retain by Division of Public Works.	Division of Public Works	AC +3, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0510	**NATURAL DISASTER AND DAMAGE SURVEY OF PUBLIC BUILDINGS** Survey and analysis of damage done to public buildings during natural disasters or acts of terrorism.		PM			Contact State Archivist.
SG0511	**SPACE UTILIZATION REPORTS** Reports on the amount of floor space in agency buildings, number of rooms, and the capacity.		US, then destroy			
SG0512	**UNDER-CONSTRUCTION PLANS AND SPECIFICATIONS** Specifications used by contractors and architects as guidelines to construct previously designed buildings.		US, then destroy			
SG0513	**REAL PROPERTY ACQUISITION FILES** Title papers documentation the acquisition of real property by purchase, condemnation, donation, exchange, or otherwise.		PM			Contact State Archivist.

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FINANCIAL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0601	**ACCOUNTING ADMINISTRATIVE FILES** Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0602	**ACCOUNTS RECEIVABLE INVOICES** Invoices billing non-state agencies or institutions for supplies, services or repairs provided by an agency. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0603	**ADJUSTMENT FORMS** Appropriation adjustments created by agency accounting officers and sent to the Division of Financial Management for approval. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0604	**AUDITOR'S FINANCIAL REPORT** Report prepared by internal or external auditors as a result of a financial audit.		PM			Contact State Archivist.
SG0605	**BANK DAILY TOTALS** Daily report from bank that is used for reconciliation. ***GUIDANCE:*** - Retain by the State Treasurer's Office.	State Treasur-er's Office	AC +1, then destroy			
SG0606	**BANK STATEMENTS** Canceled checks, debit/credit memoranda, deposit slips, and monthly reconciliations. ***GUIDANCE:*** - Retain by the State Treasurer's Office.	State Treasur-er's Office	AC +3, then destroy			
SG0607	**BOND OFFICIAL TRANSCRIPTS** Official files regarding authority to permit bond negotiations with paying agent, etc.		PM			Contact State Archivist.
SG0608	**BOND REGISTRATION FILES** Issuing agent's copies of bond registration stubs.		AC +2, then destroy			

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SG0609	**BONDS, NOTES AND COUPONS PAID** Coupons and notes redeemed throughout the lifetime of the bond. ***GUIDANCE:*** - AC - Retain by the State Treasurer's Office until redeemed by paying agency.	State Treasur-er's Office	AC, then destroy			
SG0610	**CASH RECEIPTS / CREDIT CARD RECEIPTS** Agency copy of receipts given to customers who pay cash to the agency for services rendered. A. Cash Receipts - Retain by agency 3 years or after audit. B. Credit Card Receipts - Retain by agency 18 months or after audit.		*A.* AC +3, then destroy *B.* AC +18 months, then destroy			
SG0611	**COLLECTION BONDS** Collection agency bonds are bonds filed by collection agencies in the state. ***GUIDANCE:*** - Retain by agency 7 years after bond expiration.		AC +7, then destroy			

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SG0612	**COST ACCOUNTING REPORTS** Reports maintained by receiving and reporting units, which document how much it costs an entity to provide a service and the fee they charge for that service. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0613	**COST REPORT DATA FILES** Ledgers and forms used to accumulate data for use in cost reports. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0614	**DEPOSITS WITH STATE TREASURER** Cash receipt transaction forms accompanying agency deposits to the State Treasurer's Office. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			

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SG0615	**EMPLOYEE TRAVEL REIMBURSEMENT FILES** Records relating to reimbursing individuals, such as travel orders, travel authorizations, per diem vouchers, transportation requests, hotel reservations, and all supporting records documenting official travel by officers, employees, dependents, or others authorized by law to travel. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0616	**EXPENDITURE ACCOUNTING GENERAL CORRESPONDENCE AND SUBJECT FILES** Correspondence or subject file maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration. ***GUIDANCE:*** - Retain by agency 2 years or after audit.		AC +2, then destroy			
SG0617	**EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES** Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			

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SG0618	**FREIGHT FILES** Records relating to freight, consisting of export certificates, transit certificates, demurrage card, record books, shipping documents pertinent to freight classification, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, including records relating to the shipment of household goods. ***GUIDANCE:*** - Retain by agency 3 years after the period of the account or after audit.		AC +3, then destroy			
SG0619	**FREIGHT SCHEDULES OF LOST OR DAMAGED SHIPMENTS** Schedules of valuables shipped, correspondence, memoranda, reports and other related records. ***GUIDANCE:*** - Retain by agency 3 years after audit or restitution is made.		AC +3, then destroy			
SG0620	**GENERAL ACCOUNTING LEDGER** General accounts ledger, showing debit and credit entries, and reflecting expenditures in summary. ***GUIDANCE:*** - Retain by agency 7 years or after audit.		AC +7, then destroy			

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SG0621	**INVENTORY OF FIXED ASSETS** These records are used to track and control capital outlay such as office equipment (chairs, typewriters, etc.) and other fixed assets including tools, machinery, and other large equipment.		AC +2, then destroy			
SG0622	**JOURNAL ENTRY RECORDS** Entries listing adjustments to an organization's credit or debit financial statements.		AC +10, then destroy			
SG0623	**NOTARY BOND FILES** Posted by notaries public conditioned for the faithful performance of duties. ***GUIDANCE:*** - Retain by Secretary of State's Office.	Secre-tary of State's Office	AC +7, then destroy			
SG0624	**PERFORMANCE BONDS** Bonds made payable to the state conditional to the performance of all activity requirements and state and federal law.		AC +7, then destroy			
SG0625	**PERSONAL SURETY BONDS** Official copies of the bond and attached powers of attorney. ***GUIDANCE:*** - AC - After bond becomes inactive.		AC +15, then destroy			

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SG0626	**PERSONNEL ACCOUNTING ADMINISTRATIVE FILES** Files used for workload and personnel management purposes. Includes correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. ***GUIDANCE:*** - Retain by agency 2 years or after audit.		AC +2, then destroy			
SG0627	**PETTY CASH RECORDS** Records which verify all monies received or expended through a petty cash account. Includes cash receipts, adding machine tapes, daily accounting records, reconciliation, transmittals, etc. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0628	**REFUND REQUESTS** Form signed by the customer which requests a refund of monies paid to the agency. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			

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SG0629	**STATE REVENUE BONDS** Files which document the obligations of the State support by a specific revenue source. They are generally terms of 3-20 years. The most common are State Revenue Bonds which include leases and rentals. They have interest paid semi-annually. ***GUIDANCE:*** - Retain for 1 year after paid, cancelled or after audit.		AC +1, then destroy			
SG0630	**TAX AND REVENUE ANTICIPATION NOTES** Short-term notes which are revenue supported. They are issued by the State Treasurer for a term of less than 1 year.		AC +1, then destroy			
SG0631	**TELEPHONE BILLS** Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			

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SG0632	**TRAVEL AND TRANSPORTATION FILES** Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0633	**VENDOR PAYMENT VOUCHERS - CANCELED** Documentation used to input data about canceled warrants. ***GUIDANCE:*** - Retain 7 years or after audit.		AC +7, then destroy			
SG0634	**WARRANT REQUESTS** Expenditures processed by state agencies to the Office of the State Controllers statewide accounting system to pay vendors for supplies and/or services the vendors have provided to the agencies. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0635	**WARRANT REQUESTS USED IN THE PURCHASE OF REAL PROPERTY** Documentation of the purchase of real estate by a government agency.		PM			Contact State Archivist.

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SG0636	**WARRANT / CHECK** Actual warrant or check cut from warrant request to pay for services rendered. ***GUIDANCE:*** - Retain until redeemed and microfilmed by the bank. Maintain microfilm by the State Treasurer's Office for 7 years or after audit.	State Treasur-er's Office	AC +7, then destroy			
SG0637	**WARRANT / CHECK - LOST** Legal documentation explaining and justifying a lost warrant, so that a new one can be issued. ***GUIDANCE:*** - Retain by the Office of State Controller for 7 years or after audit.	Office of State Control-ler	AC +7, then destroy			
SG0638	**INTERMEDIARY FISCAL RECORD OF RECEIPTS AND DISBURSEMENTS** Records including, but not limited to, detail record, analysis, proof sheet or trial balance worksheet, and adding machine tapes.		AC +6, then destroy			

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HUMAN RESOURCE RECORDS

INTRODUCTION: It is the responsibility of the State Controllers Office (SCO), PERSI, the State Insurance Fund, Department of Administration Office of Group Insurance (OGI), and Division of Human Resources (DHR) to appropriately maintain certain official state files as well as payroll, pension, insurance, benefit information and employment history.

Each state Agency maintains an employee's active personnel file. Additional official state records are kept by the above Agencies. The employing Agency may retain or destroy reference copies of these documents. If additional and significant information is added to a duplicate, then it should be reassessed for retention.

The citations are for informational purposes only.

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0750	**I-9'S - EMPLOYMENT ELIGIBILITY VERIFICATION** Documentation of employment eligibility compliance with the United States Department of Justice Immigration and Naturalization Service. The retention period below applies to forms completed for all new hires as well superseded or previous forms completed on rehires. ***GUIDANCE:*** - Citation(s): 8 CFR 274A.2.		AC +3, then destroy			

LEGEND:

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SG0752	**APPLICATIONS - CLASSIFIED EMPLOYMENT (UNSOLICITED)** Unsolicited applications from individuals requesting employment directly through the agency. Since each agency cannot accept unsolicited applications directly (must first go through DHR), there is no requirement to retain unsolicited applications.		None; forward to DHR upon receipt			
SG0753	**APPLICATIONS - NON-CLASSIFIED EMPLOYMENT (UNSOLICITED)** Unsolicited applications for jobs that are not currently being filled may be destroyed.		*Unsuccessful Applicants:* AC +4, then destroy *Successful Applicants:* AC +5, then destroy			
SG0754	**EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) AND OFFICE OF FEDERAL CONTRACT COMPLIANCE PROGRAM (OFCCP) RECORDS** Records generated out of compliance, reporting or complaints filed with the two agencies. May contain reports of OFCCP violations and EEOC reports, investigations, case files, complaints, etc. ***GUIDANCE:*** - Citation(s): Business Requirement (29 CFR 1602.12).		*EEOC:* AC +3, then destroy *OFCCP:* AC +3, then destroy			

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SG0760	**GARNISHMENTS - TAX LEVEES, COURT ORDERS, CHILD SUPPORT ORDERS, ETC.** Court enforced garnishment orders issued by the legal system through the SCO, who sends out two copies to the Agency. One copy is filed in Agency and the other is forwarded to the employee. Per SCO, each Agency is required to retain their copy of the garnishment to ensure they do not set up employees for direct deposit, or any voluntary deductions, if they have a garnishment. SCO is responsible for receipt, setup, garnishment oversight, sending out copies, answering any employee questions, complaints, and retention. **NOTE:** SCO recommends the Agency retain for 3 years. Courts retain indefinitely and sheriff retains for 1 year. ***GUIDANCE:*** - SCO is responsible for retention of original garnishment for 7 years after paid. - Citation(s): Business Requirement.		AC +3, then destroy			

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SG0765	**MEDICAL FILES - TERMINATED EMPLOYEE** Created when an employee has a medical condition (injury or illness – work or non-work related) affecting their ability to work. Files may include information about the situation, physical assessment forms, correspondence, information from physicians and other medical providers, return to work documentation, etc. Medical files may also include information about Workers Compensation, FMLA and ADA cases. Medical records should be kept as confidential as possible, ideally in a separate locked area. **NOTE:** These are not Exposure Records (medical/employment questionnaires, tests or histories for occupational exposure history, lists of chemicals employees work with, radiation exposure, etc., which must have there own retention). ***GUIDANCE:*** - If involved in court case, retain until settlement plus 5 years, then destroy. - Citation(s): IC 41-2115; IC 72-601; IC 72-603; IC 72-701; IC 72-701; IC 72-706.		AC +5, then destroy			

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SG0768	**PERSI TRANSMITTAL DOCUMENTS / REPORT** Report issued by PERSI. Contains employer financial adjustments (back pay, regular pay, etc.) conveyed to PERSI. May include Employer Remittance Forms, invoices, correspondence, etc. PERSI conducts an annual audit on these records. **NOTE:** PERSI auditors have access to documents from their office. ***GUIDANCE:*** - Citation(s): Business Requirement.		US, then destroy			
SG0770	**PERSONNEL FILES - FORMER EMPLOYEES** Agency copy of employee's employment history. May contain application, résumé, personnel actions, performance evaluations, awards and commendations, insurance enrollments, deductions, disciplinary actions, payroll deductions, reprimands, annual performance plan and evaluations, benefit information, insurance beneficiaries (life, group, PERSI, etc.), and other documentation related to employment history. **NOTE:** Office of Group Insurance does not receive a copy of the "Beneficiary Designation/Change of Beneficiary/Change Of Name" form, so the agency retains the original. ***GUIDANCE:*** - Citation(s): 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3; 29 CFR 1627.3.		AC +5, then destroy			

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SG0771	**PERSONNEL FILES - ACTIVE EMPLOYEE FILES** The following documents may be purged from employee files after they have reached their individual minimum document retention periods outlined below. This process is included to allow HR the option to eliminate individual documents from active files as they become obsolete.		*Items:*			
	A. Payroll Deduction Forms: (1) *W-4's* (29 CRF 51636)		*A.(1):* US or 4 (whichever is later), then destroy			
	(2) *Flexible Spending* (Original goes to OGI; Business Requirement)		*A.(2)* US, then destroy			
	B. Medical Applications (Original goes to OGI; Business Requirement)		*B:* US, then destroy			
	C. Insurance Beneficiary Changes: (1) *PERSI* (Original goes to PERSI; Business Requirement)		*C.(1)* US, then destroy			
	(2) *Life Insurance* (US or employee is approved for long term disability, at which time the original is sent to the OGI; Business Requirement)		*C.(2)* US, then destroy			

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	(3) *Supplemental Insurance (NCPERS, AFLAC, etc.)* (Original goes to OGI; Business Requirement) D. **Veterans Status Form** (After form has been entered into statewide payroll system) **NOTE:** It is up to the Agency to decide if and when individual documents may be purged from a file as the resources (time and employees) may not always be available to comply with this schedule on a regular basis. ***GUIDANCE:*** - Citation(s): IC 45-610; IC 72-601; IC 72-603; IC 72-701; IC 72-1337; 26 CFR 31.6001-2; 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3		*C.(3)* US, then destroy *D:* AC +60 days, then destroy.			
SG0780	**PROBLEM SOLVING (GRIEVANCE) FILES - EMPLOYEE** Record of complaints and grievances submitted by State employees regarding work place issues (except EEOC complaints). May include employees grievance, investigations, interviews, response, etc. ***GUIDANCE:*** - Citation(s): Business Requirement.		AC +5, then destroy			

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SG0782	**RECRUITMENT FILES - CLASSIFIED POSITIONS** Records involved with the process of recruiting and hiring new employees. May include employment applications, résumés, etc. (see note below), advertisements, vacancy announcements (DHR has an original), registers, interview questions, applicant answers, reference checks, correspondence, etc., including all Agency generated screening and selection documentation. **NOTE:** The Agency does not need to retain the applications of those not hired because DHR retains copies of all applications, résumés, and letters of all applicants before forwarding copies to the Agency. ***GUIDANCE:*** - Non-classified positions, retain for 4 years, then destroy. - Citation(s): Business Requirement (29 CFR 1602.14 – reference only as DHR retains official records).		AC +4, then destroy			

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SG0784	**REPORTS - DIVISION OF HUMAN RESOURCES AND CONTROLLERS OFFICE** Miscellaneous reports generated by DHR and SCO, including Alphabetical List Of Employees, Appointment Type Summary, Classified Code List by Agency/Employees, Deduction Register, Deleted Positions, Health and Dental Insurance Registers, Leave, Life Insurance, Miscellaneous Employee Reports, PCN Expenditure, Payroll Register, Position Lists, etc. **NOTE:** SCO is responsible for retention of original reports. ***GUIDANCE:*** - AV - Destroy when no longer required by the Agency. - Citation: Business Requirement.		AV, then destroy			
SG0786	**TRAINING RECORDS - EMPLOYEE** This series documents the training each employee received while employed. May include type of training, date(s) received, number of hours, pass/fail documentation, etc. ***GUIDANCE:*** - Citation: Business Requirement.		AC +5, then destroy			

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SG0787	**TRAINING RECORDS - MISCELLANEOUS** This series includes various records created during the training process. May include nomination for training, training registration, pass/fail information, etc. **NOTE:** Specialized training or certification documents may require a longer retention period to document the process. Retain as instructed by certifying agency. ***GUIDANCE:*** - Citation: Business Requirement.		AC +2, then destroy			
SG0788	**TRAINING PROFILES - PROGRAM ADMINISTRATION** This series includes records involved with arranging, facilitating and coordinating training classes. May include course and trainer information, handouts, training dates, accommodations, materials, billing information, etc. ***GUIDANCE:*** - Citation: Business Requirement.		AC +2, then destroy			

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INFORMATIONAL SERVICE AGENCY RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1701	**ACCESSION REGISTERS** Information related to library, archives or museum acquisitions. Documentation for book accessions usually includes author, title, publisher, jobber, year purchased, purchase price, and other bibliographic and accession data. Non-book media contain other pertinent information.		*Record Copy:* AC +3, then PM *Duplicate Copies:* AC +3, then destroy			
SG1702	**ANNUAL REPORTS** Series provides a record of the primary functional activities and accomplishments of the agency for the previous year. Reports may include narratives, statistics, graphs, diagrams, member lists, descriptions of programs, events and exhibits, and annual financial statements.		*Record Copy:* AC +3, then PM *Duplicate Copies:* AC +3, then destroy			

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SG1703	**BOARD MEMBER PERSONNEL RECORDS** Series documents the appointment or election and subsequent personnel actions for board members. Records may include appointment letters, résumés, applications, personnel action forms, job descriptions, and employee data sheets.		*Record Copy:* AC +3, then PM *Duplicate Copies:* AV, then destroy			
SG1704	**BORROWER REGISTRATION RECORDS** Records used to grant citizens library cards and privileges as well as to control circulation of library holdings. Individual borrower registration information may include name, address, telephone number, date of birth, signature, expiration date, identification number and related data.		*Record Copy:* US, then destroy *Duplicate Copies:* AV, then destroy			
SG1705	**CATALOGS, FINDING AIDS** Lists which provide patrons with access to library, archives or museum holdings by subject, title, and author and/or donor. Usually includes author's name, title of book or other media, call number, bibliographic description, and related information. ***GUIDANCE:*** - See also SG0016, Finding Aids.		*Record Copy:* US, then destroy *Duplicate Copies:* AV, then destroy			

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SG1706	**CIRCULATION RECORDS** Book cards or electronic records documenting information pertinent to the circulation of materials such as books, magazines, record albums, audio and video tapes, and computer software. May include patron identification, date circulated and date due.		*Record Copy:* AC, then destroy *Duplicate Copies:* AV, then destroy			
SG1707	**COPYRIGHT AND REPRODUCTION RECORDS** Series provides a record of the activities, policies and procedures related to copyright ownership and reproduction of agency owned objects and publications, and of the agency's use of items owned by other organizations. Series also documents agreements with other parties for private or commercial use, reproduction, publication and sale of written materials and photographs of agency owned objects and publications. Records may include reproduction, resale and publication policies and procedures, contracts and agreements, use restriction forms, photograph release forms, photographic service request forms, requests for permission to reproduce or publish photographs or documents, fee schedules, correspondence, and work orders for purchase of printed materials.		*Record Copy:* AV +6, then destroy *Duplicate Copies:* AV, then destroy			

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SG1708	**DIRECTOR'S RECORDS** Series provides a record of the administrative activities of the agency director, such as executive leadership of the organization, financial and personnel management, policy development, budget development and approval, public contact and lobbying. Records may include correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports. Series also documents the activities and decisions of the board responsible for governing agency operations or for advising its operations. Records may include minutes, agendas, tape recordings, and board committee records. Records may also include constitution and by-laws, intergovernmental agreements, organization charts, draft and approved budgets.		*Record Copy:* AC +3, then PM *Duplicate Copies:* AC +3, then destroy			
SG1709	**DIVISION ADMINISTRATIVE RECORDS** Series documents the activities, decisions, and reports of administrative staff divisions which oversee or advise programs or functions of the historical agency. Divisions may include, but are not limited to, finance, historic preservation office, historic sites, library, archives, membership, outreach and development, publications, and museum. Records may include division agendas, minutes, proposed budgets, reports and correspondence. **NOTE:** Division minutes may become part of agency history which is permanent. ***GUIDANCE:*** - See also SG0006, Agency Written Histories.		*Record Copy:* AC +6, then destroy *Duplicate Copies:* AV, then destroy			

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SG1710	**DEVELOPMENT PROGRAM RECORDS** Series provides a record of administration of the agency's development program. The development program raises funds and other resources for support of the organization and its programs through cultivation of individual, corporate, government and foundation support, and special events. The program also develops, submits and reports on grants. Records may include publicity and promotion records, reports, budgets, grant records, fund raising event and project records, records of gifts in kind and financial donations, mailing lists, bulk mailing records and correspondence.		*Record Copy:* AC +6, then destroy *Duplicate Copies:* AV, then destroy			
SG1711	**EDUCATIONAL PROGRAM RECORDS** Series provides a record of administration of the agency's education and public outreach programs. The education program may include tours, lectures, workshops, electronic media, and other adult and children's events and activities. Records may include publicity and promotion records, reports, orientation and training class records, such as teaching packets, brochures, flyers, photographs, audio tapes, videotapes, class schedules, attendance rosters, and correspondence. Records may also include agreements and contracts.		*Record Copy:* AC +3, then PM *Duplicate Copies:* AC +3, then destroy			

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SG1712	**EXHIBIT RECORDS** Series documents the planning, development, installation and maintenance of temporary and permanent on-site and off-site exhibitions, research of materials and objects, and publication of exhibits. Records may include exhibit contracts, design and installation records, permanent and temporary exhibit inventory listings, exhibit catalogs, photographs and slides, exhibit scheduling records, brochures, and correspondence.		*Record Copy:* AC +3, then PM *Duplicate Copies:* AC +3, then destroy			
SG1713	**FRIENDS OF THE AGENCY RECORDS** Agency copy of records documenting the activities of non-profit citizens' groups created to promote public support for the archives, library, museum, or other agency activity. Subjects often include programs, costs, acquisitions, special events, policies, procedures, citizen participation, and others. Records may include minutes, agendas, exhibits, by-laws, non-profit statements, membership lists, budget and financial statements, and related materials.		*Record Copy:* US, then destroy *Duplicate Copies:* AV, then destroy			
SG1714	**INTER-LIBRARY LOAN RECORDS** Records documenting materials borrowed and loaned by the library through an inter-library loan program in response to patron and other library requests. May include requests, notices, tracking logs, and other records. ***GUIDANCE:*** - AC - After materials returned to owner library.		*Record Copy:* AC +6 months, then destroy *Duplicate Copies:* AV, then destroy			

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SG1715	**LOANS AND COLLECTIONS INSURANCE RECORDS** Series documents insurance coverage as part of risk management for museum collections and loan objects. Records may include insurance policies, riders, certificates of insurance, correspondence, damage and loss claims, and reports.		*Record Copy:* AC +6, then destroy *Duplicate Copies:* AV, then destroy			
SG1716	**MASTER SHELF LISTS / INVENTORIES** Inventories of all holdings, including volumes and titles added or withdrawn from the collection. Usually arranged by shelf, showing title, author or office, accession number, publisher, date acquired, cost, and number of copies. Used as an inventory control.		*Record Copy:* US, then destroy *Duplicate Copies:* AV, then destroy			
SG1717	**MEMBER RECORDS** Series documents administration of the agency's membership program and the status of its membership. Records may include publicity and promotion records, individual member records, membership rosters, reports, membership drive records, mailing lists, address changes, bulk mailing records, and correspondence.		*Record Copy:* AC +3, then destroy *Duplicate Copies:* AV, then destroy			

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SG1718	**OVERDUE BOOK RECORDS** Records used to monitor status of overdue books and other media. Also used to notify patrons to return overdue library materials. Often includes notices and lists. Lists document long overdue materials and can be useful in collection action. ***GUIDANCE:*** - AC - Until materials returned or debts reconciled or deemed uncollectable.		*Record Copy:* AC, then destroy *Duplicate Copies:* AV, then destroy			
SG1719	**PERMANENT COLLECTION RECORDS** Series documents the accession, use, care, maintenance, storage and disposition of objects in the permanent collection. Series also provide a record of deaccession of objects no longer in the collection. Records may include acquisition and deaccession policies and procedures, appraisal and authenticity records, accession and catalog paper copy and/or electronic catalog records, accession records, deaccession records, deeds of gift, donor records, inventory and location records, condition / conservation records, photographs of objects, conservation records, collections use records, and library shelf lists and finding aids.		*Record Copy:* AC +3, then PM *Duplicate Copies:* AC +3, then destroy			

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SG1720	**PUBLICATIONS, PROMOTIONAL** Publications distributed to the public to advertise services, programs, and activities. May include brochures, newsletters, activities calendars, schedules, special events flyers, and other records. ***GUIDANCE:*** - See also SG0033, Publications, and SG0011, Electronic Publications.		***Record Copy:*** AC +3, then PM *Duplicate Copies:* AC +3, then destroy			
SG1721	**RESEARCH INQUIRY AND RESPONSE RECORDS** Series provides a record of research requests received and responses made to them by agency staff. Records may include written or electronic inquiries and responses. Information may include name of researcher, subject of inquiry or request, and reply.		*Record Copy:* AC +2, then destroy *Duplicate Copies:* AV, then destroy			

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SG1722	**TEMPORARY LOAN RECORDS** Series documents the processing and documentation of incoming objects loaned from outside sources and objects being loaned out from the permanent collection. Records may include loan requests and agreements, facilities reports, insurance records, descriptions of objects received or loaned out, inspection and conditions reports, acknowledgments and receipts, lender lists, inventory listings, packing and shipping records, damage reports, and insurance reports. Records may also include U.S. and foreign customs forms.		*Record Copy:* AC +3, then destroy *Duplicate Copies:* AV, then destroy			
SG1723	**VOLUNTEER RECORDS** Series documents the administration of the agency's volunteer and intern programs. Records may include recruitment and selection records, volunteer personnel and intern personnel information forms, intern agreements, volunteer and intern time records, emergency notification forms, publicity records, insurance documentation, and correspondence.		*Record Copy:* AC +3, then destroy *Duplicate Copies:* AV, then destroy			

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LAW ENFORCEMENT RECORDS

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SG1601	**ACTIVITY REPORTS, LAW ENFORCEMENT** Individual officer, shift, and other activity reports usually filed on a daily, weekly, monthly, or annual basis. Useful for reference, performance monitoring, compiling annual reports, planning and budgeting, and for briefing subsequent shifts or activities. Applies to various duties such as dispatch, confinement, investigations, and patrol. Information usually includes name, shift, date, activities, and various statistical categories for tracking the number of arrests, phone calls, mileage, and other indicators. Also includes monthly and annual law enforcement or uniform crime reports summarizing statistics on criminal activity and office operations. Information may include date, categories, totals, and related data.		*Annual reports and monthly reports (for years in which no annual report exists):* PM *Other Reports:* AC +3, then destroy			Contact State Archivist.
SG1602	**ALARM RECORDS** Records documenting the licensing, use, and response to security alarms. Licenses and permits usually contain name and address of holder, type of alarm, location, instructions to officers responding to call, names of individuals to be contacted when alarm sounds, fee charged, and related data. Other records may include alarm response reports and false alarm reports. False alarm reports are used to document ordinance violations concerning the number of false alarms in a given period.		AC +2, then destroy			

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SG1603	**ARREST WARRANT LOG RECORDS** Records documenting the status of arrest warrants as served, unserved, or recalled by the court. May include logs, validation listings, checkout sheets, and related records. Logs usually include date of warrant, subject's name, charge, date, warrant served or recalled, and related information.		US, then destroy			
SG1604	**ARREST WARRANT RECORDS** Records related to a written order made by the court on behalf of the commanding law enforcement officials to bring a specified individual before the court. May also include detainer requests, informational documents related to the wanted person, teletypes, and other records relevant to the service of warrants. Warrant information includes date, court, judge's name, individual's name and date of birth, charge, and related data. ***GUIDANCE:*** - AC - Until served or recalled by the court.		AC, then destroy			
SG1605	**BOOKING RECORDS** Books, logs, or other records documenting the confinement and release of individuals held in an agency correctional facility. Information usually includes name, charges, date of confinement, date of release, physical condition, and related data.		*Homicide or Felony:* PM *Misde-meanor:* AC +5, then destroy			Contact State Archivist.

