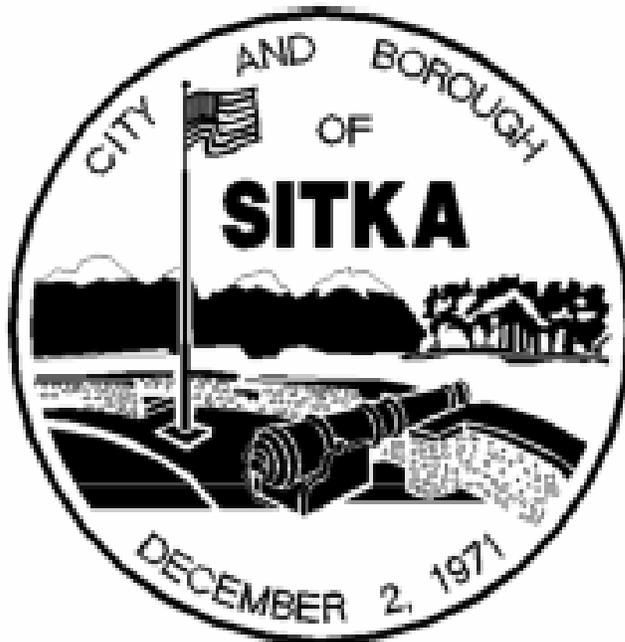


CITY AND BOROUGH OF SITKA

RECORDS INFORMATION AND MANAGEMENT HANDBOOK



**RECORDS CENTER
4600 Sawmill Creek Road
Sitka, Alaska 99835
(907) 747-3890**

TABLE OF CONTENTS

1. Information Retention and Disposition Program 1

1.1 Program Description 1

1.2 Records Information Management Retention and Disposition Program..... 1

2. RIM Retention and Disposition Program Organization 1

2.1 Information Retention and Disposition Policy Statement..... 1

2.2 Information Retention and Disposition Program Directions..... 2

3. Information Retention and Disposition Program Responsibilities 2

3.1 Records Retention Committee Responsibilities 2

4. Developing the RIM Program..... 2

4.1 Program Development..... 2

4.2 Records Inventory..... 2

4.3 Analysis/Appraisal of Data..... 3

4.4 Information Values 3

4.5 How do I Inventory Records? 3

5. Review and Approval 4

5.1 Records Retention and Disposition Schedule 4

5.2 Records Not Identified on a Retention Schedule 4

6. Implementation 4

6.1 Publishing the City and Borough’s Retention Schedule 4

7. Disposition Procedures 5

Disposition 5

Policy for Disposition..... 5

Suspension from Disposition (Litigation Hold)..... 6

Verification of Records to be Dispositioned 6

Destruction of Records 6

Transfer of Records to Records Center at SCIP..... 6

The Transfer Process..... 7

Access to Stored Records..... 7

Records Information Management Glossary 8

City and Borough of Sitka Records Information and Management Handbook

AS 20.21 (Public Records Act); 4 AAC 59 (Archives and Records) requires the orderly management of current local public records and preservation of non-current public records that have permanent historical value. AS 40.21.070 says “the governing body of each political subdivision of the state shall promote the principles of efficient records management for local public records...” Moreover, per AS 29.20.380(4) the municipal clerks shall “manage municipal records and develop retention schedules and procedures for inventory, storage and destruction of records.” *Local Government General Records Retention Schedule #300* is a tool municipal clerks and other officials may utilize to assist in determining how long to retain records created or received in the conduct of their respective responsibilities.

A record, regardless of its format or the media on which it is recorded, supports decisions, justifies budgets and expenses, communicates ideas, confirms sales and purchases, documents rights, provides accountability, and otherwise provides information. This information may be required by staff members, legal/regulatory authorities, the public, and others on all aspects of an organization such as its policies, procedures, and financial matters.

The goal of the Records Information Management (RIM) program is to retrieve and maintain the right information at the right time. An effective RIM program ensures that a record is identified, appraised, and maintained for an appropriate period of time in such a way that it is accessible and retrievable. The existence of, and compliance with, an information retention and disposition program is important to meet goals and to avoid premature disposition and/or unauthorized disposal of records.

