



# **Vital Records Protection And Disaster Recovery Handbook**

**CalRIM**  
CALIFORNIA  
Records & Information Management

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## **INTRODUCTION**

From the tiniest drip of a leaking water pipe to the worst-case scenario of a major disaster, information vital to the functions of society and/or health and well being of individual citizens can be destroyed. Records dealing with the rights and interests of individuals, corporations, and other entities; records necessary for the conduct of emergency operations; and records for the reestablishment of normal governmental operations are of concern to us all. It is imperative that all state agencies identify vital records and take necessary and reasonable steps to protect such information.

The State Records Act (Government Code Section 14740 – 14770) already provides the generalized framework within which to establish vital records protection. In fact, Sections 14746 and 14750 require the Department of General Services and State agencies, as part of overall records management activities, to determine and protect records designated as essential to the functioning of State government. This handbook is therefore developed to aid State agencies in fulfilling these requirements.

The intention of this handbook is to provide a set of guidelines, relative to how and what to do before, during and after an emergency. The specific procedures and identification of vital records will vary with each agency.

## **GENERAL OVERVIEW**

A vital record is the recorded information that is essential for the continuation or reconstruction of an agency. It is those records that are important in establishing the legal and financial position of the agency and/or those important in preserving the rights of an agency, its employees or clients.

This handbook is intended to be an overview and reference guide to the main components of a vital records and information program. It provides guidelines and procedures necessary for the successful implementation of a vital records program. Areas covered include program organization and implementation, records selection and analysis, glossary of terms, methods of protection, and general program administration.

The loss of vital records and information has resulted in the dissolution of some organizations that were unable to reconstruct records such as accounts receivable information, fire insurance policies, research and development files and major contracts and agreements. Although it is unrealistic to imagine California State Government disbanding due to loss of vital information, nonetheless, it could be slow or non-responsive due to lack of appropriate information, particularly during a major catastrophic event. This could be devastating and perhaps life threatening.

One of the primary functions of any comprehensive records management program should be protecting the records information of an agency in order to ensure a smooth reconstruction of vital information following any disaster. This includes the safeguarding of records and information media from records disasters, i.e., fire, water, power failures, light, dust, insects, rodents and acids. It also includes protection against human hazards such as unauthorized access, theft and misplacement.

More importantly, implementing a vital records program can substantially reduce operating procedures and future costs for an agency. A constant review of records from their creation to their disposal will help identify and protect vital information and will help purge and destroy general working files, which are of short-term value.

The primary concern of a vital records program is the protection of information rather than the protection of records. This can be achieved by establishing a program which consists of (1) the assignment of program responsibilities to a person whose functional responsibilities include dealing with all components of the agency; (2) the careful selection of vital records through a records inventory; (3) the review of protection methods available and appropriate for vital records and information programs; (4) the establishment of administrative procedures and policies; (5) the creation of a disaster recovery plan; and (6) the auditing procedures to maintain ongoing and effective programs.

For the purpose of this publication, reference to a "vital records program" includes the protection of all vital records and information regardless of the recording medium.

## **SELECTION**

One of the most difficult steps in establishing an overall program is the process of selecting and analyzing vital records and information. Too often, “vital information” is interpreted as “archival/historical information” and vice versa. It is important to differentiate the two. Briefly, vital records are any media used to store information that is critical to the continuation of an agency. Archival/historical records are generally used to preserve and benefit the scholar and posterity; they consist mainly of those records that have served their primary purpose and now are being held for secondary purposes such as research or history.

For a good vital records and information program, it is important that management be selective and protect only that information that is absolutely necessary to conduct emergency operations, normal agency functions, or protect the rights and interests of government and individuals. This usually represents only three percent to five percent of all records and information maintained by most agencies.

The selection process begins with each agency defining its operational, legal, administrative, and other requirements and answering the following question:

What records are absolutely necessary to continue operations or to resume operations tomorrow?

A record is either vital or protected against loss, or it is not vital and should not be given the added protection offered by a vital records program.

