

RECORDS MANAGEMENT HANDBOOK

Records Retention



STATE OF CALIFORNIA
RECORDS MANAGEMENT HANDBOOK

RECORDS RETENTION

The Records Management Program Section of the State Administrative Manual (Chapter 1600) defines the responsibility of each agency to implement a records management program and prescribes the procedure for scheduling and disposing of records. This Records Retention Handbook supplements the information in the State Administrative Manual and the procedural publications displayed on the California Records and Information Management Program's (CalRIM) Website (www.osp.dgs.ca.gov/CalRIM). While the handbook has been written primarily to assist agency records management coordinators, it will also be useful to Legal Staff, file room supervisors and other interested agency personnel.

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California Records and Information Management Program (CalRIM)

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Our ability to control records has not kept pace with our ability to create them. We have computers that print multiple legible copies, high-speed copiers and duplicating machines that grind out reams of paper, word processors that facilitate the writing process, and e-mail systems that produce thousands of communications daily. In today's highly technical environment the majority of our records are created and maintained electronically. The creation of paper copies is considered counter-productive and discouraged by records managers but paper holdings continue to increase.

The lack of control over the creation, maintenance, retention and disposition of records manifests itself in a number of ways. Look for example, at your own agency. Do you know how many records you have and where they are? Who uses the records and how often? Do you know how much it costs to store your records? Do you know how much time is wasted on the maintenance of inactive records? Do you know how much money you have invested in filing equipment? Does your agency have retention schedules that account for all of its records? Are the schedules being applied? If you have retention schedules, when did you last review them to see if the retention periods should be changed?

WHAT IS RECORDS MANAGEMENT?

California's Records Management Program is designed to ".....apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of state records" (Government Code 14740). *The desired* end result of this effort is to ensure that information contained in state records is available when and where it is needed at the least possible cost. This handbook deals with several elements of a records management program: The inventoring and scheduling of records owned by an agency; the systematic transfer of inactive records from office to storage; and the regular destruction of records that no longer have value. Properly managed records protect personal and organizational rights, and support defend, and account for the State's business activities.

RECORDS RETENTION SCHEDULES

Records Retention schedules are written policies outlining the treatment of electronic, magnetic, microfilmed and paper records. They are a plan for the use of a business resource, just as a budget is a plan for the use of money. Properly prepared schedules save *physical and electronic storage* space by removing from offices records that are not required for daily operations; by removing from storage areas records that no longer have significant value; and by maintaining a regular, controlled flow of records from physical and electronic storage receptacles to multi media vital records storage facilities, state records center storage and scheduled destruction. The State of California uses STD 73, Records Retention Schedule to: (see page14).

- **Save Space** by removing from offices records that are not required for daily Operations; by removing from storage areas records that no longer have significant value; and by maintaining a regular, controlled flow of records from offices to storage to destruction.
- **Save money** by controlling the purchase of equipment and supplies to file unneeded records; by providing inexpensive storage facilities for less active records, and by releasing surplus paper filing equipment, micrographic readers/printers/storage containers for re-use or sale.
- **Save time** in locating records by removing inactive material from office files; by installing **computer- assisted retrieval systems** whereby the agency knows what records it has and where they are kept; and by providing an orderly method of storing inactive records under the supervision of trained records center personnel.

ESTABLISHING THE PROGRAM

To establish a successful records management program, several important tasks must be accomplished. First, senior management must be made aware of the goals of the program and the importance of achieving them. Secondly, strengthen and maintain an ongoing relationship between top/mid-level management and records management staff. This can be accomplished by keeping middle and top management officials informed of changes in RM policy and by inviting them to attend CalRIM training events and private industry technology seminars.

After management support for the program has been obtained, the agency must develop the means for putting it into effect. While most records management activities will be accomplished at operating unit level, there is a continuing need for middle and top level management involvement.

A highly motivated and knowledgeable facilitator should be assigned the task of keeping the program moving. In most cases, the agency Records Management Coordinator (RMC) is the most logical choice for this role. Most importantly, responsibility for the function must be assigned at a level within the organization that has access to program managers and senior management officials.

STEPS IN ESTABLISHING A RECORDS MANAGEMENT PROGRAM

Take an inventory of record holdings	Retain the results in the active files until the next inventory
Appraise all records	Identify records, determine their location and who is responsible for them.
Establish retention periods and special instructions	Meet with knowledgeable person and negotiate retention periods. Use retention instructions shown on the CalRIM website (www.osp.dgs.ca.gov/calrim and Chapter 1600 of the State Administrative Manual.
Develop the Retention Schedule	Using the STD 73, Records Retention Schedule and the completed inventory, develop the retention schedule.
Approve the Retention Schedule	Review the completed STD 73 for accuracy and obtain the approval of the manager responsible for the records, Agency Records Management Analyst and the CalRIM Consultant.
Apply Records Retention Schedule Rules	Educate staff to comply with the rules established by the retention schedule. Transfer eligible records to the State Records Center per instructions shown on the Retention section of the schedule.

RECORDS MANAGEMENT COORDINATOR

An agency Records Management Coordinator (RMC) is the liaison between a state department, board, commission or agency and the California Information and Records Management Program (CalRIM) – including the State Records Center.

The RMC shall be appointed in writing by the Chief Administrative Officer of the agency. The CalRIM then looks to the RMC to answer questions and to certify that the agency is, in compliance with the Records Management Act, Section 1600 of the State Administrative Manual, **and this Handbook**. On behalf of the agency, the analyst shall:

- Coordinate the agency records management program.
- Conduct research into records retention requirements.
- Act as a liaison between the agency and the CalRIM.
- Review and approve Records Retention Schedules and monitor subsequent destruction of records at the State Records Center.
- Review and approve purchase or rental of filing equipment and desk-top shredders.
- Be responsible for reports (including the Annual Report on Records Management to the Governor) required by the CalRIM for administration of the program.
- Disseminate announcements of records management activities.
- Coordinate the scheduling of appropriate training for agency records management personnel.
- Attend CalRIM Records Management Analyst quarterly meetings and sponsored technology forums.

RECORDS INVENTORY

Although many offices try to skip this step, some sort of physical inventory of the holdings is essential for a complete understanding of what records are generated and utilized within each work station. The physical inventory looks at records holdings on a records series basis rather than examining the contents of individual folders.

To establish a records retention program, it is necessary to find out what records there are, where they are stored, their quantities, and how they are used. Conducting a records inventory can be a formidable task. For this reason, it is important that all staff involved in the inventory process be acquainted with the mission of the program.

WHAT ARE RECORDS?

One of the first questions that must be answered is “What does the term “Official Record” include?” Section 1600 of the State Administrative Manual defines records as “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.”

WHAT ARE NONRECORDS?

It is often difficult to draw a clear distinction between record and non-record material. A helpful hint to follow in making the distinction is that non-record documents can usually be discarded as soon as they are read. Some examples are listed below:

- Letters of transmittal and acknowledgements of receipt which do not add any information to the material transmitted.
- Requests for printing services, after the request has been filled to the customer’s satisfaction.
- Informal notes, worksheets, and rough drafts of letters, memoranda, or reports that do not represent the basic steps involved in the preparation of the communication.
- Notes, including stenographic notebooks and stenotype tapes, and dictating media which have been transcribed.
- Miscellaneous notices of community affairs, employee meetings, holidays.
- Stocks of publications or blank forms that are kept for supply purposes only.
- Follow-up, or copies of suspense tracers pertaining to correspondence with pending action.
- Library and reference material.

PREPARING FOR THE INVENTORY

The inventory task will be easier if you plan it ahead of time. The plan should answer such questions as:

- Who will conduct it?
- What training will be necessary?
- When will it start?
- In what sequence will offices and storage areas be inventoried?
- How will the inventory data be compiled, organized and distributed?
- When should it be completed?
- What information will be collected concerning each group of records?
- Before starting the inventory, the staff members assigned to the inventory team should become familiar with the operation of the agency/office. They should know all the places where records are stored, including closets, safes, cabinets, and storerooms.

WHAT INFORMATION IS REQUIRED FOR THE INVENTORY?

The CalRIM Records Inventory Worksheet, Form STD 70 (see pages 9 and 10), is available to assist agencies in gathering information needed to prepare a STD 73, Records Retention Schedule. The information to be entered on the worksheet are discussed below:

Agency, organizational unit, and person directly responsible for the records.

Date of the inventory. This should be the actual date the records are inventoried.

(1) and (2). Records Series/Description. A record series is a group of related records arranged under a single major subjective category and filed together because of their relationship and purpose they serve. They deal with a particular subject, result from the same activity, or have a distinctive form (maps, blueprints, and purchasing requests are good examples). A record series may contain both forms and correspondence (electronic, magnetic, microfilm, or paper). The description element should contain a precise description of the records series.

It is important that the title of each record series be as descriptive as possible, since all future reference to the records will be by the assigned records series name. Vague descriptions, such as “Corporate Papers”, “Official Documents”, or “Vital Correspondence” should not be used. A specific, recognizable title, such as “Project Files for State College Construction” or “Property and Equipment Audit File”, should be assigned to the series.

The title of a record series generally should be the same as the one used by the unit responsible for the records, as long as it clearly describes the records included in the series. If, for some reason, the records series title differs substantially from the description used by the unit responsible for the records, the reason for the variation should be *explained* under Column (9), “Remarks” on the Worksheet.

When conducting the inventory, remember that drawer labels do not always state the precise description of the contents of the drawer that they are affixed to. Do not copy drawer labels without first verifying that the description matches the actual contents.

(3) Location of the records series being inventoried. This includes the building address, room number, and physical location within the room.

An easy way to describe the location of records is to include a sketch of each room containing records on grid graph paper. The sketch should show all filing equipment. Each piece of equipment should be identified by numbering from left to right beginning at a doorway or entrance. This sketch will enable you to record on the Records Inventory Worksheets the specific location of the records inventoried in that room. For example, if the record series were located in cabinet number 12, Room 2003, its location would be recorded as 12 on the worksheet.

In some instances, a single record series may fill one or a number of filing cabinets; in others, a record series will occupy only part of a cabinet. This creates the need to distinguish its location in a manner other than just the equipment number. In such an instance, drawers or shelves of filing equipment can be identified by letter starting with “A” at the bottom and going up as high as necessary, omitting the letters “I” and “O” to avoid confusion with numbers. Thus, if a record series were contained entirely in the third drawer from the bottom in cabinet number 12, the location of the series would be recorded on the Records Inventory Worksheet as 12-C.

(4) Media Type. Enter the appropriate code for the type of record being stored. C – Computer Printouts, CD – Compact Discs, D – Diazo Microfilm or Microfiche (working copies), DB (data base), M - Magnetic or Electronic (Computer Hard Drive, Computer Tapes or Discs, Local Area Network or Word Processing Discs), DVD – OD – Optical Disk, P – Paper (except for Computer Printouts), RAID Redundant Array or Independent Discs, S – Silver Halide Microfilm, RM – Removable Media consisting of ZIP, JAZ, etc.

(5) Years covered by the records series. The period of years covered by the record series should be indicated by the earliest and latest years (Example: 2006-2007). In some cases, however, it will not be possible to indicate the years covered. For example, personnel folders may have to be shown as “active” or “inactive”.