Other Relevant Statutory References

AS 40.25.110 provides in part that unless specifically provided otherwise, the public records of all public agencies are open to inspection by the public under reasonable rules during regular office hours.

AS 40.25.120 states that every person has a right to inspect a public record in the state, including public records in recorders’ offices... [Exceptions are provided in law.]

AS 40.25.122 states that a public record that is subject to disclosure and copying under AS 40.25.110 – 40.25.120 remains a public record subject to disclosure and copying even if the record is used for, included in, or relevant to litigation, including law enforcement proceedings, involving a public agency, except that with respect to a person involved in litigation, the records sought shall be disclosed in accordance with the rules of procedure applicable in a court or an administrative adjudication.

AS 40.25.220 (3) “public records” means books, papers, files, accounts, writings, including drafts and memorializations of conversations, and other items, regardless of format or physical characteristics, that are developed or received by a public agency, or by a private contractor for a public agency, and that are preserved for their informational value or as evidence of the organization or operation of the public agency; “public records” does not include proprietary software programs.

AS 09.80.195 Uniform Electronic Transactions Act—Use of electronic records and electronic signatures; retention of electronic records.

1. Information Retention and Disposition Program

1.1 Program Description

The information retention and disposition program categorizes records, defines their value against established criteria, assigns a period of time during which the information is maintained, and specifies procedures for its final disposition through destruction or permanent retention. The City and Borough has a current records retention schedule.

1.2 Records Information Management Retention and Disposition Program

Improved Operational Efficiency – Access to relevant information is the key to successful decision-making and general operational efficiency. The information retention and disposition program documents records that the City creates, receives, or uses; how and where the information is maintained; and the relevant recordkeeping requirements.

Consistency in Records Disposition – The RIM program provides the specific procedures and actions to be taken for the retention and disposition of records. It ensures records are managed in a systematic manner that conforms to the City's records retention schedule policy.

Compliance with Legal/Regulatory Retention Requirements – The City is subject to various requirements governing the creation, maintenance, and retention of records. The records retention schedule identifies these documents and specifies the period of time that records must be maintained and destroyed.

Protection During Litigation or Government Investigation – The RIM program ensures that records are properly handled in anticipation of and during litigation or government investigations.

Reduced Space Requirements – Storage space for the necessary accumulation of records can be a significant operational and costly burden regardless of media used. Storage costs are increased when it is used for storing duplicate copies of both paper and electronic information.

Compliance with Contingency Management Programs – In the event of a disaster, a clear RIM program is essential in restoring the City and Borough of Sitka to its previous operating level. During the disaster recovery event, records are maintained to provide an essential audit trail for analysis and for event review.

2. RIM Retention and Disposition Program Organization

Records Retention Committee Members: Municipal Clerk, Records Archivist, Financial Director, Municipal Attorney, Information Systems Director, and Administrator. The Municipal Clerk acts as the Records Manager for the City. Each Department Head appoints a Records Coordinator for their department to be responsible for records maintenance.

2.1 Information Retention and Disposition Policy Statement

The policy statement establishes organizational support for the information retention and disposition program.

2.2 Information Retention and Disposition Program Directions

The Municipal Clerk issues specific directions to Records Coordinators as necessary to communicate organizational support of any policy changes and/or actions that must be implemented regarding the RIM program.

3. Information Retention and Disposition Program Responsibilities

3.1 Records Retention Committee Responsibilities

The City has established a records retention committee to ensure that all appropriate interests and departmental needs are recognized and incorporated into the records retention schedule and RIM program. Meetings are scheduled as necessary by the Records Manager to keep the program development on schedule and to ensure that it is updated on an ongoing basis.

Records Archivist Overall Responsibility

The Record Archivist is responsible for implementing, operating, and maintaining the RIM program within the scope of the approved records retention and disposition policy.

Department Coordinator's Responsibilities

Department Coordinator's are liaisons for the department and work directly with the Records Archivist. The department coordinators when performing records retention functions operate under the authority of and in coordination with the Records Manager. The department coordinator's responsibilities include:

- assisting the Records Manager and/or Records Archivist with survey/inventory;
- reviewing all records in their department to ascertain their filing pattern, completeness and accuracy;
- notifying the Records Manager and/or Records Archivist when new records series need to be created and when departmental needs change;
- transferring records from active to inactive storage in accordance with the records retention schedule; and
- coordinating with the Records Archivist regarding approval process for records destruction of department records.

