

Internal Operations Manual

SUBJECT: Archiving & Records Management

NUMBER: 107-01-130

DIVISION: Operations Division

EFFECTIVE DATE: 11-20-05

APPROVED: Signed Policy on file in the Operations Division

POLICY/PURPOSE: To establish procedures for the Department of Administrative Services' (DAS) for the management of government public records. The objective is to comply with Oregon State Law under the provisions of ORS 162.192, minimize costs, provide easy access to records, and promptly and lawfully dispose of unnecessary records. Records within DAS shall be maintained in accordance with this records management policy.

AUTHORITY: ORS 192-005 - ORS 192.170; ORS 357.805 – 357.895; Records Management Manual, Oregon State Archives, Jan. 1994; ORS 162.305; OAR Chapter 166; Oregon Department of Justice, Attorney General's Public Records and Meetings Manual; Oregon State Archives Micro-graphics Manual

APPLICABILITY: All DAS divisions, offices, boards, and programs

ATTACHMENTS:

- Exhibit 1 - Oregon State Records Center Transmittal Request Form
- Exhibit 2 - Secretary of State, Archives Division, Oregon Records Center, Records Transmittal Form Example
- Exhibit 3 - Example of State Records Center box label
- Exhibit 4 - Example of Excel Record Tracking Spreadsheet (*Print Landscape*)
- Exhibit 5 - Memo to Archives Requesting Records Transfer
- Exhibit 6 - State Records Center Request for Records Fax Form
- Exhibit 7 - Microfilm Transmittal Request
- Exhibit 8 - Filing System Guidelines
- Exhibit 9 - The Technology and Business Perspective

DEFINITIONS: Definitions are located at the end of the policy

GUIDELINES:

The agency's records are an important agency resource containing information to make and document decisions, formulate policy, provide evidence of fiscal transactions, and help define legal rights and obligations of citizens and government agencies. *Under Oregon's Public Records Law, the public is guaranteed the right to "inspect any public record of a public body in this state," except for those specifically exempted from disclosure by law.*

- I. **Record Inventory and Schedule:** To insure accurate identification and evaluation of its records each state agency will, with the advice and assistance of the State Archivist, prepare an inventory of the records of each of its organizational units, including the records of any other agency in its custody. The inventory shall be used to prepare a Special Schedule for public records in agency custody. OAR 166-030-0026.

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This schedule applies to all records regardless of physical form and may include but is not limited to:

GUIDELINES *(Continued)*

- Paper
- Microfilm
- Microfiche
- Audio and video recordings
- Electronic Mail
- Photographs
- Optical/digital disks
- Cd-rom and other recording media
- Databases

An expiration date will be set by the State Archivist for all Special Schedules approved after 1987.

Division Records Retention Schedules are reviewed and approved by the State Archivist.

The State Archives will work with agency staff members to establish retention schedules for all new agency programs. Retention schedules will be set so that they meet all legal, administrative, fiscal, or research value that the records may have.

- II. **Retention Time Limit:** Records retentions are both the minimum and maximum length of time that an agency record must be kept. Only records needed for pending litigation, an uncompleted audit, or extenuating administrative need may be kept beyond the period of time specified in the schedule. *Documentation stating why and how long the records need to be kept beyond the stated retention period must be on file with the agency's records officer.*
- III. **Agency Records Officer:** Oregon Revised Statutes require agencies to designate an Agency Records Officer "to coordinate its records management program". ORS 192.105(2)(a). The DAS Records Officer is a position within the Office of Business Administration, Operations Division, and has the following responsibilities:
- Coordinate the agency's records management program and serve as liaison with the Agency's Division Records Coordinators and State Archivist
 - Research public records laws, rules and standards, and apply requirements to agency records situations
 - Coordinate training for records management systems and procedures
 - Maintain Excel spreadsheet for tracking DAS records sent to Archives or the Record Center, or Security Copy Depository (Exhibit 5).
 - Upon request, will provide copies of any public record specific to their agency, that is open to inspection
- IV. **Division Records Coordinator:** Each Administrator will appoint a Division Records Coordinator for their division. The Division Records Coordinator will work with the State Records Center and the Agency Records Officer to ensure compliance with the approved records retention schedule and other state requirements. The Division Records Coordinator will work with division staff members:

GUIDELINES – (Continued)

- Identify records series and develop the retention schedule for the series (including electronic records).
- Maintains a division Record Identification List in an Excel database (Exhibit 5) of division records that have been transferred to Archives or the Records Center and of records that have been destroyed.
- Authorizes destruction of records for their division.
- Coordinates the storage, retrieval, and destruction of division records.
- Serve as the central point of contact between division staff members, Agency Records Officer, and the State Archives staff.
- Upon request, will provide copies of any public record specific to their division, that is open to inspection.

V. **Inactive Record Criteria:** All records that can meet the criteria, should be stored in the Oregon State Records Center. The criteria for the Records Center include that:

(1) The records have a less than active status

(2) There is at least two years remaining on the record's retention period

VI. **On Site Records:** *Divisions are encouraged to review records and move records into inactive storage or destroy them at least annually.*

VII. **Exempt records:** Records that are exempt from public disclosure, should be filed separately from non-exempt records, and should be controlled at all times.

If microfilmed or stored electronically, exempt records, including trade secrets, should be filmed or imaged separately from non-exempt records with controlled access.

Exempt records that are ready for destruction should be placed in boxes marked confidential with controlled access.

VIII. **Record Destruction:** Under ORS 162.305, it is a Class A misdemeanor to knowingly destroy, mutilate, conceal, remove or falsely alter a public record unless the records are found on a valid records retention schedule authorized by the State Archivist.

IX. **Schedules:** Schedules are produced by the Archives Division. They are a cooperative project between the State Archives and the agency and involve four basic phases: Overview, Inventory and Appraisal, Review and Authorization and Implementation. Current schedules in effect for DAS Divisions are found on the Secretary of State's Archives home web page: <http://arcweb.sos.state.or.us/> listed under State Agency Records, which can also be found in the Oregon Blue Book. Schedules expire after five (5) years, at which time the Archives Division staff

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will contact the agency to start the process of establishing a new schedule. Documents that are not unique to DAS are governed by the state's general retention schedule. This is found on the Oregon State Archives Home web page under Records Management, General Records Retention Schedules, State Agencies, Division 300. *A document provided by the Archives Division which details the records inventory and scheduling process is available from the DAS Records Officer.*

PROCEDURES:

A. TRANSFER OF RECORDS TO STATE RECORD CENTER

1. Only non-permanent records and records with a destruction date **of at least 2 years out** will be accepted for storage at the Records Center.
2. Records must be contained in new (not reused) Oregon State Records Center boxes. Boxes must be whole and undamaged. (Order boxes and labels from Boise Cascade: Boxes at #E593766 or Contract Item 401; and labels at #G3 108888.)
3. Boxes must have either "printed on box" Records Center label or adhesive Records Center labels. **Taped on reproductions are not allowed.** Label only the end of the box that does **not have a seam.**
4. Labels must be filled out **completely and clearly** on every box. Lettering must be printed with a black felt tip marker. The **Accession Number must be printed at least 1" high.**
5. Do not overload boxes. **Boxes should not weigh more than 35 pounds.** Overloading can cause damage to the box and/or records.