(6) Reference Status (7) Document. The frequency of access of a record series often determines where it should be stored. Active records that need to be readily available are generally stored in the office. Semi-active and inactive records are infrequently accessed and can be stored at the State Records Center. Indicate whether the records series is A-active, S-semi-active, or I-Inactive and whether the document is an original or a copy.

(8) Volume of records in the series. The quantity of records should be recorded by the volume (cubic feet) of space that they occupy. The Totals shown should represent only those records on hand at the time of the inventory. Information has been included on the back of the Records Inventory worksheet to assist the team in determining volume. When the volume of records in a record series has been determined, it should be rounded off to the nearest cubic foot. Electronic or magnetic records must also be included on the inventory but volumes need not be reported.

(9) Other information that can be obtained during the inventory. Certain other information, if available at the time of the inventory, should be noted on the worksheet under “**Remarks**”. For example, some records may already have retention periods established or file maintenance personnel servicing the records may have comments pertaining to file activity or the frequency of reference. All information obtained during the inventory that may assist in appraising the records should be noted.

After completing the inventory, all worksheets pertaining to the same record series should be brought together. This will provide an opportunity to see where duplication exists within each records series. After collating the worksheets you will be in a position to begin appraising the records, setting retention periods, and creating retention schedules.

RECORDS INVENTORY WORKSHEET

STD. 70 (REV. 5-92) (FMC) (REVERSE)

INSTRUCTIONS*(Numbers are keyed to item numbers on the form.)*

1. Enter Records Series Title/Sub-Title.
2. Description of records. *(Do not use acronyms.)*
3. File location. Draw a map of the office containing records on graph paper. Draw rectangles to signify location of file cabinets, then number them from left to right. Identify each drawer or shelf by alphabetizing them starting with "A" at the bottom and going up as high as necessary. Thus, if a record series were contained entirely in the third drawer/shelf from the bottom in cabinet number 12, the location of the series would be recorded on this space as 12-C. Once you complete the map, enter the cabinet and drawer/shelf designations on this space for the record series you inventoried. Attach map to inventory sheet(s).
4. Enter the appropriate **media** code (see definition at right).
5. Enter the years covered.
6. Enter reference status code (see Reference Status Section at right).
7. Enter a  in the appropriate column to indicate original record.
8. Enter the volume of each record series in cubic feet.
9. Use the Remarks space to annotate any vital, confidential, code citations, legal requirements, or policy issues that support or define retention periods or destruction method.
10. Person completing the inventory worksheet should sign and date the worksheet.
11. Program manager should sign when reviewed and approved.

DEFINITIONS**RECORDS**--see State Administrative Manual Section 1620.**RECORDS SERIES TITLE**--a group of related records arrange under a single filing category, kept together as a unit because the deal with a particular subject, or result from the same activity.**SUB-TITLE**--those records filed as separate components under the main record series title.**RECORDS DESCRIPTION**--complete and concise description in the title is not completely self-explanatory.**FILE LOCATION**--the specific location of the records being inventoried in an office or in departmental storage.**MEDIA**--type of record; P - paper (except computer printout); C - computer printout; M - magnetic or electronic computer tapes or discs, or word processing discs); D - Diazo (working copy microfilm or microfiche; S - silver (master copy) microfilm or microfiche; O - optical disk.**REFERENCE STATUS**--A -- Active Records: records that need to be readily available
S -- Semi-active records: records that are accessed occasional and can be moved to a holding area or records center. Usual records accessed no more than once per 4.5 cubic feet per month.

I -- Inactive records: records that are no longer required in the current business activity and can be stored in the Record Center.

RECORDS APPRAISAL AND SCHEDULING

After the inventory is complete, the next step is to decide how long each record series should be kept in the office and in storage before being destroyed. To do this you must determine the immediate and future usefulness of the records to the agency, as well as to the entire state government, in general, records should be retained in office areas as long as they serve the administrative, legal, and fiscal purposes for which they were created. When records no longer serve these purposes, they should either be destroyed, transferred to a records center or, if justified, deposited in the State Archives.

WHY APPRAISE RECORDS?

A sound records management program requires a realistic appraisal of the records in relation to their period of usefulness and value to the agency that created them. By appraising records you are able to:

- Establish reasonable and legal retention periods.
- Identify records that can be destroyed immediately.
- Identify records that can be transferred to a records center.
- Identify vital records.
- Identify confidential records.
- Identify records that are exempt from the Information Practices Act (IPA) and/or Public Records Act (PRA)

WHAT VALUES SHOULD BE CONSIDERED?

Administrative Value. Records are created to document the functions for which an agency is responsible. They have administrative value as long as they assist the agency in performing either current or future work. The primary administrative use of most records is exhausted when the transactions to which they relate have been completed. From that point on they lose their value rapidly. However, some administrative records contain basic facts concerning an agency's origin, policies, functions, organization, and significant administrative decisions. These records should be preserved to provide documentation of an agency's operations, past present and future.

Legal Value. Records have legal value if they contain evidence of legally enforceable right or obligations of the State. Examples of records that provide the basis for action, are legal decisions and opinions; fiscal documents representing agreements, leases, titles, contracts; and records of action in particular cases, such as claim papers and legal dockets, etc.

Fiscal Value. Records of fiscal value are those which pertain to the financial transactions of the agency, such as budgets, ledgers, allotments, payrolls, and vouchers. After records have served their basic administrative functions, they may still have sufficient fiscal value to justify their retention in storage for a time to protect the agency against litigation, or to account for the expenditure of funds.

Research, Historical, or Archival Value. Some records have enduring value because they reflect significant historical events or document the history and development of an agency. The importance of preserving such records is obvious. Not so apparent, however, is the need to examine critically those records selected for research purposes and to re-evaluate them periodically to ensure that the material being accumulated is actually filling a valid research need.

DETERMINING RETENTION PERIODS

Keeping records, either in offices or storage areas, costs large sums of money. The actual or potential value of the records should be weighed against the cost. There is a calculated risk in this business and a good records management program requires that we take it. There have been instances when an organization became so enthusiastic about the possibility of freeing office space by clearing out its old records that it went too far and discarded material too soon. But usually this is not the problem. Most of us tend to be overly cautious and to exaggerate the frequency of our reference material when considering establishment of retention periods.

The questions we must ask ourselves are:

- How serious would it be if we were unable to put our hands on a particular record five or ten years from now?
- What are the chances of it being needed?
- Are the consequences serious enough to justify our keeping large volumes of records for a long period of time at considerable cost to the State?
- Is the same information available elsewhere?
- What would it cost to reconstruct the record if it were lost?

By asking ourselves these kinds of questions, we can begin to take a more realistic approach to the problem of determining how long records should be kept. Setting retention periods also involves negotiation with those persons who actually use the records. They must be encouraged to look realistically at their needs for them. You

should not accept the answer that the records are “used all the time and, therefore, must be kept permanently.” You should try to look at the problem from the perspective of the user and be willing to compromise on a retention period if the alternative is no retention period at all. Reference data obtained by a file usage survey, in the case of active records, or from the records center, in the case of records stored there, provide a basis for re-evaluating the records at a later time (maximum five years) and possibly reducing the retention periods. In selecting retention periods, agencies will find it useful to review the Records Management website at www.osp.dgs.ca.gov/calrim amended general records retention; Section 1600 of the State Administrative Manual; the Information Practices Act (IPA); Public Records Act (PRA), Personnel Rules and Regulations, or your Human Resources Office for guidance.

When retention periods have been established for all records, a records retention schedule can be developed to formalize the retention periods and provide the basis for a continuing program of records management.

WHAT IS A RECORDS RETENTION SCHEDULE?

A records retention schedule is a written statement of actions to be taken with respect to all records produced or maintained by the agency. It assists the agency in affecting the prompt disposal of records no longer needed, the storage of records that must be retained temporarily after they are no longer needed for current operations, and the preservation of records which are of historical value.

A schedule shall:

- Cover all records created and maintained by the agency.
- Provide an accurate description of each record series.
- State the period of time each record series should be retained in office, department, and/or records center space before destruction or transfer to the State Archives.

A properly prepared schedule should be referred to frequently for purging instructions, and as a reference before disclosing contents of records. It can be used to track increases in workloads, changes in procedures, and reorganizations. Most importantly, records schedules provide the legal basis of departmental records, their treatment and destruction. They are also used to plan for State Records Center (SRC) use, imaging activities, vital records protection, and enable the Office of State Archives to identify historically significant records. Schedules ensure that decision-makers have information as long as it is needed and help avoid keeping records longer than the information is worth

RECORDS RETENTION SCHEDULE

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.
A CaRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by e-mail at CaRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION	(2) AGENCY BILLING CODE	(3)	PAGE	OF	PAGES
(4) DIVISION/ BRANCH/ SECTION					
(5) ADDRESS					
CHECK THE APPROPRIATE BOX					
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9)–(12)] (7) <input type="checkbox"/> Revising a previous schedule. [Complete boxes (13)–(16)] (A new approval number will be assigned.) (8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13)–(16)] (The original approval number will remain in effect.)					
NEW SCHEDULE INFORMATION (if applicable)	(9) SCHEDULE NUMBER	(10) SCHEDULE DATE	(11) NUMBER OF PAGES	(12) CUBIC FEET (Total Schedule)	
PREVIOUS SCHEDULE INFORMATION (if applicable)	(13) SCHEDULE NUMBER	(14) APPROVAL NUMBER	(15) APPROVAL DATE(S)	(16) PAGE NUMBER(S) REVISED	
(17) MISSION/FUNCTIONAL STATEMENT					
PART I – AGENCY STATEMENTS					
As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.					
(18) SIGNATURE – MANAGER RESPONSIBLE FOR THE RECORDS	(19) TITLE	(20) PHONE NUMBER	(21) DATE SIGNED		
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.					
(22) SIGNATURE – RECORDS MGMT. ANALYST	(23) CLASSIFICATION	(24) NAME (Printed or Typed)	(25) PHONE NUMBER	(26) DATE SIGNED	
PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)					
(27) SIGNATURE – CaRIM CONSULTANT	(28) APPROVAL NUMBER	(29) DATE SIGNED	(30) EXPIRATION DATE		
PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)					
THE ATTACHED RECORDS RETENTION SCHEDULE:					
(31) <input type="checkbox"/> Contains no material subject to further review by the California State Archives (32) <input type="checkbox"/> Contains material subject to archival review. Items stamped “NOTIFY ARCHIVES” may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)					
(33) SIGNATURE – CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE			(34) DATE SIGNED		
FOR ARCHIVES' STAMP					

STANDARD (REV. 6/2002)
RECORDS RETENTION SCHEDULE

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.
A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by e-mail at CalRIM@dgs.ca.gov

(35) CalRIM APPROVAL NUMBER		(36) PAGE OF PAGES								
ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION			PRA (Exempt) & IPA (47)	REMARKS
						OFFICE	DEPT.	SRC		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(48)

* Provide total of office and departmental

RECORDS RETENTION SCHEDULE**INSTRUCTIONS**

The California Records and Information Management (CalRIM) Program of the Department of General Services will review schedules for compliance with their Records Retention Handbook, Records Retention Schedule Guidelines and the records retention section of the California Acquisition Manual. The Chief of State Archives in the Office of the Secretary of State will review schedules for records series worthy of preservation for historical or research purposes. Titles and descriptions of records listed on the schedule must be sufficiently detailed to insure understanding by persons unfamiliar with the business process of the department. For additional information concerning the scheduling of records refer to the aforementioned publications available on the DGS website (www.dgs.ca.gov).

