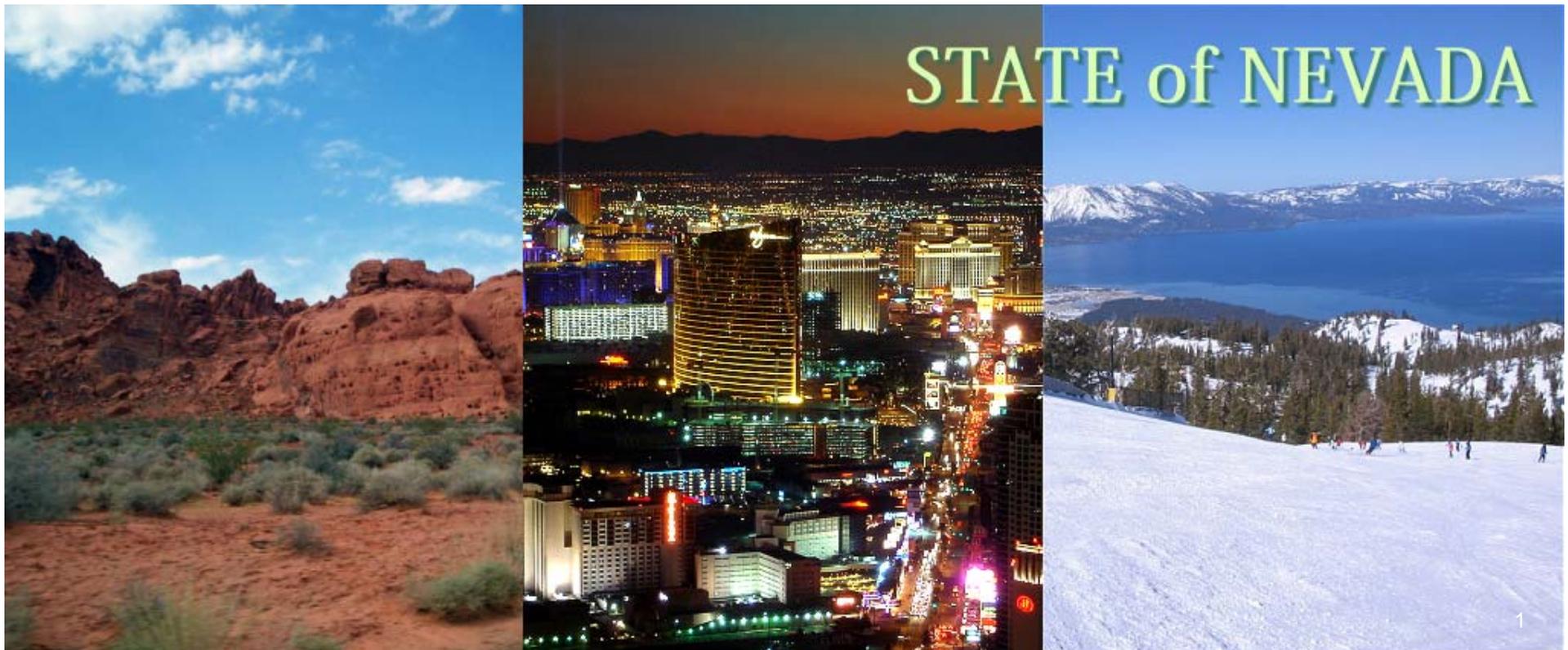


Basic Records Retention & Disposition

775-684-3411
Records@admin.nv.gov

Department of Administration
Nevada State Library and Archives
Records Management Program



Outline

- What is a record?
- State Retention Schedule
- Creating your own retention schedule
- Records Destruction
- Records Protection
- Inactive Records Management
- Is it an asset or a liability?