PROCEDURE:

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>
1.	Division Staff	Identifies division records that are inactive. Notifies Division Records Coordinator that specific records are inactive and will be removed from current files for transport to Records Center. Estimates date records will be ready for transport.
2.	Division Records Coordinator	Notifies Records Center (Telephone: 503-373-1001) of proposed record shipment and verifies that space is available for the records.
3.	Division Staff	Removes inactive records from active files ensuring that the same type of records are in a box <u>i.e.</u> box contains <u>only Client Case Files</u> and not the <u>Client Case Files and Payroll Records.</u>

Places records in Records Center boxes using the following guidelines:

- a. Work with only one record series at a time e.g. "Vouchers" or "Accounting Unit Minutes".

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A. (CONTINUED) TRANSFER OF RECORDS TO STATE RECORD CENTER

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>
		<ul style="list-style-type: none">b. Place only one record series in a box. The State Records Center will not accept boxes with more than one record series in it.c. File records in Records Center box in the same order they are filed as active recordsd. Place all files facing toward front of boxe. Remove unnecessary duplicates and file foldersf. Use Records Center boxes that are not broken or torn

Provides following information to Division Records Coordinator to use in preparing a request to transfer records to the Records Center:

- a. Using the DAS division Records Retention Schedule, identifies the records to be transferred. Makes note of the title, retention period, and the Retention Schedule number i.e. Client Case Files 94-0042/323.
- b. Determines the beginning and ending date of the records and how they are arranged in the box. Count number of boxes to be shipped for each particular group of records, then total number of boxes for transfer.

4.	Division Records Coordinator	Using information provided by Division staff prepares and faxes the Records Transmittal Request Form (Exhibit 1) to the Property Specialist, State Records Center, requesting Accession numbers, transmittal (Exhibit 3) and permission to transfer records. (FAX: 503-378-4853.)
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The Records Transmittal Request form must include the following information for **each type** of record transferred:

- Agency name
- Division/Section
- Series Title
- Contents
- Number of boxes. Box sequence must begin at #1 for each accession number i.e. 1 of 10, 2 of 10, etc.
- Retention Schedule number
- Destruction date
- Name, phone number, address, and **signature** of agency authorized person requesting the Transmittal

5.	Records Center Property Specialist	Assigns an Accession Number and issues a Transmittal for each group of boxes.
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A. (CONTINUED) TRANSFER OF RECORDS TO STATE RECORD CENTER

Step Responsible Party Action

Note: Any changes made in an accession must be submitted in writing and sent by fax or mail. Change must be requested a minimum of one week prior to transporting records to Records Center.

6. Division Records Coordinator Receives and signs Transmittal Form.
7. Division Staff Prepares Records Center box labels. **(Exhibit 3)** Two types can be used:
- a. Pre-printed label on Archive box
 - b. Adhesive, pre-printed Archive Label (Exhibit 3) applied to the end of the box that does not have a seam. (Order boxes and labels from Boise Cascade: Boxes at #E593766 or Contract Item 401; and labels at #G3 108888.)

The label must include the following information with Accession Number printed in letters one (1) inch high:

- Agency/Division/Section
- Record Series Title
- Identifier for first and last records in the carton, including dates; e.g., voucher # 900001 to # 920000 or Adams to Callahan
- Any special clarifying notes
- Box number within the group of records (e.g., 1 of 2, 2 of 2)
- Schedule / Series number
- Destruction date
- Accession Number

7. Agency Staff Places label under hand holes on end of box that does not have a seam and makes certain the label and box contents match. *Labels (Exhibit 3) must be applied securely so they will withstand rough handling.*
8. Division Coordinator Contacts Property Specialist, Oregon State Records Center, to schedule time and date for record transfer. (Telephone: 503-373-1001).
- Arranges transportation of records to State Record Center. Coordinates with pertinent division staff the move of boxes to the Records Center. Transportation may be done by staff, State Mail, or moving company depending on amount of records to be moved.

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A. (Continued) Transfer of Records to State Record Center

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>
9.	Division Staff	Before transport of records, make certain of the following: <ul style="list-style-type: none">• Boxes are not broken or torn• Boxes are properly labeled with label placed on the handled end that does not have a seam• Boxes are arranged so they will be in order by number when delivered to the Records Center• Transmittals are with the boxes
10.	Transporter	Moves records to State Record Center. Asks Records Center staff to sign and date the copy of each transmittal.
11.	Records Center Staff	Signs and dates transmittal(s) and returns it to the division Records Coordinator.
12.	Division Records Coordinator	Enters transfer information into the Division Records Tracking spreadsheet (Exhibit 4) and sends electronic copy of new information entered into the tracking record to the Agency Records Officer. Sends Agency Records Officer a copy of the <i>Transmittal Form</i> and places original in permanent file.

B. TRANSFER OF PERMANENT RECORDS TO THE OREGON STATE ARCHIVES

Permanent records are housed in environmentally controlled stacks and are available for research only under supervised conditions at the State Archives Building. **Very few records qualify as permanent.** *Only records scheduled as "permanent" in a valid Records Retention Schedule will be accepted by the State Archives. Records transferred to the State Archives become the custody of the State Archivist.*

PROCEDURE

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>
1.	Division Staff	Identifies division records with a permanent retention that are inactive and ready to transfer to the State Archives. Notifies Division Records Coordinator that specific permanent records are inactive and need to be removed from current files.
2.	Division Records Coordinator	Sends or faxes Request for Permanent Record Accession Number memo (Exhibit 5) to the State Reference Supervisor, Oregon State Archives, requesting permission to transfer records. States in memo what records will be shipped. <i>(Use required information as noted in step B1 and B3.)</i>

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B. (Continued) TRANSFER OF PERMANENT RECORDS TO THE OREGON STATE ARCHIVES

3. State Reference Supervisor Reviews request, assigns accession number, prepares and signs *Secretary of State, Archives Division, Records Transmittal Form*. Sends form to Division Records Coordinator.
4. Division Records Coordinator Receives and signs records transmittal. Files copy in permanent file.
5. Division Staff Packs records in acid free boxes purchased from the State Archives. Use the following guidelines:
 - a. Place only one record series in a box
 - b. File records in archive box in the same order they are filed as active records
 - c. Remove unnecessary duplicates
 - d. Leave approximately 1.5" of free space in each carton
 - e. Use Archive boxes that are not broken or torn
 - f. Makes certain that the same type of records are in a box **i.e.** box contains only *Client Case Files* and not the *Client Case Files* and Payroll Records.
 - g. Writes Archives accession number on each box in bold letters at least 1" high
6. Division Records Coordinator Calls Reference Supervisor, State Archives, (Telephone 503-373-0701 ext. 239) to schedule time and date for transfer.