4. Developing the RIM Program

4.1 Program Development

The RIM program is designed to meet the needs of the City and Borough of Sitka. The RIM program will be implemented with cooperation from all departments within the City to organize a global active filing system, inactive storage, and imaging programs.

4.2 Records Inventory

The records inventory is a physical listing and identifies all of the City's records and content information that is important to the records retention schedule. See Records Inventory Form.

4.3 Analysis/Appraisal of Data

The information gathered during the records inventory should be analyzed and consolidated on the records form to meet the City's current retention schedule.

4.4 Information Values

Determining information value provides the basis for arriving at the retention period that will be assigned to each record. The criteria for each category are different. Multiple categories can apply to the same type of records, depending upon its use with the City. The value of the records is determined by their content and their use.

- **Operational value** is assigned to records that document the activities of the City that are directed toward the substantive purpose for which the department was created. This record type assists the City in performing its primary functions.
- **Vital records** are those records containing information essential to the reconstruction/resumption of the City in the event of a disaster. Records that are determined to be vital should be a small percentage of the total volume of records within the City. The following is a list of questions to ask to determine if a record is vital:
 - What records are absolutely necessary to resume operations?
 - What records are necessary to protect assets, the legal and financial status of the City?
 - What records are necessary to protect the City against risk?
 - What records are necessary to preserve the rights and obligations of employees, customers, and citizens?
- Records with **legal/regulatory value** are those that provide proof of business transactions and demonstrate compliance with legal, statutory, and regulatory requirements.
- Records that have **fiscal value** relate to the financial transactions of the City, especially those records required for audits or tax purposes.
- **Historical value** of records relates to the City's responsibility to preserve the cultural heritage of its jurisdiction, and this may result in a large percentage of records being considered to have historical value.

4.5 How do I Inventory Records?

1. Define the inventory's goals. While the main goal is gathering information for scheduling purposes, other goals may include preparing for conversion to other media, or identifying particular records management problems.
2. Define the scope of the inventory; it should include all records and other material.
3. Decide on the information to be collected. Materials should be located, described, and evaluated, in terms of use.
4. Verify and analyze the results.

5. Review and Approval

5.1 Records Retention and Disposition Schedule

Information entered onto the City's records retention schedule includes:

- **Records Series Title and Description** is brief but complete and specific.
- **Department Abbreviation with number**
- **Revision Date** will ensure the user is using the most recent version of the records retention schedule.
- **Page Number** – Best practice is to use “Page __ of __ Pages” to ensure the user has all the pages.
- **Retention Period** contains the period of time the record series is to be retained.
 - *Active Retention Period* – The length of time the records are to remain available for immediate retrieval to satisfy the operational needs of the City.
 - *Inactive Retention Period* – The length of time the records are to be retained to meet the long-term needs of the City.
 - *Retention Period* is the sum of active and inactive retention periods, at the expiration of which the records are to be destroyed, transferred to an historical archive, or otherwise handled according to the disposition instructions.

5.2 Records Not Identified on a Retention Schedule

- Department coordinator prepares and signs a Records Retention Request For A Record Series
- Records coordinator faxes form to Records Archivist
- Records Archivist reviews the disposition
- Disposition number is assigned
- Records Archivist faxes approved request to department coordinator

6. Implementation

6.1 Publishing the City and Borough's Retention Schedule

The Records Manager will post the current retention schedule on the City's web page. The records retention schedule is considered a living document, which will continue to be updated by the Records Manager over time. Each department coordinator will need to operate in compliance with the information retention and disposition program. Forms are located in the back of this manual.

6.2 Training

Training will occur once a year regarding use of and compliance with the information and retention schedule. Individualized training will be necessary for new department RIM coordinators.

6.3 Information Retention and Disposition Program Compliance Review

Each City employee needs to be aware of the records retention program and its requirements – especially the effects of inappropriate or premature disposition of records.

Compliance regarding the records retention and disposition program will be reviewed by the records review committee.

All records identified for destruction must be accompanied with a records of destruction form that is filled out and signed by all designated department personnel before any records are destroyed. Each department is required to document the premature destruction or presumed loss of records at the time the loss was discovered and to notify the Records Manager. In the event such records are requested for future litigation or investigations, this documentation can be used to show that the premature destruction was not done in anticipation of legal action being taken.