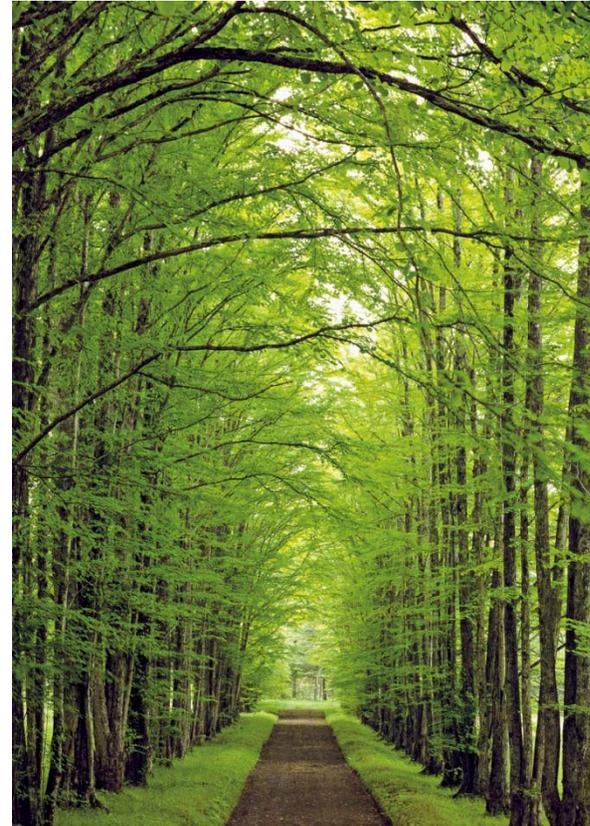
What is a Record?

- ▶ Did an event ever happen if there is no record and no memory of it?



What is a Record?

- ▶ Records provide continuity for the ongoing operations of the agency



What is a Record?

- ▶ Recorded Information in any format
- ▶ Created in the normal course of business
- ▶ Received for action
- ▶ Needed to document agency activities



Record Laws for Local Government

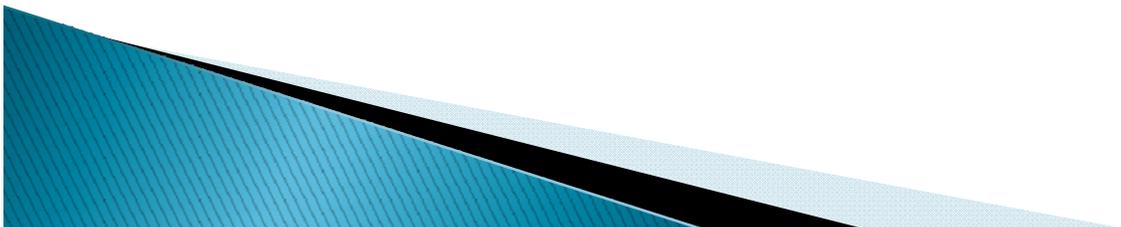
NRS 239.125

1. A local governmental entity may establish a program for the management of records,.
2. The State Library and Archives Administrator shall adopt regulations to carry out a program to establish and approve minimum periods of retention for records of local governments.



Record Laws for Local Government

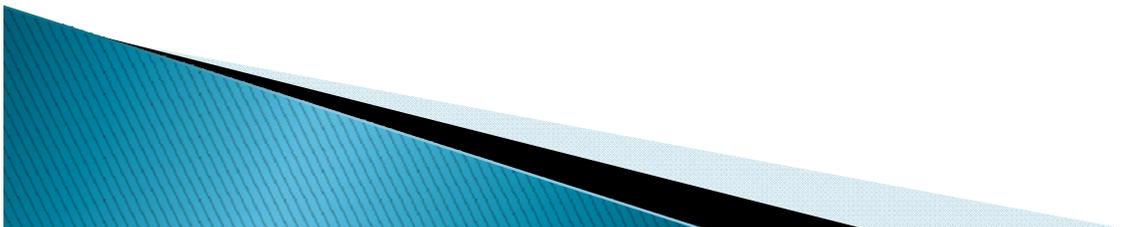
- ▶ NAC 239.155
- ▶ The Nevada Administrative Code requires that a local governmental entity may only dispose of records in accordance with a records retention schedule that has been approved by the State Library and Archives Administrator.



What is an Official Record?

NAC 239.101

“Record of a local governmental entity” or “record” means information that is created or received pursuant to a law or ordinance, or in connection with the transaction of the official business of any office or department of a local governmental entity, including, without limitation, all documents, papers, letters, bound ledger volumes, maps, charts, blueprints, drawings, photographs, films, newspapers received pursuant to NRS 247.070, recorded media, financial statements, statistical tabulations and other documentary materials or information, regardless of physical form or characteristic.