Coordinates a time with division staff for moving the boxes to the State Archives. Depending upon the volume, transportation may be arranged with State Mail, Facilities Maintenance truck, or hire moving company to load and transport the boxes.
7. Transporter Asks State Archives staff to sign and date the copy of each transmittal.
8. State Archives Staff Signs and dates transmittal and returns it to the division Records Coordinator.
9. Division Records Coordinator Files *Transmittal of Records Transfer Form* and maintains copies of all transactions. Sends copy of Transmittal of Records Transfer form to Agency Records Officer.

C. TRANSFER OF MICROFILM COPY TO STATE ARCHIVES SECURITY DEPOSITORY

The State Archives must receive written requests for microfilm to be transferred to the Security Copy Depository. Only microfilmed records with a retention period of ten or more years will be accepted for deposit.

Two vault facilities are available for off-site storage of security microfilm of public records. They are:

Medium-Term depository

Accepts microfilmed records with approved retention periods of between 10 and 99 years.

Film will be inspected for evidence of deterioration only upon request of the depositor. Depositors will be charged for all inspections.

a. Long-term depository

- Accepts microfilmed records with approved retention periods of 100 years or longer.
- Film is inspected upon receipt, and regularly thereafter, for compliance with OAR 166-025-0015, specifications for Role Microfilm.
- All microfilm deposited in the long-term depository must be enclosed in inert plastic containers in accordance with ANSI/AIIM IT 9.2-1991.
- Film to be retained 100 years or more must be polysulfide treated. Treatment can be coordinated pre-transfer by the agency or post-transfer through the Archives, who will bill the agency for treatment costs.

PROCEDURE

Step Responsible Party Action

1. Division Staff Notifies Division Records Coordinator that microfilm needs to be stored.

Identifies film listing the following information:

- Agency/Division/Section
- Name of Agency Records Coordinator requesting transmittal
- Series Title (as it appears on the retention schedule)
- Retention period (10 years, 75 years, etc.)
- Retention Schedule/Series number
- Destruction Date (if applicable)
- Inclusive dates of the records
- Any file identifier that would be used in retrieving a record (optional)
- Reel number

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C. (CONTINUED) TRANSFER OF MICROFILM COPY TO SECURITY DEPOSITORY

Step	Responsible Party	Action
	Division Staff <i>(Continued)</i>	<ul style="list-style-type: none">• Number of units (reels)• Number of rolls (e.g., 1 of 4)• Page numbers (if applicable) <p>Sends copy of information to Division Records Coordinator.</p> <p>Packs Microfiche for "medium term" storage in Microfiche Bankers Boxes (<i>purchased from Boise Cascade Catalog, Number P500003</i>) or Microfilm in Microfilm Bankers Boxes (<i>purchased from Boise Cascade Catalog, Number P500001</i>)</p>
2.	Division Records Coordinator	Completes the <i>Microfilm Transmittal Request (Exhibit 7)</i> for Transmittal and Accession Numbers. Includes all information on the list received from the Division Staff identifying the microfilm. (See list in #1 above.)
3.	Information Resources Mgmt. Unit Supervisor	Assigns Accession Numbers, issues and signs Microfilm Transmittal. Sends form to Division Records Coordinator.
4.	Division Records Coordinator	Receives Accession Numbers. Types self-adhesive and pressure sensitive labels to be placed on microfilm containers. (<i>Labels available from State Archives, Information Resources Management Unit</i>). The label must contain the agency name, series title, accession number, reel number and document number, if applicable. Gives labels to Division Staff to apply on appropriate containers.
5.	Division Staff	Applies labels on microfilm containers making certain that the label and container match.
6.	Division Records Coordinator	Signs records transmittal. Arranges transfer of Microfilm with the Information Resources Management Unit (IRMU) (Tel: 503-373-0701 ext. 255), Oregon State Archives. Coordinates with Division Staff the transport of microfiche records to Archives. Ensures a copy of the transmittal form is sent with each microfiche or microfilm box.
7.	Transporter	Transfers microfilm records to Archives. Asks Information Resources Management Unit staff at Archives to sign and date transmittal.

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C. (CONTINUED) TRANSFER OF MICROFILM COPY TO SECURITY DEPOSITORY

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>
8.	Records Receiver	Signs transmittal.
9.	Transporter	Returns transmittal to Division Records Coordinator.
10.	Division Records Coordinator	Enters information from <i>Request for Transmittal Memo</i> into the Record Tracking Excel Spreadsheet. Sends paper copy of Transmittal and electronic copy of the tracking record information (on the microfiche records just archived) to the Agency Records Officer.
11.	Agency Records Officer	Files Transmittal in permanent file and enters the electronic copy of the microfiche records into the Agency Tracking Record.

D. RETRIEVAL OF RECORDS FROM STATE RECORDS CENTER

A state agency may request or authorize the loan or return of public records in its official custody from the State Records Center as follows:

- a. Loans of individual files or boxes may be made and a follow-up system for loaned public records will be observed.
- b. All requests for loan or return of public records in the State Records Center must originate from the state agency which has official custody of the public records. Only authorized personnel from the agency of custody, may request files.
- c. A state agency must authorize the State Records Center to loan or transfer public records in its official custody to another agency ORS 166-010-0025.