Each agency must analyze its own operations and records to determine what information is vital to its continued existence and the performance of its critical missions. General areas to be considered when selecting vital information include records required to:

- (1) Protect the rights and interests of individuals.  
These include vital statistics, land and tax records, license registers, and articles of incorporation.
- (2) Conduct emergency operations.  
These would include utility systems maps, locations of emergency supplies and equipment, emergency operations plans and procedures, lines of succession, and lists of regular and auxiliary personnel.
- (3) Reestablish normal governmental functions and protect the rights and interests of government.  
Constitutions and charters, statutes and ordinances, court records, official proceedings, and financial records would be included here.

In order to identify the vital records created or acquired by an agency, an inventory of vital records is first required. This can be accomplished in a number of ways, such as:

- (1) By conducting a physical inventory containing a detailed listing of all records and information;
- (2) By reviewing the various functions of the organization with the management personnel responsible for the records vital to their operations; and/or,
- (3) By developing and distributing a records inventory questionnaire to departmental managers requesting that they identify their vital records.

The physical inventory is the best method of inventory. Trained personnel should be able to give a complete and accurate listing of agency records and facilitate appraisal functions and activities. This helps prevent vital information becoming lost among the general working files of an agency. The management inventory review and the inventory questionnaire seldom give accurate statistics of the volume, space, equipment and operating requirements for vital records.

Inventory forms (Std. 70-Exhibit A) should cover all the information required of any good records inventory and include in the notes section the fact that these are vital records and remarks concerning the effects or consequences the loss of such information would have upon the agency. After identifying vital records, the next step is to decide the best method of protection for each record medium.

## **METHODS OF PROTECTION**

Vital records and information can be protected at any point of their life cycle – creation to destruction – depending on the needs and resources of the agency. Determining the proper method of protection for vital records, preferably at the earliest possible stage of their life cycle, involves numerous considerations.

Common types of information media include: paper, microforms, electronic and magnetic media. Special environmental conditions necessary for safeguarding each of these media influence the selection of proper methods of protection.

Four methods of protecting vital records are: Dispersal, Duplication, On-Site Storage and Off-Site Storage.

### ***Dispersal***

During the regular course of business of multi-location agencies, a routine distribution of vital information to various locations for use and reference may be standard procedure. As long as these records are maintained at two or more different locations or in case of electronic records, backed up on a regular basis and stored off-site, in accordance with

a records retention schedule identifying this method of vital records protection, additional protection measures may not be necessary. In addition, copies of records containing vital information may be routinely distributed outside the agency to various state agencies, other governmental entities, or private organizations. Agencies are cautioned that this method is clearly dependent upon the awareness of all parties and good communication to avoid inadvertent loss of vital information.

One other way of protecting vital information by dispersal is by planned distribution of records created specifically for protection purposes. These copies are usually sent to designated offices in other locations until the vital records retention requirements are met.

## ***Duplication***

Duplication is the scheduled reproduction of records and information specifically for vital records protection. Because of the increased time and cost of duplicating records, this method of protection should be limited to those records for which extra copies are not available or were impractical to make when created.

Keeping in mind the size and volume of records, frequency of updates, storage facility requirements and environmental conditions, duplication can be in any information media: paper, microforms, electronic or magnetic. Duplication of the information does not always require duplication of the original media.

The purpose of duplicating vital records is to reconstruct such records, at any time, with the least amount of effort, cost, and confusion. Availability of reproduction equipment in the event of disaster may present a problem. This is particularly true in the area of microfilm and magnetic tapes. Sources of reproduction equipment should be made a part of reconstruction planning. (Agencies that consider a microform as a method of protection are advised to contact the California Records and Information Management (CalRIM), Department of General Services, for consultation concerning microfilm feasibility).

## ***On-Site Storage***

Some protection for an agency's vital records can be obtained by storing them in fire-resistant containers, file cabinets, safes, vaults and file rooms designed for the purpose of vital records storage. Such storage receptacles should be well marked, and the agency's fire protection plan should include special precautions to prevent fire from spreading to areas where such equipment is located.

Records protection equipment is rated in terms of interior temperatures and humidity limits maintained during exposure to fire for varying lengths of time, expressed in hours.