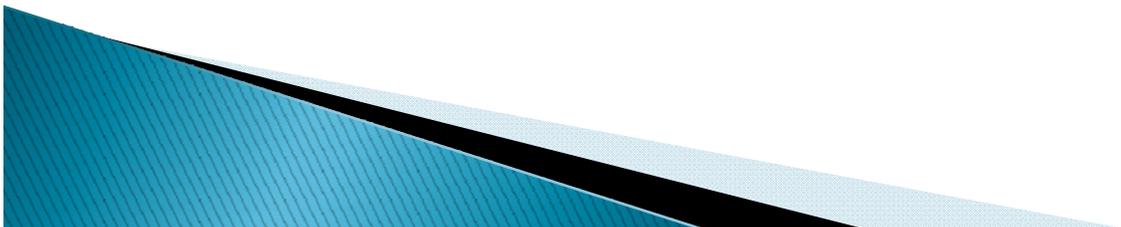


What is an Official Record?

- ▶ NAC 239.051 The phrase does not include **nonrecord materials**.
- ▶ Nonrecord materials include, without limitation: published materials, informal notes, unused blank forms except ballots, brochures, newsletters, magazines, catalogues, pricelists, drafts, convenience copies, ad hoc reports, and reference materials not relating to specific projects and any other documentation that does not serve as the record of an official action of a local government.

Nonrecords

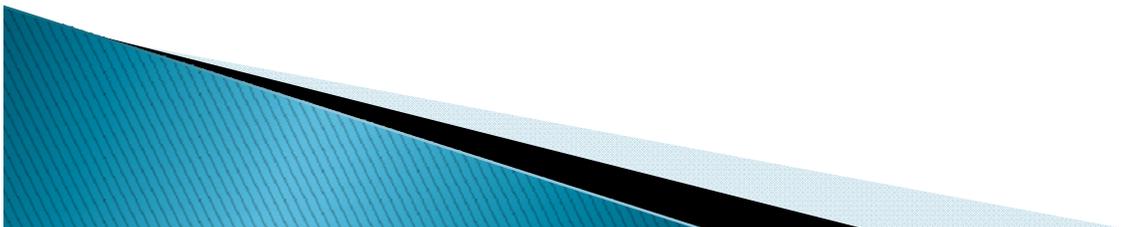
- ▶ When it is difficult to decide whether documents are records or nonrecords, Agency staff should treat them as records.
- ▶ Nonrecords should not be interfiled with records.
- ▶ Nonrecords must be destroyed when they are no longer needed for reference; extra copies may not be retained after the record copy is destroyed.



What is a record?

A more up to date definition of record:

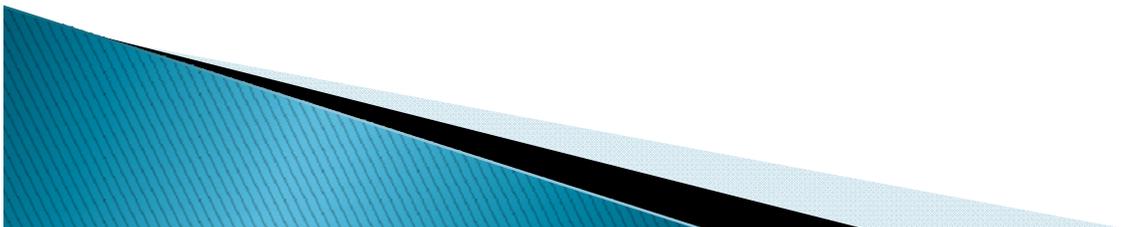
- ▶ Data or information created or received in the course of business that has been fixed on some medium; that has content, context, and structure; and that is maintained as evidence of that activity.



What is a record?