PROCEDURE

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>
1.	Division Records Coordinator	Receives request from division staff to retrieve records stored in State Records Center. Using the Division Excel record tracking spreadsheet, locates the following information for each record to be retrieved: <ul style="list-style-type: none">• Accession number• Box number• File name or number Completes <i>State Records Center Request Fax Form</i> . (Exhibit 6)

D. (Continued) RETRIEVAL OF RECORDS FROM STATE RECORDS CENTER

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>
	Division Records Coordinator (Continued)	Faxes completed State Records Center Request Fax form (Exhibit 6) to Property Specialist, Records Center, 503-373-1051. Notes record "identifiers" (items listed in #1), date requested, approximate time the requestor will need records and enters information in Record Tracking Spreadsheet.
2.	Records Center Staff	Retrieves record(s) and sends them to the Division Records Coordinator by: <ul style="list-style-type: none">• Shuttle Mail Service• Postal Service to agencies not served by shuttle mail service
3.	Division Records Coordinator	Receives records. Notes date received and gives records to the requestor. When estimated time of need has expired, sends e-mail to the individual using the records and asks if records are ready to be returned. If they will be needed longer, requests an estimated date of return.
4.	Requestor	Returns records to Division Records Coordinator.
5.	Division Records Coordinator	Returns records to State Records Center. Notes return of records in Excel database for record tracking.

E. DESTRUCTION OF ON-SITE RECORDS

1. Records should be destroyed as soon as the scheduled retention period has passed unless they are needed for audit or legal action. Records should be destroyed on a continuous basis or regular schedule such as monthly, bi-annually and annually. Destruction should be done at least once each year.
2. Unless otherwise stated in the Records Retention Schedule a retention period is calculated from the date the record was created. OAR 166-030-0026(2).
3. Destroy only records listed on a Records Retention Schedule which has been approved by the State Archivist. OAR 166-030-0021 and 0026. Unauthorized destruction is considered tampering – a Class A misdemeanor. ORS 162.305.
4. Beginning July 1, 1992, state agencies will keep a record of all public records destroyed on the authority of the special schedule. This record shall list in the Excel Division database for tracking records, the schedule number, cubic feet destroyed and date destroyed.
5. Methods of destruction are: Trash, recycling, incineration, shredding, chemical disintegration or pulping.

E. (Continued) DESTRUCTION OF ON-SITE RECORDS

6. Confidential records must be destroyed by shredding, pulping, or incineration. OAR 166-030-0060.
7. State agencies are required to report quantities of records destroyed to the State Archivist annually. OAR 166-030-0026(3). This may be done by faxing a memo and copy of tracking database to the State Archivist. (FAX 503-373-0953). Destruction of records requires management approval and documentation of records destroyed.
- 1) Owner of Records At least annually, identifies records that are eligible for destruction. Notifies Division Records Coordinator that records are due for destruction.
- 2) Division Records Coordinator Identifies records, reviews schedule to ensure records are included in the schedule and eligible to be destroyed.
- Requests recycle barrel from DAS Operations & Maintenance. (Telephone 503-378-4377).
- If records are confidential requests Records Center Barrel for shredding.
- 3) Owner of Records Places records in recycle barrels for destruction, or if records are confidential, places records to be destroyed in barrel for shredding.
- 4) Division Records Coordinator Enters information on records destroyed in the Record Tracking Spreadsheet. Sends electronic copy to Agency Records Officer.
- 5) Agency Records Officer Prepares memo to State Archivist, Secretary of State. Includes printed copy of the Recording Tracking Spreadsheet listing records destroyed.

F. DESTRUCTION OF RECORDS STORED AT RECORDS CENTER

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>	
1.	Information Resources Mgmt. Unit Manager	Sends a request to the Division Records Coordinator for authorization to destroy records on which the time limit has expired.	
2.	Division Records Coordinators	Identifies records on Division and General Schedule and checks Record Tracking Spreadsheet to confirm it is time to destroy the records as requested by the Property Specialist, and that the records belong to the division.	Signs destruction request, makes file copy and returns original to IRMU Manager by the date specified in the original request.
3.	Records Center Staff	Arranges for destruction of records. Sends notice to impacted Agency Records Officer that records have been destroyed.	

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F. (Continued) DESTRUCTION OF RECORDS STORED AT RECORDS CENTER

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>
4.	Division Records Coordinators	Sends copy of destruction request and Notice of Record Destruction to Agency Records Officer and files original in permanent file.
5.	Division Records Coordinators	Receives invoice charge for record destruction. Verifies that invoice is correct. Approves Invoice for payment.

I. DEFINITIONS

Accession Number A specific group of records transferred to the State Archives, State Records Center, or Security Copy Depository. Each group is identified by an Accession Number assigned by State Archives e.g., 93A-001, 93RC-001, or 93-S 001.

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Electronic Mail

Electronic-mail means the messages sent and received by Electronic-mail systems. Employee calendars and Electronic-mail are public records. The agency has the responsibility to provide members of the public access to electronic messages that do not contain statutorily exempt information.

One copy of electronic mail Correspondence (defined below) must be retained for the scheduled retention period. It may be retained as a paper copy with the underlying paper files. Or if the underlying records are stored electronically, one copy of the Correspondence may also be saved on the server in such a way that it may be retrieved with the other documents and maintained with the same retention schedules. (Archiving Correspondence on the Electronic mail system or on hard drives is not recommended.) Note, however, that files saved in this format might be altered. Therefore, a paper copy saved with the program documents are recommended for areas with a high risk of legal exposure.

Informal Communications (described below) may be deleted when they are no longer needed.

- **Correspondence:** Consists of records that directly relate to agency programs, management or support services. They include formal approvals, directions for action, communications about contracts, purchases, grants, personnel, etc; and correspondences relating to a particular project or program.
- **Informal Communications:** Consist of records that are informational in nature, are of short-term interest, and require no reply or administrative action. Examples of these communications include routine requests for information, general or mass mailings about an activities or event: "bc" and cc'd" messages; letters of transmittal' and messages referencing a particular internet link, publication, or report. Also included are those items which are included as acceptable personal use. See Exhibit 9, DAS Operations Policy 107.01.010 (Use of DAS Electronic Systems) and the IRMD Policy relating to Mail Box Storage.

Electronic Records

Electronic records stored on workstation, microcomputer, minicomputer, or mainframe computers fit within the Oregon definition of public records.

Excluded Records

Materials which are excluded from the definition of public records by ORS 192.005(5).

Exempt/Confidential Records

Documents that are statutorily exempted from public disclosure. However, the public may petition access to these records by following the procedures outlined in ORS 192.460. The agency has the responsibility to segregate exempt and non-exempt information in public records and make the non-exempt information available to the requester.

Inactive Records

Records that are no longer accessed on a frequent and regular basis.

H. (Continued)

DEFINITIONS

Public Record

"A document, book, paper, photograph, file, sound recording, machine readable electronic record or other material, such as court files, mortgage and deed records, regardless of physical form or characteristics made, received, filed or recorded in pursuance of law or in connection with the transaction of public business." ORS 192.005(5).

They do not include extra copies of a document, preserved only for convenience of reference. Public records may be exempted from public disclosure (confidential or restricted in use).

Record Series

A group of identical or related records that are normally created, filed, used and disposed of as a unit.