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SG1606	**BULLETINS FROM OTHER AGENCIES** Bulletins, circulars, and related records received from federal, other state, and local law enforcement agencies. Usually contains descriptions and photographs of fugitives, missing persons, or stolen property. May also include other information of interest to the department.		US, then destroy			
SG1607	**CIVIL ENFORCEMENT CASE FILES** Record of actions taken relating to a specific civil case. Information may include attempts at service, actual service information, and documentation of enforcement actions taken under the provisions of the order.		AC +3, then destroy			
SG1608	**COMMUNICATIONS LOGS** Logs documenting incoming and outgoing communications including radio, telephone, computer aided dispatch, and teletype. Information may include date and time, subject, location, response, message, and other data depending on type of transmission.		AC +1, then destroy			
SG1609	**COMPUTER INQUIRY RECORDS** Logs or other hard copy records documenting requests made to other agencies involving missing persons, wanted persons, stolen vehicles, and other subjects.		US, then destroy			

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SG1610	**COMPUTER VALIDATION RECORDS** Logs or similar hard copy records detailing validation requests and proof of verification for NCIC or other law enforcement information networks. Useful to document maintenance of network standards. ***GUIDANCE:*** - AC - Until audited by NCIC or other applicable law enforcement network, whichever is first.		AC +5, then destroy			
SG1611	**CRIME ANALYSIS RECORDS** Records documenting department efforts to anticipate, prevent, or monitor possible criminal activity. May include reports, statistical summaries, photographs, sound and video tape recordings, and related documents. Subjects often include crime patterns or modes of operation, analysis of particular crimes, criminal profiles, forecasts, movements of known offenders, alerts from other agencies, and others.		*Major crime analyses or studies:* AC +10, then destroy *Other records:* US, then destroy			
SG1612	**CRIME PREVENTION COMMUNITY ORGANIZATION RECORDS** Mailing lists, plans, evaluations, notes, reports, and other records documenting community organizations, associations, individual volunteers, and others engaged in or interested in crime prevention efforts. Useful in developing community support for law enforcement programs.		US, then destroy			

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SG1613	**CRIME PREVENTION PROGRAM RECORDS** Records documenting department efforts to train citizens in crime prevention. May contain training and media presentation records including lesson plans, outlines, tests, evaluations, speeches, and related records. Subjects usually include neighborhood watches, home security, and others.		PM			Contact State Archivist.
SG1614	**CRIME PREVENTION SECURITY SURVEY RECORDS** Records documenting citizen requested officer surveys of homes and businesses and subsequent recommendations related to security. Usually contains a detailed checklist of problems or security defects. Subjects often includes areas of potential break in, blocked exits, landscaping that can hide crime, and similar topics. Survey usually is compiled into a report that is sent to the owner or renter.		AC +2, then destroy			
SG1615	**CRIME PREVENTION VACATION HOUSE INSPECTION RECORDS** Records documenting the inspection of homes and other properties while the occupants are away. Information often includes name, address, date received, vacation beginning and ending dates, emergency contact information, special conditions at the house or property, dates and times officers checked the house or property, and related data.		US, then destroy			

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SG1616	**CRIMINAL ARREST HISTORY RECORDS** Records documenting information on the accumulated criminal arrest history of individuals which may be useful in current or future investigations. Records may include summary sheets or cards, arrest reports, fingerprint cards, mug shots, and related documents. Information often includes name, aliases, residence, sex, age, date and place of birth, height, weight, hair and eye color, race, scars, marks, tattoos, abnormalities, date of arrest, offense committed, habits, closest relatives or friends, and more.		*Homicide or Felony:* PM *Misde-meanor:* AC +5, then destroy			Contact State Archivist.
SG1617	**CRIMINAL HISTORY DISSEMINATION RECORDS** Logs and other records documenting the dissemination of criminal histories and other law enforcement information to other agencies or criminal information systems. May include teletype and computer message logs. Information includes date of release, subject of information, recipient of information, reason information was requested, and identification numbers.		US, then destroy			

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SG1618	**CRIMINAL INTELLIGENCE SYSTEM DATABASE RECORDS** Records documenting possible and proven criminal activity by individuals, groups, organizations, and businesses for use by local government law enforcement agencies. Includes investigatory reports, statistical reports, correspondence, memoranda, and related records. Information includes suspect identification, alleged activity, location, date, source validity, and other data. Sources include law enforcement and regulatory agencies, and private citizens. ***GUIDANCE:*** - See also SG0408, Data Documentation for Primary Operations Databases.		*Homicide or Felony:* PM *Misde-meanor:* AC +5, then destroy			Contact State Archivist.
SG1619	**DETOXIFICATION CONFINEMENT LOGS** Logs listing names of individuals held because of drunkenness and released when sober. Includes dates and times confined and released, name of individual, and related information.		AC +2, then destroy			
SG1620	**EMERGENCY TELEPHONE CALLS CONTINUOUS AUDIO TAPES** Audio tapes that record incoming emergency calls, law enforcement and emergency dispatches, radio activity, and 9-1-1 calls. Tapes are maintained on a 24 hour basis. Recordings of serious incidents may warrant longer retention for legal reasons. These may be transferred onto a separate tape and retained until legal action is resolved.		US, then destroy			

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SG1621	**EQUIPMENT ISSUED RECORDS** Records documenting equipment issued to an agency law enforcement agency and other agency personnel. Items include but are not limited to handcuffs, keys, uniforms, badges, personal protective and fire fighting equipment, and lockers. May include inventories, optional equipment lists, data sheets, and other records. Information often includes date, employee name, number, and section, description of equipment, and related data.		US, then destroy			
SG1622	**EXPUNGED OR SEALED RECORDS** Records documenting the arrest and/or conviction of a person who petitions and is granted by the court an order sealing or otherwise disposing of any related records. Upon entry of such an order, the applicant for purposes of the law shall be deemed not to have been previously convicted, or arrested as the case may be, and the court shall issue an order sealing the record of conviction or other official records in the case, including the records of arrest whether or not the arrest resulted in further criminal proceeding.		PM			Contact State Archivist.
SG1623	**FIELD INTERROGATION REPORTS** Informational reports written by a law enforcement officer related to individuals, events, or vehicles for which the officer does not have probable cause for enforcement. Information usually includes name and address of person contacted, physical description of person or vehicle, officer's name, location of contact, date and time, witnesses, reason for contact, and related data.		AC +1, then destroy			

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SG1624	**FINGERPRINT CARDS** Cards containing fingerprints, palm prints, toe prints, and other personal identifiers of arrested individuals. Used for identification and apprehension of suspects in criminal investigations. May also include fingerprints of private security personnel working in an area. Information often includes name, address, date and place of birth, Social Security number, alias, occupation, employer, name of individual taking prints, and related data. Fingerprint cards of individuals known to be dead need not be retained.		*Homicide or Felony:* PM *Misde-meanor:* AC +5, then destroy			Contact State Archivist.
SG1625	**FINGERPRINT CARDS, LATENT** Cards containing latent fingerprints and palm prints found at crime scenes without identification of suspects. These are compared against cards on file at the agency. Usually contains information related to the crime, location, date and time, and other details of the case.		*Homicide or Felony:* PM *Misde-meanor:* AC +5, then destroy			Contact State Archivist.

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SG1626	**HANDGUN DEALERS' SALES RECORDS** Records documenting purchases of handguns from dealers. May include duplicate register sheets mailed by the dealer to the law enforcement agency and triplicate register sheets mailed by the dealer to the State Police for criminal records checks and then forwarded to the agency. Information includes series number, sheet number, sales person, Date and time, city, make, serial number, caliber, name of purchaser, date of birth, address, height, occupation, race, color of eyes and hair, local address (if traveling), and signatures of purchaser and sales person.		PM			Contact State Archivist.
SG1627	**INDEMNITY BONDS** Copies of insurance bonds issued to indemnify the law enforcement agency against claims of wrongful actions in civil seizure cases. ***GUIDANCE:*** - AC - After seizure has been completed and a return has been made to the court of issuance.		AC +2, then destroy			

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SG1628	**IMPOUNDED AND ABANDONED VEHICLE RECORDS** Records documenting vehicles impounded by the department related to accidents, abandonment, recovered stolen vehicles, vehicles used in the commission of crimes, and other reasons. May include reports, notifications, information cards or sheets, receipts, and related records. Information often includes the make, model, year, color, identification number, tag number, and condition of the vehicle and contents, reason for impounding, location of impoundment, charge (if any), towing company used, release conditions, name and address of individual to whom vehicle was released, and other data. ***GUIDANCE:*** - AC - After disposition, for records not included in Incident Case Files.		AC +2, then destroy			
SG1629	**INCIDENT CASE FILE INDEXES** Indexes to incident case files used as cross references between case numbers, names, dates, modus operandi, and other descriptive information.		PM			Contact State Archivist.

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SG1630	**INCIDENT CASE FILES** Central case files documenting complaints or other actions or incidents investigated by the department. Usually filed by case number. Records may include investigative reports, fingerprint cards, original arrest reports, supplemental reports, photographs, correspondence, teletypes, court orders, court dispositions, officer notes, laboratory reports, DUI test records including chemical analyses (also known as intoxilyzer or breathalyzer test records), citizen arrest certificates, copies of warrants, search warrants, and booking sheets, property/ evidence reports, custody reports, and other related documents. Information usually includes suspect identification, alleged activity, location, date, validity of source information and other data. Sources include law enforcement and regulatory agencies and private citizens.		PM			Contact State Archivist.
SG1631	**INFORMANT CASE FILES** Records documenting information about informants used by department personnel. May include reports, correspondence, payment records, fingerprint cards, signature cards, letters of understanding on informant activities, and related records. Risk management issues arise when keeping these records for longer periods of time. There is a real liability issue when dealing with personal information.		AC +3, then destroy			

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SG1632	**INMATE ACCOUNTABILITY RECORDS** Logs, lists, rosters, and other records documenting inmate counts, cell locations, and status, as well as related information. May include logs detailing status of individual inmates such as those awaiting action or on hold status, released on their own recognizance, or released on security. May also include rosters documenting the location of all inmates by head counts at regular intervals.		AC +1, then destroy			
SG1633	**INMATE CASE FILE INDEXES** Indexes used to access inmate case files. Usually cross referenced by name, case number, and other identifiers.		PM			Contact State Archivist.
SG1634	**INMATE CASE FILES** Records documenting non-medical information on inmates confined in an agency correctional facility. Often contains date of entry, date of release, incident reports, release receipt indicating return of property, court commitment and release orders, behavioral information, and other relevant information concerning the arrest and confinement of an individual.		PM			Contact State Archivist.
SG1635	**INMATE MEAL RECORDS** Records documenting menus used to plan and schedule inmate meals. May include listings of those inmates who received meals. Information may include month, day, meal, menu, inmates served, and related data.		US, then destroy			

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SG1636	**INMATE MEDICAL RECORDS** Records documenting outpatient medical treatment given to inmates. Often contains treatment log, prescriptions, health questionnaires, laboratory reports, x-ray reports, medical reports from other facilities, and related records. Information may include inmate's name, date of treatment, description of treatment, and related data.		AC +7, then destroy			
SG1637	**INMATE MEDICATION RECORDS** Records documenting medications kept by the jail and dispensed to inmates. Often contains logs and related records. Information may include name of medication, date and time issued, name of inmate to whom medication was dispensed, name of individual dispensing medication, amount dispensed, amount remaining in stock, and related data.		AC +7, then destroy			
SG1638	**INMATE TELEPHONE AND MAIL LOGS** Logs and other records documenting telephone calls and mail sent and received by inmates. Information may include name of inmate, date and time of telephone call or mail, and related data.		AC +1, then destroy			

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SG1639	**INMATE VISITOR RECORDS** Records documenting information about visitors to inmates confined in an agency correctional facility. May include logs, request slips, and related records. Information often includes date, time in, visitor's signature and address, object of visit, time out, and related data.		AC +1, then destroy			
SG1640	**INTERNAL INVESTIGATIONS CASE FILES** Records documenting investigations of department personnel for violations of laws, rules, or policies and may include findings and dispositions of investigations. Records often contain complaints, correspondence, investigatory reports, interviews, hearing summaries and testimony, and related documents. Information usually includes name of employee investigated, reason, location of violation, date, accomplices' names and addresses, witnesses' names and addresses, action taken, and related data.		AC +3, then destroy			
SG1641	**JUVENILE TEMPORARY CUSTODY RECORDS** Records documenting children taken into temporary custody by the department. The action is not considered an arrest. Information may include the name, age, and address of the child, the name and address of the person having legal or physical custody of the child, reasons for and circumstances under which the child was taken into temporary custody, and other data.		AC +3, then destroy			

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SG1642	**LOST AND FOUND PROPERTY RECORDS** Records documenting agency receipt and maintenance of lost and found or abandoned property such as money, bicycles, automobiles, and other items not related to a crime. Includes receipts, inventory lists, destruction logs, property reports, and related records.		AC +3, then destroy			
SG1643	**MAPS, LAW ENFORCEMENT** Maps and related records maintained for reference and for tracking various trends. Examples include but are not limited to Neighborhood Watch Program maps, Block Home Program maps, street number location maps and books, parking meter maps, and maps plotting reported crimes in a given area.		PM			Contact State Archivist.
SG1644	**MASTER NAME INDEX RECORDS** Records documenting information on each individual who has been field interrogated or arrested, suspects or accomplices in crimes, victims, complainants, and witnesses to incidents. Information may include name, address, date of birth, race, sex, date and time of incident or contact, incident number, and related data.		PM			Contact State Archivist.

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SG1645	**MUG SHOTS** Photographs and negatives of arrested individuals used for identification and apprehension of suspects in criminal investigations.		*Homicide or Felony:* PM *Misde-meanor:* AC +5, then destroy			Contact State Archivist.
SG1646	**OFFICER NOTES** Notes written by officers during the course of a shift containing information which may or may not be included in an official report. May pertain to contacts, incidents, unusual circumstances, and other subjects. Useful for referral in writing reports and testifying in court. Information includes names, dates, times, vehicles, activities, locations, and related data.		AC +3, then destroy			
SG1647	**OFFICER WEAPON REGISTRATION RECORDS** Records documenting weapons assigned to law enforcement officers. Information includes officer's name, and the make, model, serial number, and caliber of the weapon.		US, then destroy			

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SG1648	**PAWN BROKER AND SECOND HAND DEALER REPORTS** Reports submitted to the department documenting merchandise bought and sold by dealers. Useful in tracing stolen items. Information includes name, address, identification, and personal description of pledger, as well as the date, dealer's name, and description of article.		AC +3, then destroy			
SG1649	**PHOTO IDENTIFICATION RECORDS** Photographs and other records used to identify agency employees, private security personnel, contract workers, and others. May include photographs taken for agency identification cards, driver's license photographs, and information such as name, date of birth, physical description, identification number, driver's license number, and other data.		PM			Contact State Archivist.
SG1650	**POLYGRAPH RECORDS** Records documenting polygraph tests given to criminal suspects, prospective employees and others. Includes pre-examination records, examination questions for individuals interviewed, statements of consent, polygraph analysis reports, examiner's original test questions, examination chart tracing reports, polygraph results charts, conclusions, interviewee statements, and background information.		*Homicide or Felony:* PM *Misde-meanor:* AC +5, then destroy			Contact State Archivist.

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SG1651	**PROPERTY AND EVIDENCE CONTROL AND DISPOSITION RECORDS** Records used to track property and evidence coming into department possession. Documents receipt, storage, and disposition of personal property and physical evidence from defendants, victims, and others. May include evidence photographs documenting crime scenes, accidents, and other incidents. Records often include receipt forms, evidence control sheets, property reports, destruction lists, property consignment sheets, seized firearm logs, homicide evidence inventories, and other documents. Information usually includes case number, tag number, date and time, property or evidence description, storage location, release date, and other data.		US, then destroy			
SG1652	**PROPERTY REGISTRATION RECORDS** Records documenting the registration of property for identification in case of theft, loss, or burglary. Property includes but is not limited to bicycles, televisions, cameras, stereos, and guns. Information may include name, address, and phone number of owner, date, description of property, serial number, and related data.		US, then destroy			
SG1653	**PROPERTY SALES RECORDS** Documents sale and conveyance of real and personal property by the enforcement agency. May include certificates of levy, notices of sale, publication proofs, mailing receipts, copy of judgment and execution, certificate of sale, return of service, and copy of deed issued.		AC +7, then destroy			

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SG1654	**RADAR EQUIPMENT AND OTHER TECHNICAL EQUIPMENT CERTIFICATION AND MAINTENANCE RECORDS** Records documenting the calibration and maintenance of radar or other technical equipment that may be useful in documenting the accuracy of the readings. Often includes original factory certification of calibration. If tuning fork tests reveal an inaccuracy, the equipment is removed from service for repair and re-calibration. Information related to maintenance and repair may include a description of work completed, parts used, date of service, equipment number, make, model, and related data.		LA +2, then destroy			
SG1655	**RECORDS REQUEST FILE** **A.** Request for access to public records, when request is granted. **B.** Request for access to public records, when request is denied, including statement of denial, appeal records, documenta-tion of review and decision.		*Items:* *A:* AC +1, then destroy *B:* AC +1, then destroy			
SG1656	**RESULTS OF ALCOHOL AND DRUG TESTS ADMINISTERED BY LAW ENFORCEMENT PERSONNEL** When not included as part of case investigation record.		AC +5, then destroy			

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SG1657	**TELETYPE / FAX / ELECTRONIC MESSAGES** Incoming and outgoing teletype or other electronic messages concerning a variety of subjects of interest to the department. Subjects include incidents, meetings, arrests, warrant confirmation and others. Information includes date, time, originating agency, and text. These are messages not warranting inclusion in INCIDENT CASE FILES or other record series.		US, then destroy			
SG1658	**TOWED VEHICLE RECORDS** Rotation lists and related records documenting tow truck requests and responses. Information usually includes date, name of requestor, name of towing company called, location, and other data. Records may also include documentation of vehicles towed from private property at the request of citizens. This information is used to prevent towed vehicles from being reported as stolen.		AC +2, then destroy			
SG1659	**TRAFFIC AND OTHER CITATION LOGS** Logs listing various information related to citations issued by the department. Usually includes type of citation, ticket number, name of violator, date of issue, and officer's name.		AC +2, then destroy			

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SG1660	**TRAFFIC AND OTHER CITATIONS** Department copies of citations issued for traffic, motor vehicle, and other violations. Includes Uniform Traffic Citations, parking citations, and others. Information includes city and county, date and time, name and address, date of birth, sex, occupation, license number, state, year, make and model of vehicle, location of violation, state or city law alleged violated, conditions, name of officer issuing citation, and related data.		AC +2, then destroy			
SG1661	**TRAFFIC VIOLATION WARNING RECORDS** Records documenting warnings issued for traffic violations. Often used to determine repeat offenders and for follow-up investigations. Information usually includes date, time, category, name, address, phone number, date of birth, race, sex, hair and eye color, height, weight, Social Security number, drivers license number, make and model of vehicle, location of violation, violation, signatures, and related data.		US, then destroy			
PROBATION						
SG1662	**MASTER SUMMARY RECORD** Index – Containing summary information on each case:		PM			Contact State Archivist.

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SG1663	**PROBATION DEPARTMENT CASE FILES** **A.** Pre-sentence or predisposition investigation report; quarterly supervision reports, including initial supervision plan; and termination report. **B.** All case record material, other than pre-sentence investigation report or predisposition report, quarterly supervisory reports, and termination report. **NOTE:** Although the above records have a less than permanent Retention period, the State Historical Records Advisory Board urges probation agencies to retain pre-sentence or predisposition investigation reports, quarterly supervision reports, and termination reports permanently. This type of material on occasion has been requested by judges. These reports contain information not available elsewhere, and document the government's role in the probation process.		*Items:* *A:* AC +10, then destroy *B:* AC +6, then destroy			

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MOTOR VEHICLE RECORDS (STATE-OWNED)

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0801	**MOTOR VEHICLE AUTOMOBILE TITLES** Records which prove state ownership of the vehicle.		Retain until vehicle is sold and then transfer to buyer			
SG0802	**CERTIFICATES OF MILEAGE** Certificates issued by the dealer/manufacturer certifying the mileage is accurate on each vehicle purchased by the state.		AC +3, then destroy			
SG0803	**GASOLINE SALES TICKETS** Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.		AC +3, then destroy			
SG0804	**INSURANCE ADJUSTER'S ESTIMATES ACCIDENT REPORT** Adjuster's reports on vehicle repair estimates following an accident.		AC +3, then destroy			

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SG0806	**MOTOR VEHICLE COST FILES** Motor vehicle ledgers and work sheets providing cost and expense data.		AC +5, then destroy			
SG0807	**MOTOR VEHICLE PUBLIC EMPLOYEE OPERATIONAL FILES** Records relating to individual employee operations of government-owned vehicles, including driver tests, rental authorizations, safe driving awards, and correspondence.		AC +5, then destroy			
SG0808	**MOTOR VEHICLE RELEASE FILES** Records relating to the transfer, sale, donation, or exchange of state vehicles. ***GUIDANCE:*** - AC - Vehicle leaves custody.		AC +5, then destroy			
SG0809	**MOTOR VEHICLE MAINTENANCE, OPERATION AND REGISTRATION FILES** Maintenance and operating records, including those relating to service, repair, gas and oil consumption, dispatching and scheduling, and copies of legal registrations required by law to be maintained with each state vehicles. a) Daily Trip Files, Motor Pool Invoices, Fuel and Oil Invoices, GUIDANCE: Retain 3 years, Destroy b) Motor Fleet Vehicles Titles, Permanent Vehicle Assignment Requests, Parking Citations GUIDANCE: Retain until vehicle disposition or transfer, destroy c) Vehicle Purchase and Maintenance Records including all history of repairs and parts inventory. GUIDANCE: AC-Usually for the lifetime of the vehicle		AC, then destroy			

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PARKS AND RECREATION, DEPARTMENT OF RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2201	**PLANNING DOCUMENTS** Agency strategic plans, park master plans, statewide comprehensive outdoor recreation and tourism plans, and documents associated with their production.		PM			Contact State Archivist.
SG2202	**USAGE FORMS** Application or reservation forms, logs or other documents related to the request for use or actual use of shooting ranges, group campsites, yurts, cabins, picnic shelters or other public facilities operated by the agency.		AC +1, then destroy			
SG2203	**VISITATION REPORTS** Documents associated with how visitors are counted and regular reports on park or facility usage.		PM			Contact State Archivist.
SG2204	**AGREEMENTS** Concession agreements, leases, use permits and memorandums of agreement.		PM			Contact State Archivist.