7. Disposition Procedures

Disposition

Disposition of records includes the physical destruction of paper/microform-based records, deletion and overwriting of electronic records, and appropriate storage or transfer of records requiring permanent retention. Disposition ensures that records required for City business purposes are transferred to the appropriate department for maintenance and preservation.

Policy for Disposition

The records retention schedule states the retention period records must be retained by the City. It is very important to follow the retention schedule.

- **Approved authorization** is a form containing a listing of the records eligible for disposition will be distributed for appropriate review and approval prior to any disposition of records. The form includes signature lines for the department coordinator, department head, municipal clerk/records manager and records archivist. Decisions to postpone destruction of records are reserved for extraordinary circumstances, such as imminent or pending litigation, government investigations, tax audits or other unforeseen circumstances that make the records relevant, and the reason must be clearly stated on this disposition authorization form.
- A **disposition authorization** form indicates that the records will be disposed of with a specific time period (30 days) unless a department notifies the Record Manager otherwise. This process is called *negative reporting* because it eliminates the need to hear from all reviewers involved prior to disposition, it can facilitate the records disposition process.
- An automatic disposition is clearly stated in the records retention policy. Disposition will be carried out automatically unless the Records Manager is

notified that specific information is required for a matter. Disposition processes should be able to prove that disposition was accomplished systematically and regularly in the “normal course of business.”

Suspension from Disposition (Litigation Hold)

Suspension from disposition is to ensure the suspension of normal disposition procedures for pertinent records in the event of pending or actual litigation or investigation. The Records Manager is to be notified via e-mail or fax regarding the suspension from normal disposition to take place. The Records Manager will issue a letter giving departments notice that a litigation hold is in effect regarding certain records. The Records Manager shall monitor the suspension process and keep the full records and information retention committee informed of a litigation hold status regarding records. Suspension orders should be approved by the committee for six months. The review committee has the option to extend the suspension orders for an additional six months.

Verification of Records to be Dispositioned

The RIM department, individual users of personal computers, and the information systems department are responsible for checking each carton of records, hard disks, diskettes, CDs, and magnetic tapes prior to disposition to be certain the records that they contain correspond with the list of records authorized for destruction.

Destruction of Records

A destruction authorization form must be completed and all parties have approved destruction of a record(s) by signing the form. When records are destroyed or deleted, the Records Archivist or Records Manager will sign the destruction authorization form indicating that they witnessed the destruction of the record(s). The Records Archivist or Records Manager will take pictures and attach the documentation to the form of destruction verifying that the destruction has, in fact, taken place. A record of the destruction is a permanent record.

Transfer of Records to Records Center at SCIP

Records that are approved for permanent preservation and records that are inactive shall comply with the following steps:

- Plan two storage cartons per file drawer
- **Remove** inactive (paper) files from cabinets to storage carton(s)
- Remove all “pendaflex” or hanging files
- Place 3-ring binders flat in box or remove materials and place in manila folders
- Leave at least 1” of space in each box
- Leave additional space in the box if missing files will be added later
- Place an “**out**” card where the missing file belongs
- Put a barcode label on each box (the barcode label is not available at this time)
- Microfilm – label each reel/fiche
- Computerized inventory/index of department’s files
- Contact the Records Archivist regarding records that are being transferred to the records center. A copy of the approved authorization or disposition listing that

notes the records subject to transfer should be forwarded to the Records Archivist as notification of the pending transfer.

- Complete a records transfer list form.
- The Records Archivist will work with the records coordinator(s) to get the files moved to the Records Center at SCIP.

The Transfer Process

1. Verify Disposition Date is the same for all files in a storage box.
 - [Refer to Records Retention Schedule]
2. Prepare a box contents list [if necessary, not require]
 - Level of detail will vary according to access needs; information may be included on the transfer list.
3. Prepare the *Records Transfer List (RTL)*
 - Identify box contents (refer to example on *RTL*)
 - Determine the disposition date according to the retention schedule
4. Fax completed RTL to Records Center. Records Archivist will review and approve *RTL* and fax approval to Department Coordinator
5. Schedule box transfer after approval
 - Records Archivist will contact Department Coordinator for box pickup OR
 - Arrange with Department Head or other personnel to deliver boxes to the Records Center at SCIP.