1. Department that the schedule belongs to.
2. Enter the appropriate billing code of the department.
3. Enter page numbers and total pages (e.g. 1 of 3, 2 of 3).
4. Division/branch/section within the department.
5. Address of the division/branch/section.
6. Check box if submitting a new schedule.
7. Check box if submitting a revision to previous schedule.
8. Check box if amending pages of a previous schedule.
9. Each department should establish it's own system of numbering schedules. Enter the assigned number on each page.
10. Enter the date schedule was prepared.
11. Enter total number of pages of the schedule.
12. Enter the total number of cubic feet for all items scheduled (round off to nearest cubic foot).
13. If applicable, enter the schedule number from the previous schedule.
14. If applicable, enter the approval number assigned to the previous schedule.
15. If applicable, enter the CalRIM approval date shown in block 28 of the previous schedule on STD 73 Rev. 6-02. Block 22 if referring to STD 72 Rev. 2-96 on the previous schedule.
16. If applicable, enter the total number of pages included on the previous schedule.
17. Enter the mission/functional statement for the entity responsible for the records described on the schedule.
18. Signature of manager responsible for the records.
19. Manager's title.
20. Manager's phone number.
21. Date schedule signed by the manager.
22. Signature of the department's records management analyst (RMA).
23. Enter the official state classification of the department's RMA, i.e., Records Management Analyst I, Business Services Officer I, etc.
24. Name of the RMA.
25. RMA's phone number.
26. Date schedule is signed by the RMA.
27. Signature of CalRIM consultant.
28. Approval number assigned by CalRIM consultant.
29. Date schedule signed by CalRIM consultant.
30. This date is computed by adding five years to the date shown in Block 29.
31. This block is checked by the California State Archives if the schedule does not contain archive or long term reference records.
32. This block is checked by the California State Archives if the schedule contains material subject to archival review.
33. Signature of Chief of Archives or designated representative.
34. Date schedule is signed by Archives.
35. Enter the CalRIM Approval number shown in block 28.
36. Enter page numbers and total pages (e.g. 1 of 3, 2 of 3).
37. Item numbers must be sequentially assigned beginning with number 1 on the second page of the schedule.
38. Enter cubic feet of records (office and departmental) contained in each item (round off to nearest cubic foot). Leave blank when scheduling electronic/magnetic records.
39. This column is used by the Chief of Archives to designate records which may be of historical value. If the notation "Notify Archives" appears in this column, the Secretary of State's Archive Unit must be notified before the records can be destroyed or transferred (SAM Section 1673.1).

RECORDS RETENTION SCHEDULE

40. Exact title of the records series must be entered in this column. The same title must also be used on the Records Transfer List, STD 71, if the records are later transferred to the State Records Center. **Do not delete** records for a discontinued program until all such records (including any stored at the Records Center) have been destroyed or ownership transferred to another entity. Acronyms must be spelled out in full the first time they are shown on the schedule.
41. Enter the appropriate storage media code for the series of records described; P–paper (except for computer printouts); C–computer printouts; M–magnetic or electronic (computer hard drives, computer tapes or disks, or word processing discs); D–dialo microfilm or microfiche (working copies); S–Silver halide microfilm; RM–Removable Media consisting of ZIP, JAZ , etc.; CD–Compact Disk, etc.; OD–Optical Disk; RAID–redundant array of independent disks.
42. Enter an “X” if the series of records is considered vital (essential) to department operations. Vital records require special protection from loss through the use of vault storage, microfilm, CD, magnetic tape or similar storage media. Enter the method of protection used in Column 48 (Remarks).
43. Enter the length of time the records series will be retained in the office. For records such as active license files or active tax accounts, enter the word “Active” in this column. Then enter the length of time (if any) the records will be held in office space when they are no longer active. In these cases Column 48 must state the event which terminates the active life of the records. Intermediate terms (such as, “indefinite” or “continuous”) must be avoided unless specifically stipulated by law or government code.
44. Records removed from office space and retained in less expensive space (such as a basement or other storage area) are considered to be department stored.
45. Records should be stored in the State Records Center when they meet the eligibility test of Section 1681 of the State Administrative Manual. The number of years records will remain in the Records Center must be entered in this column.
46. Enter the total number of years from Columns 43, 44, and 45. Include the active periods, if any.
47. PRA (Exempt) and IPA
- Enter an “X” if the record is exempt from disclosure under the provisions of the Public Records Act. (Records so identified must show the authority for such exemption in Column 48.)
 - When the record is exempt from disclosure, but the data subject is allowed access under the provisions of the Information Practices Act, enter an “I”.
48. Enter information which will explain or clarify treatment of the records, such as: citations from the Public Records Act (Government Code Section 6250 et seq.), Information Practices Act (Civil Code Section 1798 et seq.) or other State or federal statutes, the State Administrative Manual (SAM), California Acquisition Manual (CAM), State or Federal audit guidelines, Attorney General’s instructions, or agency policy statements, etc. Other helpful information includes, but is not limited to:
- Events that trigger purging, updating or transferring records, or that terminate active status.
 - Cross references to previous retention schedules under which material is stored at a records center, such as “See superseded Schedule 58, Item 166, Approval 88-200.”
 - Type of destruction required when the records have reached the end of their retention period (such as, confidential witnessed destruction).
 - Authority that stipulates the retention period of a record series.
 - Authority that exempts disclosure of information to the public.

Prepare three copies of the schedule and forward all to the:

California Records and Information Management Program (CalRIM), 707 3rd Street, 2nd Floor, West Sacramento, California 95605, interagency mailing address is Z-1.

CREATING THE SCHEDULE

Form STD 73, Records Retention Schedule (see page 10), is to be used for scheduling records. Instructions for completing a schedule are shown on the back of the form (see page 11). If training is needed, contact the CalRIM for scheduling in one of their Introduction to Records Management Classes.

All records must be scheduled. The classification “permanent” should be avoided whenever possible. Use of the State Record Center is restricted to records with retention periods of twenty years or less. A surcharge is assessed for records stored for more than twenty years (see the General Service price list). Schedules must be amended promptly when retention instructions are changed.

The CalRIM is willing to review drafts of your schedule before they are finalized. Whenever possible the draft should be submitted as an attachment to e-mail. The following hints will assist agencies in properly preparing their schedules:

- The CalRIM reviews schedules for appropriateness of retention periods, and clarity of terms used. The Chief of State Archives in the Office of the Secretary of State reviews schedules for material worthy of preservation for historical or research purposes. Titles, descriptions, and treatment of records listed on a schedule must be written in an uncomplicated style that can be understood by persons unfamiliar with the business process of the submitting agency. It is important to follow the instructions on the back of the Records Retention Schedule Form (STD 73). PDF and Word versions of all Records Management Forms can be found on the CalRIM website at www.dgs.ca.gov.
- Prior to submission, ensure record retention schedules have been reviewed and approved by the program manager responsible for the records and the Agency Records Management Coordinator. The program manager is considered the records custodian and signs as the agent authorized to approve retention and destruction periods.
- If records that have been destroyed are subpoenaed by courts, agency schedules, and evidence of compliance with those schedules, will defend the agency’s actions. If word processing is available, agencies are encouraged to use this method to prepare their schedules. See Records Management forms at [www.dgs.ca.gov /Records Management Forms](http://www.dgs.ca.gov/Records%20Management%20Forms).
- After the schedule has been reviewed by CalRIM and an approval number is assigned, the number may be used to support requests for purchase of file

equipment and shredders. The number may also be used as authority for transferring records to the State Records Center and to signify coordination/ approval of Agency feasibility study reports for imaging, workflow and other records management related projects.

- When the approved schedule is returned to the Agency/Department Records Management Coordinator, a copy must be sent to the person(s) responsible for maintaining the records.

APPROVAL OF RETENTION SCHEDULES. Government Code, Section 14755, requires Department of General Services approval before the records of an Agency may be destroyed. Within the Department of General Services, this responsibility has been assigned to the California Records and Information Management Program (CalRIM). Approval by CalRIM constitutes a five-year authorization to dispose of the records listed on the schedule; no further approval is necessary unless the Agency changes the manner in which the records are treated. If treatment has changed, the schedule must be revised or amended to reflect the change.

- **Approval Procedure.** After an office has scheduled its records on the STD 73, two copies are made. The three sets (original and two) are then forwarded to the person in the Agency who has been appointed as Records Management Coordinator (RMC). If the schedule is found to be compliant, the RMC then forwards all three sets to CalRIM. If the schedule is approved by CalRIM, the three sets will be forwarded to the Chief of Archives for their review for record series with potential historical value. The reviewing archivist will flag record series that appear to have historical or research value with the statement “Notify Archives”. Before these records can be destroyed, the Chief of Archives, or designated representative must be notified and arrangements made for final examination of the records.

AMENDING RETENTION SCHEDULES.

You may request changes to approved schedules. To effect a change, prepare three copies (original and two) of STD Form 73, place an X in the space provided next to “(8) Amending some pages of a previous schedule.” In block (9) Next to your schedule number . indicate the “Amendment Number, i.e. Amend. 1, Amend. 2, etc. The entire schedule does not have to be retyped to affect the amendment. Include only the item(s) to be changed. An amendment (or page(s) of a schedule) must be clearly identified with the schedule and page(s) it is amending. The amendment can also be used to delete obsolete record series or add new ones. .

The CalRIM may require an Agency to amend a schedule to retain specific records longer than the Agency proposes if a longer retention period appears necessary to protect the interest of the State. In such cases, the CalRIM will notify the Agency that specific records on the approved schedule must be retained for a longer or shorter period of time. This notice must be by formal memorandum identifying all affected records. It must also indicate the longer or shorter retention periods. A copy of the memorandum must also be sent to the Secretary of State's Archives Unit

APPLYING RETENTION SCHEDULES

The purpose of a retention schedule is to establish an orderly process for the transfer or destruction of records on a cyclical basis. A records retention schedule is of little value unless it is applied regularly. If, after the initial purging is complete, the schedule is ignored, the problem of accumulating unneeded records will continue.

WHEN SHOULD A SCHEDULE BE APPLIED

Careful timing of the transfer and destruction of records minimizes handling costs both in the Agency and at the State Records Center. Technically, records become eligible for transfer or destruction every day of the year; however, to dispose of them on a daily basis would be impractical and inefficient. Experience has shown that generally records should be transferred to storage or destroyed on an annual basis. Deviation from an annual timetable may be justified if records are accumulating so rapidly that more frequent destruction is necessary.

ENSURING APPLICATION OF SCHEDULES

To ensure compliance with retention schedules, effective control must be maintained over all records in office and storage areas. Two techniques that have proven useful for this purpose are:

1. All requests for filing space and equipment (including paper shredders, and electronic records management systems) must be reviewed and approved by the Agency RMC to ensure that the requesting unit will be utilizing the equipment to store only items that have been properly scheduled.
2. Periodic reports to the agency RMC on the quantity of records destroyed or transferred and the amount of space or equipment released for reutilization are encouraged. Reports such as the CalRIM Annual Report of records holdings are valuable not only to ensure the application of retention schedules, but also to determine the savings that have resulted from the program.