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PAYROLL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0901	**ADMINISTRATIVE PAYROLL REPORTS** Reports and statistics with supporting and related records pertaining to workload and personnel management, payroll operations and administration.		AC +3, then destroy			
SG0902	**BUDGET AUTHORIZATION REFERENCE** Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.		US, then destroy			
SG0903	**DEDUCTIONS AND OTHER EARNING REGISTERS** Report used to reference the amount of retirement deducted and other miscellaneous deductions. ***GUIDANCE:*** - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit.	Office of the State Control-ler, Division of State-wide Payroll	AC +3, then destroy			

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SG0904	**EMPLOYEE BENEFIT MATCHING MONEY REPORT** Listing of state matching funds paid to employee retirement. ***GUIDANCE:*** - Retain by the Public Employees Retirement System (PERSI) 3 years or after audit.	PERSI	AC +3, then destroy			
SG0905	**FINAL TIME SUMMARY REPORT** This report provides information on the regular and overtime hours paid. It also includes all other earnings and the labor distribution. ***GUIDANCE:*** - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit.	Office of the State Control-ler, Division of State-wide Payroll	AC +3, then destroy			
SG0906	**FULL-TIME EMPLOYEE REPORT** Report which informs users of the full-time equivalent count for each agency. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			

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SG0907	**GARNISHMENTS** Record of garnishments or levies for debts owed by the employee. ***GUIDANCE:*** - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit. - AC - After end of garnishment or after audit.	Office of the State Controller, Division of Statewide Payroll	AC +3, then destroy			
SG0908	**INCOME TAX EXEMPTIONS AND WITHHOLDINGS CERTIFICATES** Form which records the number of exemptions an employee claims against his payment of income tax and any additional withholding from his paycheck, such as IRS Form W-4 and similar tax exemption forms. ***GUIDANCE:*** - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit. - AC - After form is superseded or until termination of employee.	Office of the State Controller, Division of Statewide Payroll	AC +4, then destroy			

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SG0909	**INSURANCE DEDUCTION FILES** Reports and related papers including copies of vouchers and schedules of payment pertaining to insurance deductions. ***GUIDANCE:*** - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit. - AC - After separation of employee.	Office of the State Control-ler, Division of State-wide Payroll	AC +3, then destroy			
SG0910	**LEAVE ADJUSTMENT REPORTS** Shows all leave adjustments made during a pay period. Shows category of adjustment, the amount, social security number, and employee name.	Office of the State Control-ler, Division of State-wide Payroll	AC +3, then destroy			
SG0911	**LEAVE APPLICATIONS** Applications for leave and supporting papers relating to request for and approval of employee leave.		AC +6 months, then destroy			

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SG0912	**LEAVE CATEGORY CHANGES** Report showing changes made if an employee does not have enough leave and payroll program must make adjustments from another category. ***GUIDANCE:*** - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit.	Office of the State Control-ler, Division of State-wide Payroll	AC +3, then destroy			
SG0913	**LEAVE SUMMARY REPORT** Reports which document the kind and amount of leave taken by an employee during a calendar year. After they are signed by the employee, they are maintained in the official personnel file. ***GUIDANCE:*** - AC - Until report is made part of official agency personnel file.		AC, then destroy			
SG0914	**NOTICES OF PAYROLL ACTION** Notices which document all payroll actions. ***GUIDANCE:*** - AC - Until notices are made part of official agency personnel file.		AC, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0915	**PAYROLL REGISTER** Display of earnings, deductions, taxes, net income, and warrant or direct deposit information. These documents are prepared and used for payroll disbursement. ***GUIDANCE:*** - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit.	Office of the State Control-ler, Division of State-wide Payroll	AC +3, then destroy			
SG0916	**PRELIMINARY PAYROLL FILES** Computer-produced, two part documents sent by Division of Statewide Payroll to agencies to record final corrections or adjustments regarding employees' pay. They are made before the master payroll file is run and checks are issued. Preliminary payroll files do not serve as time and attendance records. ***GUIDANCE:*** - AC - Until final payroll is run.	Office of the State Control-ler, Division of State-wide Payroll	AC, then destroy			
SG0917	**RETIREMENT BENEFITS ASSISTANCE FILES** Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors in claiming insurance or retirement benefits.		AC +1, then destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0918	**RETIREMENT FILES** Reports and register control documents relating to retirement. ***GUIDANCE:*** - Retain by the Public Employees Retirement System (PERSI) 3 years or after audit.	PERSI	AC +3, then destroy			
SG0919	**RETROACTIVE PAY REQUESTS FOR STATE EMPLOYEES** Records which document requests for retroactive payments to state employees, such as when a pay increase was not done in a timely manner. Information includes name, low organization number, social security number, effective date, number of regular hours, and new hourly rate. These records are kept for audit purposes. The actual retroactive payment is part of the master payroll files maintained by the Division of Statewide Payroll. ***GUIDANCE:*** - Retain as part of employee's personnel file.		AC +3, then destroy			
SG0920	**SAVINGS BOND PURCHASE FILES** Forms and reports with related records pertaining to deposits and purchase of bonds.	Office of the State Control-ler, Division of State-wide Payroll	AC +3, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0921	**SAVINGS BOND PURCHASE SUMMARY** List of all bond purchases and the remaining bond balances.	Office of the State Control-ler, Division of State-wide Payroll	AV, then destroy			
SG0922	**TAXABLE WAGE EARNING REPORTS** Returns on income taxes such as IRS Form W-2 and reports of withheld federal taxes, such as IRS Form W-3, with related records, including reports regarding income and social security taxes. ***GUIDANCE:*** - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit.	Office of the State Control-ler, Division of State-wide Payroll	AC +3, then destroy			
SG0923	**TIME AND ATTENDANCE REPORTS** State employee time sheets, including flextime attendance reports, supplemental time and attendance records (such as sign-in/sign-out sheets), and work reports that are used for time accounting under flextime systems. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			

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SG0924	**WAGE SURVEY FILES** Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and requests for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets). ***GUIDANCE:*** - AC - After completion of second succeeding wage survey.	Office of the State Controller, Division of Statewide Payroll; and Division of Human Resources	AC, then destroy			

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PROPERTY RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1001	**DECLARATION OF SURPLUS PROPERTY** Form required by the Board of Examiners indicated what property an agency wishes to surplus.		AC +3, then destroy			
SG1002	**PROPERTY DISPOSAL CASE FILES** Case files on the disposal of real and related surplus property. Case files on sales of surplus personal property (including those transactions deviating from standard procedures), comprising of invitations, bid acceptances, lists of materials, evidence of sales, and related correspondence. ***GUIDANCE:*** - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG1003	**REAL PROPERTY SALE FILES** Records necessary or convenient for the use of real property sold, donated, or traded to non-state ownership		PM			Contact State Archivist

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PUBLIC AFFAIRS RECORDS

NOTE: All retention periods are filed by either the fiscal or calendar year. For all <u>UNANNOTATED DUPLICATE COPIES</u>, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1201	**AGENCY COMMENDATION FILES** Letters of commendation received by agency which impart important information or observations about agency programs or operations, but which do not belong in an individual's personnel file.		PM			Contact State Archivist.
SG1202	**COMPLAINT / INFORMANT FILES** Whistle-blower, fraud, and criminal complaints. Includes anonymous letters, complaints, criticism and suggestions, and agency replies thereto. Also includes those complaints which were the basis of an investigation or from which administrative action was taken, and those incorporated into individual personnel files.		AC +7, then destroy			
SG1203	**INDEXES AND CHECK LISTS** Bibliographies, check lists, and indexes of agency publications and news releases, except those used as indexes to public relations files.		US, then destroy			

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SG1204	**INFORMATION PROJECT FILES** Informational services project case files maintained in formally designated information offices.		AC +1, then destroy			
SG1205	**PRESS RELEASES** A copy of prepared statements or announcements issued for distribution to the news media. A press release may be a textual record or a non-textual record such as a film or video sound recording.		PM			Contact State Archivist.
SG1206	**PUBLIC RELATIONS FILES** Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The format selected may be paper, video tape, motion picture film, etc.		PM			Contact State Archivist.

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SG1207	**RECORDS ON USE OF ARCHIVAL MATERIALS**					Contact State Archivist.
	A. Record Copy		*A.* PM			
	B. Log or register of researchers' and patrons' registration for use of archival records.		*B.* AC +6, then destroy			
	C. Researcher interviews, reference statistics, requests for records or similar reference service records.		*C.* AV, then destroy			
	D. Log or register of researchers and patron's registration for use of archival records.		*D.* AC +6, then destroy			
	E. Researcher interviews, reference statistics, requests for records or similar reference service records.		*E.* AV, then destroy			

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PURCHASING RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1101	**BIDDERS LIST OR CARD FILES** Lists of acceptable bidders who are eligible for contracting with the State to provide products or services.		AC +1, then destroy			
SG1102	**CANCELLED SOLICITATION FILES** Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to the awarding of a contract. Information includes pre-solicitation documentation on the requirement, offers opened prior to cancellation, documentation on government action up to the time of cancellation, and evidence of cancellation.		AC +3, then destroy			
SG1103	**CONTRACT APPEALS CASE FILES** Case files consisting of notices of appeal and acknowledgments, correspondence between parties, contracts copies, plans, specifications, exhibits, change orders and amendments, transcripts of hearings, documents received from parties concerned, final decisions, and other related records.		AC +3, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1104	**CONTRACT PURCHASING FILES** Files which document transactions of $10,000 or less and construction contracts under $2,000. They include contract, requisition, purchase order and lease records, correspondence, related records pertaining to award, administration, receipt, inspection, and payments. Files which document transactions of more than $10,000 and construction contracts exceeding $2,000. The files include contract, requisition, purchase order and lease records, correspondence and related records pertaining to award, administration, receipt, inspection, and payments.		AC +3, then destroy			
SG1107	**LEASING CONTRACT FILES** Building or equipment leases and related records documenting agreements, services, and payments.		AC +3, then destroy			
SG1108	**PROFESSIONAL CONTRACTUAL AGREEMENT FILES** Files documenting the professional contractual agreements between an agency and a professional individual, or between agencies for temporary services. The files include contract, requisition, purchase order, correspondence, and related records.		AC +3, then destroy			
SG1110	**PURCHASE REQUISITION FILES** Requisitions for supplies and equipment for current inventory.		AC +3, then destroy			

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SG1112	**SUCCESSFUL BIDS AND PROPOSALS FILES** Solicited and unsolicited successful bids and proposals to provide products or services to an agency by a private contractor.		AC +3, then destroy			
SG1113	**SUPPLY MANAGEMENT FILES** Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).		AC +3, then destroy			
SG1114	**TAX EXEMPTION FILES** Tax exemption certificates and related records.		AC +3, then destroy			
SG1115	**UNOPENED BIDS AND PROPOSALS** Solicited and unsolicited bids and proposals to provide products or services which, due to funding or administrative reevaluation, are no longer required by the agency or will not be open to the bidding process.		AC +1, then destroy			
SG1116	**UNSUCCESSFUL BIDS AND PROPOSALS FILES** Solicited and unsolicited unsuccessful bids and proposals to provide products or services to an agency by a private contractor.		AC +2, then destroy			

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SECURITY SERVICES RECORDS

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Series #	Series Title (Additional Description)	Office of Record	Retention Period &			
SG1301	**DEPARTMENTAL RECOVERY REPORTS** Agency reports of operation tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.		PM			Contract State Archivist.
SG1302	**DISASTER PLANNING FILES** Files used to prepare statewide plans for action to address an emergency, e.g. fire, flood, earthquake, and other disasters.		PM			Contract State Archivist.
SG1303	**GUARD ASSIGNMENT FILES** Files relating to guard assignments. Includes ledger records or requests, analyzes, reports, change notices, and other papers relating to post assignments.		AC +3, then destroy			
SG1304	**GUARD SERVICE CONTROL FILES** Control center key or code records, emergency call cards, building record, and employee identification cards.		US, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period &			
SG1305	**GUARD SERVICE REPORTS** Round reports, facility checks, service reports on interruptions and tests, punch clock dial sheets, automatic machine patrol charts, and registers of patrol and alarm services.		AC +1, then destroy			
SG1306	**INSURANCE REPORTS** Reports used for the reference and generation of claims files. ***GUIDANCE:*** - Retain by Risk Management.	Risk Manage-ment	AC +15, then destroy			
SG1307	**KEY ACCOUNTABILITY FILES** Files relating to accountability for keys issued, including keys to maximum security areas.		PM			Contact State Archivist.
SG1308	**LIABILITY INSURANCE POLICY FILES** Insurance policy contracts between the State of Idaho and private insurers.		PM			Contact State Archivist.
SG1309	**LIABILITY RISK MANAGEMENT CASE FILES** Case files of the reporting, investigation, and settlement of liability claims filed against the state, colleges and universities. ***GUIDANCE:*** - Retain by Risk Management.	Risk Manage-ment	AC +20, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period &			
SG1310	**LOSS CONTROL INSPECTION REPORTS** An annual self-inspection report used to identify potential hazards within the building or on the agency property. This record may also be used as evidence in defense of a claim. ***GUIDANCE:*** - Retain by agency until superseded or obsolete, then send to Risk Management.	Risk Manage-ment	US +12, then destroy			
SG1311	**PERSONNEL SECURITY CLEARANCE STATUS FILES** Lists of rosters showing the current security clearance status of individuals.		US, then destroy			
SG1312	**PROPERTY INSURANCE POLICY FILES** Insurance policy contracts between the State of Idaho and private insurers. ***GUIDANCE:*** - Retain by Risk Management.	Risk Manage-ment	AC +75, then destroy			
SG1313	**SECURITY LOGS AND REGISTERS - INDIVIDUAL GUARD POSTS** Individual guard post logs of occurrences.		AC +3, then destroy			
SG1314	**SECURITY LOGS AND REGISTERS - MASTER OFFICE** Central guard logs which are compiled from individual guard post logs of occurrences.		AC +5, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period &			
SG1315	**VISITOR CONTROL FILES** Registers or logs used to record names of outside contractors, service personnel, visitors, and employees admitted to areas, and reports of passengers in State automobiles.		AC +2, then destroy			
SG1316	**VISITOR CONTROL FILES FOR AREAS OF MAXIMUM SECURITY** Registers or logs used to record names of visitors who are admitted to areas of maximum security.		AC +5, then destroy			

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SOCIAL SERVICES / WELFARE RECORDS

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1401	**CASE RECORD** **A.** Including but not limited to application for assistance or services, eligibility forms, case history, authorization of assistance or services, and correspondence. **B.** Including but not limited to pre-adoption history, medical report on natural mother and child, and correspondence. **C.** For child, and covering one of the following: abuse or maltreatment; child support; foster care child; family adopting a child; child health; medical assistance; or day care child's medical records; except for adopted child sealed case record, which must be retained permanently; including but not limited to application for assistance or services, eligibility forms, authorization of assistance or services, and correspondence. **D.** For child held in detention home, children's shelter or similar facility, including but not limited to admission and release notice, copy of court order, copy of admission physical examination, psychiatric evaluation, accusation of staff abuse, list of personal property, and clothing inventory.		*Items:* *A:* PM *B:* PM *C:* Retain until youngest child attains age 28, then destroy *D:* Retain until child attains age 21, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
	E. Non-services and Services case files, other than those described in item 1, sections c and d above, including programs such as Public assistance and Care, Medical Assistance, Food Stamp, Adult Services, and Aid to Dependent Children, and including but not limited to application for assistance or services, eligibility forms, authorization of assistance or services, and correspondence. **F.** Home Energy Assistance case files.		*E:* AC +6, then destroy *F:* AC +3, then destroy			
SG1402	**DENIED OR WITHDRAWN APPLICATION FOR ASSISTANCE OR SERVICES**		AC +1, then destroy			
SG1403	**REGISTER** Index or other record showing applications or requests for assistance or services or showing participation in program.		AC +6. then destroy			
SG1404	**SOCIAL SERVICES CASE TRANSACTION HISTORY OR CASE ACTIVITY CONTROL LOG** Record listing actions taken on case and dates, including public assistance, adult services, children's services, adoption case, and day care registration.		PM			Contact State Archivist.

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1405	**FOSTER HOME CASE ACTIVITY CONTROL LOG** ***GUIDANCE:*** - AC - After termination of foster home certification or license.		AC +6, then destroy			
SG1406	**RECORD OF ASSISTANCE GRANTED** **A.** Assets have been assigned. **B.** No assignment of assets.		*Items:* *A:* AC +10, then destroy *B:* AC +6, then destroy			
SG1407	**ASSET ASSIGNMENT RECORD**		AC +10, then destroy			
SG1408	**ASSET REGISTER**		AC +6, then destroy			
SG1409	**PROPERTY RECORDS** Including deed, mortgage, lien or estate records, and appraisal of fair market value. ***GUIDANCE:*** - LA - After assets liquidated or recoupment completed.		LA +6, then destroy			

LEGEND:

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Archival: **A**-Record is or may be permanent and have historic value; **R**-Required review by the Records Manager to determine value.

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1410	**UTILIZATION REVIEW AND LONG-TERM CARE PLACEMENT RECORDS** Where Social Services conducts review and placement functions.		AC +6, then destroy			
SG1411	**PAYMENT ROLL, SCHEDULE OR HISTORY**		AC +10, then destroy			
SG1412	**MEDICARE, MEDICAID OR INSURANCE CARRIER CLAIM RECORDS** Including but not limited to schedule of payments, copy of claim, listing of invalid or rejected claims, vendor payment list, list of claims submitted for payment, and list of checks received.		AC +7, then destroy			
SG1413	**INSURANCE AND REIMBURSEMENT RELATED REPORTS** Including Medicare or Medicaid cost report, certified uniform financial or statistical report, and all necessary supporting documentation.		AC +9, then destroy			

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SG1414	**SUPPORT COLLECTION ACCOUNTING RECORDS** **A.** Official record of account **B.** Original entry and intermediary records, used in posting information to official account record: **C.** Fiscal and statistical reports relating to support collection:		*Items:* *A:* AC +6, then destroy *B:* AC +6, then destroy *C:* AC +6, then destroy			
SG1415	**SUPPORT COLLECTION ENFORCEMENT CASE RECORD**		AC +6, then destroy			
SG1416	**MASTER SUMMARY RECORD** Index or register of support collection cases.		PM			Contact State Archivist.

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SG3001	**MEDICAL FILE** Records maintained by a correctional facility within the state of Idaho that pertain to the medical treatment of an offender while incarcerated at the facility. These records also include treatment records sent to the facility by private treatment providers and encompass their health, medical, dental, mental health and optical records. Such records are considered confidential and must be maintained within a separate file and are considered the property of the Idaho Department of Correction. **Note:** Radiology films are not part of a medical record and are maintained by medical contractor in the radiology room within each medical unit of the correctional facility.	Education Treatment & Reentry Health Care Services	AC + 6 or if death occurs while in state custody, then Death + 5			AC is defined as offender is no longer under state custody, meaning the offender has completed his/her sentence and is no longer on parole or probation. The medical record will be returned to IDOC Central Office/Central Records for staff removal of the immunization records, tuberculosis treatment records and latent tuberculosis treatment records.

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3002	**CIVIL COMMITMENT MEDICAL RECORDS** Records maintained by a correctional facility within the state of Idaho that pertain to the medical treatment of an offender who was civilly committed and incarcerated at the facility. These records also include treatment records sent to the facility by private treatment providers and encompass their health, medical, dental, mental health and optical records. Such records are considered confidential and must be maintained within a separate file and are considered the property of the Idaho Department of Correction.	Education Treatment & Reentry Health Care Services	AC + 50 or if death occurs while in state custody, then Death + 5			AC is defined in this case as offender is no longer under state custody, meaning the offender has completed his/her sentence and is no longer on parole or probation. The medical record will be returned to IDOC Central Office/Central Records for staff removal of the immunization records, tuberculosis treatment records and latent tuberculosis treatment records.

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3003	**IMMUNIZATION RECORDS, RECORDS OF TUBERCULOSIS TREATMENT AND/OR LATENT TUBERCULOSIS TREATMENT** Records containing immunization, tuberculosis treatment and/or latent tuberculosis treatment records. These records will be retained at IDOC Central Office and destroyed according to this retention schedule.	Education Treatment & Reentry Health Care Services	AC + 50 or if death occurs while in state custody, then Death + 5			AC is defined in this case as offender is no longer under state custody, meaning the offender has completed his/her sentence and is no longer on parole or probation

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3004	**OFFENDER CORRESPONDENCE – Bureau of Probation & Parole; Bureau of Education, Treatment & Reentry; Contract Prison Oversight Unit, and Director's Office** Correspondence received from offenders and their relatives and others regarding specific offenders, which is received in the Director's Office and delegated to Bureaus of Probation & Parole, and Education, Treatment & Reentry, Contract Prison Oversight Unit, Director's Office, and Commission of Pardons & Parole for response. This correspondence may be addressed to the governor, director, or leadership of the aforementioned bureaus legislative correspondence is responded from the Director's Office. Offender correspondence includes hard and electronic versions of: original letters, e-mails, copies of response letters, duplicate copies of original letters with a different addressee name, subsequent correspondence, and research notes and results. Also included are concern forms and grievance related correspondence that are specific to life and safety issues that are a threat to the life, safety or health of staff members, offenders, or the public, or damage to Department or private property. Offender correspondence is logged into an electronic tracking log. **Note:** Offender correspondence that contains medical information is not recorded in the tracking log. It is forwarded to Health Care Services, Department of Correction, for response and filing. **GUIDANCE:** AC is defined as last date of correspondence response.	Bureau of Probation & Parole Bureau of Education, Treatment, & Reentry Contract Prison Oversight Unit Director's Office	AC + 3 or if death occurs while in state custody, then death + 3; destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3005	**OFFENDER CORRESPONDENCE – Bureau of Prisons** Correspondence received from offenders and their relatives and others regarding specific offenders, which is received in the Director's Office and delegated to Bureau of Prisons for response. This correspondence may be addressed to the governor, director, Commission of Pardons & Parole, or Bureau of Prisons leadership. Offender correspondence includes hard and electronic versions of: original letters, e-mails, copies of response letters, duplicate copies of original letters with a different addressee name, subsequent correspondence, and research notes and results. Also included are concern forms and grievance related correspondence that are specific to life and safety issues that are a threat to the life, safety or health of staff members, offenders, or the public, or damage to Department or private property. Offender correspondence is logged into an electronic tracking log. **Note:** Offender correspondence that contains medical information is not recorded in the tracking log. It is forwarded to Health Care Services, Department of Correction, for response and filing. **GUIDANCE:** AC is defined as offender's full-term release date, meaning no longer under department's supervision.	Bureau of Prisons	AC + 3 or if death occurs while in state custody, then death + 3; destroy			

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SG3006	**OFFENDER CORRESPONDENCE – Security Threat Group** Correspondence in which the content contains information about security threat groups or other criminal intelligence information. This correspondence is received from offenders, and their relatives and others regarding specific offenders and is received in the director's office and delegated to Bureaus of Probation & Parole, Education, Treatment & Reentry, and Prisons, and Contract Prison Oversight Unit for response. This correspondence may be addressed to the governor, director, or leadership of the aforementioned bureaus. Offender correspondence includes hard and soft versions of: original letters, e-mails, copies of response letters, duplicate copies of original letters with a different addressee name, subsequent correspondence, and research notes and results. Also included are concern forms and grievance related correspondence that are specific to life and safety issues that are a threat to the life, safety or health of staff members, offenders, or the public. Offender correspondence is logged into an electronic tracking log. **GUIDANCE:** This correspondence would fall under the jurisdiction of 28 Code of Federal Regulation; Part 23 which concerns retention requirements and limitations for criminal intelligence collected by criminal justice professionals. AC is defined as last date of correspondence response.	Contract Prison Oversight Unit Bureau of Prisons	AC + 5 or if death occurs while in state custody, then death + 5; destroy			

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SG2100	**LIQUOR STORE AUDITS** Audits conducted by District Managers or Store Managers regarding State owned liquor stores and Contract Liquor Stores. Retain current audit plus 2 previous audits. (Contract Liquor Store Audits, State Liquor Store Audits, Store Audit Files – Self Audits)		AC + 2, then destroy			
SG2101	**FINANCIAL REPORTING** Financial reports detailing financial actives, including annual report support data, interim reports, profit distribution, sales reports, and financial analysis. Retain for 3 years or after audit. (Banking/AP/TB/ Printouts, Bar sales by Dollars, Bar sales reports, consolidated daily sales report, contract fees, daily store information – final contractor + POS, detail transaction journal, financial statements, monthly F/S (Detailed Comparative Balance Sheets), Monthly Military Sales, Monthly reports, Product Sales Reports, Profit Distribution, Sales Analysis Report, Weekly, Sales by Hour of Day, Spreadsheet W/Supporting Documents – Other Income, State Liquor Store Reports, Surcharge Reports, Unbilled P.O.)		AC + 3, then destroy			
SG2102	**GOVERNMENT STATISTICAL REPORTING** Statistical reports submitted to government agencies, including backup data and compilations. Retain for 3 years after fiscal year end. (Census Reports)		FE + 3, then destroy			

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SG2103	**PRODUCT INVENTORY** Records related to product inventories maintained for internal control and audit purposes, including cycle count reports, inventory disposal forms, obsolescence reports, and returns. **For ISLD Reference ONLY** (570 Transfers, Adjustment Order, Bailment Activity Detail Report, Bailment Withdrawal Activity Report, Bi-monthly Bailment Adjustment, Bottle Reconciliation, Claim Order, Closing Documents, Consolidated Statement – Bailment Inventory Withdrawal and Adjustments, Daily Releases to Warehouse, Final Physical Count Report, Inventory Adjustment Report – Store, Inventory Intran Revals, Liquor Salesman Withdrawal, Monthly Buy In Import Report, Monthly Store Inventory, Morning Cut Review Reports, Out of Stock Reports, Pick Ticket – Store Orders, Product Movement Report, Product Transfer, Product Transfer Form S109, Special Product Requests from Liquor Units, State Liquor Store Transaction Summary, Stock Replenishment Report, Summary Invoice Report – Warehouse Inventory, TNT, Velocity Reports, Warehouse Stock Reval, Weekly Transaction Summary)		AC + 3, then destroy			
SG2104	**PRODUCT ORDERS** Records related to product orders maintained for internal control and audit purposes. **For ISLD Reference ONLY** (Liquor Orders from Stores, Store Liquor Orders – Fax and Finalized)		AC + 3, then destroy			