Access to Stored Records

1. Send authorization letter to Records Center, if not on file already.
2. Prepare Records Request Form, fax the following data to Records Center
 - Specify if request is for file or box
 - Provide the file name
 - Indicate if file/box is to be:
 - i. Delivered
 - ii. Mailed (certified, DHL, Federal Express, other)
 - iii. Held for pickup
 - iv. Held for review at the Records Center
 - Fax request to Records Center

Records Information Management Glossary

Active Records. Records Necessary to conduct the current business of an office and therefore generally maintained in office space and equipment. Also called Current Records.

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

Appraisal. The process of determining the value and thus the final disposition of records, making them either temporary or permanent.

Archives. (1) The non-current records of an organization preserved because of their continuing, or enduring value. (2) The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records. Also called archival agency. In the U.S. Government, the National Archives and Records Administration (NARA). The information technology industry sometimes refers to “archive” as the standard action of saving an electronic document.

Arrangement. In files management, the act or result of placing records in a particular order or sequence. See also classification.

Authenticity. Authenticity refers to the persistence over time of the original characteristics of the record with respect to context, structure and content. An authentic record is one that retains its original reliability.

Backing Up. Making a copy of an electronic or digital file for use if the original is lost, damaged, or destroyed.

Binary Code. A code using two distinct characters, normally 0 and 1. See also Code (1). Bit. The smallest unit of information (normally either a 0 or a 1) recognizable by a computer. A combination of binary digit; 8 BITS makes a BYTE.

Categorization. The organization of materials into categories according to a scheme that identifies, distinguishes, and relates the categories. Sometimes also called *classification*.

Classification. The process of determining the sequence or order in which to arrange documents. See also Arrangement. May also be used as a synonym for categorization.

Content. What an electronic record “says.” Text and/or numerical information that make up the record contents.

Context. Why a record was created and its relationship to other records and information. Metadata helps provide context, such as the transmission and receipt data included with an E-mail message.

Contingent records. Records scheduled for final disposition after the occurrence of an event at some unspecified future time, such as the decommissioning of a vessel.

Cut-off. Breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is also called file cutoff or file break.

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

Data Base. A set of data, consisting of at least one data file, that is sufficient for a given purpose. Data base management system means a software system used to access and retrieve data stored in a data base. Data file means related numeric, textual, or graphic information that is organized in a strictly prescribed form and format. Electronic information system. A system that contains and provides access to computerized records and other information. Electronic mail system. A computer application used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or data bases on either personal computers or mainframe computers, and word processing documents not transmitted on an e-mail system.

Data File. (1) A group of related electronic records that are organized and treated as a unit. Also used interchangeably with data file. See also SUBSET. (2) A modem, which is an electronic device making possible the transmission of data to or from a computer by telephone or other communication lines.

Deleting. The process of permanently removing, erasing or obliterating recorded information from a medium, especially a magnetic tape or disk, which then may be reused. Sometimes called scratching or erasing. See also destruction.

Destruction. In records management, the major type of disposal action. Methods of destroying records include burning, pulping and selling, or salvaging the records medium.

Directory. A table of contents for an electronic storage medium. (Operating systems such as Windows contain programming that allows electronic files to be stored in directories that act like “electronic file cabinets.”)

Disposition. The actions taken regarding records no longer needed in current office space. These actions include transfer to storage facilities or records centers, transfer from one office/organization to another and disposal of temporary records. Disposition is the third stage of the records life cycle.

Disposition Authority. (1) Approval empowering an organization to retain and preserve permanent records or carry out the disposal of temporary records. (2) The organization’s approval of disposition instructions for non-recorded material.

Disposition Instructions. (1) Directions for cutting off records and carrying out their disposition in compliance with organizations' policies. (2) Directions for screening non-record materials and carrying out their disposal when no longer needed by the organization.

Documentation. (1) The act or process of substantiating by recording actions and/or decisions. (2) Records required to plan, develop, operate, maintain, and use electronic records and software. Included are systems specifications, file specifications, codebooks, record layouts, user guides, and output specifications.