KEEPING RETENTION SCHEDULES CURRENT

Retention schedules must be kept up-to-date if they are to be of value. Any addition, deletion, movement or significant change in an existing function makes it necessary to amend the schedule to reflect the change. Also, it is important that any change or addition to a retention schedule be made promptly and that those persons using the schedule be notified immediately. Any delay in notification increases the chance of someone relying on an erroneous schedule.

HELPFUL HINTS WHEN TRANSFERRING RECORDS

Avoid interference with daily operations. If possible, records should be transferred or destroyed during periods of reduced activity.

Handle in bulk quantities. It seldom pays to destroy or transfer records in small quantities.

Tie transfers in with periods of reduced filing activity.

Refrain from sporadic purging. It would be costly to purge files on a document-by-document basis throughout the year. Normally, purging should not be performed unless the disposable material can be easily separated from other material contained in its shared file folder. In most cases, records can be retained in an office area for several years and in the records center even longer before the storage cost will exceed the cost of sporadic purging. Before an Agency undertakes a purging project, it should first estimate the cost as compared to its potential savings.

Exceptions to these general rules must be carefully reviewed prior to implementation: Personnel files and other personal information require regular purging. Consult the CalRIM Website at [www.dgs.ca.gov/records management/recommended](http://www.dgs.ca.gov/records_management/recommended) general records retention, Section 1600 of SAM, Information Practices Act, Personnel Rules and Regulations, and your Human Resources Office for guidance.

RECORDS CENTER SERVICES

State Records Centers (SRC) are facilities where State agencies should deposit inactive records as an extension of their files. They are located at 1501 Cebrian Street, West Sacramento 95691 and 3240 Industrial Boulevard, West Sacramento 95691. Their mailing addresses are 1501 Cebrian Street, West Sacramento, 95691 and the shipping address is 3240 Industrial Boulevard, West Sacramento, 95691. These centers should be used by agencies to store records which must be retained for a time but are not needed for day-to-day operations. Generally, records are considered **inactive** if they are referred to no more frequently than once per cubic foot per month. Records stored at State Records Centers remain the property of the depositing agency.

HOW THE STATE RECORDS CENTER SAVES ITS CUSTOMERS MONEY

Records storage outsourcing has been under consideration for the past ten years. The State has looked into the matter on numerous occasions and found that it is generally more cost effective and efficient to use the State Records Center (SRC). The SRC charges a reasonable all encompassing fee (See DGS Price Book) for all of its services. The fees are not designed to generate profit, instead they are designed to allow the program to “break even”. Conversely, commercial companies charge a basic storage fee, which varies from company-to-company, and additional fees for other related tasks. At face value their price lists are enticing as their basic storage fees are often in line or less expensive than the SRC. The picture changes when other charges are factored in. Specifically, separate fees are assessed for original set-up, initial box insertions, *individual file retrievals, refilling, interfiling, permanent removal, *deliveries, , *pickups, records management services and in some cases a separate fee for preparing boxes for transfer or mailing.-

*Transportation is not provided by the SRC, however, pickup and delivery service for transfers in the Sacramento Area of sixteen boxes or less can be scheduled through the State’s Interagency Mail and Messenger Service. Transportation for transfers exceeding sixteen boxes can be scheduled through the State’s Transportation Management Unit in West Sacramento. These transfers are at the expense of the Agency concerned. Other transfers can be accomplished through the use of Master Service Agreements with the United Parcel Service and Fed Ex..

A records center can turn into a costly operation if its function is not clearly understood. It should not be a burial ground for dead records. Nor should it contain active records. It should contain those records not active enough to justify continued retention in the office, but which must be available for a specified period of time on an intermittent basis, or to satisfy legal requirements.

Destruction of records stored in the State Records Center (SRC) does not occur automatically when their retention periods are reached. When records destruction dates are reached, the SRC will notify the depositing agency using a Computer Printout, Authorization for Records Destruction. The records will be destroyed when the original copy of the Computer Printout has been returned showing the Records Management Coordinator’s signature, and indicating that the records are approved for destruction.

The Records Center can provide a computer generated report of material an agency has on deposit in one or both SRC facilities. The reports can be especially helpful when approving payment of Records Center billings. It lists each Transfer List by number, accession date (year and quarter the material was accepted by the Records Center), disposal date (year and quarter as provided on the Transfer List), container or shelf number(s), and total holdings by facility for each billing code.

INSTRUCTIONS FOR TRANSFERRING RECORDS TO STATE RECORDS CENTER FOR STORAGE. State agencies are encouraged to deposit their inactive records in the State Records Centers, provided the records are described on an approved Records Retention Schedule. The following procedures are to be used when transferring records to the State Records Centers.

Transferring Agency Will:

1. Order Records Storage Containers through normal supply channels from the supplier holding the current State Contract. The containers must match the following specifications:

COMPONENT	LENGTH	WIDTH	DEPTH
Bottom, inside	15”	12”	10”
Cover, inside	15-1/4”	12-1/4”	2”
Pad	15”	12”	N/A

2. Pack records upright in archive boxes in the same manner as they were maintained in agency files. **Do not pack tightly.** Allow sufficient space in each container to accommodate manual interfiling. All containers must be secured during transport. **DO NOT APPLY TAPE OVER THE PRE-PRINTED LABEL AREA ON THE FRONT OF THE CONTAINER.**
3. Number boxes in consecutive order, print the assigned box numbers in the space provided on each box. Unless specifically approved, do **not mark contents, agency name, or any other information on the box.**

4. Form STD 71, Records Transfer List may be ordered from Forms Management, Office of State Publishing. The Form 71 is the official document used to transfer custody of records from agency files to SRC's. Original and one copy of the records transfer list is prepared for each transfer. One copy is retained by the Records Center (SRC) and the duplicate is returned to the depositing agency with the SRC shelf location information printed in the space provided. **All item number entries must be double-spaced** with no more than twenty boxes per page. The Transfer List should be completed per the following instructions and those listed on the reverse of the form.
 - a. **Billing Code** - Block (1). Enter the agency billing code to which the storage fee is to be charged. The code should be verified by the Records Management Coordinator of the depositing agency.
 - b. **Destruction Date – Block (2)**. Enter date (year and quarters, i.e. 2007, 2) that the records are to be destroyed. The same destruction date must apply to all records on the list. Complete a new transfer list for record series having different disposal dates.
 - c. **Transfer List Number (3)**. The first transfer list for an entity will be assigned list number 1 (or a variation thereof, i.e. DMV-1). and continue in numerical sequence for each shipment thereafter. **Do not** begin with “1” at the beginning of each year, instead continue consecutively from the last number issued from the previous year.
 - d. **Storage Location – Block (4)**. Depending on where the records are to be stored, check either “Records Center” or “SRC Vault”.
 - e. **Destruction Method – Block (5)**. Enter either “Confidential” or “Non-confidential”.
 - f. **Volume Transferred – Block (6)**. Enter the total volume transferred, in cubic feet, for each shipment of records.
 - g. **Acceptable Storage Types are (7)**: Standard Records Center Box, Check Boxes, Roll Plans, 16mm film boxes, 35mm film boxes, 1,000 foot reels, or CD/DVD.
 - h. **Schedule Number (8)**. Enter the agency issued Schedule Number of the Records Retention Schedule on which the records are listed.
 - i. **Approval Number – Block (9)**. Enter the CalRIM Approval Number from the schedule on which the records are listed.
 - j. **Box Number – Block (10)**. After packing, enter the number assigned to each box. Begin each transfer list with box number “1” and proceed consecutively.

- k. **Description of Records – Block (11).** Enter the same description of records that was used on the approved Records Retention Schedule, STD 73.
- l. **SRC Storage Number – Block (12).** **Leave this block blank.** The block is reserved for locator information entered by SRC warehouse staff.
- m. **Years Covered by Records – Block (13).** Enter the year created of the records being transferred. If the records cover more than one year, use the earliest and latest years (example 2007-2008). If more than one year is shown the destruction date shown in block (2) will apply to both years.
- n. **Archive Flag – Block (14).** Enter an “X” in this column if State Archives has flagged (ear marked) the record described.
- o. **Item Number – Block (15).** Enter the Records Retention Schedule Item Number that corresponds with the description of the records being transferred.

5. Forward two copies of the completed Records Transfer List to the Records Center at least two weeks in advance of the shipment. This phase of the transfer must be closely coordinated with the Receiving Unit of the State Records Center (SRC).

6. Ship records **PREPAID** to the State Records Center, “**Collect**” shipments will be **refused**. Use state vehicles, Interagency Mail and Messenger Service (IMMS), contract carriers, or commercial providers for transfer of records. Additional information may be obtained by contacting the Receiving Unit of the SRC. For real time shipping information, contact the Office of Procurement, Traffic Management Unit.

The State Records Center Will:

- 1. Verify the shipping invoice against the items actually received. If a discrepancy is noted notify both the shipper and the agency concerned. Sign shipping invoice.
- 2. Stamp storage location space numbers on boxes corresponding to the number shown on the Records Transfer List, STD 71.
- 3. Place boxes in their assigned storage locations.
- 4. Sign and date both copies of the Records Transfer List. The original goes to computer key entry and the duplicate is returned to the transferring agency.

5. Information collected from the original Records Transfer list is key entered into the computer inventory. The original is then filed in the SRC's Active Transfer List Library.

RECORDS TRANSFER LIST**INSTRUCTIONS**

FOR STORAGE OF RECORDS IN SACRAMENTO: transmit the original and one copy of this transfer list to the State Records Center *in advance of the shipment of records*. Unless you have made special arrangements with the Records Center, you will be notified when the records can be accepted.

FOR STORAGE IN SRC VAULT: transmit the original and both copies of this transfer list (make an extra copy for your files) to the State Records Center *with the shipment*.

1. **BILLING CODE:** Enter the agency billing code to which storage is to be charged.
2. **DESTRUCTION DATE:** Enter the year and quarter when the records can be destroyed: such as "1995.2" for the second quarter of 1995. If the quarter is not specified, the records will be scheduled for destruction in the fourth quarter of the year indicated. Enter only one destruction date per list. Minimum storage is one year.
3. **TRANSFER LIST NUMBER:** Number the list for the first shipment of records "1" and continue in numerical sequence for each shipment thereafter. If the next number in your sequence is not known, contact your departmental records management coordinator.
4. **STORAGE LOCATION: Check the Records Center in which the records will be stored.** For vital records protection in secured environmentally controlled storage (usually master silver microfilm) check "Vault."
5. **DESTRUCTION METHOD:** Enter "Confidential" if these records require shredding to protect confidentiality. Enter "Nonconfidential" if shredding is not required.
6. **VOLUME TRANSFERRED:** Enter the total volume (in cubic feet) transferred for each shipment of records. (Each records center carton is 1 cubic foot. For other container equivalents, contact the Records Center.)
7. **STORAGE TYPE:** Acceptable storage types are Records Center Box, Check Box, Roll Plans, 16mm Film, 35mm Film, 1000 Foot Reels. Call the Records Center for the correct description for any other storage type.
8. **SCHEDULE NUMBER:** Enter the schedule number from the Records Retention Schedule (STD. 73) covering these specific records. Records must be covered by an approved retention schedule not more than five (5) years old.
9. **APPROVAL NUMBER:** Enter the Department of General Services approval number from the Records Retention Schedule (STD. 73) covering these specific records. Records must be covered by an approved retention schedule not more than five (5) years old.
10. **BOX NUMBER:** List each box or container included in the shipment in numeric sequence starting with "1". DOUBLE SPACE between entries, **with no more than 20 entries per page**.
11. **DESCRIPTION OF RECORDS:** Describe the records using the EXACT title from the approved records Retention Schedule (STD. 73). Subtitles or specific contents of containers may be listed if desired, i.e., batch numbers, file codes, etc. DO NOT USE INFORMATION THAT VIOLATES PRIVACY OF INDIVIDUALS.
12. **SRC STORAGE NO.:** Leave this column blank. The Records Center will enter storage numbers and return one copy of the list to the depositing agency.
13. **YEARS COVERED BY RECORDS:** Enter the year or years within which the records fall or the year in which activity terminated.
14. **ARCHIVES FLAG:** Enter an "X" if the State Archivist has flagged the listing for these records by stamping "Hold/Notify Archives" next to the listing on the Records Retention Schedule. Do not repeat if all containers on the list are for the same item number.
15. **ITEM NUMBER:** Enter the item number for these records from the Records Retention Schedule. This entry need not be repeated if all containers on the list are for the same item number.