Close attention should be paid to rating labels placed on each of these various types of equipment by organizations such as Underwriters Laboratories (UL) and Safe Manufacturers National Association. These labels certify that identical equipment has undergone specific tests and were able to withstand various levels of intense heat, sudden cooling and severe impact. UL has established the temperature limit of 350 degrees F before paper records begin to deteriorate and a limit of 150 degrees F for temperature and 85% for relative humidity for magnetic tape, microfilm and other photographic records. Diskettes should be stored at a temperature of no more than 125 degrees F (51.5 degrees C) with a relative humidity of up to 80%.

Normally, ON-SITE STORAGE FOR VITAL RECORDS IS ACCEPTABLE ONLY FOR TEMPORARY STORAGE.

The following questions should be asked when contemplating on-site storage:

- Will the storage area include proper controls of temperature and humidity levels? Are there adequate ventilation and filter systems to provide a clean air environment? These factors are especially important with microfilm, electronic and magnetic media.
- Does the sprinkler system protect against water damage to stored records?
- Are there electromagnetic fields nearby which may affect magnetic tapes or discs?
- What security measures are in place to stop unauthorized entry into the storage area?
- What security measures are in effect to prevent compromise of the department's computer network?
- Is the facility safe from fire, floods, earthquakes and other natural disasters?
- Do the filing cabinets, safes and vaults provide adequate protection against fires, floods, earthquakes and employee sabotage?
- If this were the only copy of the vital record, would you feel safer storing it on-site as opposed to storing it off-site at a records storage facility?

### ***Off-Site Storage***

If the reference to original records is low original records containing vital information are better stored and safeguarded at an off-site facility.

Advantages of an off-site storage facility are:

- In an emergency, records can be retrieved quickly because they are in one location.
- Off-site storage facilities are usually designed to store vital records and have environmental controls for temperature, humidity and air filtration and circulation and various other detection and monitoring devices as necessary.
- The staff of these facilities is trained in records management and the latest storage requirements.
- The security in an off-site facility usually has state-of-the-art security detection devices. Access to the records is restricted to agency designees.
- A facility should be selected far enough so that it would not be affected by a disaster in your immediate area.

When selecting an off-site or commercial storage facility, the following should be considered:

- If your organization had a disaster or needed the records, how quickly could you receive them? Would access to these records be cut off?
- What controls are there for limiting access to your records?
- Does the facility satisfactorily control temperature, humidity, air filtration and electromagnetic fields? Does the system in use meet the American National Standards Institute (ANSI) standards for storage?
- Is the facility adequately insured?
- Is the facility constructed and maintained to minimize the risk of damage from floods, fires, earthquakes, winds and other natural disasters?
- How does the facility protect against unauthorized entry?
- Does the facility have a program to control insects, rodents and mold?
- What type of fire prevention system does the facility have?
- What type of filing and indexing system do they have to facilitate document retrieval?
- How is receipt of records acknowledged?

- In the event of main power source loss, is the facility equipped with auxiliary power to operate humidity, temperature controls and security equipment.?
- Do they have a disaster plan covering the restoration of damaged records?
- Should the need arise, does the facility have equipment to reproduce your records?

The Department of General Services' CalRIM offers off-site storage for various records media. Records Centers, located in West Sacramento store thousands of cubic feet of records for over 144 state agencies. Records Center client agencies store primarily paper records and large floor plans/blueprints. These state operated records centers, employ data processing inventory techniques and professional, efficient and secure records storage.

CalRIM also provides storage for microfilm (originals), magnetic tapes, CDs, etc. through contract with an off-site vault storage facility. This storage vault, offers secure, archival storage, which meets the standards of the American National Standards Institute (ANSI). This storage option was developed exclusively as a method for vital records protection. (It is state policy that microfilmed vital records be stored in this vault. Agencies creating their own vital records storage areas or contracting for commercial storage services must secure the permission of the CalRIM – see State Administrative Manual, Section 1680. State agencies using other than state storage facilities are strongly advised to consider the aforementioned questions concerning off-site storage before selecting a facility and/or contract vendor).