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SG2105	**PRODUCT PRICING AND SELECTION** Records related to the selection, pricing and potential sale of products to customers and licensees, including activities regarding product listings. **For ISLD Reference ONLY** Administrative Meetings / Materials (Product Selection), Bottle Sales Ranking, Christmas Orders, Comparison by Bottle Sales Report, Daily Summaries, Listing Meeting Details, Meetings – Listing, Monthly Product Pricing Changes, New Product Referendum, New Product Reports, Product by Gallon Reports, Product Listing Meeting Books, Quarterly Price Books, Special Purchase Allowance (SPA), State Liquor Stores – Ports and Sherries)		AC + 3, then destroy			
SG2106	**SALES TAX RETURNS AND WORK PAPERS** Records documenting payment of state sales taxes, including supporting documents and work papers.		AC + 3, then destroy			

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SG2107	**OFFICE AND EQUIPMENT MANUALS** User and operating manuals, guidelines or handbooks for office furniture and equipment, including general equipment, computers and copiers. Retain until equipment is sold or becomes obsolete.		FE + Sold or Obsolete, then destory			
SG2108	**ASSOCIATION MEMBERSHIPS** Records related to participation in associations or other groups, including organizational bylaws, meeting minutes, correspondence, and participant notes. Retain material created by the association for 3 years or until administrative need ends. **For ISLD Reference ONLY** Alcohol Education Materials, Buy Idaho, Idaho Wine Growers & Grape Growers (Wine Commission) Correspondence, Beer Institute File, (Discus – Advertising Marketing Code, Binge Drinking, Code of Responsible Practice Brochure, Correspondence, Excise Taxes, Historical, Privatization, Sunday Sales)), Joint Committee of the States, NABCA – (Control Distribution Survey and Materials))		AV, then destroy			

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SG2109	**EMPLOYEE PERSONNEL FILE – SUPERVISOR COPY** Records related to an individual employee retained by a supervisor. (Official employee personnel file to be retained by Human Resources.) Retain until employee terminates or transferred to another supervisor. **For ISLD Reference ONLY** Confidential Personnel / Retained by Supervisor, District Manager Personal Information, Employee Action Files – Supervisor Copy, Employee (Appraisal, Evaluations – Supervisors Copy, Performance Evaluations – Supervisor Copy, Personnel Files – DM Copy), Individual Employee Files / Retained by Supervisor, Interview Questions & Notes – Hired Individuals, New Hire Information – Interview Questions & Notes, Notes on Employees / Retained by Supervisor, Store Manager Evaluations – DM Copy.		AC + 5, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2110	**LEGAL INQUIRIES AND CLAIMS – NON-LITIGATED** Records related to and documentation of non-litigated claims including advertising, vendor issues and insurance claims (non employee benefit), etc. Retain for 3 years after resolution. **For ISLD Reference ONLY** (Legal – Advertising Standards / Marketing Code – NABCA, COSTCO Issue (2003), Direct Shipping, Privatization)		AC + 3, then destroy			
SG2111	**CONTRACT LIQUOR STORES AGREEMENTS AND SUPPORTING DOCUMENTATION** Executed contracts and agreements between the Idaho State Liquor Division and the contract store including any supporting information, back ground checks, insurance policies and surety bonds. Retain for 3 years after contract is canceled or terminated. **For ISLD Reference ONLY** Background checks completed – Idaho State Police, Contract Fees, Insurance Information, Master Special Distributor Agreement, New contractor Applications, Special Distribution Agreements, Store Contractor Applications, Store Contractor Termination Letter – Copies)		AC + 3, then destroy			
SG2112	**FEDERAL REGISTRATIONS, PERMITS, LICENSES, AND CORRESPONDENCE** Business applications and actual licenses, permits, certificates and registrations required by the Federal Government. Retain for 6 years after expiration.		AC + 6, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2000	**PRELITIGATION CASE FILES** Files include, but are not limited to, correspondence, evidence, documents, exhibits, affidavits, responses & related information. ***GUIDANCE:*** No record of proceedings shall be kept. At the close of a proceeding, all evidence & documents shall be returned to the parties or destroyed. Retain summary of routine administrative functions for 3 years & then destroy.		Summary of routine administrative functions: AC + 3, then destroy			
SG2001	**PERSONNEL - SUPERVISOR WORKING FILES** Unofficial personnel/ employee files kept by supervisor for reference at the section level (official file is retained in HR). Contains copies of Performance Reports, Evaluations, miscellaneous notes/comments. Letters of Appreciation, etc. Used for reference when preparing for annual performance reports and evaluations.		AV + 3, then destroy			

LEGEND:

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Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2406	**ORIGINAL (CURRENT) TITLE 61 UTILITIES TARIFFS** Stored in notebooks in Fiscal Division		PM			
SG2407	**ORIGINAL TITLE 62 TELEPHONE COMPANY PRICE LISTS** Destroy when no longer current. (Copy retained with case file if a case is opened.)		AC then destroy			

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SG2405	**ASSESSMENT AND ASSESSMENT SUPPORT**		AC +3, then destroy			

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SG2404	**COMPLAINTS REGARDING RAILROAD CROSSINGS**		AC + 3 then destroy			

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SG2408	**COPIES OF ATTORNEY MEMORANDUMS** Includes Decision Memos* & Deliberation Memos **GUIDANCE:** Destroy after 3 years. ("Note: Original Decision Memos are component of Decision Meeting agendas, which are permanent records.)		AC + 3, then destroy			

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SG2400	**CANCELLED TELEPHONE TARIFF ADVICES - TITLE 61** Located in Utilities Div.		AC + 5, then destroy			
SG2401	**TITLE 61 TARIFFS (ELECTRIC, GAS AND WATER) – CURRENT AND CANCELLED** Located in Utilities Div.		PM			
SG2409	**UTILITIES DIVISION WORKING FILES/OPEN AND CLOSED** **GUIDANCE:** 5 yrs Office – 10 yrs Record Center – Located in Utilities Div. & at Idaho Records Management. Destroy 15 yrs after final order date. (Note: Rate case working files are kept until company's next rate case, which could be longer than 15 yrs.)		AC + 15, then destroy			
SG2402	**ELECTRONIC RECORDS OF COMPLAINTS** Electronic complaint records are electronically archived and taken off-line after 4 yrs.		PM			Contact State Archivist.

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SG2403	**PRINTED COMPLAINT RECORDS WITH SUPPORTING DOCUMENTATION** Letters, bills, etc. Printed copies are kept behind the receptionist's desk and are shredded after 4 yrs to protect confidentiality.		AC + 4, then destroy			

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SG2300	**FINANCIAL RECORDS** A. ISIF Vouchers / Stars Reports Financial correspondence, data relating to vouchers, audits and other administrative accounting and/or disbursements B. ISIF Annuitant Disbursements Historical financial reports and annuitant disbursements **GUIDANCE:** Microfilm after four years or after audit.		PM			
SG2301	**IC DECISIONS** A. Lump Sum Settlements / Statutory Benefits Industrial Commission Stipulations & Agreement and Order for Disbursement of ISIF Funds B. Judgment Wins and/or other decisions not related to the disbursement of funds **GUIDANCE:** Microfilm after 5 years		PM			
SG2302	**CLAIMANT FILES – OPEN CLAIMS** Pleadings, correspondence, and medical records. Open claims of Judgment Losses/Statutory Benefits. **GUIDIANCE:** Microfilm 3yrs after death of Claimant or end of benefit entitlement		PM			

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SG2303	**CLAIMANT FILES – CLOSED CLAIMS** A. Pleadings – closed claim files B. Correspondence/Medical Records **GUIDANCE:** Microfilm after closing or appeal period + 5 yrs. LSS settlement claims maintain for 10 years.		PM			

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SG4001	**DIVISION ADMINISTRATOR'S OFFICE RECORDS** Series provides a record of the administrative activities of the Division Administrator's office such as management leadership of the Division. Records may include: correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports. Also may include: minutes, agendas, tape recordings, and committee records. Records may also include constitution and by-laws, intergovernmental agreements, organization charts, draft and approved budgets, other documents preserving historical events of the Division and/or its leadership.		PM	A	X	
SG4002	**DIVISION ADMINISTRATOR'S OFFICE COMPLAINT AND INVESTIGATION RECORDS** Series documents complaints (that originate in the Division Administrator's Office) brought against the Department, its policies/procedures, or its employees alleging violation of laws and/or administrative rules that govern operation of the Department and documentation of any resulting disciplinary actions. Records may include, but are not limited to: correspondence; description of complaint; case files; legal notices and orders; hearing records; audio recordings and transcripts; license and certificate records; exhibits; investigative reports; working notes and files; investigation committee records, minutes, and agendas; and related correspondence and documentation.		AC + 7, then destroy			

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SG4003	**DIVISION ADMINISTRATOR'S OFFICE – CORRESPONDENCE** Correspondence pertaining to the Division Administrator's Office and/or his management assistant. Correspondence that is not included in or directly related to another record series in this schedule.		PM	R	X	**RA –** Access may be restricted due to content, Social Security numbers, etc., attorney-client, or proprietary information.

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SG4004	**STATE OF IDAHO, DHW, LICENSE FOR HOSPITAL AND SKILLED NURSING FACILITY** **SHN DATES: 1978 to present** **SHS DATES: 2011 to present** **DESCRIPTION:** These records document the licensing of facilities in accordance with state law and Sections 39-1301 through 39-1317 of Idaho Code. The files contain: application for Hospital License and Annual Reports, and copies of the facility licenses and investigation or conclusions of findings. Some of these records may contain confidential or sensitive information, and these should be destroyed in a secure manner that will prevent reconstruction of the information, such as by shredding, degaussing, overwriting, etc. All other documents may be disposed of in a normal manner, such as by dumping, recycling or deletion. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Admin	AV, then destroy		X	

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SG4005	**COMPLAINT AND INVESTIGATION RECORDS** **SHN DATES: 1990 to present** **DESCRIPTION:** This series contains complaints brought against Hospitals, its policies/procedures, or its employees alleging violation of laws and/or policies and procedures that govern operation of the hospital. Records may include, but are not limited to, correspondence, description of complaint, case files, legal notices and orders, hearing records, exhibits, investigative reports, working notes and files, investigation committee records, minutes, and agendas, and related correspondence and documentation. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Admin	AC +3 years, AV, then destroy		X	
SG4006	**POLICY AND PROCEDURE MANUAL** **SHN DATES: 1978 to present** **SHS DATES: 1999 to present** **DESCRIPTION**: Series contains current hospital policies and procedures; hospital-wide plans; operating guidelines; historical policies and procedures. **ARRANGEMENT**: Paper and/or other photographically reproduced form or electronic medium and/or on-line manual.	Admin and/or Nursing Department	PM		X	

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SG4007	**AGREEMENTS WITH OUTSIDE ENTITIES** **SHN DATES: 1992 to present** **SHS DATES: 2011 to present** **DESCRIPTION:** This series may contain current and/or previous agreements between State Hospital's and outside entities such as colleges, universities and other hospitals. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Admin	AC + 3 years, AV, then destroy		X	
SG4008	**VISITOR'S LOGS** **DATES: 7/01/2008 to present** **DESCRIPTION:** These records document the presence of any visitors who enter the main hospital building. The records contain the visitor's name, purpose of the visit, date and time of arrival and departure. The records are used for various reasons including accounting of persons in the building in an emergent situation. **ARRANGEMENT**: Paper; retain until administrative value ends and then destroy	Admin	Retain for last 3 FY + current year, then destroy			

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SG4009	**HOSPITAL NEWSLETTER** **DATES**: (online) 6/2009 - **DESCRIPTION:** The State Hospital Newsletter, Hospital Happenings, is a newsletter written for employees. Information is collected regarding hospital issues such as programs in which employees participate, facilities information, historical information, recognition of employees, announcements, etc. **ARRANGEMENT:** Chronological by date of publication. Retained on Hospital website.	Admin	AV, then destroy			

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SG4010	**PSYCHOLOGICAL TESTING – RAW DATA** **SHN DATES:** 2002 – 2007 (Adults Only) **SHS DATES:** Unknown - Current **DESCRIPTION:** Psychological assessment protocols containing question and answer sheets and/or booklets that are used to generate professional Psychological Testing Reports that are entered into the patient record. Testing protocols may include, but are not limited to, MMPI-2RF, R-BANS, WAIS-IV, WAIS, SIMS, etc. Raw data may include, but is not limited to, hand written notes recorded by the psychologist in the course of interviewing, observing, and/or testing a patient, numerical or standardized scores, test stimuli, responses, testing manuals, etc. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium. Institutions (State Hospital South and State Hospital North) shall maintain the raw data used to compile professional Psychological Testing Reports in their entirety for seven (7) years following the person's discharge from the institution or death. In the case of juveniles, the raw data shall be kept for seven (7) years after he/she reaches the age of majority. After the periods specified above, the raw testing results shall be purged and shredded.	Health Infor Mgt Depart Psychol-ogy Depart/ Materials Mgt	Adults - AC + 7 years, then destroy Minors – AC + 7 years after the age of 21 majority is reached, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348IDAPA 16.05.01.075 IDAPA 16.05.01.221IDAPA 16.05.01.240 IC § 16-2428 APA Record Keeping Guidelines - in the absence of superseding laws or institutional regulations: psychologists may consider retaining full records until 7 years after the last date of service delivery for adults or until 3 years after a minor reaches the age of maturity, whichever is later.

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SG4011	**CLINICAL STAFF MEETING AGENDA/MINUTES** **DATES:** November 22, 2011 – Current DESCRIPTION: Agenda/Minutes from clinical staff meetings. The Director creates these agenda/minutes and uses them to assess the quality improvement processes, educate and train clinical staff, and share information pertaining to clinical therapists at SHS. Occasionally, case presentations are discussed and evaluated. Information may include, but is not limited to, names of clinical staff members, patient names, family treatment information, quality improvement reports, and policies and procedures. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Clinical/ Social Services	AV, then destroy			RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IC § 16-2428
SG4012	**PATIENT LIST** **DATES:** Current only – Excel spreadsheet, updated daily. **DESCRIPTION:** This document is used during the daily treatment team staffing where each client is discussed including progress or regression and possible interventions. Information may include, but is not limited to patient name, MRN, assigned clinician, DOB, referring region, admit date, expiration date of commitment, court report due dates, assigned provider, benefits, next staffing date, status level, special notations, current date, unit, total beds, available beds, etc. **ARRANGEMENT:** Excel spreadsheet reviewed online and/or paper copies.	Clinical/ Social Services	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IC § 16-2428

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SG4013	**SHS ORIENTATION BROCHURE** **DATES:** Current only - unique to each patient, updated as needed, old file is overwritten with current information for each patient admission. **DESCRIPTION:** An orientation to State Hospital South brochure designed for incoming patients. Information may include, but is not limited to, staff members who will participate on the patient's treatment team, the overall treatment process, and treatment opportunities such as the names of groups offered. It also states the State Hospital South's mission statement, vision statement, value statement, and a brief history about State Hospital South. The brochure is given to incoming patients for their information. They can keep it or destroy it at their discretion. **ARRANGEMENT:** Electronic WORD file, updated for each patient admission, printed off and provided to the patient.	Clinical/ Social Services	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IC § 16-2428

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SG4014	**CLINICAL WORKSHEETS - MULTIPLE** **VARIANT TITLES:** Admission Interview worksheet, Treatment Plan Information worksheet, Long and Short Term Problem worksheet, Psychosocial History worksheet, Performance Evaluation worksheet, Adolescent History Form worksheet and other ad-hoc worksheets, as circumstances warrant. **SHN DATES:** Current patients, shredded upon entry into the patient record. **SHS DATES:** Current patients, shredded upon entry into the patient record. **DESCRIPTION:** These documents may include, but are not limited to, worksheets used by individual clinicians to gather information that is later used to create professional assessments and other progress notes that are then entered into the patient's record. After entry into the patient record, the worksheets are then shredded. These professional reports may later be disseminated to relevant, outside individuals and agencies and are used for continuing patient care. Information gathered on these worksheets may include, but is not limited to, compilation of data that relates to behaviors, goals, accomplishments, social history, legal status, personal and family background, circumstances surrounding admission, living arrangements, work history, marital history, legal issues, substance abuse, education, family structure, financial status and needs, leisure and recreational hobbies and interests, trauma history, strengths and weaknesses, etc. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Clinical/ Social Services	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IC § 16-2428

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SG4015	**RECREATIONAL THERAPY CALENDARS** **DATES:** January 2011 to present **DESCRIPTION:** These records include the monthly activities calendar for each unit and for RT Central activities. **ARRANGEMENT:** Electronic WORD file, updated yearly, i.e., January 2011 is replaced by January 2012.	Recreatio nal Therapy Dept	AV, then destroy		X	
SG4016	**RECREATIONAL THERAPY ACTIVITIES SCHEDULE** **SHN DATES:** 2001 to present **SHS DATES:** Monthly **DESCRIPTION:** These records include the schedule of Treatment Community planned activities for the weekends. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium, updated and replaced weekly.	Recreationa l Therapy Dept	AV, then destroy		X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4017	**RECREATIONAL THERAPY STAFF SCHEDULE FOR GROUPS AND ACTIVITIES** **SHN DATES:** 2001 to present **SHS DATES:** Standing schedule, updated as needed. **DESCRIPTION:** These records include a schedule of who will be facilitating RT groups and activities on a weekly basis. They are reviewed and modified every six months or as needed. **ARRANGEMENT**: Electronic WORD file based on a weekly schedule which is updated as needed and mailed out electronically.	Recreational Therapy Dept	AV, then destroy		X	
SG4018	**RECREATIONAL THERAPY STAFF SCHEDULES** **SHN DATES**: 2001 to present **SHS DATES**: Auto-archived through Outlook, can go back at least six months for reference. **DESCRIPTION**: These records include a schedule of staff vacations and sick leave. **ARRANGEMENT**: Electronic Calendar format in Outlook and/or paper Calendar Books.	Recreational Therapy Dept	AV, then auto archive		X	

LEGEND:

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Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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SG4019	**CUSTODIAL – PREVENTIVE MAINTENANCE** **SHN DATES: 2008 to present** **SHS DATES: 2008 to present** **DESCRIPTION:** These records may include, but are not limited to, information that documents regularly scheduled preventative maintenance on campus; examples may include documentation of deep cleans and monthly custodial assignments. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Custodial Spvr's Office	CE + 3 years, AV then destroy			
SG4020	**CUSTODIAL – EMPLOYEE INFORMATION** **SHN DATES: 1995 to present** **SHS DATES: 1999 to present** **DESCRIPTION:** These records may include, but are not limited to, copies of performance appraisals, education and/or in-service training records, employee medical information, attendance information, daily assignment locations, and weekend coverage. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Custodial Spvr's Office	AC, then transfer to HR			

LEGEND:

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SG4021	**CUSTODIAL – ANNUAL ASSESSMENT OF CUSTODIAL EQUIPMENT** **SHN DATES: 2009 to present** **SHS DATES: 2006 to present** **DESCRIPTION:** These records may include, but are not limited to, condition inspections done on vacuums, buffers, auto scrubbers, etc. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Custodial Spvr's Office	LA, AV then destroy			
SG4022	**CUSTODIAL – QUALITY ASSURANCE INSPECTIONS** **SHN DATES: 2009 to present** **SHS DATES: 2008 to present** **DESCRIPTION:** These records may include, but are not limited to on-site cleanliness inspections conducted by custodial supervisor of patient treatment areas. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Custodial Spvr's Office	CE + 3 years, AV then destroy			

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SG4023	**DIETARY SERVICES – NATIONAL SCHOOL LUNCH REPORTS** **SHS DATES: 1999 to present** Meal Counts and Edit Checks Revenue / Expenditure Records Production Records Temperature Logs Food, Supplies & Equipment Bids Reimbursement Claims Program Renewal Documents Civil Rights Compliance Reports Employee Training Records (Civil Rights) Point of Service Site Review After School Snack Site Review forms Annual Storage Facility Self Evaluation Form Site Review findings **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	FE + 3 years + current year*		X	*Retention based on 7 CFR 210.23c. Exception - In cases of unresolved audit findings, the records will be kept until resolution of the audit findings.

LEGEND:

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SG4024	**DIETARY SERVICES – FISCAL REPORTS** **SHN DATES: 2008 to present** **SHS DATES: 2008 to present** **DESCRIPTION:** These records may include, but are not limited to, contracts, requisitions, invoice copies and Navision tracking; Monthly Budget reports for Benchmarking program; annual physical inventory; copies of p-card transmittals which are kept for tracking purposes; cost control; and Benchmarking. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	Contracts - AC (or after final payment under the contract - whichever is greater) + 5 years, then destroy) Other - Current FE, then destroy		X	Idaho Code § 5-216
SG4025	**DIETARY SERVICES – PERFORMANCE IMPROVEMENT MONITORS** **SHN DATES: 2008 to present** **SHS DATES: 2002 to present** **DESCRIPTION:** These records may include, but are not limited to, temperature logs: holding temperatures of hot foods & cold foods, recovery temperatures of leftovers, refrigerator & freezer temperatures, and dish machine temperatures. Nourishment monitor, Nutrition Assessment monitor, Catering monitor, Meal Schedule Log, and Patient Food Satisfaction Survey summary. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	FE + 3 years + current year		X	

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SG4026	**DIETARY SERVICES – BENCHMARKING DATA** **SHS DATES: 1996 to present** **DESCRIPTION:** Submitted compiled SHS dietary cost data and summary report from Benchmarking service showing how our costs compare to like facilities. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	AV, then destroy		X	
SG4027	**DIETARY SERVICES – EMPLOYEE INFORMATION** **SHN DATES: 2008 to present** **SHS DATES: 2007 to present** **DESCRIPTION:** These records may include, but are not limited to, employee documentation related to performance, copies of performance appraisals; education records; Idaho Food Code Certification; in-service training records; employee medical information; employee schedules and/or labor allocation logs. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	AC, then transfer to HR		X	

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SG4028	**DIETARY SERVICES – CANTEEN/COUNTRY STORE** **SHN DATES: 2008 to present** **SHS DATES: 2007 to present** **DESCRIPTION:** These records may include, but are not limited to, cash receipt/cash register balance report; physical inventory with pricing. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	FE +1, AV, then destroy		X	
SG4029	**DIETARY SERVICES – PATIENT CARDEX FILES** **SHS DATES: 2010 to present (unless patient has been here for a longer duration)** **DESCRIPTION:** The Cardex tickler file system tracks patient nutritional information including , but not limited to, labs, weights, diet order, food preferences, food allergies and/or intolerances. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	AC, then Destroy		X	

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SG4030	**DIETARY SERVICES - MENUS** **SHN DATES: 2009 to present** **SHS DATES: 2010 to present** **DESCRIPTION:** Menus, marked with any changes and/or food substitutions made. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	FE +1, then destroy		X	
SG4031	**DIETARY SERVICES – NURSING/DIETARY COMMITTEE MEETING MINUTES** **SHN DATES: 2009 to present** **SHS DATES: 2007 to present** **DESCRIPTION:** Minutes from Monthly Meeting where various topics pertaining to coordination between departments and patient care are discussed. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	AV, then destroy		X	

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SG4032	**TRAINING RECORDS - EMPLOYEE** **SHN DATES**: January 2007 to present **SHS DATES**: January 2007 to present **DESCRIPTION**: This series documents the training each employee received while employed. These records may include, but are not limited to, training, date(s) received, number of hours, pass/fail documentation, etc. **ARRANGEMENT**: Paper and/or electronic or other photographically reproduced form or electronic medium.	Training Specialist	AC +5 years, then destroy			Idaho Department of Admin, Division of Purchasing, Human Resources Records Retention Schedule of the Records Management Guide – SG0786
SG4033	**TRAINING RECORDS - MISCELLANEOUS** **SHN DATES**: January 2007 to present **SHS DATES**: January 2007 to present **DESCRIPTION**: This series includes various records created during the training process. These records may include, but are not limited to, nomination for training, training registration, pass/fail information, etc. **NOTE**: Specialized training or certification documents may require a longer retention period to document the process. Retain as instructed by certifying agency. **ARRANGEMENT**: Paper and/or electronic or other photographically reproduced form or electronic medium.	Training Specialist	AC +2 years, then destroy			Idaho Department of Administration , Division of Purchasing, Human Resources Records Retention Schedule of the Records Management Guide – SG0787

LEGEND:

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SG4034	**TRAINING PROFILES – PROGRAM ADMINISTRATION** **SHN DATES**: January 2007 to present **SHS DATES**: January 2007 to present **DESCRIPTION**: This series includes records involved with arranging, facilitating and coordinating training classes. These records may include, but are not limited to, course and trainer information, handouts, training dates, accommodations, materials, billing information, etc. **ARRANGEMENT**: Paper and/or electronic or other photographically reproduced form or electronic medium.	Training Specialist	AC +2 years, then destroy			Idaho Department of Administration , Division of Purchasing, Human Resources Records Retention Schedule of the Records Management Guide – SG0788

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SG4035	**ENVIRONMENT OF CARE RECORDS – MINUTES AND AGENDAS** **SHN DATES: 2006 to present**	Perform Improv and/or Admin	AC +3 years, send to Archive	A	X	
	SHS DATES: September 2008 to present **DESCRIPTION:** These records may include, but are not limited to, minutes and agendas from the EOC Committee, minutes and agendas from sub-committees (Safety, Fire Safety, Emergency Management, Hazardous Materials and Waste, Security, Medical Equipment and Utility Systems) and updates to 700 series management plans. The minutes and policies document compliance with Environment of Care plans and other aspects of hospital care aspects. These plans strive to provide for the best environment for patients, employees and the public. Minutes serve as a history of this committee and may include but are not limited to, information related to attendance, date and time, topics discussed and resolutions or recommendations made. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv Dept				