Document. In the electronic records world, a document is the unfinished "working file" such as a draft letter, or an electronic form that is being processed at several points in a workflow scheme. Once a document is "frozen" from further changes and revisions, it becomes a "record."

Electronic Document Management System (EDMS). An electronic document management system [EDMS] is software that manages the creation, storage, and control of semi-structured documents. It consists of several technologies including, but not limited to document management, COLD (Computer output to Laser Disk), imaging, and workflow. In part, because an EDMS does not support the preservation of the business context of an individual record (i.e., EDMS systems manage a content item as an individual unit, as opposed to preserving its relationship to a larger group of documents that provide evidence of the same particular organizational function), EDMS systems are not electronic recordkeeping systems.

Electronic Mail (E-Mail). A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted with the message.

Electronic Information Systems (EIS). The collection of technical and human resources that provide storage, computing, distribution, and communication for information required by all or some part of an enterprise. An example is a Management Information System (MIS) that provides statistics on work productivity, etc. Electronic information systems automate certain business functions. Other programmatic electronic information systems may automate organization mission-specific business functions, and as such, may produce records in the process. These electronic information systems may or may not incorporate all aspects of appropriate electronic recordkeeping, depending on their design characteristics.

Electronic Records (ER). AS 40.21.150 (4) defines "electronic record" to mean "any information that is recorded in machine readable form."

Electronic Records Management (ERM). Electronic records management is using automated techniques to manage records regardless of format. ERM is the broadest term that refers to electronically managing records on varied formats, be they electronic, paper, microform, etc. Electronic recordkeeping [ERK] is a subset of ERM, because ERK focuses on electronically managing electronic records.

Electronic Recordkeeping (ERK). Electronic recordkeeping is the development of automated processes an organization uses to manage its electronic records. These automated processes

support not only the preservation of an electronic record's content, but also its context and structure over time.

Electronic Recordkeeping Systems (ERKS). An electronic recordkeeping system is an electronic information system that meets an organization's recordkeeping needs. At a high level, ERKS has been defined as an electronic information system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use and disposition. From a records perspective and ERKS will ensure that the records it maintains will have sufficient authenticity and reliability to meet all of the organization's recordkeeping needs.

Field. A data "element" within a database record. (For example, a person's name, a person's social security number, would be "fields" in a payroll database.)

File. (1) An accumulation of records or non-record material arranged according to a plan. (2) A unit, such as a folder, microfilm, or electronic medium, containing such records or non-record materials. (3) In electronic records a collective term for data files.

File Plan. (1) A document containing the identifying number, title or description, and disposition of files held in an office; compiled from the organization's enterprise-wide records disposition schedule. (2) A plan designating the physical location(s) at which an organization's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility.

Format. (1) The shape, size, style, and general makeup of a particular record. (2) The arrangement of data for computer input or output, such as the number and size of data fields in a logical record or the spacing and letter size used in a document. Also called layout.

Frozen Records. In records disposition, those temporary records that cannot be destroyed on schedule because of special circumstances, such as a court order or an investigation, require a temporary extension of the approved retention period.

Graphics Image File (GIF) Format. A widely used format for computer images in Intranet, Internet and Extranet implementations.

Holding Area. Organizational or departmental space assigned for the temporary storage of records after their cutoff and removal from office space but before their destruction or their transfer to a records center. Also called **staging area**.

Inactive Records. Records that must still be kept, however are not necessary for the current day to day business of the organization.

Index. (1) A list identifying of contents of a grouping. (2) In database management programs, a file containing information about the physical location of records in a database; when searching or sorting the database, the program uses the index rather than the full database; when searching or sorting the database, the program uses the index rather than the full database. (3) A manual or automated listing arranged differently from a related record series or system to speed retrieval of relevant information. (4) Separate collection of cards, extra copies of documents, cross-

reference sheets, or other forms arranged differently from the related record series to make it easier to locate relevant documents.

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

Integrity. The state of a record being complete, undivided, unaltered and trustworthy.

Internet. A term used to describe the world's largest interconnection of computers and computer networks; the Internet links large commercial computer/communications services as well as thousands of smaller corporate, government, and university networks, thereby enabling the computers connected to it to share services and communicate directly with one another.