Retention Period

Both the minimum and maximum length of time a public record must be retained as authorized by an applicable General or Special Schedule:

- a. General Schedule: Published by the State Archivist in the OAR in which certain common public records are described or listed by title and a minimum and maximum retention period is established for each. Provides the legal authority to dispose of common non-program records. OAR 166-300-010 to 166-310-010
- b. Special Schedule: Approved by the State Archivist for the public records for a specific agency

Records Management

The systematic and scientific control of all recorded information from planning, creation, use and storage through disposition. It is management science applied to controlling the quality and quantity of records. *Records Management provides the right information to the right person, at the right place, at the right time, in the right order, at the lowest cost.*

Agency Records Officer

Agencies are required to designate a Records Officer "to coordinate its records management program". ORS 192.105 (2) (a). The Records Coordinator will:

- a. Act as a central point of contact between the agency and the Archives Division
- b. Develop and maintain Records Management Manual for the agency
- c. Train or provide training for agency management and staff in records management systems and procedures
- d. Develop and recommend agency policies and procedures concerning records and information management

H. (Continued)

DEFINITIONS

- e. Review requests for and monitor destruction of records
- f. Keep Agency records information on a spreadsheet, given by divisions.

Records Retention Schedule

A document produced by the Archives Division that is either unique to an agency, (special schedule) or applicable to all state agencies (general schedule) which provides the legal authority for the agency to dispose of its records. A special schedule is a signed agreement between the agency and the State Archivist describing the agency's program, the records created to document the functions of the agency programs and specifies the length of time the records must be kept. *Records must be scheduled before they can be destroyed.* Schedules expire after five years. Retention periods specify the both minimum and maximum period of time that the records need to be retained.

Security Microfilm Depository

The Secretary of State Archives Division maintains two vault facilities for off-site storage of security microfilm. Records at the Security copy Depository remain the custody of the depositing agency. Records must have a retention period of at least 10 years to be stored in either the medium-term or long-term depository.

State Archives

Operated by the Secretary of State Archives Division to preserve permanent records that have enduring value to the State and its citizens. Records transferred to the State Archives become the custody of the State Archivist, are housed in environmentally controlled stacks and are available for research under supervised conditions at the State Archives building.

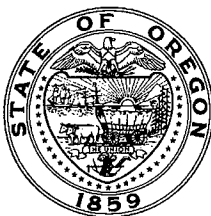
State Records Center

Operated by the Secretary of State Archives Division, the facility is used to store inactive, non-permanent records for state agencies. Records at the State Records Center remain the custody of the depositing agency. The Records Center staff members provide retrieval and re-filing services.

OFFICE OF THE SECRETARY OF STATE

BILL BRADBURY
SECRETARY OF STATE

ARCHIVES DIVISION
ROY TURNBAUGH
DIRECTOR



RECORDS CENTER
4298 22nd Avenue NE
Salem, Oregon 97310

Phone (503) 373-1001
Facsimile (503) 373-1051

RECORDS TRANSMITTAL REQUEST FORM

Oregon State Records Center Phone #: 503-373-1001 Fax #: 503-373-1051

Oregon State Records Center Address: OREGON STATE RECORDS CENTER
4298 22nd Avenue NE
Salem, OR 97310

REQUIRED INFORMATION:

Your Name _____

Phone #: _____

Agency Name: _____

Address: _____

Series Title: _____

Dates of Contents: _____

Total Number of Boxes: _____

Retention Schedule/Series #: _____

Retention Length: _____

Destruction Date: _____

Received by: _____

*Secretary of State
Archives Division
Oregon State Records Center*

Records Transmittal Form

*The records described below have been approved for transfer to the
Oregon State Records Center*

Depositing Agency/Division:		Accession Number
DEPARTMENT OF ADMINISTRATIVE SERVICES BUDGET & MANAGEMENT		98 RC 091
Records Series Title:	Dates or Contents:	Number of Boxes
AGENCY BUDGET WORKFILES	07/01/1993 – 06/30/1995	10
Retention Schedule Number:	Retention Period:	Destruction Date:
96-0047/023	12 YEARS	07/01/2007

Transmittal date: 03/16/98

I hereby certify that the records described above are to be sent to the Oregon State Records Center of the Oregon State Archives Division. Deposit of this material with the Archives Division indicates agreement to comply With the regulations and procedures of the Oregon State Records Center.

_____	_____
Agency Signature	Date
_____	_____
Records Center Signature	Date

This form must be signed and accompany the records at the time of transfer Archives Division, Oregon State Records Center, 4298 NE 22nd, Salem, OR 97310

Secretary of State, Archives Division, Oregon Records Center

Box Label Example

Agency Name		Oregon State Records Center		Accession #	
Series Title:					
Box Arrangement:					
EXAMPLE ONLY - DO NOT USE					
Agency Notes:					
Box	of	Schedule/Series Number		Destruction Date	

REQUEST FOR PERMANENT RECORD ACCESSION NUMBER

DATE: *Current Date*

TO: State Archivist
Archives Division
Secretary of State

From: *Name*
DAS Agency Records Officer

Signature

Telephone: 503-378-2349 ext. 320

Subject: Request for Accession Numbers

Please issue Transmittal and assign accession numbers for the _____ sets of records listed below.

Division Name
Department of Administrative Services

1. Record Series Title
Date of 1st record through last record in carton, e.g. 01/06/69 – 04/13/70
Schedule/Series Number
Destruction date
Number of boxes within accession group
Retention Schedule Number
Destruction Date

2. Record Series Title
Date of 1st record through last record in carton, e.g. 01/06/69 – 04/13/70
Schedule/Series Number
Destruction date
Number of boxes within accession group
Retention Schedule Number
Destruction Date



State Records Center Request Fax
Fax : 503-373-1051 Phone: 503-373-1001

Agency: _____ Phone #: _____

Signature: _____ Date: _____

Send files attention to: _____

Delivery Address: _____

FILE ITEMS REQUESTED

Accession #: _____

File number: _____

File name: _____ Box #: _____

Records Center Use Only
Location: Not found: Date ent:

Accession #: _____

File number: _____

File name: _____ Box #: _____

Records Center Use Only
Location: Not found: Date ent:

Accession #: _____

File number: _____

File name: _____ Box #: _____

Records Center Use Only
Location: Not found: Date ent:

Filled by: _____

OFFICE OF THE SECRETARY OF STATE

Bill Bradbury
SECRETARY OF STATE



ARCHIVES DIVISION
ROY TURNBAUGH
DIRECTOR

800 Summer Street NE
Salem, Oregon 97310
(503) 373-0701

Facsimile (503) 373-0953

(fax # 503-373-0953)
(e-mail cody.a.hull@state.or.us)

Transmittal Request Form:

Agency: _____

Series Title: _____

Reel Numbers: _____

Inclusive Date: _____

Document Numbers: _____

Page Numbers: _____

Number of Units: _____

Format: (16 or 35mm) _____

Retention Schedule #:(OAR #) _____

Retention Period: _____

Person Requesting: _____

If something does not apply to your film please disregard and move to the next line.