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SG4036	**ENVIRONMENT OF CARE RECORDS – SAFETY SUB-COMMITTEE** **DATES: February 2003 to present** **DESCRIPTION:** These records document meetings of the Safety Sub-Committee and may include, but are not limited to, discussions and decisions made by the committee. Records may include, but are not limited to, agendas, minutes, safety inspection reports, tracers and annual summaries of safety inspections. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv Dept	AC +3 years, then destroy		X	
SG4037	**ENVIRONMENT OF CARE RECORDS – SECURITY SUB-COMMITTEE** **DATES: January 2009 to present** **DESCRIPTION:** These records document meetings of the Security Sub-Committee and may include, but are not limited to agendas, minutes and assessments, including discussions and decisions made by the committee. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Mtce Operations	AC +3 years, then destroy		X	

LEGEND:
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SG4038	**ENVIRONMENT OF CARE RECORDS – HAZARDOUS MATERIALS AND WASTES SUB-COMMITTEE** **DATES: January 2009 to present** **DESCRIPTION:** These records may include agendas, minutes and quarterly reports of hazardous wastes generated. The records document meetings of the Hazardous Materials and Wastes Sub-Committee and are intended to be an integral part of the Environment of Care Program. The plan provides management direction, policy guidance, and staff responsibilities for the program. Records maintained may include, but are not limited to, agendas, minutes which serve as a history of this sub-committee and include information such as attendance, date and time, topics discussed, and resolutions or recommendations made, safety inspections (see Safety Sub-Committee) and quarterly reports of hazardous wastes generated. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Mtce and Operations	AC +3 years, then send to Archive	A	X	

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SG4039	**ENVIRONMENT OF CARE RECORDS – FIRE SAFETY SUB-COMMITTEE** **DATES: January 2009 to present** **DESCRIPTION:** These records document meetings of the Fire Safety Sub-Committee and may include agendas, minutes, fire drill records, annual summaries, safety inspections (see Safety Sub-Committee), preventative maintenance of fire safety equipment and ILSMs (Interim Life Safety Measures) including discussions and decisions made by the committee. Minutes serve as a history of this committee and may include, but are not limited to, attendance, date and time, topics discussed, resolutions and recommendations made. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv Dept	AC +3 years, then destroy		X	

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SG4040	**ENVIRONMENT OF CARE RECORDS – MEDICAL EQUIPMENT SUB-COMMITTEE** **DATES: January 2009 to present** **DESCRIPTION:** These records may include, but are not limited to, agendas, minutes or reports and document meetings where medical equipment is reviewed for hospital use, whether new or replacement. Equipment function and required inspections and/or certifications are discussed together with any recommendations or actions needing to be taken. Minutes serve as a history of the committee and may include, but are not limited to, attendance, date and time, topics discussed, and resolutions or recommendations made. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing	AC +3 years, then destroy		X	
SG4041	**ENVIRONMENT OF CARE RECORDS – UTILITIES SUB-COMMITTEE** **DATES: January 2009 to present** **DESCRIPTION:** These records document the facility utilities preventive maintenance performed, scheduled maintenance and inspection reports which may include agendas, minutes, Emergency Generator testing logs or Pre Construction Infection Control Risk Assessments. The minutes serve as a history of this sub-committee and may include, but are not limited to, attendance, date and time, topics discussed and resolutions or recommendations made. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Mtce and Operations	AC +3 years, then destroy		X	

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SG4042	**ENVIRONMENT OF CARE RECORDS – EMERGENCY MANAGEMENT SUB COMMITTEE** **DATES: January 1997 to present** **DESCRIPTION:** These records may include, but are not limited to, agendas, minutes, reports, emergency management exercise scenarios, summaries and evaluations, hazard vulnerability analysis, safety inspections (see Safety Sub-Committee) or other data, and document meetings of the Emergency Management Sub-Committee. The plan is developed to be an integral part of the Environment of Care Program and provides management and evaluation of emergency operations. The minutes serve as a history of this sub-committee and may include, but are not limited to attendance, date and time, topics discussed and resolutions or recommendations made. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv Dept	AC +3 years, then destroy		X	

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SG4043	**ENVIRONMENT OF CARE RECORDS - REPORTS/WORKSHEETS** **SHN DATES: 1999 to present** **SHS DATES: January 2002 to present** **DESCRIPTION:** These records may include, but are not included to, various contracts, reports, policies and/or worksheets including RCA (Root, Cause, Analysis) reports, FMEA (Failure Mode and Effect Analysis) risk assessments, mortality reviews, disaster drills, significant event reporting, product safety recalls, various facility inspection reports, Joint Commission surveys, work binders and/or work group reports. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv and/or Admin and/or Mtce & Operations Perform Improv Dept	AC +3 years, then destroy		X	RA- 45 C.F.R. § 164.502; IC § 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IC§ 39-1392 to 1392f

LEGEND:

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SG4044	**ENVIRONMENT OF CARE RECORDS -REPORTS/WORKSHEETS** **SHN DATES: 1999 to present** **SHS DATES: November 2008 to present** **DESCRIPTION:** This series of worksheets may include, but are not limited to, various assessments, logs and reports to include quarterly Report of Hazardous Wastes Generated, Preventive Maintenance Report of Fire Safety Equipment (see Safety Report-Environment of Care), Preventive Maintenance Reports of utility systems, Emergency Generator Testing Logs, or Pre-construction Infection Control Risk Assessments. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv and/or Admin and/or Mtce & Operations Mtce Dept	AC +3 years, then destroy	R	X	

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4045	**ENVIRONMENT OF CARE RECORDS - MISCELLANEOUS** **SHN DATES: 1999 to present** **SHS DATES: October 1994 to present** **DESCRIPTION:** This series of worksheets may include, but are not limited to, various reports, requisitions, inspections, testing logs and assessments that may include Safety Inspection Reports, Tracers, Annual Summary of Safety Inspections, Annual Hospital Wide Risk Assessment, Annual Risk Assessments of Sensitive Areas, Safety Inspections (see Safety Sub-Committee), Fire Drill Records, Annual Summary of Fire Drill Records, ILSMs (Interim Life Safety Measures), Emergency Management Exercise Scenarios, summaries and evaluations and Hazard Vulnerability Analysis. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv and/or Admin and/or Mtce & Operations Mtce Dept	AC +3 years, then destroy		X	

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4046	**PSYCHIATRIC PATIENT MEDICAL RECORDS** **DATES: 1905 – approx. 1960** **DESCRIPTION:** The psychiatric patient medical record provides documentation of the diagnosis and treatment of individuals confined to Idaho State Hospital North. **ARRANGEMENT:** Straight Numerical Filing System on Microfilm rolls.	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4047	**PSYCHIATRIC PATIENT MEDICAL RECORDS** **DATES: 1960 to present** **DESCRIPTION:** Institutions (State Hospital South and State Hospital North) shall maintain their psychiatric medical records in their entirety for seven (7) years following the person's discharge from the institution or death. In the case of juveniles, psychiatric medical records shall be kept in their entirety for seven (7) years after he/she reaches the age of majority. After the periods specified psychiatric medical records shall be purged and the following documents retained in the permanent file: Face Sheet, Discharge/Transfer Summary, Psychiatric Evaluation (admission assessment), Psychological evaluation and/or test results, Psychosocial Assessment, History and Physical Examination, Laboratory results, radiological reports, EKG results, EEG reports, Physician Orders, Treatment Plan and Reviews, Discharge Instruction Sheet, Courts Orders and Commitment papers, Releases of information forms or authorizations, Disclosure log, Informed consent for procedures. **RETENTION:** After the specified retention periods as given above, and after such records have been purged in accordance with DHW/FACS Case and Medical Record Retention Policy No. 04-012 the Institutions shall, without thereby incurring liability, destroy such records by shredding in keeping with the confidential nature of their contents and shall maintain a list of psychiatric medical records which have been purged or destroyed and the dates they were purged or destroyed. **ARRANGEMENT**: Straight numerical filing system on paper or in electronic format, in secured locations on-site.	Health Info Mgt Dept	PM, LA		X	**RA-** 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4048	**ACLOHOLISM TREATMENT UNIT PATIENT MEDICAL RECORDS** **DATES: 1972 – 1995** **DESCRIPTION:** The Alcoholism Treatment Unit medical record provides documentation of the diagnosis and treatment of individuals confined to that treatment program of Idaho State Hospital North. **ARRANGEMENT:** Straight numerical filing system on paper, in secured locations on-site.	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IDAPA 16.05.01.250; 42 C.F.R. Part 2
SG4049	**JUVENILE DIAGNOSTIC UNIT PATIENT MEDICAL RECORDS** **DATES: 1978-1993** **DESCRIPTION:** The Juvenile Diagnostic Unit medical records provide documentation of the evaluations, assessments, treatment, diagnoses, and reports provided to the court for individuals confined to that program of State Hospital North. **ARRANGEMENT:** Straight numerical filing system on paper, in secured locations on-site.	Health Info Mgt Dept	PM, LA		X	**RA-** 45 C.F.R. § 164.502; IC 9-340C(13); IC § 16-2428; IDAPA 16.05.01.211

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4050	**PSYCHIATRIC PATIENT MEDICAL RECORDS** **SHS DATES:** July 2,1886 – November 24,1889 **DESCRIPTION:** The Idaho Insane Asylum was opened July 2,1886 with 26 male and 10 female patients. A fire occurred at 1:30 am on November 24, 1889 and the records were mostly destroyed. At that time there were 47 male and 20 female patients. The population record is as follows, as far as preserved: Beginning census – July 2,1886 – 36 patients Additions through June 30,1887 – 31 patients Additions through June 30,1888 – 24 patients Additions through June 30,1889 – 30 patients Additions through November 24,1889 – unknown Approximate total population receiving services: 121* **ARRANGEMENT**: Destroyed in fire of November 24, 1889 *It is unknown how many additions were recorded for the period of July 1, 1889 – November 24, 1889.	Health Info Mgt Dept	N/A			

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4051	**PSYCHIATRIC PATIENT MEDICAL RECORDS** **DATES:** November 25,1889 – December 31,1996 **DESCRIPTION:** The psychiatric patient medical record provides complete documentation of the diagnosis and treatment of individuals confined to Idaho State Hospital South. Information includes, but is not limited to: Face Sheets; Legal data related to the commitment and/or voluntary admission; Psychiatric, Psychosocial, Psychological, Medical, Nursing, Recreational, Dietary & Other Assessments; Medication Orders, Treatment Plans, Treatment Plan Reviews and/or revisions; Multi-disciplinary Progress Notes; Laboratory, X-Ray/Radiology & other special reports; Consultations; Flowsheets; Discharge planning & Discharge Summary; Consent forms, Release of Information, documentation related to Patient Rights, Correspondence, Patient belongings and/or valuables, etc. These records were created and maintained in accordance to State, Federal and other regulatory agency control. **ARRANGEMENT:** Straight Numerical Filing System retained in entirety on Microfilm, Microfilm Duplicate Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4052	**PSYCHIATRIC PATIENT MEDICAL RECORDS** **DATES:** January 1,1997 – Current **DESCRIPTION:** Institutions (State Hospital South and State Hospital North) shall maintain their psychiatric medical records in their entirety for seven (7) years following the person's discharge from the institution or death. In the case of juveniles, psychiatric medical records shall be kept in their entirety for seven (7) years after he/she reaches the age of majority. After the periods specified psychiatric medical records shall be purged and the following documents retained in the permanent file: Face Sheet, Discharge/Transfer Summary, Psychiatric Evaluation (admission assessment), Psychological evaluation and/or test results, Psychosocial Assessment, History and Physical Examination, Laboratory results, radiological reports, EKG results, EEG reports, Physician Orders, Treatment Plan and Reviews, Discharge Instruction Sheet, Courts Orders and Commitment papers, Releases of information forms or authorizations, Disclosure log, Informed consent for procedures. **RETENTION:** After the specified retention periods as given above, and after such records have been purged in accordance with DHW/FACS Case and Medical Record Retention Policy No. 04-012 & SHS Policy 520-03 and then retained on Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium the Institutions shall, without thereby incurring liability, destroy such records by shredding in keeping with the confidential nature of their contents and shall maintain a list of psychiatric medical records which have been purged or destroyed and the dates they were purged or destroyed. **ARRANGEMENT:** Straight numerical filing system on paper or in electronic format, in secured locations on-site.	Health Info Mgt Dept	PM		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4053	**MASTER PATIENT INDEX CARDS** **1) State Hospital North – Psychiatric Treatment Unit – DATES**: 1905 to present **ARRANGEMENT**: 3 x 5 paper index cards; alphabetical **2) State Hospital North – Alcoholism Treatment Unit – DATES**: 1972 - 1995 **ARRANGEMENT**: 3 x 5 paper index cards; alphabetical **3) State Hospital North – Juvenile Diagnostic Unit – DATES**: 1978 - 1993 **ARRANGEMENT**: 6" X 8" paper index cards, alphabetical **4) State Hospital South -** **DATES:** July 2,1886 – November 24,1889 - Unknown **DATES:** November 24,1889 - Current **DESCRIPTION:** This series is an alphabetical 3 x 5 index card system used to locate a patient's medical record number, by which patient records are filed. The information on these cards may include, but is not limited to, the patient's name, medical record number, county of residence, admission and discharge dates, legal status, legal status updates, region patient was discharged to, marital status, race, sex, date of birth, birthplace, social security number, address, fathers name and birthplace, mothers name and birthplace, and location in early registers on the back of the master patient index cards. **ARRANGEMENT:** Straight numerical filing system on paper or in electronic format, in secured locations on-site.	Health Info Mgt Dept	PM		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4054	**ADMITTING REGISTERS** **DATES:** 1889 - August 27,1934 **DESCRIPTION**: This series contains chronological patient admitting registers dating back to the opening of the Idaho Insane Asylum, after the fire of November 24, 1889. Data may include, but is not limited to, patient name, date of admission, residence, county, place of birth, occupation, height, weight, color of eyes, color of hair, age, race, education, religion, civil condition, habits, number of attacks, age at first attack, duration of present attack, first or other admission, hereditary, suicidal, homicidal, cause, committed by, address of friends, general aspect and complexion, general nutrition, skin, teeth, appetite, stomach, spleen, respirations, lungs, kidneys, urine, color, S.G., quantity, genital organs, motion, perceptions, intellect, sleep, hallucinations, illusions, delusions, general strength, temperature, hair, nails, tongue, bowels, liver, intestines, pulse, heart, bladder, general sensation, emotions, volition, lodger information, elopement, home visits, correspondence, disposition of body, grave number and other general additional notation entries. **ARRANGEMENT**: Paper, Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4055	**POPULATION RECORDS** **State Hospital North – Population Record Book** **DATES**: 1905 – 1968 **State Hospital North – Census Sheets and Unit Rosters** **DATES**: 1968 - present **State Hospital South** **DATES**: November 24,1889 - June 30,1988 **DESCRIPTION**: This series contains chronological patient admitting data dating back to the opening of the Idaho Insane Asylum, after the fire of November 24, 1889. Data may include a recording of, but is not limited to, patient name, date of admission, date of discharge, sex, death, elopement, return from elopement, type of discharge, population totals and other general additional notation entries. **ARRANGEMENT:** Paper, Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4056	**SHN DEATH REGISTER AND SHN CEMETERY GRAVE PLOT** **DATES:** 1906 - 1990 **SHS Cemetery record book, Grave numbers book, SHS Cemetery Listings, Death Certificates & SHS Grave Registers** **DATES:** June 7, 1877 - April 23,1981 **DESCRIPTION**: This series contains various listings (alphabetical by surname, grave number, chronological by date of death) of burial information related to graves in the SHS and SHN cemeteries and may include, but is not limited to, patient names, dates of death, grave numbers, place of burial, funeral homes, burial dates, death certificates and (3) Certificate of death booklets dated June 25,1960 – September 35, 1961 and one plot map diagram outlined on a small piece of cardboard (#3). **ARRANGEMENT**: Paper: Retain in agency custody on site permanently. Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IDAPA 16.05.01.190

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4057	**HOSPITAL LIAISON REGISTERS X 2** **DATES:** October 19, 1973 – October 26, 1980 **DESCRIPTION**: This series contains chronological handwritten entries related to dates of patient referral, situational aspects related to the patient or potential patient and dates of admission. **ARRANGEMENT**: Paper: Retain in agency custody on site permanently.	Health Info Mgt Dept	PM, LA		X	**RA-** 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4058	**DAY BOOK – PSYCHOLOGICAL TESTING** **DATES:** October 01, 1953 – June 18, 1963 **DESCRIPTION**: This series contains chronological handwritten entries related to requests for Psychological Testing and may include, but is not limited to, referral date, patient names, age, status, individual assigned to test, requestor remarks, testing date, date of typed evaluation and a separate list of files made from July 23, 1958 through January 24, 1961. **ARRANGEMENT**: Paper: Retain in agency custody on site permanently.	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4059	**DAY BOOK – STAFF BOOK** **DATES**: January 07,1953 - April 13,1956 **DESCRIPTION**: This series contains chronological handwritten entries related to staff meetings, staff reports related to patient care and treatment structure of staff services and may include, but is not limited to, admissions, discharges, transfers, passes, individual patient requests and evaluation of current status, legal situation. **ARRANGEMENT**: Paper: Retain in agency custody on site permanently.	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4060	**STATISTICAL REPORTS** **VARIANT TITLES**: Daily Census, Patient Days by Region Report, Death Register, In-Patient List, Unit Rosters, Alphabetical Listing by Referring Region, Readmission Statistical Report, Admissions, Discharges, Transfer, Monthly/Yearly Admission Statistical Reports for Facility, Monthly/Yearly Statistical Discharge Reports for Facility, Annual Reports, Physician's Index, Disease Index, Physician's Efficiency Lists, Staff Efficiency Lists, Delinquency Rates, Hospital Dashboards, and other Ad-Hoc Reports as needed. **DATES**: November 24,1889 – Current **DESCRIPTION**: This series contains chronological patient admission/discharge/transfer data dating back to the opening of the Idaho Insane Asylum, after the fire of November 24, 1889. Data compilation varied over the years and may include a recording of, but is not limited to, patient name, medical record number, race, age, veteran status, referral source, legal status, resident county, committing county, unit, date of admission, date of discharge, date of transfer, sex, date of birth, clinician, physician, date of death, diagnoses, elopement, return from elopement, type of discharge, population totals including number of census days, number of patient days, daily census, average census, percentage of occupancy, number of admissions, admissions & discharges broken out by race, age, veteran status, referral in and out sources, legal status, residential county/region, primary diagnosis, length of stay data, discharge type, etc. **ARRANGEMENT:** Paper, Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Health Info Mgt Dept and/or Admin and/or Perform. Imprv. Dept.	PM		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4061	**PATIENT MEDICAL RECORD NUMBERS** **DATES:** Unknown – present **DESCRIPTION**: This series contains handwritten and/or typed entries related to numerical assignment of the patient medical record number as a unique patient identifier for medical record keeping purposes and was/is assigned upon admission to the hospital. Each patient is assigned one number that is unique to the patient regardless of episodes of care and is kept over a lifetime. **ARRANGEMENT:** Paper, Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Health Info Mgt Dept	PM		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4062	**ADMISSION/DISCHARGE/TRANSFER (BLUE) LOG BOOK** **DATES:** December 22, 2008 – Current **DESCRIPTION**: This series contains reverse chronological handwritten and/or electronic entries related to patient admission, discharge, transfer, and coding updates and is used as a working tool to track procedural and auditing processes conducted by the Health Information Management Department and has administrative value only. **ARRANGEMENT**: Paper or electronic (Excel spreadsheet): Retain until administrative value ends and then destroy.	Health Info Mgt Dept	AV, then destroy		X	**RA-** 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4063	**DELINQUENCY RATE** **DATES**: January 01, 2003 - Current **DESCRIPTION**: This series contains chronological spreadsheets and graphical representations of the delinquency rates for patient records and may include but is not limited to the following information, patient medical record number, patient name, unit, discharging doctor, discharge date, date the discharge summary was signed, date coding was completed, if the chart was signed off in 30 days post discharge, date the chart was completed and filed on the shelf, if the chart was in compliance, and reasons for deficiencies when charts are unable to be closed out in 30 days post discharge. This information is used as a working tool to graphically display medical records delinquency rates over time and to meet regulatory requirements and has administrative value only. **ARRANGEMENT:** Paper or electronic (Excel spreadsheet): Retain three years past discharge or until administrative value ends and then destroy.	Health Info Mgt Dept	AC + 3 years, AV, then destroy		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

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Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4064	**STATE HOSPITAL NORTH – DISCHARGE LOG** **DATES**: 12/1/00 – Current **DESCRIPTION**: This series contains a chronological on-going record of chart completion, including patient name, MR#, date of discharge, date the chart was reviewed, date the discharge summary was completed, date the chart was coded and codes entered in BHIS, and the date the chart was permanently filed. **ARRANGEMENT**: Electronic – Excel spreadsheet: Retain until administrative value ends and then destroy.	Health Info Mgt Dept	AV, then destroy		X	**RA-** 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4065	**STAFF SIGNATURE BOOKS (CURRENT & FORMER)** **DATES: SHN 1994 – Current** **SHS January 01, 2008 - Current** **DESCRIPTION:** This series contains an alphabetical listing by surname and may include but is not limited to the following information, beginning and ending dates of employment (personnel action notification), activation & deactivation dates of access to the patient's electronic medical record, signature variations for staff who chart in the paper medical record and/or a Notice of Participation Statement for Electronic Signatures which contains an oath of confidentiality that employees sign upon employment to gain access to the patient's electronic medical record. This information is used as a working tool to identify staff deficiencies in the paper medical record and to meet regulatory requirements and has administrative value only. **ARRANGEMENT**: Paper: Retain in Office during employment +3 years following termination of employment or until administrative value ends and then destroy.	Health Info Mgt Dept	AV, then destroy		X	**RA-** IC 9-340C; IDAPA16.03.14.360.04; JC – IM.02.01.03 SHS Policy 360-02.