▶ Fixed Record

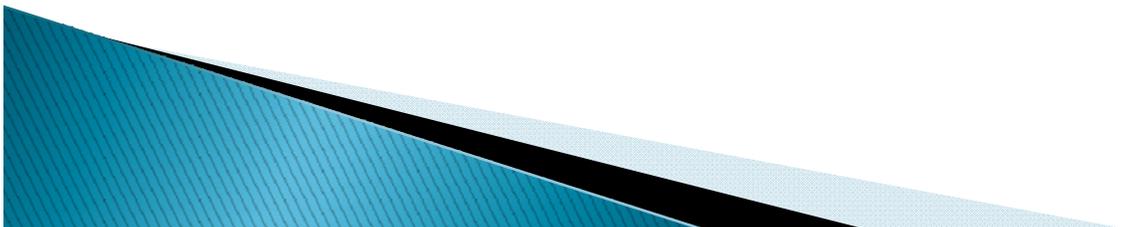
- Fixity is the quality of content being stable and resisting change
- To preserve memory effectively, a record's content must be consistent over time
- Records made on mutable media, such as electronic records, must be managed so that it is possible to demonstrate that the content has not mutated or been altered



What is a record?

▶ Content

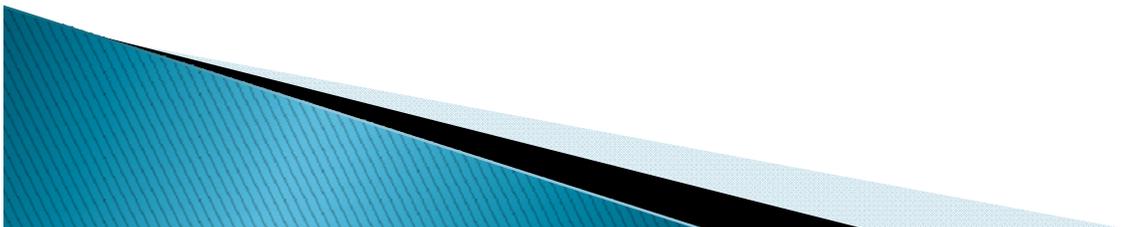
- The text, data, metadata, symbols, numerals, images, and sound that make up the substance of the record
- A record's ability to fix information so that it can be repeated, recited, or recalled at a later date functions as an extension of memory and is at the heart of the concept of record



What is a record?

▶ Context

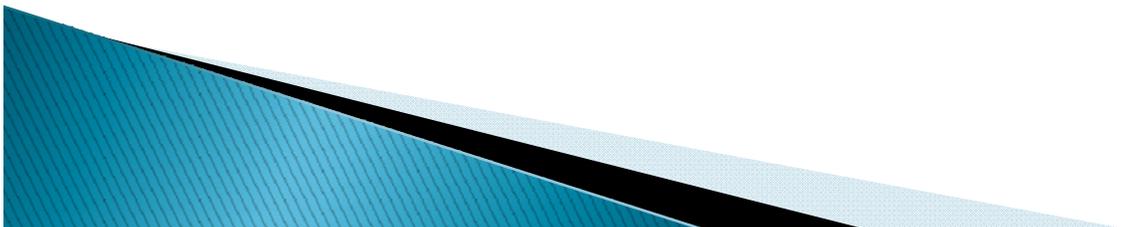
- The organizational, functional, and operational circumstances surrounding a record's creation, receipt, storage, or use
- Includes a record's date and place of creation, compilation, or issue, and its relationship to other records
- Explains the “why” of the record and may be contained within the record's metadata
- A single record derives its trustworthiness and usefulness from its association with other records that collectively tell the story of an event or activity.



What is a record?

▶ Structure

- Refers to a record's physical characteristics and internal organization of the contents
- The form that makes the content tangible and intelligible
- Physical characteristics include components and methods of assembly, such as paper, ink, seals, and font families, or character sets, encoding, and formats
- Includes the intellectual organization of a document



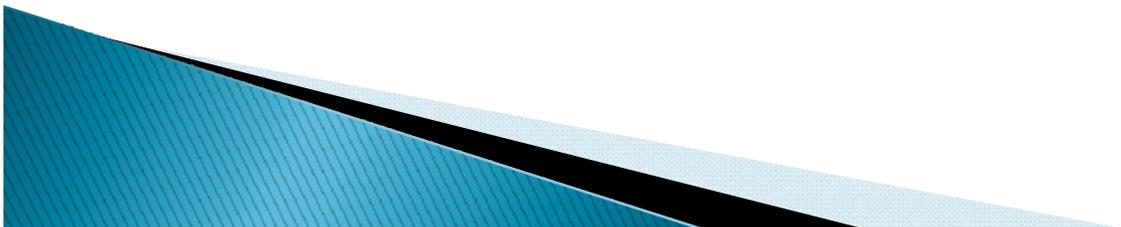
What is a record?