## **PROGRAM ADMINISTRATION AND PRODECURES**

Good program administration begins with the selection of an individual who has the necessary authority to carry out all of the elements of and effective vital records program. In most state agencies, administration of the vital records program resides with the person who has responsibility for the records management function for the entire organization. This person should have full management support and broad knowledge of information and records management.

The best method for inventorying vital records is by conducting a physical inventory of all records. Since all state agencies are required to inventory their records for their overall records management program, they can simply include vital records identification and appraisal in this process.

The Records Retention Schedule (Std. 73 – Exhibit C) provides columns to designate vital records and the media on which they're recorded. A comprehensive records management program should lend itself to incorporating both vital and "non-vital" records. Some agencies, depending on how they currently schedule records, may wish

to develop separate Vital Records Retention Schedules. Dedicated schedules of vital records may enable some agencies to more easily control their vital records and identify and locate them in an emergency.

Regardless of the methods chosen, the critical issue is the recognition of the importance of vital records protection; management support of efforts to identify, control and protect these records; and their ensured availability when, where and how they are needed. Remember, vital records are those few records in an agency essential to the conduct of emergency operations, the reestablishment of governmental (agency) functions, and the protection of individual and group rights and interests.

State agencies should develop a Vital Records Procedures Manual or incorporate such procedures into existing agency manuals. The procedures need to be developed to help communicate the importance of a vital records program and serve as a reference guide for agency personnel. Parts of the manual can also be utilized in the orientation and training of personnel new to the organization. The manual should include:

- a) The vital records protection program and objectives;
- b) Program participation;
- c) Person(s) authorized to access the vital records; and personnel both within and outside the organization who can provide further information and/or training.

## **DISASTER PLANNING**

A well structured vital records program represents the first step in ensuring that an organization will be able to function following a disaster. Since both vital records programs and disaster recovery plans deal with the safeguarding of information, they go hand-in-hand in any comprehensive records and information program. Following is a review of the basic elements of a disaster recovery plan.

A disaster recovery plan can save organizations considerable money and provide for an orderly recovery process following a disaster. Developing a disaster recovery plan involves writing step-by-step procedures, which clearly identify the vital records, and information that should receive priority during salvage operations.

At one time, water damage was considered to be the most threatening of all disaster problems because records were primarily composed of paper. With records on media such as microforms magnetic tape, and other machine-readable forms, come additional disaster recovery concerns. Fires resulting in temperatures above 125-150 degrees F or 65.5 degrees C will melt the base media composition of any photographic or machine-readable media. Even if stored in fire-resistant cabinets, high temperatures and changes in humidity during a fire can remove data from magnetic media and melt photographic media.

These concerns and special needs must be addressed in the disaster planning process. A comprehensive disaster recovery plan should include the following:

1. Recovery Procedures Manual
2. Disaster Team Listing
3. Priority (Vital) Records Schedules
4. Disaster Recovery Kit
5. Equipment
6. Computer Application Documentation

### **RECOVERY PROCEDURES MANUAL**

A detailed procedures manual is one of the most important elements of a disaster recovery plan. Because activities following a disaster are chaotic, a well-prepared manual gets the disaster recovery team headed in the right direction.

The first concern of any agency is the safety of its employees, not only during the cleaning up process but also during the records restoration process. Be sure to spell out the dangers associated with disaster recovery; i.e., electrical shock, the handling of file cabinets of records damaged by fire and/or water, the use of strong fumigants to kill mold and other living organisms, records contaminated by radiation, etc.

Restoration techniques for each type of media are important to expedite a quick and successful recovery program. Timing following a disaster makes the difference between salvaging water-damaged records or ending up with a collection of useless recording media. Rapid disaster response can prevent the accumulation of mold and chemical breakdown of paper.

Microforms and other photographic documents can often be successfully restored if they are kept wet with fresh water until the cleaning and drying process begins. It is very important to protect magnetic tape and related material from heat and moisture. Images that comprise the documentation are distorted or obliterated by exposure to a degree of heat and moisture that would not damage paper records. Once distorted or obliterated, these images cannot be restored. Thus, recovery measures will achieve little success. In some instances however, vacuum or freeze-drying techniques may be utilized and professional assistance should be sought as soon as possible. For these kinds of media, the only sure protection is storing duplicate records in a separate area not subject to the same disaster. In some operations, duplication on the same or different media is a common practice.