NOTE: Records stored in a State Records Center are owned by the depositing agency. Records Center personnel cannot make decisions about your records or release them to unauthorized requesters. Records stored in Records Centers **may not be deleted** from your departmental Records Retention Schedule.

VAULT STORAGE FOR VITAL RECORDS

It is State policy that records recorded on microforms, or imaged on CD's, DVD's, Optical, and magnetic, etc., which have been designated as vital (essential), as defined by in the State Administrative Manual (SAM) Section 1600, and this publication are stored and preserved in the Vital Records Protection Vault located in Elk Grove, CA. The facility is owned and operated by a privately owned firm under contract to the State of California. The transfer and storage of the recording media will be handled through the State Records Center. The procedures outlined below must be followed for vault storage.

TRANSFER OF VITAL RECORDS MEDIA

- a.** When transferring vital records media to the SRC, prepare a STD 71, Records Transfer List in triplicate. At the time of transfer forward all copies to the State Records Center, 1501 Cebrian, West Sacramento, 95691. (shipment must be prepaid).
- b.** Upon verification of items listed, the SRC will acknowledge receipt by signing the Records Transfer List. A copy of the signed Transfer List will be returned to the transferring agency for their files.

REFERENCE REQUESTS

- a.** Form STD 76, Reference Request, will be used for withdrawal of any of the records for reference, duplication, or inspection purposes.
- b.** Complete the Reference Request and transmit it to the SRC at the Cebrian Street address. Be sure the second copy of the Reference Request remains attached to the record.
- c.** Return the record when no longer needed to the SRC at the Cebrian Street address. Be sure the **second copy** of the Reference Request is attached to the record.

INSTRUCTIONS FOR REFERRING TO RECORDS STORED IN STATE RECORDS CENTER

Records stored in the Records Center may be referred to or withdrawn by the depositing agency at any time. A record can be (1) reviewed at the Records Center or (2) forwarded to the requester. The following procedure is used for referring to records stored in the Records Center.

RESPONSIBILITY

ACTION

Requester

1. Forms STD. 76, Reference Request, may be ordered from Central Stores, Office of Procurement. Prepare a STD. 76, Reference Request, for **each** record requested, whether the request is for withdrawal of the actual record or for review at the Records Center. Complete as indicated below.
 - a. Department—Name of department.
 - b. Organizational Unit—Name of division, bureau, section or other sub-unit requesting the record.
 - c. Address—Mailing address of requester, including zip code (or IMS Code in the Sacramento area).
 - d. Requested By—Name of person requesting record.
 - e. To/From SRC—Direction of request.
 - f. Date of Request—Self explanatory.
 - g. Record Title or File Number—Title as it appears on the Records Transfer List, file number, or any other identifying information that will assist records center staff in locating the proper record.
 - h. SRC Storage Number—Transfer list number and the storage location assigned to the box or shelf (for microfilm, show number) containing the requested records indicated on the appropriate Records Transfer List.
 - i. For State Records Center use only.

STATE OF CALIFORNIA
STATE RECORDS CENTER REFERENCE REQUEST
STD. 76 (NEW 7-82) (CONTINUOUS)

DISTRIBUTION: $\left. \begin{matrix} 1 \\ 2 \\ 3 \end{matrix} \right\}$ STATE RECORDS CENTER
 $\left. \begin{matrix} 4 \\ 5 \end{matrix} \right\}$ AGENCY

DEPARTMENT (a)	UNIT (b)	SRC STORAGE INFO	LOCATION NUMBER (h)	
ADDRESS AND ROOM NUMBER (c)			LIST NO.	CONTAINER NO.
CITY		ZIP CODE		<input type="checkbox"/> BOX <input type="checkbox"/> SHELF <input type="checkbox"/> DRAWER
REQUESTED BY (d)		PHONE NUMBER		DATE (f)
COMMENTS <input type="checkbox"/> TO SRC <input type="checkbox"/> FROM SRC (e)		RECORD TITLE OR FILE NUMBER (g)		
FOR SRC USE ONLY <input type="checkbox"/> NOT IN FILE <input type="checkbox"/> WRONG LOCATION (i)				
OUT TO		CHECK HERE FOR ENTIRE BOX		
		INITIALS		

AGENCY - RETAIN LAST COPY UNTIL RECORD(S) RECEIVED
DO NOT REMOVE THIS TAG

Records Center:

1. Emergency Requests

a. For agencies outside the Sacramento metropolitan area only.

If an emergency request is made by telephone, the Reference Request will be completed by the Records Center personnel because telephone requests represent an emergency service and interrupts scheduled work. Customers are limited to two phone requests per day. Emergency requests will be accepted between 9:00 a.m. until 11:00 a.m., Monday through Friday, except holidays. Complete a separate Reference Request for each record requested.

b. For agencies within the Sacramento metropolitan area.

Requester will take the completed Reference Request to the Records Center. Request will be completed as in Steps 3 – 7 while requester waits. **Rushes/walk-ins** will be accepted only with a signed letter defining the need from a Deputy Director. The determining factors for rushes/walk-ins are as follows:

- 1) Court Order (within ten days).
- 2) Subpoena (within 10 days).
- 3) Emergency medical situation.
- 4) Law enforcement emergency.
- 5) Public safety issue

2. Routine Requests

- a. Forward completed Reference Requests to the Records Center. Allow reasonable time for the request to be processed through US Mail or the Interagency Messenger Service.
- b. Check the Reference Request for possible errors. Clear discrepancies with the requester.
- c. Locate the proper records center container or shelf containing the desired record. Verify records against the Reference Request.
- d. Staple third copy of Reference Request to an out-card. Remove record from the container and replace it with the outcard. Attach second copy to requested record and file original.

INSTRUCTIONS FOR REVIEWING RECORDS AT THE SRC

Records stored at the SRC may be reviewed by agency personnel at the SRC between the hours of 7:00 a.m. to 3:00 p.m., Monday through Friday, except holidays (this policy is subject to change without notice.). Persons desiring to review records must have written permission from the Records Management Coordinator representing the depositing agency. Persons reviewing records will do so in accordance with the following instructions:

1. **Registration** – Each day a person review records he or she must sign the register maintained at the front desk.
2. **Reference Requests** – All request for records must be on a STD 76, Reference Request and completed in advance. STD 76, Reference Request forms will not be supplied at the SRC unless a pre-arranged agreement has been made between the Records Management Coordinator and the SRC Manager.
3. **Responsibility for Records** – A person reviewing records is responsible for all records delivered to him or her until they are returned. Researchers must exercise care to prevent damage to records. Records may not be written on, folded, or handled in any way that may damage them. Paper clips, rubber bands, or other fasteners may not be fastened to records. Unbound paper must be kept in the same order in which they are delivered to the researcher. If records are found to be misfiled, the researcher will not attempt to re-file them but should report the fact to the attention of SRC staff. Unless other wise cleared by SRC management, Agencies need to supply their own copier when records require copying.
4. **Quantity of Records to be Reviewed** – Records Center personnel may limit the quantity of records delivered to a reviewer at any time if in their opinion records cannot be used conveniently and without damage or disorder.
5. **Unlawful Removal or Mutilation of Records** – Records or other property of the Records Center may not be taken without permission. Unlawful removal or mutilation is punishable by fine or imprisonment or both (Government Code Sections 6200 and 6201). Disclosure of confidential information from files to an unauthorized person is a violation of Section 1142 of the Penal Code.
6. **Disturbances** – Loud talking or actions likely to disturb other persons is prohibited.
7. **Smoking and Eating** – Smoking and eating are permitted in designated areas only.

INSTRUCTIONS FOR DESTROYING RECORDS STORED IN THE STATE RECORDS CENTER

Records stored in the Records Center will be destroyed when their retention is no longer required as indicated by approved Records Retention Schedules. Destruction is not automatic, records are not destroyed if the computer printout authorization for records destruction is not returned. If the approved/disapproved authorization is not returned within 60 days, the depositing agency will be billed for an additional quarter. Depositing agencies must authorize destruction of their records on the computer printout Authorization for Records Destruction or on Form GS-50, State Records Special Disposal Authorization. The computer printout will be initiated by the State Records Center; the Form GS-50 will be initiated by the owning agency. GS-50's are available from the State Records Center. The following procedure will be used for destroying records by use of the Computer Printout Authorization for Records Destruction.

Records Center.

1. Each quarter, run the computer program which lists records eligible for destruction.
2. Forward the computer printout Authorization for Records Destruction, listing the records eligible for destruction, to the Agency Records Management Coordinator.
3. Review returned authorizations and note instructions.
4. Red line, date, and initial Records Transfer Lists.
5. Enter data into the computer
6. Notify State Archives of all disposals.
7. Remove boxes from storage space. Check and mark off location number on boxes. If records require special destruction, mark instructions on boxes.
8. Contact Waste paper vendor or the State Document Destruction Center and make arrangements for disposal of records.

Agency Records Management Coordinator

1. Analyze the computer printout Authorization for Records Destruction Sheet against approved Records Retention Schedules and against the Transfer List used to ship the records to the Records Center.
2. Concur with destruction by checking the appropriate column, or revise destruction dates for those records specifically identified. All revisions must be indicated on the computer printout Authorization for Records Destruction by checking the appropriate column or by so indicating in the comments section. Any such changes (except where records are being held for audit or litigation) must also be reflected on the Records Retention Schedule. (See instructions for amending schedules on page 19.)
3. Any change or exception must be explained in the remarks section or in an accompanying memorandum.
4. Sign the original and one copy of the authorization. This action constitutes approval to destroy the records except for revisions.
5. Forward original and one copy of the approved authorization to the Records Center before the suspense date shown on the authorization transmittal.

INSTRUCTIONS FOR PREPARING GS-50, STATE RECORDS SPECIAL AUTHORIZATION

The following procedure will be followed when using Form GS-50, State Records Special Authorization. The GS-50 will be used when requesting that (1) records be destroyed immediately, (2) records be returned to Agency on a permanent basis, (3) the retention period be changed to an earlier or later date than stated on the Records Transfer List, or (4) a transfer of responsibility from the original agency to a new agency be made. In a transfer, a letter of acceptance from the new agency's Records Management Coordinator must accompany the GS-50.