Intranet. A term referring to the development of computer networking and communications strategies within a single organizational environment, based on Internet technology.

Inventory. (1) A survey of organizational records and non-record materials that is conducted primarily to develop records retention and dispositions and also to identify various records management problems, such as improper applications of recordkeeping technology. (2) The results of such a survey. (3) In archives administration, a type of finding aid for accessioned records.

Joint Photographic Experts Group (JPEG). A group that developed an electronic image compression format for grayscale or color images.

Life Cycle of Records. The management concept that records pass through three general stages: creation, maintenance and use, and disposition.

Living Document. A document that continues to develop over time. It is never truly finished.

Medium. The physical form of recorded information. Includes paper, film, disk, magnetic tape, and other materials on which information can be recorded.

Metadata. Data or information about an electronic record. For example, transmission and receipt dates, times, and destination user names, are all examples of metadata for an E-mail message. Metadata places the information in the E-mail message in context, and it must be retained linked to its "parent" records in an electronic recordkeeping system. A more simple example is that the electronic record is the "letter" and the metadata is the "envelope."

Micrographics. The practice of producing or reproducing information in miniature form.

Near-Line Storage. An autochanger device (like a compact disk "jukebox") that provides unattended access to information recorded on optical disks or magnetic tape.

Non-record. Materials that do not contribute to an understanding of the organization's operations or decision-making processes. Materials that have no substantial programmatic or transactional value. Extra copies of official record documents retained elsewhere that serve as

convenience copies kept solely for ease of access and reference and information/reference copies of records sent to individuals or offices interested in, but not acting on a matter. Technical reference documents needed for general information, but not properly part of the office's records.

Non-Record E-Mail. E-mail and e-mail attachments that are not a “record” as defined in AS 40.21.150 (6) may be destroyed immediately. “Non-record” e-mail includes transitory e-mail which is primarily generated for informal communication of information that does not perpetuate or formalize knowledge.

Non-textual Records. A collective term usually applied to electronic, audiovisual, cartographic, remote-sensing imagery, architectural, and engineering records, in contrast to manuscript and typescript paper records.

Official Record. The record copy designated as the item or version which the organization must maintain in its original, comprehensive, authentic and reliable state; while ensuring availability and access to the record for the entire established retention period.

Off-Line Storage. No under the direct control of a computer. Refers to data on a medium, such as a magnetic tape, not directly accessible for immediate processing by a computer.

On-Line Storage. Under the direct control of a computer. Refers to data on a medium, usually a disk, directly accessible for immediate processing by a computer.

PDAs. Personal digital assistant. A lightweight, handheld computer, typically employing a touch-sensitive screen rather than a keyboard, generally used for storing information such as addresses or schedules. Many PDAs include handwriting recognition software, some support voice recognition, and some have an internal cell phone and modem to link with other computers or networks.

PDF Format. A proprietary format supported by some imaging programs for computer-generated images. PDF is owned by the Adobe Corporation and has gained popularity for use in exchanging image files across varieties of hardware and software platforms.

Permanent Records. Records determined to have sufficient historical or other value to warrant continued preservation by the organization, beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called archival records.

Portal. A large and impressive doorway or gateway.

Program Records. Records documenting the unique, substantive functions for which an organization, department, office, work group is responsible, in contrast to administrative records. See also Administrative Records.

Public Record(s). AS 40.25.220 (3) “public records” means books, papers, files, accounts, writings, including drafts and memorializations of conversations, and other items, regardless of format or physical characteristics, that are developed or received by a public agency, or by a

private contractor for a public agency, and that are preserved for their informational value or as evidence of the organization or operation of the public agency; “public records” does not include proprietary software programs.

Qwerty. The most common modern-day keyboard layout on English-language computer and typewriter keyboards. It takes its name from the first six letters seen in the keyboard’s top first row of letters.

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

Record(s). AS 40.21.150 (6) defines “record” to mean “any document, paper, book, letter, drawing, map, plat, photo, photographic file, motion picture film, microfilm, microphotograph, exhibit, magnetic or paper tape, punched card, electronic record, or other document of any other material, regardless of physical form or characteristic, developed or received under law or in connection with the transaction of official business and preserved or appropriate for preservation by an agency or a political subdivision, as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the state or political subdivision or because of the informational value in them.”