Please call me if you have any questions at (503) 373-0701 ext. 255.

**Secretary of State
Archives Division**

Filing System Guidelines

Introduction

Implementing a filing system within an agency eases retrieval, access and long-term management of agency records. A filing system consists of policies and procedures directing how files should be stored and indexed in order to ensure their retrieval, use, and disposition. The same filing system should be in place for both paper and electronic records. It should be simple, logical and easy to implement; otherwise, it will be ineffective.

Filing systems within an agency should be based on the agency's records retention schedule. Each agency shall issue further instructions on implementing the filing system.

Inappropriate methods

There are a number of possible methods for storing records in electronic format. The State Archivist does not consider the following to be appropriate methods of filing:

- Filing documents on a user's personal or local drive, which are not backed up and therefore more susceptible to data loss.
- Relying on IT backup tapes for the purpose of meeting records retention requirements.
- Filing or storing e-mail messages within the e-mail system that initially sent or received them.
- Filing or storing e-mail content in any format that lacks metadata (sender, recipient, date, subject, etc.).
- Filing e-mail attachments separately from their associated program records.

A filing system establishes a folder structure for all agency records in either Program-based filing or Function based filing.

Program-based filing

This type of filing system organizes records based on the organizational structure of the agency. This filing scheme provides easy access to records, but it will change every time the agency undergoes reorganization.

Function-based filing

All records serve a function or document an activity. This type of filing system organizes agency records based on core functions carried out in the agency, such as financial operations or human resources. Records can serve different functions for various programs, divisions or agencies. For example, an assessment report might serve a project tracking function for one program but serve a budgeting function for another.

Organizing records within the filing system

Within the filing system, records within each folder need to be organized in a specific manner, depending on how the records are used and retrieved.

- Alphabetical – records are organized like a dictionary.
- Chronological – records are organized by date (date of creation, date of project, etc.).
- Numerical – records are organized by a numbering system (classification code, case number, etc.).

Electronic Record Management Applications (ERMA)

An Electronic Record Management Application is a software tool that assists users in filing and retrieving information. It is important to remember that an ERMA will ultimately fail unless records management procedures are in place. An agency-wide records retention schedule, filing system, user training and audit are pre-requisites for successful implementation of an ERMA. An ERMA that is compliant with the DOD 5015.2 standard is recommended.

Records should be managed regardless of media (electronic or paper). If an imaging component is part of an ERMA, the scanned images should be managed the same as all other records within the system.

A consistent filing system may affect the way employees manage agency records, both electronic and paper, but will not drastically affect the way they work. A slight change in thinking about agency records can make a difference in terms of accessibility, retention and disposition.

File Naming Conventions

Assigning standardized document titles is essential for efficient retrieval of files from computers and filing cabinets. Common naming conventions should be followed for all files and folders on computers as well as for file folders in paper filing systems. The purpose of a file should be identifiable from its title

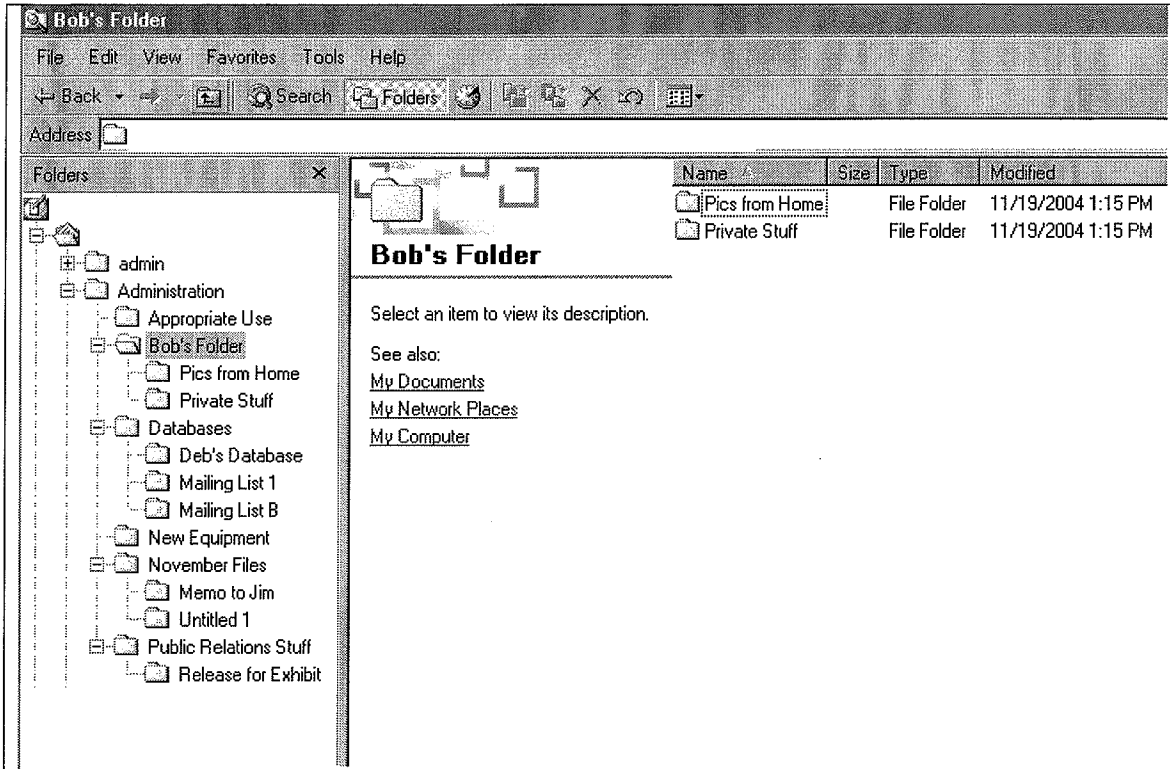
- A standard way to manage various versions of documents should be stated in agency procedures.
- When using a date in the title, use the convention yyyyymmdd (e.g. 20040820).
- When a succession of the same type of document will be in a folder, use an informative first word that will help order them alphabetically.
- All files should be uniquely named so that there is no confusion between documents. There should be no duplicates, only different versions of a document.