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4066	**RELEASE OF INFORMATION BINDER** **DATES:** SHN – 1991 – Current SHS - September 7, 2007 - Current **DESCRIPTION:** This series contains a reverse chronological listing of release of information and may include, but is not limited to, the following information from State Hospital patient records: the patient medical record number, patient name, person or organization who is requesting the information, the information that was sent, date the request was received, and the date the request was sent and how it was sent. The same information is also kept on the actual release of information request and filed on the patient medical record after processing. This information contained on the log is used as a working tool to quickly locate the status of a release of information request and has administrative value only. **ARRANGEMENT**: Paper or electronic (Excel spreadsheet): Retain until administrative value ends and then destroy.	Health Info Mgt Dept	AV, then destroy		X	**RA-** 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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SG4067	**CONTRABAND AWARENESS STATEMENT** **DATES:** Unknown – present **DESCRIPTION:** This series contains a form that the visitors of patients sign acknowledging awareness of items that would be considered contraband, the Hospitals policy against them and that the visitor certifies that they will not bring contraband into the Hospital or leave them with the patient they visit, subject to visitation restrictions and/or legal action brought against the visitor for violation of the policy. The form may include, but is not limited to, the date and time of the visit, the patient being visited, the address of the visitor, and the visitor's signature. **ARRANGEMENT**: Paper or electronic: Retain until administrative value ends and then destroy.	Health Info Mgt Dept	AV, then destroy		X	

LEGEND:

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SG4068	**INFECTION CONTROL RECORDS – INFECTION CONTROL COMMITTEE** **DATES: August 1985 - Present** **DESCRIPTION:** This record series documents meetings of the Infection Control Committee and may include, but is not limited to, agendas, minutes and assessments, which may including discussions and decisions made by the committee. The duties of this committee include establishing written infection control measures, writing procedures governing the use of aseptic techniques and establishing techniques and procedures for the development of an Infection Prevention and Control Plan. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv Dept	AC +3 years, then destroy		X	

LEGEND:
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Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4069	**INFECTION CONTROL RECORDS –FILES, REPORTS AND WORKSHEETS** **SHN DATES: 1992 to Present** **SHS DATES: August 1995 to Present** **DESCRIPTION:** These records document the infection control program and may include, but are not limited to, Employee Illness Report, Employee Illness Log, Morbidity Report Forms, Infection Control Policies Monitoring Compliance documentation, Infection Control Practices Staff Self-Evaluation forms, Tuberculosis Summary, Nosocomial Infection Summary, Line Listing of Resident Infections, Outbreak Investigation forms, summaries from the Blood Borne Pathogens and Sharps Injury log, related correspondence and/or similar documentation. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv and/or Medical Clinic Physician Office Perform Improv Dept	AC + 3 years, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 Idaho Code § 9-340C(1) Idaho Code § 9-340-C(12)

LEGEND:

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SG4070	**INFECTION CONTROL RECORDS – EMPLOYEE HEALTH RECORDS** **SHN DATES: 1989 to present** **SHS DATES: 1994 to present** **DESCRIPTION:** These records contain health information about employees. Information may include, but is not limited to, Tuberculosis (TB) testing, immunization status, reports of lab tests on employees, reports of injuries to employees involving possible exposure to blood borne pathogens*, FIT test and chest x-ray reports on employees. These records are maintained separately from employee personnel files. ***Note:** Employee Health Records for injuries (such as exposures or needle stick) that result in Worker's Compensation Claims would be retained by the State Insurance Fund. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv and/or Medical Clinic Physician Office Perform Improv Dept	AC + 30 years, then destroy		X	RA – Idaho Code § 9-340C(1) Idaho Code § 9-340-C(12) Title 29 CFR Part 1910.1020 http://www.nclabor.com/osha/etta/indguide/ig7.pdf

LEGEND:

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SG4071	**LAUNDRY – SUMMARY OF WASHER USAGE, ETC.** **SHS DATES: 2008 to present** **DESCRIPTION:** These records may include, but are not limited to, information that documents of the amount of loads and cycle classification of each washer. These records may also include the amount and/or style of mop and amount of rags used each week by each unit. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Laundry Dept	CE + 3 years, AV then destroy			
SG4072	**LAUNDRY – EMPLOYEE INFORMATION** **DATES: 1997 to present** **DESCRIPTION:** These records may include, but are not limited to, copies of performance appraisals, education and/or in-service training records, and attendance information. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Laundry Spvr's Office	AC, then transfer to HR			

LEGEND:

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SG4073	**LAUNDRY – ANNUAL ASSESSMENT OF LAUNDRY EQUIPMENT** **DATES: 2006 to present** **DESCRIPTION:** These records may include, but are not limited to, condition inspections done on washers, dryers, etc. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Shared Drive	LA, AV then destroy			
SG4074	**LAUNDRY – LAUNDRY COSTS** **DATES: 2006 to present** **DESCRIPTION**: These records may include, but are not limited to, the monthly costs of running the Laundry operation, chemicals personal, utilities, etc. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Shared Drive	CE + 3 years, AV then destroy			
SG4075	**LAUNDRY – PERFORMANCE IMPROVEMENT** **DATES: 2008 to present** **DESCRIPTION:** These records may include, but are not limited to, copies of the monthly monitor and evaluation records. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Shared Drive	CE + 3 years, AV then destroy			

LEGEND:

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SG4076	**MATERIALS MANAGEMENT – SHS FORMS** **SHS DATES: 1977 to present** **DESCRIPTION:** These records may include, but are not limited to, all the original paper and/or electronic forms which are used as a template for issued forms throughout the Hospital and placed in stock as needed. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	US, then destroy		X	
SG4077	**MATERIALS MANAGEMENT – MONTH END REPORTS** **SHS DATES: January 2008 to present** **DESCRIPTION:** These records may include, but are not limited to, all month-end distribution, receiving, returns, and credits for onsite inventory. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	AV, then destroy		X	
SG4078	**MATERIALS MANAGEMENT – DAILY RECEIVING REPORTS** **SHS DATES: January 2008 to present** **DESCRIPTION:** These records may include, but are not limited to, transfer of any invoices that need to be paid and/or addressed by Fiscal Department. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	CE + 1 year, then destroy		X	

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SG4079	**MATERIALS MANAGEMENT – P-CARD TRANSMITTALS** **DATES: January 2006 to present** **DESCRIPTION:** These records may include, but are not limited to, purchase orders, requisitions, and credit card transmittal for all credit card activity. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	AV, then destroy		X	
SG4080	**MATERIALS MANAGEMENT – DELIVERY RECEIPTS** **DATES: January 2006 to present** **DESCRIPTION:** These records may include, but are not limited to, product delivered, to whom, from whom, for whom, and date. This would be for any items not ordered by Materials Management and usually reflect personal packages. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	CE + 1 year, then destroy		X	

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SG4081	**MATERIALS MANAGEMENT – RECORDS TRANSFERRED TO ARCHIVE STORAGE** **DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to, Form SHS-0102 - List of items (to include but not limited to DVD, VHS, Cassette tapes, 8mm, paper records) transferred to Materials Management for archival storage. Department, description, disposal date, date transferred will all appear on form. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	* stored documents will be retained according to approved retention plans on file with Dept. of Administratio n – Record Center.		X	* Note – All records transferred to Archive Storage will be retained according to individual retention plans for the record type being stored.
SG4082	**MATERIALS MANAGEMENT – PAR INVENTORY SHEETS** **DATES: January 2008 to present** **DESCRIPTION:** Excel spreadsheet used to document weekly inventory checks on units and nursing stations. Information may include, but is not limited to, a master list of forms, dry goods, and materials used, broken out by individual unit and is used for re-stocking purposes on a weekly and/or monthly basis. **ARRANGEMENT:** Excel spreadsheet	Materials Mgt Dept	AC		X	

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SG4083	**SHN ADVISORY BOARD MEETING** **DATES**: **1980 to present** **DESCRIPTION**: SHN Advisory Board was established by legislative intent. The Board membership represents DHW Mental Health Boards and interest groups, consumers, Orofino business community, legislators, County and Judicial officials, and law enforcement. The Board reviews and assists in policies, goals and objectives and planning; reviews state laws, proposes and supports legislation; reviews budget and makes recommendations; advocates for consumers and mental health services; reviews Performance Improvement and Hospital activities and reports, and makes recommendations.* **ARRANGEMENT**: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site. * Other records kept by this committee may include, but is not limited to, Board Membership Lists, member appointment letters, Advisory Board By-Laws, and other related correspondence and documentation.	Admin	PM		X	

LEGEND:

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SG4084	**GOVERNING BODY MEETING** **SHN DATES: 1994 to present** **SHS DATES: 2008 to present** **DESCRIPTION:** Minutes document Governing Body oversight of the hospitals. This includes assisting with institutional planning, appointment of Medical Staff members, approval of Medical Staff activities, i.e., credentialing, privileging, reappointment, and termination of medical staff. The Governing Body also oversees the monitoring of treatment services, planning, approving, and monitoring resource allocations, approving hospital policies, overseeing safety and risk management. * **ARRANGEMENT**: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site. * Other records kept by this committee may include, but is not limited to, current approved by-laws and rules and regulations of the Governing Body.	Admin	PM		X	

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SG4085	**EXECUTIVE STAFF MEETING** **SHN DATES: 1992 to present** **SHS DATES: 2008 to present** **DESCRIPTION**: To provide a centralized communication function for operation and to promote dialogue between the medical staff and administration and includes, but is not limited to planning, policy and decision making. Authorized by the Governing Body, responsible for oversight of all committees and Performance Improvement/Quality Council. **ARRANGEMENT**: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Admin	PM		X	**RA –** IC § 39-1392b. IC § 9-340C(18) IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4086	**MEDICAL STAFF MEETING** **SHN DATES: 1992 to present** **SHS DATES: 1989 to present** **DESCRIPTION:** 1. To ensure high standards for provision of medical care including peer review related functions. 2. To ensure that the care provided meets these standards. 3. To coordinate Medical Staff activities between laboratory, nursing, pharmacy, and support services staff under such limitations as may be imposed on the Committees by the Medical Staff By-laws and Policies and Procedures. **Functions under the purview of the Medical Staff: *** **Pharmacy and Therapeutics -** To ensure cost effective and optimum standards and practices for medication use. **Infection Control -** To identify and reduce the risks of acquiring and transmitting infection among patients and employees and to ensure communication of findings to the Performance Improvement /Quality Council. **Medical Records - t**he Medical Staff Committee will have oversight for the organization's ongoing medical records review program, the review and approval of forms, templates, and note titles for the medical record, and any abbreviations used in the medical record.	Admin	PM		X	**RA –** IC § 39-1392b. IC § 9-340C(18) IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:
Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**
Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**
Vital: X-**Record is vital for immediate operation of the office of origin or the institution**
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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4086 Cont.	**Credentialing -** to oversee appointment and privileging of the Professional Staff and to make recommendations to the Governing Body regarding staff appointments and privileging. **Utilization and Peer Review -** ensure a planned, systematic and ongoing process for monitoring, evaluating, and improving the efficient utilization of hospital services and to improve performance related to services rendered by the Professional Staff. This function is reviewed at Unit Leadership Council for SHS. **ARRANGEMENT:** Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site. * Other records kept by this committee may include, but is not limited to, the current approved by-laws and rules and regulations of the Medical Staff; credentials files to include individual practitioner credentials files with current and historical data; inactive credentials files from practitioners no longer employed.					

LEGEND:

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Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4087	**ENVIRONMENT OF CARE COMMITTEE** **SHN DATES: 7/2006 to present** **SHS DATES: 2008 to present** **DESCRIPTION:** To maintain preparedness of the facility in promoting the safety, welfare, and security of patients, staff and others present within the facilities during routine operations, emergencies, or disasters.* **ARRANGEMENT**: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site. * Other records kept by this committee may include, but is not limited to, fire drill reports; hospital-wide disaster flip charts; facility inspections and hazards vulnerability analysis reports; water quality reports; life safety system inspections and maintenance.	Admin and/or Perform. Imprv. Dept.	AV, then destroy		X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4088	**HOSPITAL MANAGEMENT COMMITTEE (HMC) AND/OR DEPARTMENT HEADS MEETING** **SHN DATES: 1992 to present** **SHS DATES: 2010 to present** **DESCRIPTION:** To provide a forum for communication and dissemination of information among managers and supervisors including discussion about inter-department issues, internal and external to the hospital, receive updates on facility operations, plan administrative operations, and disseminate information to department/service staff. Employee Recognition & Employee Health & Wellness activities are included in this meeting. **ARRANGEMENT:** Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Admin and/or Nursing Admin	AV, then destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4089	**PERFORMANCE IMPROVEMENT COUNCIL** **DATES: 1992 to present.** **DESCRIPTION:** Performance Improvement Council/Quality Council has the overall responsibility for PI program direction and coordination throughout the facility and among all departments including morbidity and mortality functions.* **ARRANGEMENT:** Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site. *These records include patient exit interview forms; Unusual Occurrence forms, monthly QI reports, Restrains and Seclusion forms.	Admin	AV, then destroy		X	**RA –** IC § 39-1392b. IC § 9-340C(18) IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4090	**QUALITY CONTROL** **DATES: 2008 to present** **DESCRIPTION:** Quality Council has the overall responsibility for PI program direction and coordination throughout the facility and among all departments including ORYX/NRI data.* **ARRANGEMENT:** Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site. *These records include patient exit interview forms; Unusual Occurrence forms, monthly QI reports, Restraint and Seclusion forms.	Perform Imprv. Department	AV, then destroy		X	RA – IC § 39-1392b. IC § 9-340C(18) IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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SG4091	**DEPARTMENT AND SUPERVISORY MEETINGS** **DATES: Varied, by Department** **DESCRIPTION:** Communications across departments and divisions, attended by hospital employees and division employees at the hospital location, regarding hospital or division topics that pertain to staffing, operations, and activities, such as announcements, plans and projects, problems and resolutions. Meeting may occasionally include training and in-service, and distribution of local, state and national information. Policies and procedures are discussed. **ARRANGEMENT:** Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Depart. Specific	AV, then destroy			
SG4092	**PATIENTS' RIGHTS ADVISORY COUNCIL** **DATES: 2000 to present** **DESCRIPTION**: The membership represents interest groups, and consumers, The membership reviews and assists in policies, goals and objectives and planning; reviews state laws, proposes and supports legislation; advocates for consumers and mental health services; reviews Performance Improvement and Hospital activities and reports, and makes recommendations. **ARRANGEMENT:** Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Perfor. Imprv.Dept.	AV, then destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4093	**PATIENT CONCERN (FORMERLY PATIENT ADVOCACY) AND/OR PATIENTS' RIGHTS COMMITTEE** **SHN DATES: 11/2000 to present** **SHS DATES: 2001 to present** **DESCRIPTION:** The primary purpose of the Committee is to evaluate unresolved patient concerns and suggest potential resolutions to issues brought forth. The secondary purpose of the Committee is to provide an internal process by which we monitor resolved patient concerns to promote accountability within the organization. The Committee is composed of a cross section of employees within the organization. **ARRANGEMENT:** Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Admin. – SHN Perfom. Imprv. Depart – SHS	AC + 3 years, AV, then destroy			RA – IC § 39-1392b. IC § 9-340C(18) IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:
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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4094	**SECLUSION AND RESTRATINT COMMITTEE** **DATES: 2004 to present** **DESCRIPTION: T**he primary purpose of the Committee is to respond to the national and international goal of reducing seclusion and restraint in behavioral health programs. This committee uses the 6 Core Strategies as its guide for the committee's actions: 1. Promoting a coercion-free environment of mutual respect, supported by a committed leadership team; 2. The creative use of data in a non-punitive though competitive way; 3. A well trained and skillful workforce; 4. The skillful and effective use of de-escalation tools and techniques; 5. Effective peer support, and the formal involvement of consumers in their own treatment and in other hospital affairs; 6. Utilization of effective debriefing strategies to prevent recurrence and facilitate both patient and organizational learning. There are 6 subcommittees that report to the committee. Any minutes/recommendations are recorded through the main committee minutes. **ARRANGEMENT:** Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Perfor Imprv Depart	AV, then destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4095	**EDUCATION COMMITTEE** **DATES: 2010 to present** **DESCRIPTION:** 1. Promote in-service and continuing education activities for State Hospital South employees. 2. Promote forums for annual mandatory training. 3. Support efforts to evaluate the effectiveness of in-service activities as part of the State Hospital South Performance Improvement Plan. 4. Function as a subcommittee of the Executive Management Committee. 5. Identify and advise on educational resource needs for State Hospital South and pursue avenues for meeting these needs. **ARRANGEMENT**: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Perform Improv Depart	AV, then destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4096	**NURSING DEPARTMENT - CARDEX** **SHN DATES: Current patients** **SHS DATES: Current patients** **DESCRIPTION:** These records may include, but are not limited to, pertinent patient information such as medications, diagnosis, and any special instructions for patient care. This is a working document only and the original information is contained in the patient medical record and the Cardex is shredded upon patient discharge. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AC, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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SG4097	**NURSING DEPARTMENT - CENSUS / SHIFT REPORT/PATIENT ACTIVITIES** **SHN DATES: January 2007 to present** **SHS DATES: December 2011 to present** **DESCRIPTION**: These records may include, but are not limited to, current unit census by shift, otherwise or unauthorized absences, admissions or discharges and is compiled daily and is then sent to Medical Records (top portion only) who uses the information to validate the Hospital Daily Census. The bottom portion contains a working list of patients, their precaution levels, and any seclusion and restraint episodes that have occurred for the shift which is also contained in the patient's medical record. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AC + 2 months, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4098	**NURSING DEPARTMENT - UNAUTHORIZED ABSENCE REPORT TO ADMINISTRATION** **DATES: Unknown to present** **DESCRIPTION**: These records may include, but are not limited to, documentation of incidents of patients attempting to leave without permission which contains a brief description of the event and who was notified. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 5 years, AV then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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SG4099	**NURSING DEPARTMENT - DIVISION OF BEHAVIORAL HEALTH INCIDENT/ACCIDENT REPORT** **SHN DATES: Jan 2007 to present** **SHS DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to, documentation of incidents that may rise to the level of media attention and informs Hospital Administration and the Division of Behavioral Health of what has occurred. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 5 years, AV then destroy		X	

LEGEND:

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SG4100	**NURSING DEPARTMENT - QUALITY ASSURANCE REPORTS/WORKSHEETS** **SHN DATES: Jan 2009 to present** **SHS DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to, any paper form or mechanism used to monitor an activity in the hospital that is then complied into a Quality Assurance Report. Examples include, but are not limited to, Mock Code Drills, Pain Audit Sheets, Read-Back Monitors, Medication Administration Audits, etc. The information gleaned from these activities are then compiled into a report and sent through various committees for review and/or further recommendation. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	
SG4101	**NURSING DEPARTMENT - UNIT DUTY ROSTERS** **SHN DATES: January 2007 to present** **SHS DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to, working schedules on the unit of staff responsibilities for each shift. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 1 year, then destroy		X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4102	**NURSING DEPARTMENT - UNIT DESK CALENDAR** **SHS DATES: Unknown to present** **DESCRIPTION:** These calendars are kept on the desk of each unit and may include, but are not limited to, medical appointments and clinic visits. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE, then destroy		X	
SG4103	**NURSING DEPARTMENT - PATIENT SIGN-OUT** **SHS DATES: Unknown to present** **DESCRIPTION:** These log books are kept on each unit and may include, but are not limited to patients who have achieved a certain level and can sign out to leave the unit and back in when they return. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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SG4104	**NURSING DEPARTMENT - PATIENT SIGN-UP LISTS** **SHS DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to, group sign up lists, laundry sign up lists, telephone lists for which patient is in line to use the phone next, etc. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4105	**NURSING DEPARTMENT - BATHROOM/TUB ROOM CHECKS** **DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to, forms filled out by staff every 15 minutes to make sure the doors on the unit remain locked and that no unsafe behavior is taking place in the tub rooms. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy		X	

LEGEND:
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SG4106	**NURSING DEPARTMENT - PATIENT PICTURE IN MEDICATION ROOM** **SHN DATES: Current patients** **SHS DATES: Current patients** **DESCRIPTION:** These records may include, but are not limited to photos and/or other identifying information of the patient kept in the medication room for identifying the patient during medication pass. Upon discharge, the picture is sent with the patient stapled to their medication bag. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AC, then give to patient or destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4107	**NURSING DEPARTMENT - CENSUS SHEETS** **SHN DATES: Unknown to present** **SHS DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to lists of all patients on the unit and a check by staff that all patients are accounted for at the top of every hour. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE +1 year, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4108	**NURSING DEPARTMENT - LAUNDRY CLEANING LOG** **DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to lists for staff to sign off every night when the laundry room is cleaned. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE +3 years, then destroy		X	
SG4109	**NURSING DEPARTMENT - BLOOD GLUCOSE MONITORING SYSTEM** **DATES: Unknown to present** **DESCRIPTION**: These records may include, but are not limited to worksheets that staff use to check off that the blood glucose monitor has been cleaned and checked prior to use every day and between uses. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE +3 years, then destroy		X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4110	**NURSING DEPARTMENT RECORDS - PULSE OXIMETER AND SHARPS ACCOUNTABILITY SHEETS** **DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to logs that staff use from shift to shift to make sure the pulse oximeter and/or sharps are accounted for and recorded, every shift. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE +3 years, then destroy		X	
SG4111	**NURSING DEPARTMENT - PRECAUTIONS VERIFICATION SHEET** **DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to sheets kept in the precautions book on each unit that nursing staff use to verify that all patients on precautions have a sheet in the precautions book each shift and then sign. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	

LEGEND:

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Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

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SG4112	**NURSING DEPARTMENT - REFRIGERATOR LOG** **SHN DATES: Unknown to present** **SHS DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to forms for each fridge that is used to record the temperature inside the fridge to ensure that it is in the needed range. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE +3 years, then destroy		X	
SG4113	**NURSING DEPARTMENT - DEFIBRILLATOR LOG** **SHN DATES: Unknown to present** **SHS DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to logs for each defibrillator in the hospital that records that a check has been done on a nightly basis to ensure the battery is functional and the defibrillator is ready for use, if needed. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE +3 years, then destroy		X	

LEGEND:

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SG4114	**NURSING DEPARTMENT - MINUTES FOR PATIENT - LED GROUPS** **DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to documentation kept by patients for some of the groups on the units, for example small group on adolescent unit and/or therapeutic community groups. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4115	**NURSING DEPARTMENT RECORDS - LEVEL PRECAUTIONS SHEETS** **DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to worksheets kept on the adolescent unit that record level changes for each patient, which is then recorded in the patient's medical record. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AC, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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SG4116	**NURSING DEPARTMENT - TARGET BEHAVIORS SHEET** **DATES: Unknown to present** **DESCRIPTION**: These records may include, but are not limited to worksheets used on the adolescent unit for each patient that communicates to staff the behaviors being targeted for each patient which is then recorded in the patient's medical record. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4117	**NURSING DEPARTMENT - APPROVED FOR PHONE CALL/VISITOR FOR PATIENT LISTS** **DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to, lists kept for each adolescent of who can visit the adolescent and who the adolescent can call. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AC, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:
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SG4118	**NURSING DEPARTMENT - LAB TRACKING SHEETS** **SHN DATES: January 2009 to present** **SHS DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to, worksheets used on the units to track who needs labs drawn, and includes the date and time that the lab is to be drawn. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4119	**NURSING DEPARTMENT - INCENTIVE PROGRAM SHEETS** **DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to worksheets used to track different incentive programs that patients may be on, for example behavioral plans. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AC, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:
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SG4120	**NURSING DEPARTMENT – CRISIS/SAFETY PLAN WORKSHEETS** **SHN DATES: Current patients** **SHS DATES: Current patients** **DESCRIPTION:** These records may include, but are not limited to worksheets that are kept in a binder at the front desk or in the Cardex that give information to staff about specific Safety and/or Crisis Plans that patients are on. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AC, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4121	**NURSING DEPARTMENT – UNIT MASTER PATIENT PICTURE SHEETS** **SHN DATES: Current patients** **SHS DATES: Current patients** **DESCRIPTION:** These records may include, but are not limited to master patient sheets with pictures of all the patients on each unit that are used for precaution and safety checks by staff. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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SG4122	**NURSING DEPARTMENT - PATIENT EVALUATION SHEET** **DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to worksheets used to track patient participation on the adolescent unit, activities of daily living, and/or target behaviors. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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SG4123	**NURSING DEPARTMENT – AD-HOC WORKSHEETS** **VARIANT TITLES**: Patient Admission Report, Vital Sign Tracking Sheet, etc. **SHN DATES: Shredded upon entry into the patient record.** **SHS DATES: Shredded upon entry into the patient record.** **DESCRIPTION:** These documents may include, but are not limited to, worksheets used by individual staff to gather information that is later used to create professional assessments and other progress notes that are then entered into the patient's record. After entry into the patient record, the worksheets are then shredded. These professional reports and/or progress notes may later be disseminated to relevant, outside individuals and agencies and are used for continuing patient care. Information gathered on these worksheets may include, but is not limited to, compilation of data that relates to behaviors, goals, level and status changes, etc. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4124	**NURSING DEPARTMENT – EMPLOYEE RECORDS** **SHN DATES: Unknown to present** **SHS DATES: Unknown to present** **DESCRIPTION:** These records may include, but are not limited to, employee documentation related to performance; copies of employee appraisals; copies of education and/or training records; copies of staff licenses and certifications, employee schedules, etc. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept Supvr Files	AC, then transfer entire file to HR		X	
SG4125	**NURSING DEPARTMENT – LAB SLIPS** **DATES: Unknown to present** **DESCRIPTION:** Paper slip filled out by the unit staff for patients requiring lab blood draws or other lab tests. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4126	**NURSING DEPARTMENT – BLOOD GLUCOSE CONTROL MONITORS** **SHN DATES: Unknown to present** **SHS DATES: Unknown to present** **DESCRIPTION:** This is a list of time and units that the glucose controls have been completed that prints out in the lab. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy		X	
SG4127	**NURSING DEPARTMENT – DENTAL APPOINTMENT BOOK** **DATES: Unknown to present** **DESCRIPTION:** This is a yearly calendar kept in the dental area to track dental appointments. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy.		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4128	**NURSING DEPARTMENT - DAILY LAB LOG** **SHN DATES: January 2009 to present** **SHS DATES: Unknown to present** **DESCRIPTION:** List of Daily Labs drawn on each patient. This is a working copy for the lab; all information is entered into the patient's medical record. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4129	**NURSING DEPARTMENT – CLINIC DESK CALENDAR** **DATES: Unknown to present** **DESCRIPTION:** This is the daily working list for the clinic of patients needing to be seen from the units. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE, then destroy.		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4130	**NURSING DEPARTMENT – DISCHARGE SUMMERY PROCESS WORKSHEET** **SHN DATES: Unknown to present** **SHS DATES: Unknown to present** **DESCRIPTION:** This is a form that is used to check off that all items are complete before patient discharge. This is kept with a copy of the discharge notification sent out via email from the units while the discharge is being planned. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4131	**NURSING DEPARTMENT – EKG WORKBOOK** **DATES: Unknown to present** **DESCRIPTION:** This is a book that is used to keep and track all EKG's that are being completed. This information is then entered into the patient's medical record when complete. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy.		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4132	**NURSING DEPARTMENT – CLINIC MEDICATION CABINET LOG** **DATES: Unknown to present** **DESCRIPTION:** This is a log sheet on the medication cabinet in the Medical Clinic that is signed each evening to ensure the cabinet is locked while not in use. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy		X	
SG4133	**NURSING DEPARTMENT – AUTOCLAVE PRINT OUT STRIPS AND LOG OF ITEMS STERILIZED** **DATES: Unknown to present** **DESCRIPTION:** This is a log book kept of all the print out strips from the autoclave and the log book of items run. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy.		X	

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SG4134	**NURSING DEPARTMENT – DENTAL RECORDS** **DATES: Unknown to present** **DESCRIPTION:** Records kept by the Dental Team in the dental area for each patient that is seen. This information is then entered into the patient's medical record. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4135	**NURSING DEPARTMENT – MEDICAL CLINIC SHADOW CHARTS** **DATES: Unknown to present** **DESCRIPTION:** This is a shadow chart consisting of copies of documentation for each patient that is maintained and kept by the medical clinic for their own convenience. All information in these charts can be found in the patient's medical record or admission shared drives. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4136	**NURSING DEPARTMENT – EKG RECORDS** **DATES: Unknown to present** **DESCRIPTION**: Paper copies of all EKG which are done at the hospital. The original information is kept in the patient's medical record. **ARRANGEMENT**: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4137	**NURSING DEPARTMENT – NEBULIZER CHECK OUT LOG** **DATES: Unknown to present** **DESCRIPTION:** This is a log to track the use and where nebulizers are checked off for use at any given time. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy		X	