The increasing use of electronic equipment to handle large or complex quantities of work results in the concentration in a single location of recorded data that is of the utmost importance. The data, as well as the equipment, deserves proper protection. Methods to achieve maximum protection are available from the equipment manufacturer. Therefore, professional assistance and guidance is often required when restoring these types of media. See Exhibit D, "Guidelines to Recovery by Records Media".

The combination of both fire and water damage places special restrictions on the restoration procedures and should be addressed in a disaster recovery procedures manual.

The California State Archives has developed a disaster recovery plan for their operations and can assist state agencies in developing plans and offer some specific guidance in records recovery. Also, their Information Center has considerable reference material on this subject.

### **DISASTER TEAM LISTING**

The disaster team should include representatives from the major records responsibility areas, building emergency and security personnel, facilities personnel and others, as appropriate. Since time following a disaster is critical, an emergency telephone list should be maintained in a number of locations so rapid contact is possible. These individuals should be prepared to activate the records recovery plan and direct appropriate salvage procedures for damaged records and information.

After listing the Disaster Recovery Team members, identify all personnel who are to participate in each phase of the recovery process and their responsibilities. The Disaster Recovery Team should be prepared to immediately contact professional assistance for dealing with damaged items such as archival materials, sound recordings, magnetic media, etc., and unique situations such as chemical contamination.

### **RECORDS RETENTION SCHEDULES**

Well-planned and written Records Retention Schedules can be extremely helpful in salvage planning. Records Retention Schedules can identify the type of media and its recovery priority, the initial and follow-up salvage techniques and any comments regarding the salvage techniques unique to the type of media. Using a well-designed records schedule, the Disaster Recovery Team can establish salvage priorities and procedures for each records media.

The floor plan, an integral part of a good records inventory, showing locations of vital records is essential for quick retrieval following a disaster. (This includes exact locations of storage or filing equipment containing vital records).

## **DISASTER RECOVERY KIT**

A disaster recovery kit should include enough supplies to initiate recovery procedures while additional supplies necessary to complete the recovery are being gathered. Salvage supplies will depend entirely on the types of media identified in the disaster plan.

Typical supply lists might include items such as absorbent paper, plastic sheeting and drop cloths, blotting paper, flashlights, identification tags, chemicals (such as thyme, alcohol and disinfectants), rubber gloves, protective clothing, hand tools, etc.

A complete list of supplies and supply outlets, a copy of the disaster plan, and emergency telephone list and recovery instruction and handbooks are also a necessary part of a disaster recovery kit. (Be sure to include copies of the Records Retention Schedule and floor plan showing exact location of vital records). Several kits should be prepared and be easily accessible so that restoration procedures can begin immediately.

## **EQUIPMENT**

One often forgotten element of a disaster recovery plan is the reproduction of vital records and information from magnetic and microform media following a disaster. Since the objective is to be able to resume operation quickly, then the availability of reproduction equipment for microform and data/word processing equipment for magnetic media is very important.

There are several options for securing equipment; these include:

- (1) Purchasing additional equipment and having it close to the vital document storage area.
- (2) Securing a commitment from a vendor to lease or provide equipment on short notice.
- (3) Arranging to borrow equipment from another in-house location which is reasonably close.

If these types of equipment arrangements are unavailable, hard copy of the information critical to the continuation of business becomes a matter for consideration.

## **COMPUTER PROGRAMS AND APPLICATION DOCUMENTATION**

Many staff-hours and dollars are invested in the development of computer programs and documentation needed to protect mission essential computer master files. These files represent an irreplaceable agency asset.

Computer programs are most often protected by housing a duplicate copy, either magnetic tape or disc, at an off-site storage facility. The two issues of concern for backing up computer programs are ensuring that (1) the duplicate is updated with all the changes made to the master file, and (2) the duplicates do not deteriorate for any reason during storage. If these types of media are properly protected, maintained and updated, much of an agency's vital information can be quickly restored. The location and accessibility of this type of vital information should be addressed in the disaster recovery procedures manual.