Agency Records Management Coordinator

1. Prepare Form GS-50 indicating action to be taken (Sample of form and instructions for completion are shown on pages 36 and 37).
2. Forward one copy of the completed GS-50 to State Records Center with original signature.

State Records Center

1. Review GS-50 and note action requested.
2. If records are to be destroyed immediately, follow same procedure as indicated for the computer printout authorization (See page 33).
 - a. Red-line, date and initial Records Transfer List. Indicated on the Records Transfer List that the records are being returned to agency.
 - b. Enter data into the data base.
 - c. Remove boxes from storage space and notify Agency that records are ready to be picked-up.
3. If records retention period is to be changed to an earlier or later date, enter change into the data-base.
4. If records are to be transferred from one agency to another:
 - a. Indicate change on the Records Transfer list.
 - b. Enter change into the computer.
 - c. Ensure the letter from the receiving Agency is on file confirming acceptance of the records.*

* Identify confidential records which require witnessed destruction in the remarks section.

INSTRUCTIONS

USES

Special Voluntary Disposals: This form is to be used for the disposal of records when authorization is voluntarily given by state agencies ahead of the scheduled disposal date. Note that the major disposal authorization process will be performed via the computer-generated Authorization for Records Destruction.

Change in Agency or Disposal Date: This form is to be used when records are transferred from one agency to another or when disposition schedules have been revised to reflect a destruction date change.

Reference Requests that Will not be Returned to the Records Center: This form is to be used instead of the Std. 76, State Records Center Reference Request, when whole containers are requested for reference and will not be returned to the Records Center.

HEADING INFORMATION

Department: Enter your department, board, commission, or institution name.

Unit: Enter the unit name to which the records belong.

Approval from Receiving Agency: In order to transfer records we must be provided with a letter of agreement from the receiving agency.

DETAIL INFORMATION

(Enter information on as many lines as needed to specify completely all the records you wish to dispose of. These records must be identified numerically in terms of the Records Center storage location numbers.)

Transfer List Number: Enter the number of the Transfer List documenting the records to be disposed. Repeat on as many lines as needed.

Storage Type: Check box "shelf" or "box" if the Records Center storage location numbers on the Transfer List are shelf locations or box locations.

Storage Numbers: Use the Records Center storage number that the Records Center stamped on the Transfer List. Entries may be inclusive.

Disposition, Destroy/Return/Change to/Transfer to: Place an "X" in the column indicating whether the records are to be destroyed by the Records Center, returned to your agency, a new disposal date or transferring the records to another agency. Any records marked "return" will be sent to the address on file at the Records Center, and will be deleted from your inventory of records stored in the Records Center. Any records marked transfer will be deleted from your inventory of records stored in the Record Center, and added to that of the receiving agency.

Confidential Destruction: Place an "X" in the column indicating whether the records require confidential destruction. Records not receiving the "X" will be assumed non-confidential and disposed of as such.

Comments/New Date or Agency: Enter any meaningful comments here. In cases of date or agency change, please supply us with the new year and quarter or the receiving agency name.

SIGNATURE BLOCK

Near the bottom of the form is a signature block to be signed by the person completing this form. At the bottom of the form it is required that the agency Records Management Analyst sign, date, and type his or her name and title.

NOTE: Please make all entries legible and understandable. Doing so will ensure disposing of the correct records. No records will be transferred without the written consent of the receiving agency.

INSTRUCTIONS FOR TRANSFERRING RECORDS FROM OFFICES OR DEPARTMENTAL STORAGE FOR DISPOSAL

Normally, obsolete records held in offices or departmental storage areas can be disposed of by sale to the State’s current wastepaper recycling contract vendor; or in the case of confidential material, destroyed by a contract vendor or the State Document Destruction Center. Agencies should carefully determine whether records are confidential. If so, Agencies should provide a witness when using a contract vendor for confidential destruction. The witness selected must be a State employee in order to qualify as an authorized witness.

State Document Destruction Center
3240 Industrial Boulevard
West Sacramento, CA 95691
(916) 375-6760

The following procedures should be followed when transferring records for disposal.

CONFIDENTIAL RECORDS

Transferring Agency.

1. Contact State Archives (916-653-1911/6734) For records marked “Hold Notify Archives” in Column (39) of the Records Retention Schedule.
2. Call the State Document Destruction Center between 7:00 a.m. and 3:00 p.m. for an appointment. The Records Center does not pick-up confidential destruction material. Mark containers “Confidential Material for destruction”.
3. Pack records in stackable boxes of sufficient strength and durability to withstand stacking and shipping. Tape the boxes just enough to keep them securely closed during transport.
4. Ship records PREPAID to the Records Center. “Collect” shipments will be refused by the Records Center. Further information may be obtained by contacting the Records Center.

Records Center

1. Accept, weigh, destroy material, and bill customer.

TO: 30100 GENERAL SERV: OFFICE OF PROCUREMENT

FROM: STATE RECORDS SERVICE, SACRAMENTO RECORDS CENTER

THE RECORDS IDENTIFIED BELOW WILL BE ELIGIBLE FOR DESTRUCTION AT THE END OF THE CURRENT QUARTER.

PLEASE REMEMBER TO DESIGNATE, IN THE COMMENTS COLUMN, ANY RECORDS WHICH MUST RECEIVE CONFIDENTIAL AND/OR WITNESSED DESTRUCTION. IF NO COMMENT IS MADE, AS TO THE TYPE OF DESTRUCTION REQUIRED, RECORDS WILL BE ASSUMED NON-CONFIDENTIAL AND THEREFORE NOT RECEIVE WITNESSED DESTRUCTION.

IF IT IS NECESSARY TO EXTEND THE RETENTION PERIOD OF ANY OF THESE RECORDS BEYOND THE AUTHORIZED DISPOSAL DATE, PLEASE MAKE APPROPRIATE CHANGES AND PROVIDE DETAILED EXPLANATION (ANY PERMANENT CHANGES IN RECORDS RETENTION SHOULD BE REFLECTED IN YOUR APPROVED RECORDS DISPOSITION SCHEDULES - SEE S.A.M 1673.2).

PLEASE APPROVE AND RETURN ONE COPY WITHIN THIRTY DAYS TO: STATE RECORDS CENTER, 1501 CEBRIAN STREET, WEST SACRAMENTO, 95691.

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*****
* I HEREBY CERTIFY THAT I AM AUTHORIZED TO ACT FOR THE HEAD OF THIS *
* AGENCY IN MATTERS PERTAINING TO DISPOSAL OF RECORDS: *
* *
* X *
*-----*
* SIGNATURE TITLE PHONE DATE *
*****
    