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SG4138	**NURSING DEPARTMENT – X-RAY'S** **DATES**: Unknown to present **DESCRIPTION**: The actual processed x-ray films. **ARRANGEMENT**: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 10 years, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4139	**NURSING DEPARTMENT – PULMONARY FUNCTION TEST LOG** **DATES: Unknown to present** **DESCRIPTION:** This is a log of patients that receive a pulmonary function test and the results of it. The completed test is then entered into the patient's medical record. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4140	**PATIENT'S RIGHTS - MISCELLANEOUS** **SHN DATES: 2005 to present** **SHS DATES: 1990 to present** **DESCRIPTION:** These records may include, but are not limited to, documentation related to surveys, suggestions, patient grievances, letters, documentation from various sources, miscellaneous records, and/or the patient's rights' advocate. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improvt Dept and/or Patient Represent ative Office	AC + 3 years;		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4141	**PERFORMANCE IMPROVEMENT – QUALITY COUNCIL COMMITTEE** **SHN DATES: 1992 to present** **SHS DATES: January 2009 to present** **DESCRIPTION:** The purpose of this committee is to assure that processes are in place to assure continual compliance with standards set forth by CMS (Centers for Medicare and Medicaid Services), the Joint Commission and state licensure. It reviews areas of service improvement and monitors quality of services to patients, staff and visitors. Indicators may include, but are not limited to ORYX Measures, NRI Core Measures and FMEA Studies. The minutes document attendance, date and time, topics discussed and/or decisions or recommendations made in relation to ongoing operations and function of the hospital. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improvt Dept	AC +3 years, then destroy		X	

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4142	**PERFORMANCE IMPROVEMENT – QUALITY COUNCIL REPORTS** **SHN DATES: 2004 to present** **SHS DATES: January 2007 to present** **DESCRIPTION:** This record series may include, but is not limited to: a) ORYX (Quarterly) Non-Core Measures reported only to NRI; Elopement Rate, 30 Day Readmit (Discharge Cohort) Percent of Clients secluded, Seclusion Hours, Percent of Clients restrained, Restraint Hours, Core Measures reported to NRI and The Joint Commission: HBIPS-1.1 through HBIPS-1.7, b) Performance Improvement Reports (Quarterly) Seclusion/Restraint, Medication Administration Errors, SCNF Medication Administration Errors, Significant Event Reporting Patient Data, Significant Event Reporting Staff Data, NRI ORYX Reports, Patient's Rights Satisfaction Ratings Report; c) FMEA Studies (Hospital/LTC) Western Psychiatric Hospital Association (Annually) Medication Errors and Seclusion and Restraint. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improvt Dept	AC +3 years, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4143	**PERFORMANCE IMPROVEMENT - WORKSHEETS** **SHN DATES: 1998 to present** **SHS DATES: January 2007 to present** **DESCRIPTION:** This record series may include, but is not limited to, Miscellaneous Worksheets for Reports including: a) ORYX (Quarterly) Non-Core Measures reported only to NRI; Elopement Rate, 30 Day Readmit (Discharge Cohort) Percent of Clients secluded, Seclusion Hours, Percent of Clients restrained, Restraint Hours, Core Measures reported to NRI and The Joint Commission: HBIPS-1.1 through HBIPS-1.7, b) Performance Improvement Reports (Quarterly) Seclusion/Restraint, Medication Administration Errors, SCNF Medication Administration Errors, Significant Event Reporting Patient Data, Significant Event Reporting Staff Data, NRI ORYX Reports, Patient's Rights Satisfaction Ratings Report; c) FMEA Studies (Hospital/LTC) Western Psychiatric Hospital Association (Annually) Medication Errors and Seclusion and Restraint. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improvt Dept	AC +3 years, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4144	**PHARMACY - INSURANCE CLAIMS (FINANCIAL)** **DATES: May 2009 to present** **DESCRIPTION**. Records may include, but are not limited to, medication claims sent through Medicare-Part D for prescription reimbursement. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Pharmacy Dept	AC + 3 years, then archive to Materials Management +7 years, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IDAPA 27.01.01.008

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4145	**PHARMACY – MEDICATIONS** **Variant Titles**: Borrowed/Returned Log Injectable Sign Out Log Medication Sign Out Log Discharge Medication Sign Out Log, Drug Recalls Invega Sustena Replacement Program Log Guaranteed Returns Floor stock Packaging Logs Destruction Logs **SHN DATES: 2008 to present** **SHS DATES: January 2004 to present** **DESCRIPTION:** Records may include, but are not limited to, documentation of patient related medication dispensing, financial information, proprietary pharmacy administration, or other documentation related to registration, transportation, procurement, packaging, storage, recall and/or destruction. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Pharmacy Dept	AC + 3 years, then archive to Materials Management +4 years, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IDAPA 27.01.01.008

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4146	**PHARMACY - INSPECTION RECORDS** **Variant Titles:** Temperature Logs Inspector Logs for Controlled Substances Medication Cabinet Verification Log, Unit Med Room Inspection Log, Hood Inspection Report Hood Cleaning Log Thermometer Calibration Log Call Log Annual Inventory Board of Pharmacy Inspections **SHN DATES: 2008 to present** **SHS DATES: January 2004 to present** **DESCRIPTION:** Records may include, but are not limited to, information obtained from periodic quality assurance or non/scheduled inspections. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Pharmacy Dept	AC + 3 years, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IDAPA 27.01.01.008 (Some of the variant titles may contain DEA sensitive information and/or patient information)

LEGEND:
Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**
Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**
Vital: X-**Record is vital for immediate operation of the office of origin or the institution**
Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4147	**PHARMACY – CONTROLLED SUBSTANCE** **Variant Titles:** CONTROL Substance Perpetual Inventory Count Control Substance Log Book (BOP), CII PLB Accountability, 222 Purchasing Forms Nursing Narcotics Shift Check Sheet Narcotic Dispensing Receiving Reports Controlled Substance Administration Records Controlled Destruction Log Legal Power of Attorney **SHN DATES: 2008 to present** **SHS DATES: January 2004 to present** **DESCRIPTION:** Records may include, but are not limited to, information that documents the control of medications that are classified as controlled substances by the DEA and Board of Pharmacy and/or records of Power of Attorney to obtain controlled substances for the facility. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Pharmacy Departme nt	AC + 3 years, then archive to Materials Management +4 years, then destroy	RA	X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 (Some of the variant titles may contain DEA sensitive information and/or patient information)

LEGEND:
Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**
Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**
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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4148	**PHARMACY – DISCHARGE** **Variant Titles**: CII Script Signatures Discharge Prescription Slips **DATES: January 2004 to present** **DESCRIPTION:** Records may include, but are not limited to, records of prescriber signatures of a Schedule II Medication for discharge and records of medications ordered at discharge. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Pharmacy Dept	AC + 3 years, then archive to Materials Management +4 years, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4149	**SECURITY RECORDS – SHIFT REPORT** **DATES: January 2000 to present** **DESCRIPTION:** These records may include, but are not limited to, a continuing account of significant events encountered by Security Officers and may include but is not limited to the following types of information, timeline entries of building security checks and/or status; response to Hospital emergencies; documentation of patient transport events; documentation of events involving the general public, family members of patient's and/or associated agencies, etc. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Security Dept	AC + 2 years, AV, then destroy		X	Idaho Code § 5-219
SG4150	**SECURITY RECORDS – KEY ISSUE RECEIPT** **SHN DATES: 1995 to present** **SHS DATES: 2001 to present** **DESCRIPTION:** These records include a record of the type of keys issued to employees assigned to State Hospital South, date the keys were issued, dates the keys are returned, etc. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	SHN – Mtce & Operations SHS - Security Dept	AC, then destroy		X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4151	**SECURITY RECORDS – TEMPORARY ISSUE KEY LOG** **DATES: 2001 to present** **DESCRIPTION:** These records may include, but are not limited to, logs that document employees who are temporarily issued keys, the Security Officer that issued the keys, the type of keys issued, the employee who received the key, and the date the keys were returned. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Security Dept	AC, then destroy		X	
SG4152	**SECURITY RECORDS - VALUABLES** **DATES: 2000 to present** **DESCRIPTION:** These records may include, but are not limited to a carbon copy of patient belongings stored in the Security Department secured storage room from the time of admission until the time of discharge. The original is stored in the patient medical record. The carbon copy contains the original signature of the employee who returned the patient's belongings at the time of discharge. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Security Dept	Adults –AC +7 years, then shred Minors –AC + age of majority, + 7 years, then shred		X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4153	**SECURITY RECORDS – EMPLOYEE RECORDS** **DATES: November 2002 to present** **DESCRIPTION:** These records may include, but are not limited to, employee documentation related to performance; copies of employee appraisals; copies of education and/or training records; employee schedules, etc. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Security Dept	AC, then transfer entire file to HR		X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4154	**SUPPORT SERVICES – PREVENTATIVE MAINTENANCE WORK ORDERS** **SHN DATES: 1995 to present** **SHS DATES: January 1, 2008 to present** **DESCRIPTION:** These records may include, but are not limited to, information that documents regularly scheduled preventative maintenance on campus; examples may include fire extinguisher checks, boiler rounds, heat pumps, air handlers, emergency generators, smoke/fire/exit separations, etc., and are conducted on monthly, bi-monthly, quarterly, semi-annual, annual and/or other basis generated from an MP2 software program. Work Orders are printed out and given to the worker which is then filed after completion of the work. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	CE + 3 years, AV then destroy		X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4155	**SUPPORT SERVICES – UTILITY/VENDOR BILLING** **SHN DATES: 2001 to present** **SHS DATES: Fiscal Year 2008 to present** **DESCRIPTION:** These records may include, but are not limited to utility/vendor billing from the following agencies: Idaho Power, City of Blackfoot Water, Intermountain Gas; Avista Utilities, ComData, etc. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	FE + 3 years, AV then destroy			
SG4156	**SUPPORT SERVICES – SITE PLANS** **SHN DATES: 1949 to present** **SHS DATES: 1931 to present** **DESCRIPTION:** These records may include, but are not limited to, information that documents maps and floor plans of each building on campus. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Director's Office	PM, LA	A	X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4157	**SUPPORT SERVICES - CONTRACTS AND/OR AGREEMENTS FOR DPW, H&W, SHS; FARM** **SHN DATES: 1985 to present** **SHS DATES: 1972 to present** **DESCRIPTION:** These records may include but are not limited to, information that documents contracts and/or agreements (copies and/or originals) for the following entities; DPW, H&W, SHS; Farm which includes, but is not limited to the following; construction projects and land leases. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	AC (or after final payment under the contract - whichever is greater) + 5 years, AV then destroy	A	X	Idaho Code § 5-216
SG4158	**SUPPORT SERVICES - ADMINISTRATIVE MINUTES & DEPARTMENT NOTES** **SHN DATES: 1992 to present** **SHS DATES: January 2009 to present** **DESCRIPTION:** These records may include, but are not limited to, information that documents Support Services Department, EOC Sub-Committees; Utility, Security, and Hazardous Waste meetings. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	CE + 3 years, AV, then destroy		X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4159	**SUPPORT SERVICES – CEMETERY RECORDS** **DATES: 1890 - 1981** **DESCRIPTION:** These records may include, but are not limited to, information that documents various listings (alphabetical by surname, grave number, chronological by date of death) of burial information related to graves in the SHS cemeteries and may include, but is not limited to, patient names, dates of death, grave numbers, cemetery plot information and plot maps. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Support Services Admin. Assistant Office	PM	A	X	
SG4160	**SUPPORT SERVICES - MOTOR VEHICLE RECORDS; INSURANCE, REGISTRATION, ACCIDENT REPORTS** **SHN DATES: 1998 to present** **SHS DATES: 1980 to present** **DESCRIPTION:** These records may include, but are not limited to, information that documents current motor vehicle cleaning schedules, automotive insurance certificates, motor vehicle registration, and all accident reports. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	US *		X	*Exception – Accident reports will be kept for the statute of limitations period, under Idaho Code § 5-219, which is 2 years.

LEGEND:

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Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4161	**SUPPORT SERVICES - INSPECTIONS; ENVIRONMENTAL, ELEVATOR, DEPT. OF BUILDING SAFETY** **SHN DATES: 1995 to present** **SHS DATES: 2002 to present** **DESCRIPTION:** These records may include, but are not limited to, information that documents campus inspections, certification of elevators, and/or buildings. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	CE + 5 years, AV then destroy		X	
SG4162	**SUPPORT SERVICES/MAINTENANCE -MAINTENANCE CALL BACK LOG** **DATES: FY 2010 - present** **DESCRIPTION:** These records may include, but are not limited to, information that documents maintenance personnel called after hours for potential problems pertaining to after hour's maintenance issues at SHS. **ARRANGEMENT:** Paper and/or other photographically reproduced form or electronic medium.	Support Services Admin. Assistant Office	AV, then destroy			

LEGEND:

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Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4163	**SUPPORT SERVICES - EMPLOYEE INFORMATION** **SHN DATES: 2000 to present** **SHS DATES: June 2009 to present** **DESCRIPTION:** These records may include, but are not limited to, **copies** of performance appraisals; education and/or in-service training records; employee medical information. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Dept Directors Office	AC, then transfer to HR		X	

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4164	**RISK MANAGEMENT RECORDS – SIGNIFICANT EVENT REPORT – ADMINISTRATIVE REVIEW - PATIENT** **Dates: January 2012 to present** **DESCRIPTION:** These reports may include, but are not limited to, the name of the resident, their location, event description, charge RN review, Treatment Team review and/or Disposition. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Offices	AC + 7 years, then destroy		X	RA- 42 C.F.R. § 483.75(*l*)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4165	**ABUSE INVESTIGATION REPORT** **Dates: January 2010 to present** **DESCRIPTION:** Abuse Investigation Report submitted to the Bureau of Facility Standards within five working days of the allegation/incident. Components of the investigation may include, but are not limited to: date/time of incident; description of event; summary of resident, staff and witness interviews. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Offices	AC + 7 years, then destroy		X	**RA-** 42 C.F.R. § 483.75(*l*)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:
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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4166	**ENVIRONMENTAL SAFETY HAZARD CHECKS** **Dates: CMS survey to survey** **DESCRIPTION:** Information may include, but is not limited to, environmental checks of resident room, day area and other common areas. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office	AC, plus 3 years		X	
SG4167	**EXAMINATION OF SURVEY RESULTS** **Dates: January 2006 to present** **Dates: Current CMS Survey** **DESCRIPTION:** The survey of the facility conducted by Federal and/or State surveyors and any plan of correction with respect to the facility. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office Syringa Chalet 1st Street Nursing Station	AV, plus 3 years		X	With respect to any specific patient information in the survey: 42 C.F.R. § 483.75(*l*)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:
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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4168	**LICENSURE SURVEY & FIRE SAFETY SURVEY** **Dates: January 2006 to present** **Dates: Current CMS Survey** **DESCRIPTION:** Each year a State Licensure Survey is conducted by the Bureau of Facility Standards (BFS), division of Medicaid, Department of Health & Welfare. We are required to provide a Plan of Correction, should we be deemed non-compliant on any issue. A copy of all correspondence with BFS and the Plan of Correction is kept on file for 7 years. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office Syringa Chalet 1st Street Nursing Station	AC + 7 years		X	With respect to any specific patient information in the survey: 42 C.F.R. § 483.75(*l*)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4169	**PERSONNEL FILES** **Dates: Current employees** **DESCRIPTION:** These records may include, but are not limited to, employee documentation related to hiring, CNA licenses, Nursing (RN & LPN) licenses, Administrator licenses and any other certification for that person, copies of PAN's, documentation related to performance, copies of performance appraisals; education records; in-service training records; employee medical information; employee schedules and/or labor allocation, vacation or sick leave requests, etc. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office/ Nursing	AC, then transfer to HR		X	
SG4170	**REQUISITIONS FOR PURCHASING** **Dates: January 2012 to present** **DESCRIPTION:** Carbon copies of requisitions made for purchasing items for facility or patient use at SCNF. The original is routed to Materials Management where they are then entered into Navision for purchasing. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office	AV, CE			

LEGEND:
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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4171	**WORKING DESK MANUAL** **Dates: January 2009 to present** **DESCRIPTION:** These records may include, but are not limited to, up-to-date information kept as patients are admitted, transferred and discharged, Resident Census, Resident Listing by Room Number, Patient pictures, Clothing Advocate Assignments and Reviews, Resident Advocate/Guardian List, Trust and Benefits Account Information, Syringa Map/Floor Plan, Required Paperwork (a spreadsheet kept for maintaining Court documents and Resident Rights), reports due (notification to others of Court documents and H&P's are due), Resident Discharge and Re-admission checklist, Admission log, Discharge Log, Statistics, PASRR Dates for Residents and Old Resident Census. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office	AV, AC		X	RA- 42 C.F.R. § 483.75(*l*)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4172	**APPLICATIONS FOR LICENSURE** **Dates: January 2006 to present** **DESCRIPTION:** Each year an application for licensure is submitted to the Bureau of Facility Standards. The applications, along with a copy of the licenses and the original once a new one is received are kept on file for 7 years. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office	AC + 7		X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4173	**ROOT CAUSE ANALYSIS – SENTINEL EVENT (The Joint Commission)** **Dates: January 2009 to present** **DESCRIPTION:** Performed only when a Sentinel Event occurs. This information along with reports is kept on file for 7 years. Information contained in the Root Cause Analysis may include, but is not limited to the following: level of analysis; questions; diagnosis; human factors; equipment factors; controllable environment factors; uncontrollable external factors; human resources issues; Information management issues; environmental management issues; leadership issues; uncontrollable factors; and an action plan. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office	AC + 7		X	**RA-** 42 C.F.R. § 483.75(*l*)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 39-1392 to 1392f Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4174	**ADVANCE DIRECTIVES MANUAL** **Dates: Current Residents with Advanced Directives on File** **DESCRIPTION:** After review from the Deputy Attorney General's Office, a copy of each resident's advance directive is kept in a binder for easy access and a copy is also scanned into the patient's electronic medical record where it is retained permanently. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office	AC, then binder copy is shredded		X	RA- 42 C.F.R. § 483.75(*l*)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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SG4175	**UTILIZATION MANAGEMENT COMMITTEE** **SHS DATES: 1990 to present** **DESCRIPTION:** These records document meetings of the Unit Leadership Council that may include, but are not limited to, discussions and decisions made by the committee regarding Utilization Management. **ARRANGEMENT:** Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improvt Dept	AC +3 years, then destroy		X	
SG4176	**UTILIZATION MANAGEMENT RECORDS-MISC** **SHN DATES: 2009 to present** **SHS DATES: 1990 to present** **DESCRIPTION**: These records may include, but are not limited to, Medicaid Retrospective Reviews, Medicaid Claims Appeals, Insurance Communication Records, and Monthly Discharge Chart Audits. **ARRANGEMENT**: Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improvt Dept	AC + 3 years, then destroy			

LEGEND:

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SG4177	**ADMINISTRATION – DIRECTOR'S OFFICE RECORDS** Series provides a record of the administrative activities of the Director's office such as executive leadership of the Department; financial and personnel management; policy development; budget development and approval; and public contact. Series also documents the activities and decisions of the Board of Health and Welfare, which is responsible for governing Department operations or for advising its operations. [See section under Board of Health and Welfare at the end of Director's Office listings]. Records may include: correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports. Also may include: minutes, agendas, tape recordings, and board committee records. Records may also include constitution and by-laws, intergovernmental agreements, organization charts, draft and approved budgets, other documents preserving historical events of the Department as relating to the Director's office and/or its leadership.		PM	A	X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4178	**ADMINISTRATION – DIRECTOR'S OFFICE COMPLAINT AND INVESTIGATION RECORDS** Series documents complaints brought against the Department, its policies/procedures, or its employees alleging violation of laws and/or administrative rules that govern operation of the Department and documentation of any resulting disciplinary actions. Records may include, but are not limited to: correspondence; description of complaint; case files; legal notices and orders; hearing records; audio recordings and transcripts; license and certificate records; exhibits; investigative reports; working notes and files; investigation committee records, minutes, and agendas; and related correspondence and documentation.		AC + 7, then destroy	R	X	RA – May be restricted due to attorney-client privilege, personal information
SG4179	**DIRECTOR'S OFFICE – CORRESPONDENCE** Correspondence pertaining to the Director's Office, Deputy Directors, and/or their executive/management assistants. ***GUIDANCE:*** - CAUTION: This record series should be used only for correspondence that is not included in or directly related to another record series in this schedule.		PM	R	X	**RA**—Access may be restricted due to content, social security numbers, etc., attorney-client, or proprietary information.

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4180	**CLOSED CASE FILES** Hard copy files: For closed cases, except as listed in Section B below, shall be destroyed when there has been no activity for five (5) years.		AC + 5, then destroy	R		RA
SG4181	**ADOPTION CASE FILES** **A:** Children's adoption records include records of private agency adoptions, private/independent adoptions, and relative adoptions when the IDHW has received a petition and request to either complete or assign an Adoption Finalization Report to the Court, and Interstate Compact on the Placement of Children (ICPC) cases where the child's adoption occurs in the state of Idaho. All case records regarding a child's adoption including the permanent adoption record, the child protection record, the adoption assistance record, and any other IDHW records pertaining to the child shall be kept permanently. After the court finalizes a child's adoption, regional offices shall send all adoption records pertaining to the child (private and public) to Central Office Adoption Unit for permanent storage in the state data base. After scanning procedures have been implemented, all adoption records will be scanned into FOCUS by the regions for permanent storage.		PM	A	X	RA
	B: The adoption file and associated child protection file for any Indian child subject to ICWA is kept permanently and made available for review by: (1) the Secretary of the Interior for evidence of compliance by ICWA or (2) the Indian child, having reached the age of 18, for information regarding his/her tribal affiliation or other information necessary to protect any rights flowing from the individual's tribal relationship (IDAPA 16.06.01.844). **GUIDANCE:** **After scanning, the permanent, paper records will be sent to State Archives for permanent storage.**		PM	A	X	RA

LEGEND:

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SG4182	**ADOPTIVE FAMILY HOME STUDY RECORDS** **A:** Information regarding an adoptive family's home-study record shall be added to the adopted child's permanent adoption record and sent to the Central Office Adoption Unit for permanent storage. **GUIDANCE:** **After scanning, the permanent, paper records will be sent to State Archives for permanent storage.**		PM	A	X	RA
	B: Adoptive family home studies that have never been used for an adoptive placement of a child shall be destroyed after five (5) years with no activity.		AC +5, then destroy	R		
SG4183	**CHILDREN'S GUARDIANSHIP RECORDS** All records regarding a child who has been placed in the Department's guardianship, and not adopted, shall be maintained permanently. This includes both children for whom another legal guardian is appointed and children who remain in the Department's guardianship until they turn 18 years of age. Files shall be sent to the Central Office Adoptions Unit as soon as the child emancipates from Department guardianship or when the court appoints a different legal guardian for the child. After scanning procedures have been implemented, the regions will scan all guardianship records into FOCUS for permanent storage. **GUIDANCE:** **After scanning, the permanent, paper records will be sent to State Archives for permanent storage.**		PM	A	X	RA

LEGEND:

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SG4184	**CHILD PROTECTION CASES DISPOSITIONED AS "SUBSTANTIATED" OR "VALID"** Shall be retained permanently to serve as information for Administrative or Exemption Hearings.		PM	A	X	RA
SG4185	**CHILD PROTECTION CENTRAL REGISTRY** Names shall remain permanently on the electronic Central Registry unless: * A review by the Regional Program Manager finds the case evidence does not meet the criteria of a "Substantiated" or "Valid" disposition; * An Administrative Review Hearing or an Exemption Review Hearing overturns the disposition; or * An individual successfully petitions to have his/her name removed according to the procedures found in IDAPA 16.06.01.566.		PM	A	X	RA
SG4186	**INTERSTATE COMPACT ON THE PLACEMENT OF CHILDREN (ICPC) RECORDS** When Idaho is the receiving state, case records including foster care, relative placement, residential placement or juvenile corrections cases regarding an ICPC shall be destroyed after the case is closed and has no activity for five (5) years.		AC + 5, then destroy	R		

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SG4187	**ELECTRONIC FILES**					
	A: Cases without a removal episode: child protection referrals (presenting issues), assessments, case dispositions, and accompanying narratives must not be purged. Therefore, all electronic information related to child protection referrals will be retained in FOCUS.		PM	A	X	RA
	B: All other electronic information shall be deleted when a person has been in the electronic system for fine (5) years when there has been no case related activity recorded for the person.		AC + 5, then destroy	R		
	C: Cases with a removal episode: Consistent with AFCARS requirements, cases with a removal episode must not be purged. Therefore, all electronic information related to a child with a removal episode will be retained in FOCUS.		PM	A	X	RA

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4188	**MANNER OF RECORD DESTRUCTION FOR CHILDREN AND FAMILY SERVICES**					
	A: Case Records: After the retention periods specified above, programs shall destroy records by burning or shredding in keeping with the confidential nature of the record.		PM or until US			
	B: Audio/Visual Records: After the retention period has been met, audio/visual records shall be destroyed by the Department of a contractor that specializes in secure, confidential, full-service data destruction. This requirement can be met if a region has access to a machine that meets secure destruction specifications such as a disintegrator, grinder, or audio/visual shredder.		AC + 5	R		
	C: Child Protection Audio/Visual materials: Audio/video recordings shall be destroyed five (5) years after a case is closed and has no activity. Exceptions include audio/visual records related to reports of sexual abuse. Audio visual materials related to reports of sexual abuse may be purged 23 years from the child of concern's date of birth.		After DOB + 23	R		

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4189	**DEVELOPMENTAL DISABILITIES COMMITMENT RECORDS** Records of court-ordered commitment evaluations, commitment orders, and annual court reports on commitments shall be retained for fie (5) years past the death of the committed person or termination of the commitment and then destroyed.		After DOD + 5	R		
SG4190	**DEVELOPMENTAL DISABILITIES GUARDIANSHIP RECORDS** Records of developmental disabilities guardianships including evaluations, recommendations to the court, and court-appointment of guardians shall be retained for five (5) years past the death of the ward or termination of the guardianship and then destroyed.		After DOD + 5	R		
SG4191	**INTERSTATE COMPACT ON THE PLACEMENT OF ADULTS WITH MENTAL ILLNESS AND/OR DEVELOPMENTAL DISABILITIES** **A:** Case records of clients who are committed to the custody of the Attorney General of the Federal Bureau of Prisons through the Interstate Compact on the Placement of Adults with Mental Illness and/or Developmental Disabilities shall be maintained as long as the client is in the Federal Bureau of Prisons' custody. **B:** Other case records regarding Interstate Compact on the Placement of Adults with Mental Illness and/or Developmental Disabilities shall be destroyed after the case is closed and has no activity for five (5) years.		As long as in custody AC + 5	R R		