### **PROMOTING THE PROGRAM**

The management team of a State agency is ultimately responsible for the protection of the information, which is documented by records. The team must be made aware of the measures that are necessary and appropriate to prevent the loss of vital records and information, which could substantially affect the operations or services of their agency.

Management support is a must in implementing and maintaining an ongoing and effective vital records and information program. In order to justify the importance of a good program, it must be clearly defined, assigned to the appropriate personnel, and possess the authority necessary for implementation and continuation. A vital records and information program should be tailored to the needs of each agency. Any presentation of a proposed program to management should address these points:

1. Define the needs for such a program. Clearly identify the purpose, scope, program procedures and the potential consequences of not having a comprehensive vital records and information program.
2. Justify the cost of preserving records. It is important to justify the expenses related to the development and maintenance of a vital records program. Management must be able to weigh the costs incurred protecting and reconstructing vital information against the potential ramifications of the inability to protect, recover and/or reconstruct the information.
3. Identify the various hazards and protection techniques. Use detailed examples and effects of potential hazards and disasters to identify and evaluate alternative protection techniques and the costs involved.

4. Outline operating procedures. This helps set the stage for establishing proper administrative procedures, the necessary steps in program development and ongoing program responsibility for reviewing and auditing.
5. Establish a review process. Vital records protection must be a dynamic program to ensure it adjusts to the changes within an agency or reflects changes in programs, technology, etc. As with any records and information system, without periodic review and adjustment it will become obsolete and not be ready to function when it may be so critically needed, i.e., during or shortly after an emergency.

## **CONCLUSION**

This handbook is not meant to exhaust the subject of vital records protection and disaster recovery of records and information, but to act as a primer for State agencies in the preparation of plans, reports, schedules and manuals necessary for the implementation and continuation of such a program.

The CalRIM, California State Archives, other state agencies, and private companies are available to lend assistance and information to State agencies embarking upon the establishment of a new program, or refurbishment of existing one.

We can't predict disasters, either large or small, but we can prepare for them.

## **Exhibit A**

## **Glossary**

**Disaster Recovery Plan-** Describes the activities and salvage priorities that should be followed in the event of a disaster.

**Dispersal-** Sending copies of vital records to locations other than those where the originals are stored

**Machine Readable Records-** The informational content of records which is usually in code and has been recorded on media, such as magnetic disks, drums, tapes, punched paper cards or tapes, accompanied by finding aids known as software documentation. The coded information is retrievable only by machine.

**Microform-** Any miniaturized form containing micro images, such as micro cards, microfiche, microfilm and aperture cards.

**Records-** All recorded information, regardless of media or physical characteristics, made or received and maintained by an organization or institution in pursuance of its legal obligations or in the transaction of its business.

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

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

**Records Disaster-** Any event having destructive consequences resulting in unusable records and information.

**Records Inventory-** A survey of records series prior to the development of schedules. Generally includes data such as series titles, inclusive dates, use, quantity, arrangement, duplication, and other pertinent information.

**Records Management-** The systematic control of all records from their creation or receipt through the processing, distribution, organization and retrieval to their ultimate preservation or disposition.

**Records Manager-** An individual within an organization who is assigned the responsibility of systematically controlling the recorded information generated and received by an organization.

**Records Series-** File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use.

**Vital Records-** Records that protect the rights and interests of individuals, enable agencies to conduct emergency operations, reestablish normal governmental functions, and protect the rights and interests of government.

**Vital Records Retention Schedule-** Detailed instructions identifying types of vital documents, location, treatment and retention requirements.