Ensuring Appropriate Use of the Filing system

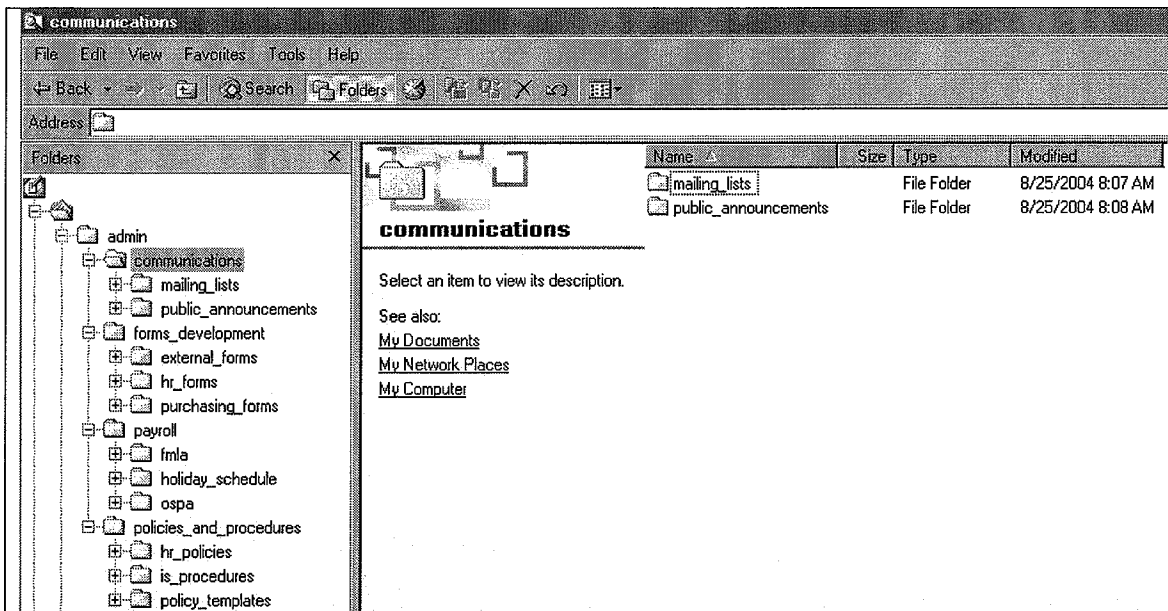
Compliance with policies and procedures relating to the filing system should be enforced through the monitoring of disk space usage. Employee compliance with the filing system should be mandatory. Maintaining an organized space to store agency documents, whether it is a filing cabinet or the shared server space, will improve document retrieval and simplify the routine disposal of documents authorized by records retention schedules.

Examples

Before implementation of a function-based filing system:



After implementation of a function-based filing system:



E-mail Management: The Technology and the Business Perspective

There are two main components that a state employee needs to consider as they are working with their email. One is technical point of view and the other is the business point of view. This document provides some additional assistance with what each of these items are and what a user's responsibility is. On a technical perspective, e-mail management consists of how you use the email system, the file server and the variety of ways of saving and filing email messages. On a business perspective, e-mail management consists of e-mail retention, archival and other business requirements. While the two must work hand-in-hand, what the technology may allow you to do doesn't necessarily mean that it meets all the business requirements...especially retention and archival requirements.

I. Goals of E-mail Management:

- Organizing/Filing E-mails into logical folders
- Deleting Unneeded E-mails
- Moving E-mails off of the E-mail System
- Keeping E-mail box size within the size limits

II. Goals of E-mail Retention/Archival:

- Deleting Informal Communications when no longer needed.
Retaining Correspondence for the applicable retention period.
Being able to retrieve Correspondence as needed
Deleting Correspondence at the end of the retention period.

III. State Employee/E-mail User Responsibilities

- 1. Keep E-mail box size within the size limits**
- 2. Delete Unneeded E-mails**
- 3. Move the Rest onto Paper or the Server**
- 4. Everything in its place...The file structure**

1.) Keep E-mail box size within the size limits

It is expensive to keep all emails that are received. The Secretary of State Archives Division strongly recommend against using the e-mail system as archival storage. In addition to the expense of storing all email data on the email servers, unlimited mailbox sizes have the potential to bring down the entire email server making it impossible to guarantee reliability or availability of the email system. Anytime the email server crashes as a result of these unlimited mailbox sizes the agency risks losing data.

2.) Delete Unneeded E-mails

All information stored within information and telecommunications technology applications, systems, and networks are the property of the State of Oregon. E-mail are public records and subject to public record requests.

- **Delete emails that are considered “Informal Communication.”**
According to the Secretary of State, “Informal communication” consists of records that are informational in nature, are of short-term interest, and require no reply or administrative action. These include routine requests for information; general or mass mailings about an activities or event; “bc” and cc’d” messages; letters of transmittal’ and messages referencing a particular internet link, publication, or report. Also included are those items which are included as acceptable personal use.

If this type of email needs to be saved temporarily, create special “IC” folders and save them on the server to minimize mail box size.

3.) Move the Rest onto Paper or the Server

- All E-mail that is not “Informal Communication” is “**Correspondence**” and one copy must be maintained in accordance with the records retention rules. (Internal Operations Manual 107-01-130)

Correspondence is defined by the Secretary of State as:

“Correspondence” consists of records that directly relate to agency programs, management or support services. They include formal approvals, directions for action, communications about contracts, purchases, grants, personnel, etc; and correspondences relating to a particular project or program.

- If the underlying program documents are stored in paper format, then one copy of the E-mail is to be retained with the appropriate paper file for the specified period of time found in the records retention schedules. Note: This is the only medium currently available that creates a true copy, ie one that cannot be altered electronically.)
- If the underlying records are stored electronically, one copy of the Correspondence may be saved on the server in such a way that it may be retrieved with the other documents and maintained with the same retention schedules.

- **Options for storage on the server include .pst files, .msg files and .txt files.**
- Here are some known acceptable ways of moving them off of the email system:
 - **electronic methods:** .msg, .pst or .txt saved to a location on the file server...must be retrievable from a network level and not retained on the hard drive. Please note.txt saved to a location on the file server, be sure to also keep any attachments which will need to be saved separately. (**See Attachment A for more information on these techniques**)
 - **hard copy:** “went in doubt print it out” and keep with other associated documentation

Business units should also consider moving data to alternate systems based on content.

Email System Backup (i.e. Commvault) not an accepted archival method. The business should not assume that just because the email system is backed up that they can rely upon it as the archival system.