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4192	**MANNER OF RECORD DESTRUCTION FOR DEVELOPMENTAL DISABILITIES** **A: Case Records:** After the retention periods specified above, programs shall destroy records by burning or shredding in keeping with the confidential nature of their contents. **B: Audio/Visual Records:** After the retention period has been met, audio/visual records shall be destroyed by a business that specializes in secure, confidential, full-service data destruction. This requirement can also be met if a region has access to a machine that meets secure destruction specifications such as a disintegrator, grinder, or audio/visual shredder.		PM or until US AC + 5			

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4193	**INFANT TODDLER RECORDS** Parents or guardians of the child who was enrolled in the Infant/Toddler Program must be given written notice at exit from early intervention services that in six years from Program exit, the child's records, including any audio/visual materials, will be destroyed. Families will be given an opportunity to request a copy of existing records as part of Program exit activities and will be informed that no additional notice will be provided prior to destruction of the child's records. Prior to providing families their child's records, they will be reviewed, and if they contain any restricted child protection information, the record will be redacted as necessary and according to the policies of the Division of Family and Community Services. Records for Infant/Toddler Program participants shall be destroyed after the case is closed and has no activity for six (6) years.		AC + 6	R		
SG4194	**MANNER OF RECORD DESTRUCTION FOR INFANT TODDLER** **A: Case Records:** After the retention periods specified above, programs shall destroy records by burning or shredding in keeping with the confidential nature of their contents. **B: Electronic Records:** Electronic Records will not be destroyed, but will be maintained as archived records within the Infant/Toddler Program Web system. **C: Audio/Visual Records:** After the retention period has been met, audio/visual records shall be destroyed by the Department or a contracted entity that specializes in secure, confidential, full-service data destruction. This requirement can be met if a region has access to a machine that meets secure destruction specifications such as a disintegrator, grinder, or audio/visual shredder.		PM or until US PM AC + 5			

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4195	**NAVIGATION SERVICES** Information regarding a family's use of Emergency Assistance and/or Navigation Services (such as Career Enhancement, Kin Care funds) records (both electronic and hard copy) shall be destroyed after five (5) years with no activity.		AC + 5	R		
SG4196	**MANNER OF RECORD DESTRUCTION FOR NAVIGATION** **A: Case Records:** After the retention periods specified above, programs shall destroy records by burning or shredding in keeping with the confidential nature of their contents. **B: Audio/Visual Records:** After the retention period has been met, audio/visual records shall be destroyed by a business that specializes in secure, confidential, full-service data destruction. This requirement can also be met if a region has access to a machine that meets secure destruction specifications such as a disintegrator, grinder, or audio/visual shredder.		PM or until US AC + 5	 R		

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4197	**APPLICATION FILES** Documents pertaining to the application process and licensing history of organizations regulated by IDAPA 16.06.02 Rules Governing Child Care Licensing. Child care licensing records include Children's Residential Care Facilities, Children's Agencies, Children's Therapeutic Outdoor Programs, Foster Care, and Day Care. Records may include, but are not limited to license and certificate records, applications, inspection reports, background investigations, staff resumes, reports, lists of licensed establishments, and related correspondence and documentation.		AC + 5	R		
SG4198	**FACILITY FILES** Documents of complaints brought against Day Cares, Children's Residential Care Facilities, Children's Agencies, and Children's Therapeutic Outdoor Programs alleging violation of laws and/or administrative rules that govern operation of the program. Records may include but are not limited to correspondence, description of complaint, case files, legal notices and orders, hearing records, audio recordings and transcripts, license and certificate records, exhibits, investigative reports, working notes and files, investigation committee records, minutes, and agendas, and related correspondence and documentation. Consistent with other FACS records, administrative records shall be kept for five (5) years after a case is closed and has no activity and then destroyed.		AC + 5	R		

LEGEND:

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Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4199	**MANNER OF RECORD DESTRUCTION FOR CHILD CARE LICENSING**					
	A: Case Records: After the five (5) year retention period when there has been no case related activity recorded for the person after the case is closed, programs shall destroy records by burning or shredding in keeping with the confidential nature of their contents.		PM or until US			
	B: Audio/Visual Records: After five (5) years when there has been no case related activity recorded for the person after the case is closed, audio/visual and electronic records shall be destroyed by a business that specializes in secure, confidential, full-service data destruction. This requirement can also be met if a region has access to a machine that meets secure destruction specifications such as a disintegrator, grinder, or audio/visual shredder.		AC + 5			
	C: Electronic files: All electronic information shall be deleted when a person has been in the electronic system for five (5) years when there has been no case related activity recorded for the person.		AC + 5			

LEGEND:

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Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4200	**INSTITUTIONAL MEDICAL RECORDS** FACS institution, Southwest Treatment Center, shall maintain a separate policy for institutional records. After purging the record, the institution shall maintain the remaining permanent record in whatever media form it chooses, with the institution bearing the financial cost of its choice of storage media. The institution shall outline in its policy and procedures how it will maintain the permanent medical records following purging.		PM			

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4201	**AUTHORIZATION FOR PURGING OR DESTROYING RECORDS** A program manager, field office supervisor, or a designee shall authorize destruction or deletion of case records for programs.		PM			
SG4202	**SCHEDULE FOR DESTROYING RECORDS** Records shall be destroyed according to an established schedule. No record or partial record shall be destroyed out of the order of the established schedule.		PM			
SG4203	**LIST OF DESTROYED, DELETED, OR PURGED RECORDS** DHW programs and state institutions shall maintain a list of case and institutional medical records which have been purged, destroyed, or deleted and the dates they were purged, destroyed, or deleted.		PM			

LEGEND:

Retention Codes: AC-**After closed, terminated, completed, expired, settled or last date of contact;** AV-**As long as administratively valuable;** CE-**Calendar Year End (December 31st);** FE-**Fiscal Year End (June 30th);** LA-**Life of Asset;** PM-**Permanent;** UA-**University Archives;** US-**Until Superseded**

Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4204	**OUTCOMES AND MONITORING** DHW programs and state institutions shall monitor records retention practices periodically as part of existing, ongoing program and institutional reviews. This policy will be re-evaluated annually for the first three (3) years following its implementation and as needed thereafter.		PM			

LEGEND:

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Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

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Guidance: RA-**Refers to the security needs of a record series. Must be justified.**

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4205	**APPLICABLE STATUTES, RULES, OTHER POLICY, DHW STRATEGIC PLAN GOAL** DHW Strategic Plan Goal 5: Objective 4 – Technology: Implement business systems that provide the proper level of information at the proper level of the organization and are aligned with business goals.		PM or until US			
SG4206	**CHILD WELFARE – RULES GOVERNING FAMILY AND CHILDREN'S SERVICES** 16-1601.563.02 Central Registry; 16-1602.060 Family Case Record; Indian Child Welfare Act 245-U.S.C. 1912©, 1915(e), 1917, 1951; children's Mental Health; Adoption; Guardianship.		PM or until US			
SG4207	**INFANT/TODDLER PROGRAM** Federal Educational Rights and Privacy Act, 34CFR99.		PM or until US			
SG4208	**INTERSTATE COMPACT ON ADULTS WITH MENTAL ILLNESS AND/OR DEVELOPMENTAL DISABILITIES** 18 U.S.C. §4243 and 18 U.S.C. §4246.		PM or until US			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4209	**MEDICAL RECORDS** Rules and Minimum Standards for Hospitals in Idaho 16-0314.360.03, .07, 12; Idaho Code §39-1394 Patient Care Records.		PM or until US			
SG4210	**PUBLIC RECORDS** Use and Disclosure of Department Records IDAPA 16.05.01, §.050 – 254.		PM or until US			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2501	**MASTER RECORD – ADMISSION** Pre-Admission Profile All paperwork submitted prior to admission from other facilities (Note: Admission paperwork other than that directly required as part of the Pre-Admission Profile	SWITC	AC + 8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death - destroy five years after transfer
SG2548	**GENERAL ADMINISTRATIVE** • Abuse/neglect investigation files	SWITC	AV + 10 years then destroy	R		
SG2549	**GENERAL ADMINISTRATIVE** • Client purchasing requests, P-card transmittals, and purchase orders for purchases of client items	SWITC	AV + 8 years then destroy	R		
SG2550	**GENERAL ADMINISTRATIVE** • Copies of any records that have originals stored elsewhere unless otherwise listed on this form	SWITC	AV + 1 year then destroy	R		

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2551	**GENERAL ADMINISTRATIVE** • Correspondence, routine	SWITC	AV + 3 years then destroy	R		
SG2552	**GENERAL ADMINISTRATIVE** • Evaluator appointments	SWITC	AC	R		Until expired
SG2553	**GENERAL ADMINISTRATIVE** • Grievance: Client/Guardian	SWITC	AV +3 years then destroy	R		
SG2554	**GENERAL ADMINISTRATIVE** • Historical documents: written histories; newspaper articles; facility photographs that depict historical information; etc.	SWITC	PM - 10 years then transfer to State Historical Society	A		

LEGEND:
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SG2555	**GENERAL ADMINISTRATIVE** • Human Rights Committee Meeting Minutes	SWITC	AV + 8 years then destroy	R		
SG2556	**GENERAL ADMINISTRATIVE** • In-service and training sheets	SWITC	US	R		
SG2557	**GENERAL ADMINISTRATIVE** • Key check out	SWITC	AV	R		
SG2558	**GENERAL ADMINISTRATIVE** • Legal documents • Licensure surveys, Fire and Life Safety inspections, audits, and other surveys and inspections • Medicaid reimbursement reports	SWITC	PM - 10 years then transfer to State Record Center	A		

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2559	**GENERAL ADMINISTRATIVE** • Minutes: routine	SWITC	AV + 1 year then destroy	R		
SG2560	**GENERAL ADMINISTRATIVE** • Minutes: Advisory Board	SWITC	AV + 8 years then destroy	R		
SG2561	**GENERAL ADMINISTRATIVE** • Miscellaneous documentation such as visitor registration, parent's cottage registration, building supply order forms, travel reimbursement • Mock surveys	SWITC	AV + 1 year then destroy	R		
SG2562	**GENERAL ADMINISTRATIVE** • Performance improvement and other facility reports (except trends)	SWITC	AV + 10 years then destroy	R		

LEGEND:
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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2563	**GENERAL ADMINISTRATIVE** • Policies and Procedures	SWITC	AV +8 years then destroy	R	X	
SG2564	**GENERAL ADMINISTRATIVE** • Property records, feasibility studies, maps, etc.	SWITC	PM	A	X	
SG2565	**GENERAL ADMINISTRATIVE** • Reference and information such as the Communicator, E-news, etc.	SWITC	AV + 3 years then destroy	R		
SG2566	**GENERAL ADMINISTRATIVE** • Release of liability	SWITC	US or until expired then destroy	R		

LEGEND:
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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2567	**GENERAL ADMINISTRATIVE** • Schedules, scenarios, communication logs, temperature checks (items that might need reviewed during a survey)	SWITC	AV + 2 years then destroy	R		
SG2568	**GENERAL ADMINISTRATIVE** • Significant Event Reports	SWITC	AV + 3 years then destroy	R	X	
SG2569	**GENERAL ADMINISTRATIVE** • Sterilization Records	SWITC	AV + 10 years then PM – transfer to SRC	A		
SG2570	**GENERAL ADMINISTRATIVE** • Strategic planning	SWITC	Av + 10 years then PM – transfer to SRC	A		

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SG2571	**GENERAL ADMINISTRATIVE** • Studies of the campus	SWITC	AV + 10 years then PM – Transfer to SRC	A		
SG2572	**GENERAL ADMINISTRATIVE** • Trend data and reports	SWITC	AV + 10 years then PM – Transfer to SRC	A		
SG2573	**GENERAL ADMINISTRATIVE** • Vehicle registration	SWITC	US	R		

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2537	**MAINTENANCE** • Ecolab inspection reports • Fire Drill log, fire alarm battery tests, generator testing forms, emergency lighting test	SWITC	AV + 3 years then destroy	R		
SG2538	**MAINTENANCE** • Inspection and testing forms related to fire protection systems	SWITC	AV + 8 years then destroy	R		
SG2539	**MAINTENANCE** • Sanitary surveys and written reports and summaries of sanitary surveys of the water quality • Chemical analysis and lab results of water quality	SWITC	AV + 10 years then destroy	R		
SG2540	**MAINTENANCE** • Microbiological and turbidity analyses and lab results of these analyses • Records related to a variance or exemption which has been granted	SWITC	AV + 5 years then destroy	R		

LEGEND:
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Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**
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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2541	**Maintenance** • Actions taken to correct violations of primary drinking water regulations and publics notices that have been issues	SWITC	AV + 3 years then destroy	R		

LEGEND:

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Archival: A-**Record is or may be permanent and have historic value;** R-**Required review by the Records Manager to determine value.**

Vital: X-**Record is vital for immediate operation of the office of origin or the institution**

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2516	**MASTER RECORD – PERSONNEL PAY** I-9s, W-2s, Performance Corrective Actions, Time sheets, etc.	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death destroy 5 years after transfer
SG2532	**PROGRAM CHART – PERSONNEL PAY** I-9s, W-2s, Performance Corrective Actions, Timesheets, etc.	See SWITC Master Record for Retention Schedule	AC +8 then destroy			Transfer to SWITC Master Record after yearly update received

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2502	**MASTER RECORD – LEGAL** **Birth Cert./SS NO.** Birth certificate (Original at Vital Statistics) Social Security/Medicaid/Medicare Cards	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2503	**MASTER RECORD – LEGAL** **Consents** Written informed consent Records disclosure Record requests	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2504	**MASTER RECORD – LEGAL** **Court** Court Commitment Papers Guardianship Appointments Guardianship Reports Sex offender registration	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer

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SG2505	**MASTER RECORD – LEGAL** **Guardian info/Rep info** *(most recent copy only)* Guardian/Parent Notification Info	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2506	**MASTER RECORD – LEGAL** **ID info** *(most recent copy only)* Client Photo and ID (Original at DMV) Client Summary Client Rights and Responsibilities	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2507	**MASTER RECORD – LEGAL** **End of Life** Code Status Form Death Certificate (Original at Vital Statistics) Funeral/burial documentation	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer

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SG2508	**MASTER RECORD – PCP** Person Centered Program Plan (including BSP and discontinued programs) Progress notes, CSU Manager Monthly Narrative	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer

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SG2509	**MASTER RECORD – SCHOOL AND OTHER NON-MEDICAL SERVICE PROVIDERS** Individual Education Plans, Individual Program Plans, progress reports, etc.	SWITC	Destroy 3 years after generation	R		
SG2510	**MASTER RECORD – HISTORIES, ASSESSMENTS, AND EVALUATIONS** All standardized assessments and tests completed for the purpose of diagnosis, competency, functional status or eligibility. All client histories which include a description of the status/history of a client including family history and sex offender histories but excluding physician history and physical. All Intervention Strategy Team documentation	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2511	**MASTER RECORD – OTHER INTERDISCIPLINARY TEAM ASSESSMENTS, REPORTS, AND SCALES** Assessments, reports, and scales completed for the purpose of client plan development and progress reports. Includes reports from all disciplines such as clinician, recreation, social services, speech and language, vocational services, and life skills services; does not include nursing or physician reports	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer

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SG2512	**MASTER RECORD – NURSING** Immunization Record Allergy and Sensitivity Record Monitoring/Rating scales including blood glucose, DISCUS, MOSES, menses, metabolic monitoring, breast exam form, cholesterol risk worksheet, seizure records, etc. Nursing charting, such as OPFR documentation, monthly reviews, quarterly reviews	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2513	**MASTER RECORD – PHYSICIAN & PSYCHIATRY** History and Physical Major Medical Summary Physicians Orders and Progress Notes Quarterly Recaps Psychoactive Drug Review Clinic reports, evaluation, and consultation reports	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2514	**MASTER RECORD – PHARMACY** Drug Regimen Reviews, medication administration records	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer

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SG2515	**MASTER RECORD – LAB / X-RAY** Diagnostic tests, lab reports, pathology reports, MRI/CT, bone density reports, video fluoroscopy, etc.	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death destroy five years after transfer
SG2517	**MASTER RECORD – CORRESPONDENCE** All letters or email correspondences	SWITC	Destroy 3 years after generation	R		
SG2518	**MEDICAL CHART – ID INFORMATION** Code Status	SWITC	AC + 8, then destroy	R		Transfer to SWITC Master Record upon generation of new assessment /replacement document
SG2519	**MEDICAL CHART – ID INFORMATION** Client Summary Guardian/Representative Notification, SWITC Form #4102 Client Photo and ID	SWITC	AC +8 then destroy	R		Transfer to SWITC Master Record after yearly update received

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SG2520	**MEDICAL CHART – NURSING** Monitoring/Rating scales including monthly reviews, quarterly reviews, DISCUS, MOSES, Immunization record, blood glucose, menses, metabolic monitoring, breast exam form, cholesterol risk worksheet, etc.		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record upon generation of new assessment /replacement document
SG2521	**MEDICAL CHART – NURSING** OPFR Seizure Record		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after one year
SG2522	**MEDICAL CHART – PHYSICIAN & PSYCHIATRY** Physicians Orders and Progress Notes Quarterly Recaps Allergy and Sensitivity Record Major Medical Summary History and Physical Psychoactive Drug Review Clinic reports, evaluation, and consultation reports		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received

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SG2523	**MEDICAL CHART – PHARMACY** Drug Regimen Reviews, medication administration records		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received
SG2524	**MEDICAL CHART – LAB / X-RAY** Diagnostic tests, lab reports, pathology reports, MRI/CT, bone density reports, video fluoroscopy, etc.		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after one year
SG2525	**MEDICAL CHART – HOSPITAL** Hospital reports, including scheduled and emergency admissions.		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after one year
SG2526	**PROGRAM CHART – ID INFORMATION** Client Summary Guardian/Representative Notification #4107 Client Photo and ID		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received

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SG2527	**PROGRAM CHART – PCP** Person Centered Program Plan (including BSP, and discontinued programs)		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received
SG2528	**PROGRAM CHART – DATA/SUMMARY** Progress notes, CSU Manager Monthly Narrative		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received
SG2529	**PROGRAM CHART – SCHOOL AND OTHER NON-MEDICAL SERVICE PROVIDERS** Individual Education Plans, Individual Program Plans, progress reports, etc.		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received
SG2530	**PROGRAM CHART – HISTORIES, ASSESSMENTS, AND EVALUATIONS** All standardized assessments and tests completed for the purpose of diagnosis, competency, functional status or eligibility. All intervention strategy team documentation. All client histories which include a description of the status/history of a client including family history and sex offender histories but excluding physician history and physical		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record upon generation of new assessment.

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SG2531	**PROGRAM CHART – OTHER INTERDISCIPLINARY TEAM ASSESSMENTS, REPORTS, AND SCALES** Assessments, reports, and scales completed for the purpose of client plan development and progress reports. Includes reports from all disciplines such as clinician, recreation, social services, speech and language, vocational services, and life skills services; does not include nursing or physician reports		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record upon generation of new assessment.
SG2533	**CLIENT BOOK** • Information Sheet • Temporary Information • BRF Definitions • Activity Schedule • Other Programs • Mealtime Guidelines (if needed) • Behavior Support Plans (BSPs)	SWITC	US	R		
SG2534	**CLIENT BOOK – ACTIVE TREATMENT RAW DATA** • Behavior Reporting Forms (BRFs) • Restraint Analysis Forms (if needed) • Client Information Logs (CILs) • Client Skill Development Programs – Data Sheets/Tracking Sheets		See SWITC Client Overflow Files for Retention Schedule			Transfer to Client Overflow Files 2 months after generation
SG2535	**CLIENT BOOK** I & O Forms (if needed) in back pocket	SWITC	AV + Two months then destroy	R		

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SG2536	**CLIENT OVERFLOW FILES – ACTIVE TREATMENT RAW DATA** • Behavior Reporting Forms • Restraint Analysis Forms (if needed) • Client Information Logs • Client Skill Development Programs – Data Sheets/Tracking Sheets/Symptom Tracking Sheets • Rating Scales (to include periodic assessments used to evaluate a client's mental health) • Sleep Data Collection Forms • Enhanced Supervision Forms/Room Search/Body Search Forms • Non Contingent Mechanical Restraint Tracking Forms • Supplemental Symptom Tracking Forms	SWITC	AV - 2 years then Destroy	R		
SG2542	**NURSING/MEDICAL/PHARMACY** • Med-Co Files (contain approvals or denials for medication)	SWITC	AV + 3 years then destroy	R		
SG2543	**NURSING/MEDICAL/PHARMACY** • Medical device proposal/approval	SWITC	AV + 1 year then destroy	R		
SG2544	**NURSING/MEDICAL/PHARMACY** • Psychoactive Drug Report	SWITC	AV + 10 years then destroy	R		

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SG2545	**RECORDS MANAGEMENT** • Admission/Discharge/Transfer/Death Report	SWITC	AV + 3 years then destroy	R		
SG2546	**RECORDS MANAGEMENT** • Census reports	SWITC	AV + 8 years then destroy	R		
SG2547	**DIETARY** • Menus	SWITC	AV + 3 years then destroy	R	X	

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SG4211	**ADMINISTRATION – OFFICE RECORDS** Series provides a record of the administrative activities of the Medicaid Administrator's office such as leadership of the Division; financial and personnel management; policy development; budget development and approval; and public contact. Records may include: correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports. Also may include: minutes, agendas, tape recordings, and board committee records. Records may also include constitution and by-laws, intergovernmental agreements, organization charts, draft and approved budgets, other documents preserving historical events of the Department as relating to the Administrator's office and/or its leadership.		PM	A	X	
SG4212	**ADMINISTRATOR'S OFFICE – POLICY MEMORANDUMS** Documents that initiate, etc. procedures that govern the Division and its programs.		PM	A	X	
SG4213	**PRIOR AUTHORIZATIONS** Prior authorizations are scanned and saved electronically		AC + 5, then destroy			
SG4214	**MEMORANDUMS OF UNDERSTANDING/AGREEMENT (MOU/MOA)** Signed originals retained by program monitors		PM			

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SG4215	**CLAIMS** Claims records pertaining to services delivered under the Medicaid program or billed to Medicaid		PM Must be retained back to 1988			
SG4216	**PHARMACY RECORDS**		Currently retaining all records pending legal settlements – minimum of 7 years			

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SG4217	**MOUs / MOAs**		AC +3, then destroy			
SG4218	**PROGRAM POLICY, PLANS, INSTRUCTIONAL, AND DESK MANUALS**		AV	R		
SG4219	**TEST DATA**		AV			
SG4220	**TRAINING / EDUCATIONAL MATERIALS**		AC + 3, then destroy			
SG4221	**VENDOR INFORMATION** Price lists, W9, etc.		AV			RA – restricted to program staff due to inclusion of tax ID #'s.
SG4222	**FEDERAL REGULATIONS AND MEMORANDA FOR CHILD NUTRITION PROGRAMS AND WIC**	Bureau of Clinical and Preventive Services (BOCAPS) - WIC	PM	A	X	

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SG4223	**LOCAL AGENCY CHECK PRINTER INVENTORY**	BOCAPS – WIC	LA			
SG4224	**LOCAL AGENCY ASSIGNED CHECK REGISTERS**	BOCAPS – WIC	US		X	
SG4225	**ANNUAL CIVIL RIGHTS TRAINING** Employee certificates demonstrating completion of federally required civil rights training.	BOCAPS – WIC	FE + 3, then destroy			
SG4226	**HIV PREVENTION FORMS**	BOCAPS – Family Planning, STD, HIV	AC + 3, then destroy			
SG4227	**PHARMACEUTICAL ORDERS AND INVOICES**	BOCAPS – Family Planning, STD, HIV	FE+5, then destroy			
SG4228	**VITAL RECORDS** Birth, death, marriage, divorce, divorce decree, stillbirth, and induced termination original certificates stored on- site and some off-site.	Bureau of Vital Records and Health Statistics	PM	A	X	RA

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SG4229	**EMS LICENSING RECORDS**	EMS - Licensing and Certification	AC + 3, then destroy			
SG4230	**CLINICAL LABORATORY REGISTRATION** All clinical laboratories are required to submit a completed registration form every two years as outlined in IDAPA 16.02.06.100.01.b	LABS	CE +2, then destroy			RA: Release must comply with IDAPA 16.05.01
SG4231	**CLINICAL TEST DATA** All clinical test records must be retained by the laboratory for a minimum of two years as outlined in IDAPA 16.02.06.130.02.b	LABS	CE +2, then destroy			RA: Release must comply with IDAPA 16.05.01
SG4232	**DRINKING WATER TEST DATA (EXCLUDING LEAD & COPPER, RADIOCHEMISTRY)** All drinking water test records must be retained by the laboratory for minimum of five years as outlined in IDAPA 16.02.13.140.04.b	LABS	CE +5, then destroy			RA: Release must comply with IDAPA 16.05.01

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SG4233	**LEAD AND COPPER DRINKING WATER TEST DATA** All drinking water test records must be retained by the laboratory for minimum of five years as outlined in IDAPA 16.02.13.140.04.d	LABS	CE + 12, then destroy			RA: Release must comply with IDAPA 16.05.01
SG4234	**RADIOCHEMISTRY DRINKING WATER TEST DATA** All drinking water test records must be retained by the laboratory for minimum of five years as outlined in IDAPA 16.02.13.140.04.d	LABS	CE +10, then destroy			RA: Release must comply with IDAPA 16.05.01
SG4235	**X-RAY DEVICE REGISTRATION** X-ray producing devices must maintain an active registration for the operational life of the device as outlined in IDAPA 16.02.27.090.04	LABS	LA, then destroy			RA: Release must comply with IDAPA 16.05.01

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