Records Center (RC). A storage facility commercially or privately owned and operated where inactive records can be economically retained or until the end of their retention period.

Record Copy. The copy of a record that is captured and maintained in a record keeping system. See also Official Record.

“Record” E-Mail. E-Mail and e-mail attachments that are not a “record” as defined in AS 40.21.150 (6) may be destroyed immediately. “Non-record” e-mail includes transitory e-mail which is primarily generated for informal communication of information that does not perpetuate or formalize knowledge.

Record Liaison. A person responsible for overseeing a records management program in a headquarters or field office in cooperation with the organization’s records management officer. Also called records liaison officer, records coordinator and/or files custodian.

Records Management (RM). The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of organization’s policies and transactions and effective and economical management of organization operations. Also called records administration.

Records Management Program. A planned, coordinate set of policies, procedures, and activities needed to manage an organization’s recorded information. Encompasses the creation,

maintenance and use, and disposition of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

Records Management Application Software. (RMAS). Records Management Application is the term used in Department of Defense (DoD) 5015.2-STD, Design Criteria Standard for Electronic Records Management Software Applications, for software that manages records. Its primary management functions are categorizing and locating records and identifying records that are due for disposition. RMA software also stores, retrieves, and disposes of the electronic records that are maintained in its repository. DoD 5015.2-STD requires that RMAS be able to manage records regardless of their media. The DoD maintains a list of software products that have been tested and certified to comply with the mandatory requirements of DoD 5012.2-STD.

Records Manager. The person assigned responsibility by organization leadership for overseeing an enterprise-wide records management program. Also called records management officer.

Records Schedule. A document providing authority and instructions for the final disposition of recurring or non-recurring records. Also called records disposition schedule, records control schedule, records retention schedule, or schedule.

Reliability. The reliability of a record is its ability to serve as reliable evidence regardless of medium and media.

Repositories. Include E-mail systems, archiving systems, document management systems, extranets, imaging systems, and content management systems.

Retention Period. The length of time a record or series of records must be kept to meet administrative, fiscal, legal and historical purposes.

Retirement. The transfer of records to organization storage facilities or a records center.

Scheduled Records. Records whose final disposition has been approved by appropriate organizational authority.

Scheduling. The process of developing schedules for the disposition of records, along with disposition instructions for non-record materials.

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

Silos. A structure to put records into for preserving.

Smartphone or Sphone. Any electronic handheld device that integrates the functionality of a mobile phone, personal digital assistant or other information appliance. This is often achieved

by adding telephone functions to an existing PDA (PDA Phone) or putting “smart” capabilities, such as PDA functions, into a mobile phone. A key feature of a smartphone is that additional native applications can be installed on the device. The applications can be developed by the manufacture of the handheld device, by the operator or by any other third-party software developer. “Smart” functionality includes any additional interface including a Qwerty board, a touch screen, or even just secure access to company mail, such as provided by a BlackBerry.

Special records. Types of records maintained separately from textual/paper records because their physical form or characteristic require unusual care and/or because they have nonstandard sizes. Include electronic, audiovisual, microfilm, cartographic, and remote-sensing imagery, architectural and engineering, printed, and card records.

Structure. How a document is put together, e.g. a database format, a textual narrative format, a spreadsheet format, etc.

Tagged Image Format File (TIF). An industry standard format supported by many imaging programs for computer-generated images.

Taxonomy. A classification or categorization of things, frequently hierarchical in structure, having parent child relationships.

Taxonomy Records. Records approved for disposal immediately or after a specified retention period. Also called disposable records.

Temporary Records. Records that have value to an agency for legal, fiscal, or administrative purposes and are retained for a specific period of time before they are destroyed. Temporary records can be retained for as little time as a day to 75 years or longer.

Textual Records. The term usually applied to manuscript and typescript paper records, as distinct from electronic, audiovisual, cartographic, remote-sensing imagery, architectural, and engineering records.

Transfer. (1) The act or process of moving records from one location to another, especially from office space to organizational storage facilities or records centers, from one office or organization to another.

Uniform Electronic Transaction Act. AS 09.80.195. Use of electronic records and electronic signatures; retention of electronic records.

Vital Records. Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency-operating and rights-and-interests records. Vital records are recommended for specialized, specific protection.