# EXHIBIT C

# STD 73 Records Retention Schedule

STD 73 (REV. 6/2002)

STATE OF CALIFORNIA – DEPARTMENT OF GENERAL SERVICES  
STATE RECORDS PROGRAM

## RECORDS RETENTION SCHEDULE

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2<sup>nd</sup> 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 email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION		(2) AGENCY BILLING CODE		(3) PAGE 1 OF 2 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 - 1
(17) MISSION/FUNCTIONAL STATEMENT: The State Records Management Act contained in Government Code Sections 14740-14774, requires the Director of the Department of General Services (DGS) to "establish and administer, in the executive branch of government, a records management program which will apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of state records." The Director of DGS has assigned overall policy development and coordination of the Statewide Records Management Program to the California Records and Information Management Program (CalRIM). Within CalRIM, DOCUMENT SYSTEMS management (DSM), Imaging and Records Management (IRM), develop procedures, standards, and guidelines for the program that covers the complete life cycle of the recording of state business.					
<b>PART I – AGENCY STATEMENTS</b>					
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
<b>PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)</b>					
(27) SIGNATURE – CalRIM CONSULTANT			(28) APPROVAL NUMBER	(29) DATE SIGNED	(30) EXPIRATION DATE
<b>PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)</b>				<b>FOR ARCHIVES' STAMP</b>	
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		

(35) CalRIM APPROVAL NUMBER											(36) Page 2 of 2
ITEM #	CUBIC FEET *	CA STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

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\* Provide total of office and departmental

## **Exhibit D      Guidelines to Recovery by Records Media**

### ***Paper***

#### *Bond, Rag, Duplicating, Other*

Response can be from immediate to 48 hours depending on temperature and humidity and extent of damage. ( In high-humidity circumstances, deterioration of wet paper can begin within 2-4 hours)

If damage is limited and most materials are only damp, air-drying in a well-ventilated area probably will suffice. If the volume is large and damage is extensive, with most materials soaked, recovery probably will require freeze and/or vacuum drying. Eruption of mold will require application of a fungicide. It is necessary to remove moisture from materials and reduce humidity levels in damaged records, and to eradicate mold.

#### *Coated Papers*

Response should be as soon as possible. Material should be frozen to retard deterioration. Freeze or vacuum drying is the only recovery method for this medium. It is imperative to remove all moisture without damaging or removing coated surfaces.

### ***Photographic***

#### *Color Films and Photographs*

Response should be immediate. Once this medium is wet, keep it wet. Begin air drying process. If drying must be delayed, freeze until drying process can be started, then air dry. Fumigation can be performed with the right fumigants.

#### *Silver or Emulsion Films and Photographs*

Response should be immediate. Immerse totally in cold water to avoid further damage. Formaldehyde, to a 1% solution may be added to the cold, clean water. One teaspoon of salt may be added to hard water. These measures help avoid softening or frilling of gelatin or emulsion layer. Drying out tends to promote sticking of adjacent surfaces.

Silver master rolls of microfilm should be washed and dried using a microfilm-processing machine in which all processing chemicals have been replaced with water.

Freezing should only be used if the recovery process is unavoidably delayed. Freezing may lead to image damage, but is less catastrophic than delayed treatment.

## ***Diazo or Vesicular (duplicate) film***

Rapid response is not necessary. If time permits, initial rinsing off and laying flat to dry will help prevent spotting and curling. If time is limited leave this medium until last. Eventually, wash with liquid detergent and rinse; dry on absorbent paper.

These films are virtually impervious to water damage and should prove quite resilient. In any case, an original protected off-site providing the opportunity to produce more copies should back this duplicate medium.

## ***Magnetic***

### ***Magnetic Tapes, Floppy Disks, Audio and Video Cassettes***

Immediate response! It is imperative to plan in advance for recovery in this media. Recovery techniques may include freeze or vacuum drying, other special cleaning techniques, and methods of retrieving data. The key consideration is to remove moisture and contaminants to gain access to the data. Reading, evaluating and verifying the data, and recopying information will likely be part of recovery.

Heat and water damage to this media could result in subsequent damage to hardware as well as irretrievability of data. For vital records protection, it should be noted that this media is among the easiest to duplicate or store off-site.

This appendix, as is generally true for this primer, is intended to provide some generalized guidelines to records recovery to simply broach the subject. In order to prepare for disaster recovery of records, each agency must follow the steps delineated in the main text and research and prepare detailed steps for the recovery of the types of records media they maintain.