```

TO: 30100 GENERAL SERV: OFFICE OF PROCUREMENT

TRANSFER LIST NO.	ACCESSION-DATE YEAR, QUARTER	DISPOSAL-DATE YEAR, QUARTER	STORAGE TYPE	STORAGE NUMBER	DESTR	RETURN TO AGENCY	EXTEND DISP. DATE TO:	DISP.	COMMENTS
63	1974 4	1983 3	BOX	148453 THRU 148454
87	1974 4	1983 3	BOX	148449 THRU 148452
95	1975 4	1984 3	BOX	20970
95	1975 4	1984 3	BOX	120003 THRU 120004
95	1975 4	1984 3	BOX	136718 THRU 136740
97	1976 1	1984 3	BOX	174211 THRU 174213
144	1979 3	1983 4	BOX	6745 THRU 6747
145	1979 3	1983 4	BOX	1644 THRU 1646
147	1979 3	1983 4	BOX	30029 THRU 30038
146	1979 3	1983 4	BOX	8973 THRU 8996
149	1979 3	1983 4	BOX	234670 THRU 234682
150	1979 3	1983 4	BOX	9191 THRU 9234
151	1979 3	1983 4	BOX	252426 THRU 252433
155	1979 3	1983 4	BOX	39220 THRU 39245
156	1979 3	1983 4	BOX	36777 THRU 36814
160	1980 2	1984 4	BOX	2303 THRU 2312
161	1980 2	1984 4	BOX	182781 THRU 182784
202	1982 4	1984 4	BOX	96629 THRU 96634
218	1983 4	1984 4	BOX	197830 THRU 197839

GLOSSARY OF TERMS

A.

ACCESS. The availability of, or the permission to consult records.

ACCESSIONS. (1) The act and procedures involved in the the taking of records or papers into the physical custody of an archival agency or a records center. In records center operations, transfer of legal title is not involved. (2) The materials involved in such a transfer of custody.

ACTION COPY. That copy of a communication directed to a particular agency, office, or individual responsible for action, as opposed to an information copy.

ACTIVE RECORD. A record needed to be readily available for the daily, weekly, monthly, semi-annual, or annual activity of an organization. In the case of paper records, those that are referred to more than once per month.

ADMINISTRATIVE VALUE. In appraisal, the usefulness of records to the originating or succeeding agency in the conduct of current business. See also EVIDENTIAL VALUE, INFORMATIONAL VALUE.

APERTURE CARD. A machined punched card incorporating a window into which a strip of developed microfilm can be inserted.

APPRAISAL. The process of determining the value and thus the retention or disposition of records based upon their administrative and other uses, the evidential and informational or research value, their arrangement, and their relationship to other records.

ARCHIVAL VALUE. The determination by appraisal that records are worthy of permanent preservation by the Office of State Archives. See also HISTORICAL VALUE.

ARCHIVES. (1) Non-current records preserved because of their historical research value; also referred to, in this sense, as archival materials or archival holdings. (2) The agency responsible for selecting, preserving, and making available archival materials. (3) The building or a part of a building where such materials are stored; also referred to as an archival repository or depository.

ARCHIVIST. A custodian of an organization's history. Usually one who is professionally trained for, or whose primary duties consist of, appraising and caring for archival records.

B.

BACKING UP: The making of a computer file for use if the original is lost, damaged, or destroyed.

BIT: The smallest unit of information (normally either an "O" or an "I") recognizable by a computer.

BYTE: The number of bits that represents a character to a compute, normally eight bits.

C.

CARTOGRAPHIC RECORDS. Program and information motion pictures, still pictures, sound recordings, video recordings, and related documentation.

CASE FILES. A paper or electronic folder file containing material related to a specific action, event, person, place, project, or other subject.

CENTRAL FILES. The file of several offices or organizational units physically, electronically and or functionally centralized and supervised in one location.

CENTRAL PROCESSING UNIT (CPU). The component of a computer system that interprets and carries out program instructions. And controls the overall activity of the computer..

CERTIFICATION: Attestation of the authenticity or official character of a document or reproduction of a document.

CHARACTER. Any symbol, such as a number, letter or punctuation mark, that represents data and that, when encoded, can be processed or stored by a computer.

CHRONOLOGICAL FILE. Arrangement of files by date.

CODING. The act of applying file designations on records for the purpose of classification or condensation.

COM. Computer output microfilming.

COMMERCIAL RECORDS CENTER. A records storage center operated by a private service company and housing the records of multiple organizations. Charges are usually on the basis of a standard rental rate per cubic foot plus added fees for service activity.

COMPUTER. An electronic device designed to accept data (input), perform prescribed mathematical and logical operations at high speed (processing), and supply the results of these operations (output).

COMPUTER CODE. A set of rules to convert data to a form that computers can process. Examples include ASCII (American Standard Code for Information Interchange) and EBCDIC (Extended Binary Coded Decimal Interchange Code).

CONVENIENCE COPY. A copy created for administrative ease of use, also called a working or reference copy, not the record copy.

COPY. The reproduction, by any method, or the complete substance of a record; a reproduction of an original.

CPU. Central Processing Unit

CROSS REFERENCE. A notation in a file or on a list showing that a record has been stored elsewhere.

CUBIC FOOT. That volume of records which fills a space one foot high by one foot wide by one foot long. The basic measurement for records volume.

CUSTODY. The guardianship of records. Components of custody differ between (a) physical custody and (b) legal custody.

CUT OFF. Termination of a file at regular periodic intervals to facilitate continuous disposal or transfer of the file series.

D.

DATA. Symbols or representations, of facts or ideas that can be communicated, interpreted, or processed by manual or automated means. Often associated with electronic data or with statistics or measurements.

DATABASE. A set of data, consisting of at least one data file or a group of integrated data files, usually stored in one location and made available to several users at the same time for various applications.

DATABASE MANAGEMENT SYSTEM (DBMS). A software system used to access and retrieve data stored in a database.

DATA ELEMENT. A combination of characters or bytes referring to one separate item of information, such as a name, address or age.

DATA FILE. (1) An organized collection of related data, usually arranged into logical records that are stored together and treated as a unit by a computer. (2) Related numeric, textual, or graphic information that is organized in a strictly prescribed form and format. Used in contrast to text documents that may be recorded on electronic media.

DATA PROCESSING. Handling and processing of information necessary to record the transactions of an organization. Usually used in conjunction with mechanical and electronic data handling equipment.

DATA RANGE. The period of time covered by records in a file

DECENTRALIZED FILES. Files scattered throughout an organization, not centralized.

DELETING. The process of removing, erasing, or obliterating recorded information from a medium, especially a magnetic tape or disk, which then may be reused.

DIAZO FILM. A relatively slow duplicating film composed of diazonium salts that, in the presence of strong light ammonia vapors, is capable of creating an image. Diazo provides a positive image, black from black and white from white. Not archival in quality.

DICTIONARY ARRANGEMENT. A system of filing records in alphabetic order by subject. Also referred to as topical arrangements.

DISK DRIVE. A device that spins the disk and writes/reads information on and off disks

DOCUMENT. An instrument containing recorded information or data.

DOCUMENTATION. A collection of written descriptions and procedures that provide information and guidance about a program or about all or part of a computer system so that it can be properly used and maintained.

DUMPING. (1) The process of copying recorded information from internal memory to an external storage medium, such as magnetic tape for backup, analysis, or some other purpose (2) The process of transferring recorded information from one storage device to another such as from a desk to a tape.

DUPLEX-NUMERIC FILING. Arrangement of files using two or more sets of code numbers, with the sets separated by dashes, commas, periods or spaces.

E.

ELECTRONIC DATA PROCESSING (EDP). The use of a computer to process data.

ELECTRONIC RECORDS. Records stored in a form that only a computer can process. Also called machine-readable records.

EMULSION. A photographic material coating in which light sensitive materials such as silver halides are suspended.

ESSENTIAL RECORDS. Also known as Vital Records.

F.

FACSIMILE. The reproduction of a document. Normally obtained through the use of photocopy equipment.

FILE. (1) An accumulation of records maintained in a predetermined physical arrangement. The term may also refer to either a series or a file unit; such as a folder or dossier. (2) To place documents in a predetermined location according to an overall plan of classification. (3) In-machine-readable records, two or more data records of identical layout treated as a unit. The unit is larger than a data record but smaller than a data system and is sometimes known as a data set. (4) Storage equipment, such as a filing cabinet.

FILE INTEGRITY. Accuracy and completeness of the records.

FILES MANAGEMENT. The management function which provides for the analysis of filing equipment and the procedures to determine the most efficient type of equipment and system for a given operation at the most economical price.

FILING. The process of arranging and sorting records so that they may be retrieved rapidly when needed.

FILING SYSTEM. The planned method of indexing and arranging records for storage and retrieval.

FINAL DISPOSITION. Final processing of records, either destruction, permanent retention, or archival preservation.

FISCAL RECORDS. Financial records of an organization that have a fiscal value.

FORMS. Carefully designed documents used to gather and transmit prescribed information. A form generally has a fixed arrangement of captioned spaces upon which all constant data have been preprinted, blank fields or spaces are left for the entry of additional information.

FORMS ANALYST. A person who determines the need for each type of form used by an organization and makes recommendations concerning cost reduction and efficiency improvements.

FORMS MANAGEMENT. The management function that establishes standards for the creation, design, analysis, and revision of all forms used within an organization, and assures that they are designed, produced, and distributed economically and efficiently.

FUNCTIONAL FORMS FILE. A forms control file that brings together forms serving a similar function so that they may be studied for possible combination.

G.

GENERAL SCHEDULE. A Records Retention Schedule covering records common to several or all of the departments of an organization.

GIGABYTE. One billion bytes of information.

H.

HARD COPY. The original documents, the reproduced paper copy made from microfilm, or the printout made from data processing media. A record that can be read without the use of a viewer or magnifying device.

HARDWARE. In a data processing system, the mechanical components such as computers, monitors, and tape drives.

HISTORICAL VALUE. The usefulness of records for historical research concerning the agency of origin or for information about persons, places, events, or things.

HOLDING AREA: Space assigned for the temporary storage of active or semi-active records and for records with relatively short retention periods. Also known as Staging Area.

HOLDINGS. All of the records in the custody of a given agency, organizational element, archival establishment, or records center.

I.

INACTIVE RECORDS. Records that have a reference rate of less than one search per file drawer per month. Records that are not needed to be readily available, but which must be kept for administrative, fiscal, legal, historical, or governmental purposes.

INDEX. An organized finding aid to the contents of a document, data base, or filing system, arranged in a logical array, giving document or data location in storage.

INDEXING. The action of specifying or determining the predestined topic, name, number, or caption under which a document is to be filed.

INFORMATION. Knowledge communicated by others or obtained by study and investigation. In records management this is information that has been communicated in some format.

INFORMATION PROCESSING. The manipulation of data through a series of changes in order to put it into a new form for use.

INFORMATION RESOURCES. The procedures, equipment, and software that are designed, built, operated, and maintained to collect, records, process, store, retrieve, display, and transmit information, and associated personnel including consultants and contractors.

INFORMATION RESOURCES MANAGEMENT (IRM). The planning, budgeting, organizing, directing, training, and controlling activities associated with managing information resources.

INFORMATION RESOURCES TECHNOLOGIES. Data processing and telecommunications hardware, software, services personnel, facility resources, maintenance., and training.

INFORMATION RETRIEVAL. Recalling and repossessing data at any time needed. The manual or machine searching of a database to retrieve specific data or documents to satisfy requests for information from the database.

INFORMATION SYSTEM. The organized collection, processing transmission and dissemination of information in accordance with defined procedures, whether automated or manual. Sometimes called a record system.

INTERFILE. The process of putting documents in their proper sequence in a file of which they have not previously been a part.

IRM. Information Resources Management.

L.

LAN. Local Area Network

LEGAL CUSTODY. Control of, access to, possession of, or responsibility for records based on specific statutory authority. Ownership of title to documentary materials.

LEGAL VALUE. The usefulness to an agency of records that provide legal proof of agency authority and agency business transactions; also refers to the usefulness or records that form the basis of legal actions, or that contain evidence of legally enforceable rights or obligations of government or private persons.

LIFE CYCLE OF RECORDS. The management concept that records pass through three stages: Creation, Maintenance and Use, and Disposition.

LOGICAL RECORD. A collection of related data elements, referring to one person, place, thing, or event, that are treated as a unit by a computer.

LINEAR FOOT. A unit of measurement used to determine the quantity of records in terms of length of space occupied without regard for height and width.

M.

MAGNETIC TAPE. A tape or ribbon of any material impregnated or coated with magnetic material (iron oxide) on which information may be placed in the form of magnetically polarized spots. Commonly used a medium for carrying computer programmed information.

MAINFRAME COMPUTER. A large digital computer, normally able to process and store more data than a minicomputer and far more than a microcomputer, designed to do so faster than a minicomputer or a microcomputer, and often serving as the center or a system with many users.

MEGABYTE. One million bytes

METHYLENE BLUE TEST. A performed on processed microfilm to determine the amount of sodium thiosulphate left on the film during processing; the test is used to determine archival quality of the film.

MICROCOMPUTER. A very small digital compute, normally able to process and store less data than a minicomputer and far less than a mainframe while doing so less rapidly than a minicomputer or a mainframe. Includes desktop, laptop, and hand-held models. Also called a personal computer.

MICROFILM. A film containing photographic records or images considerably reduced in size from the original material filmed.

MICROFILM JACKET. Two thin pieces of rectangular transparent polyester material that are sealed on two sides; the jacket is divided into channels either 16mm or 35mm wide and contains a leader strip across the tope where the title can be typed. Exposed strips of film are inserted into the channels.

MICROFILMING. The process of photographic reproduction of a document, usually on 16mm or 35mm film. The original may be reduced from one eighth (1:8) to one fiftieth (1:50) of its size, with such clarity that it can be enlarged to its original size without loss resolution.

MICROFORM. Roll microfilm, microfiche, computer output microfilm, and all other formats produced by any method of microphotography or other means of miniaturization on film.

MICROGRAPHICS. The art of producing or reproducing information in miniature form. Also termed micro-printing or microphotography. Encompasses the creation, use, and storage of microforms.