4.) Everything in its place...The file structure

The goal is to set up a file structure that meets the records retention requirements for your program from the start. A file structure allows the employee/business unit to quickly retrieve the document as it is filed in a meaningful way. DAS IRMD has been working with the Management and Records Management Staff of the various divisions to build program specific solutions to records management. The solutions developed for the Progress Board includes a folder structure on the Server that matches a PST folder structure (See Attachment B). It also has developed a shared drive for the agency so that each staff person can store their email into shared folders. (Attachment A – Email Management Links). For assistance on creating shared folders, please contact the Technology Support Center (503.378.2135).

If the record is an “informal communication” but one you need to retain temporarily, you may even want to label your folders, “IC” and date them so that they can be deleted in batches when it is unlikely they will be needed. (EG IC Taylor to 20050631) *Note: The Secretary of State has recommended using “yearmonthdate” (eg 20051225) convention in file names to facilitate the eventual transfer to an electronic record keeping system.*

Attachment A

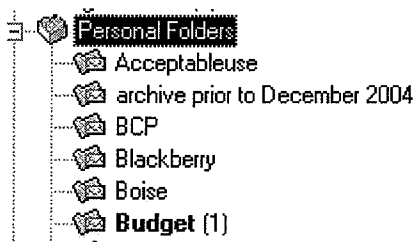
Techniques of Email Management:

Folders in your In-box: You can create folders in your Outlook In-box by Right Clicking on your inbox icon and selecting “New Folder” from the right-click menu options. We recommend that you only use folders in your “In-box” for short term filing. Also note that what you keep in these files contribute to your overall e-mail size.



.PST files: The .PST is a form of “offline” storage of your emails. You can use your .Personal folder to organize emails. We will recommend that you manage your .PSTs into logical folders. You can only open the .PST in Outlook. In order to extract messages from a .PST when you are not in Outlook, you will need technical assistance. We highly recommend that you have your .PST setup on the file server and not mapped to your local drive (C: drive). We cannot guarantee any recovery of data that is stored to your hard drive. The Technology Support Center can set up your Personal Folder so that it is mapped correctly. You can save emails in your Personal Folder by dropping and dragging individual emails, multiple emails or email folders. This form of email storage is longer term and is backed up on the same backup schedules your files on the file server are backed up (nightly incrementals and full on the weekend). Your .PSTs do not contribute to your e-mail box size.

Folders in your .PST: You can create folders in your Outlook Personal Storage (.PST) by Right Clicking on your Personal Folders icon and selecting “New Folder” from the right-click menu options.

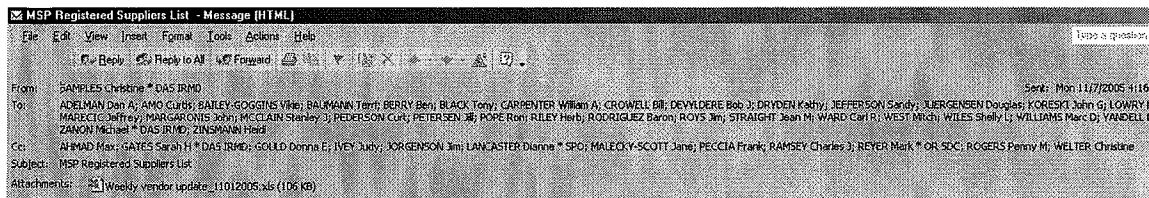


.MSG files: The .MSG (message) file extensions allow you to save the email and preserve the formatting and attachments. You can open or send a .msg file without being in Outlook. You will need Outlook or Outlook Express installed on the system to be able to recognize this file extension. You can save .msg files to any location. We recommend that you save in folders on the file server. You can save emails in desired location by dropping and dragging individual emails or multiple emails.

Please note: You cannot drop and drag a folder into another location. This will only create a short cut to the folder and it will not move the messages.



MSP
Registered
Suppliers List
.msg



CIO Council:

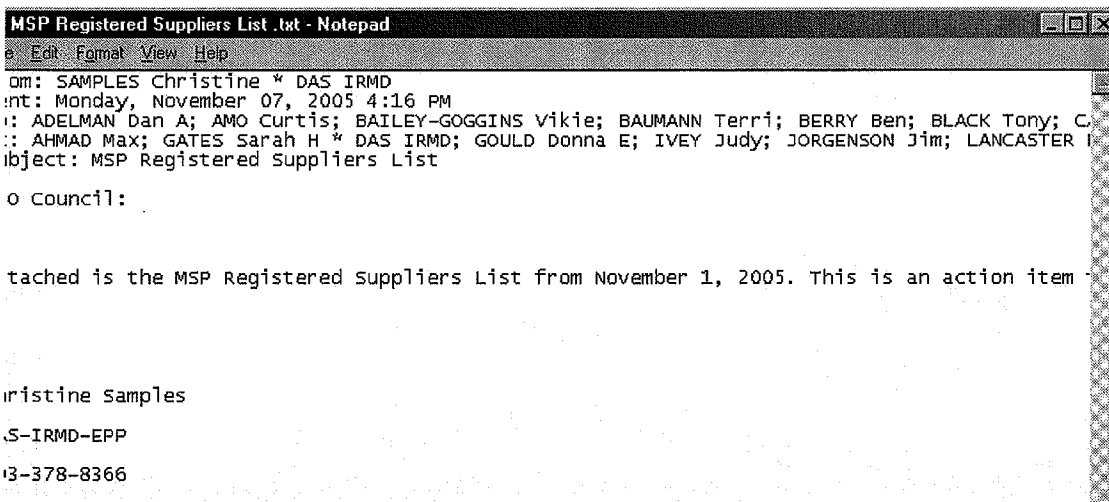
Attached is the MSP Registered Suppliers List from November 1, 2005. This is an action item from the CIO Council's October 18th meeting.

Christine Samples
DAS-IRMD-EPP
503-378-8366

.TXT files: .TXT files are universally recognized and can be opened without Outlook. .TXT files are stripped of any formatting and attachments are not saved automatically. You will need to save the attachment separately. You can save .txt files to any location. We recommend that you save in folders on the file server. You can save individual emails by selecting the individual emails and selecting "File" and "Save As" (make sure .TXT is the file format.) You can also save multiple emails in one .TXT file by selecting the a group of emails and selecting "File" and "Save As" (make sure .TXT is the file format).



MSP
Registered
Suppliers List
.txt



Email Management Links:

Agency Mailbox Size reports:

<\\sancluster\DAS Share\TSC Help Desk\Email Issues\MailboxSizes>

Email Management Presentation:

https://intranet.egov.oregon.gov/sites/DAS/IRMD/OPS/email_services.jsp

File Share:

<\\sancluster\DAS Share\TSC Help Desk\fileshare.doc>

Attachment B