O.

OCR. Optical Character Recognition

ODSS. Optical Data Storage System

OPTICAL DISKS. Platter shaped computer-oriented storage media which permit the recording and/or retrieval of information by optical processes, typically through the use of lasers. Optical disks are recorded and/or read by specially-designed drives which function as computer peripheral devices. Optical disks and their associated drives are available in both read/write and read-only configurations.

P.

PERIPHERAL DEVICE. Any device used for input/output operations with the central processing unit (CPU). Peripheral devices include the tape drives, disks, terminals, printer, etc., that are a part of a computer system and operate under the control of the CPU.

PERMANENT RECORD: A records considered to be so valuable or unique that it is to be permanently preserved.

PHYSICAL CUSTODY: The actual housing and maintenance of records without legal ownership, as authorized by the legal custodian.

PLANETARY CAMERA: A microfilm camera in which the document and the film remain stationary during the exposure. The film unit is suspended over documents placed on a flat copyboard.

POLICY: A basic guide to action that prescribes the boundaries within which activities are to take place..

PRESERVATION DUPLICATE: A copy of a vital (essential) record used to preserve the record in the event of a disaster.

PROCEDURE: A group of methods consisting of all the steps that are taken to record analyze, transmit, and store information needed to serve a single, specific purpose.

PROCESSING AREA: An area set aside for preparing records for accessioning, interfiling, or refilling.

PUBLIC RECORDS: The portion of all documents, writings, letters, memoranda, or other written, printed, typed, copied, or developed materials which contain public information.

PURGING FILES: The process of clearing out inactive or obsolete records from active file storage areas for retention elsewhere or for destruction.'

R

RANDOM ACCESS MEMORY (RAM): One of two main types of internal memory in the computer which holds programs and data that the user enters into the computer as well as the results of the data's manipulation. RAM is volatile in the information is eliminated when the power of the computer is turned off.

READ ONLY MEMORY (ROM): One of two main types of internal memory in the computer which holds programs and the data that is used frequently in user programs. It retains the information even after the computer is turned off.

READER: A machine that projects and magnifies a microimage to a size large enough to be read with the unaided eye.

READER PRINTER: A reader with the capability of producing an enlarged paper reproduction of the microfilm image. Equipment that, in addition to enlarging micro-images to readable size, can also make paper copies of selected images.

RECORD: A document containing data or information of any kind and in any form generated or received by an organization, containing information necessary for the operation of that organization's business.

RECORD COPY: A record that is designated to be kept for the full retention period; not a reference, working, or convenience copy. Also known as **OFFICIAL RECORD**.

RECORDS APPRAISAL. The analysis of records with the objective of establishing retention.

RECORDS CENTER: A low cost, high density centralized area for housing and servicing inactive or non-current records with reference rates.

RECORDS DISPOSAL AUTHORIZATION: A written description of records in existence and showing the disposition actions to be taken.

RECORDS DISPOSITION: Final processing of records; either destruction, permanent retention, or archival preservation.

RECORDS INVENTORY: The physical listing of all records series created and maintained by an agency, conducted prior to the development of retention schedules. Includes data such as records series titles, media, inclusive dates, use, location, quantity, arrangement, duplication, and other pertinent information.

RECORDS MANAGEMENT: The systematic control of recorded information required in the operation of an organization's business, from creation and active maintenance and use, through inactive storage, to final disposition.

RECORDS MANAGER: The individual within an organization who has the responsibility of systematically controlling the recorded information generated and received by the organization.

RECORDS PREPARATION: A series of steps that could include sorting, flattening, removing fasteners such as staples and paper clips and index planning preliminary to microfilming or digital scanning. Also called document preparation.

RECORDS RETENTION SCHEDULE: A document that identifies the length of time a records series must be retained in active/current and inactive/non-current storage before its final disposition to permanent storage, archival preservation, or destruction.

RECORDS SERIES: A group of identical or related records that are normally used and filed as a unit, and that permit evaluation as a unit for retention scheduling purposes.

REDUCTION RATIO: The relationship (ratio) between the dimensions of the original or master and the corresponding dimensions of the micro-image; e.g., a 24:1 reduction ratio would indicate that the original has been reduced to 1/24 of its original size.

REFERENCE ANALYSIS: A study or review of all requests for records during a specific time.

REFILE: The process of returning a record to its original place in a file after it has been withdrawn for reference.

RESOLUTION: The ability of a photographic system to record fine detail. Resolution is expressed in lines per millimeter.

RETENTION PERIOD: The period of time during which records must be kept before final disposition.

SHREDDING: The destruction of documents by shredding or pulping to render them illegible and beyond reconstruction.

SOFTWARE; non-hardware elements of a computer system. A set of programs, procedures, and documents concerned with the operation of a data processing system.

Includes programs that enable a computer to function and control its own operation (system software) and application programs which accomplish some user-specified task.

STAGING AREA: An area used for intermediate or temporary storage of records awaiting accession or disposal processing.

STATE RECORD: A document, book, paper, photograph, sound recording or other material, regardless of physical form or characteristic, made or received by a state agency, department, board, commission or institution according to law or in connection with the transaction of official state business. The term does not include library or museum material made or acquired and preserved solely for reference or exhibition purposes, an extra copy of a document preserved only for convenience or reference, or a stock of publications or of processed documents.

STRAIGHT-NUMERIC FILING: Arrangement of files in consecutive order, from the lowest number to the highest.

SUBJECT FILING: Classification and coding of records by subject.

SUSPENSE FILE: A file usually organized chronologically, in which documents or data are entered or filed temporarily, awaiting action.

TEMPORARY RECORDS: Records that are disposable as valueless after a stated period of time.

TERMINAL-DIGIT FILING: Files arrangement using the last digit or set of digits as the primary filing unit.

TEXT DOCUMENTS: Narrative or tabular documents, such as letters, memorandums, and reports, organized in a loosely prescribed form and format.

TRANSFERRING: Moving inactive/non-current records to a records center on a records retention schedule.

UTILITY PROGRAM: A program provided by a computer center or vendor to perform a task that is required by many of the programs using the system. Common utility programs are those that copy data from one storage medium to another and sort/merge programs. Others may provide text editing, initiate the execution of programs, and perform other functions not directly related to the processing of data in a program.

VAULTING: Storing records in a fire resistive enclosure designed exclusively for such storage.

VIEWER: A device having a viewing screen for displaying microimages that are on either roll film or fiche.

VITAL RECORDS: Records containing information necessary to the operation of government in an emergency created by disaster, and records to protect the rights and interests of individuals or to establish and affirm the powers of government in the resumption of operation after a disaster.

VITAL RECORDS RETENTION SCHEDULE: The document which identifies those records and records series that are classified as vital and specifies the means for the protection of those records. The document that provides each department with a complete listing of all vital records for which the department is responsible. **NOTE:** This information is normally listed within a regular records retention schedule in California

WIDE AREA NETWORK (WAN): A system for linking together computers, terminals, printers, and other equipment that are located in extensively separated offices and buildings.

WORD PROCESSING: Creating and modifying text documents by using a computer.

WORK FLOW PROCESS: A system that defines, creates and manages the execution of workflows through the use of software, running on one or more workflow engines, which is able to interpret the process definition, interact with workflow participants and, where required, invoke the use of IT tools and applications.

RECORDS MANAGEMENT PROGRAM CHECKLIST

Note: A check in the “NO” Column indicates that corrective action is required.

YES	NO	
		1. Has the responsibility for coordinating the Agency’s Records Management Program been assigned to an individual who is well versed in records management and mission requirements?
		2. Have all records been inventoried using the STD 70, Records Inventory worksheet?
		3. Are all records series included on an approved Records Retention Schedule?
		4. Do the Retention Schedules promote minimum retention time of records consistent with mission requirements?
		5. Are copies of Records Retention Schedules available to employees responsible for files maintenance?
		6. Are there adequate instructions available for applying the terms of Records Retention schedules?
		7. Are reports prepared regularly on the quantities of records destroyed or transferred to the State Records Center?
		8. Have effective controls been established to ensure that used filing equipment is released to equipment redistribution and that new equipment is purchased only when there is a clearly defined need?
		9. Is the Agency Records Management Coordinator actively involved in the approval process for Records Retention Schedules created by the Agency?
		10. Are Agency Records Retention Schedules allowed to expire?
		11. Has the Agency Records Management Coordinator received sufficient training to effectively fulfill the requirements of the position?

GUIDELINES FOR JUSTIFYING PURCHASE OF FILING EQUIPMENT

Provide any and all information on the equipment being ordered. The justification may be on a separate attachment to the order (STD 65, Purchasing Authority Purchase Order). Orders must be reviewed and signed by the Department's Records Management Coordinator.

1. Description of records to be stored. Identify records series to be stored in the requested equipment as described in the STD 73, Records Retention Schedule. Include the records series description, schedule number, line item number and CalRIM Approval Number. NOTE: If justification is for a new record series, call CalRIM for instructions. In many cases the record series must be added to an existing schedule by issuing an amendment.
2. **Drawer Files vs. Filing Equipment.** If drawer filing equipment is requested in lieu of shelf files (which are designated as the State standard), explain in detail why shelf files are not acceptable. If justification is based on office space constraints, attach a sketch of the office layout. If part of the justification is that the documents are confidential and must be maintained in a receptacle equipped with a locking device, be advised that shelf equipment is available with doors and locks.
3. **Accessories or Options.** Explain need for doors, locks, locking bars, etc..
4. **Non-contract Equipment.** Explain in detail how the equipment will be used and attach a copy of the vendor's brochure or a catalog page with specifications. If a single source purchase is being requested, list other equipment that was investigated and explain why the requested equipment is the only one suitable. If the order must go out to bid, list the specifications and/or capabilities that are vital.
5. **Growth of Existing Record Series.** If additional equipment is being ordered to store an existing record series, explain program growth.
6. **Match and Inter-member.** If requested equipment must "match and inter-member", explain in detail. Esthetic values, i.e., special paint colors, or dimensions to match existing equipment, etc., are not acceptable justifications in themselves.
7. **Replacement Equipment.** Explain why equipment must be replaced and what disposition will be made of the replaced equipment.
8. **Microform Reader/Printer.** Explain need for printing back to paper from the microfilm and describe how the printing will be authorized or controlled.
9. **Storage of Microfilm.** Give dimensions or microform (i.e., 4" x 6" COM Fiche), type of container in which the film is packed (envelope, cartridge, etc.) and approximate number of microforms to be stored.

CHECKLIST FOR PRE-PURCHASE CONSIDERATIONS AND REVIEWS FOR ELECTRONIC RECORD SYSTEMS

Requirements Analysis:

- What is it that we want the new or modified system to do?
- Is it really needed?
- Will the proposal enhance the agency's mission?
- What advantages will it provide?
- What existing problems will be solved by its adoption?
- Is there money budgeted for it?

Feasibility Study:

- Is the proposed system within the realm of possibility?
- Have such things as space, electrical requirements, and other environmental factors been considered?
- Is sufficient staff available?
- What additional training will be necessary?

Cost Benefit Analysis:

- Will the cost of what we are proposing be more or less than the benefits derived?

Consideration of Equipment Alternatives:

- Does other equipment exist that could do the same or a better job at a similar or reduced cost?

Compatibility Considerations:

- Are the computers used for electronic recordkeeping able to communicate among themselves?
- Are they able to exchange and manipulate information by using the same operating system?
- Are there plans for networking some or all of the equipment?
- Is there a need to communicate between or among other pieces of similar equipment?

SANCTIONS FOR FAILING TO LOCATE RECORDS FOR PRE-TRIAL DISCOVERY

State of California Program Managers are normally considered records custodians and sign as the agent authorized to approve records retention and destruction authority. If destroyed records are subpoenaed for court, agency records retention schedules and evidence of compliance with those schedules, will defend the agency's actions. California law imposes four types of penalties against parties such as government agencies for failing to timely locate and produce records and/or for willfully destroying records requested in pre-trial discovery.

First, there is the *evidentiary inference* that evidence destroyed by a party is unfavorable to that party. Result: If your agency cannot produce a demanded record that should be available, it will be presumed that the missing record was unfavorable to your agency.

Second, one or more of the following sanctions may be imposed against your agency **for abusing the pre-trial discovery process**.

Monetary Sanction: Where a defendant intentionally withheld requested document from plaintiff during pre-trial discovery, and plaintiff lost at trial but later learned about the hidden documents, the appellate court (1) sent case back for re-trial, (2) required that defendant pay all of plaintiff's costs and attorney fees for the first trial, and (3) told trial court to consider additional sanctions.

Issue Sanctions: Where defendants withheld requested documents before trial, later claimed such documents had been stolen, and then admitted to trial that some of their factual assertions had been false, trial judge instructed jury to *find disputed facts established against defendants* – and jury awarded almost a third of a million dollars in damages against them.

Evidence Sanction: Trial judge also suppressed the withheld documents from presentation to the same jury, above. In another case, where a landlord assured tenants that it had given them all relevant documents in response to “discovery” request, but landlord's manager referred in trial to documents that had never been provided, trial judge “**excluded**” those documents from presentation to jury.