Source: <http://library.osu.edu/projects-initiatives/osu-records-management/what-is-a-record>

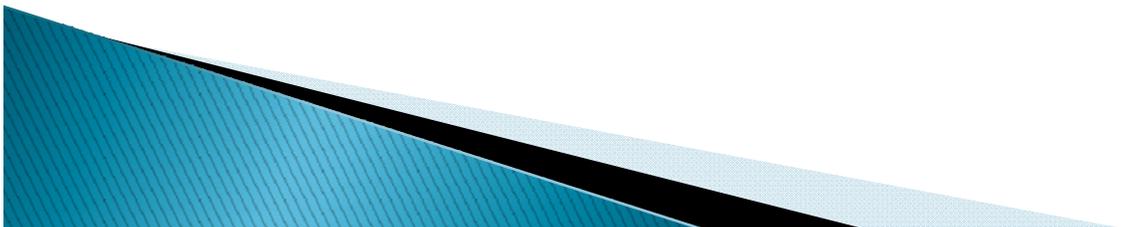
Records Reliability and Authenticity

- ▶ Reliability – the authority and trustworthiness of the record
 - it is what it says it is
- ▶ Authenticity – reliability over time
 - records that the creator relies on in the usual and ordinary course of business are presumed authentic
 - digital information creates significant risks that electronic records may be altered
 - must be established and documented



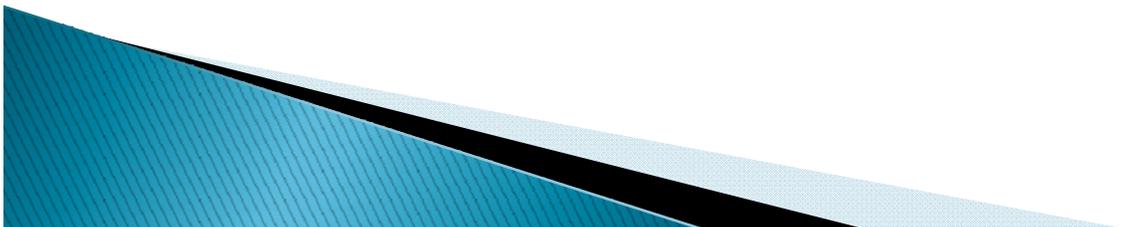
Records Management

» Retention
Destruction



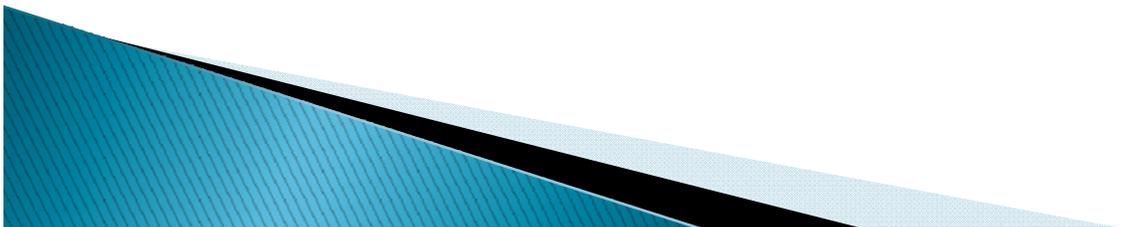
What is Records Management

- ▶ The application of management techniques to control the creation, organization, use, retention, disposal, and selective preservation of records, regardless of media.
- ▶ Providing the right information, to the right people, at the right time – effectively and efficiently – at the lowest possible cost.



Life Cycle Management

- ▶ Effectively managing information scattered across the enterprise and harnessing information for business requires **Lifecycle Management**



Life Cycle Management

Definition

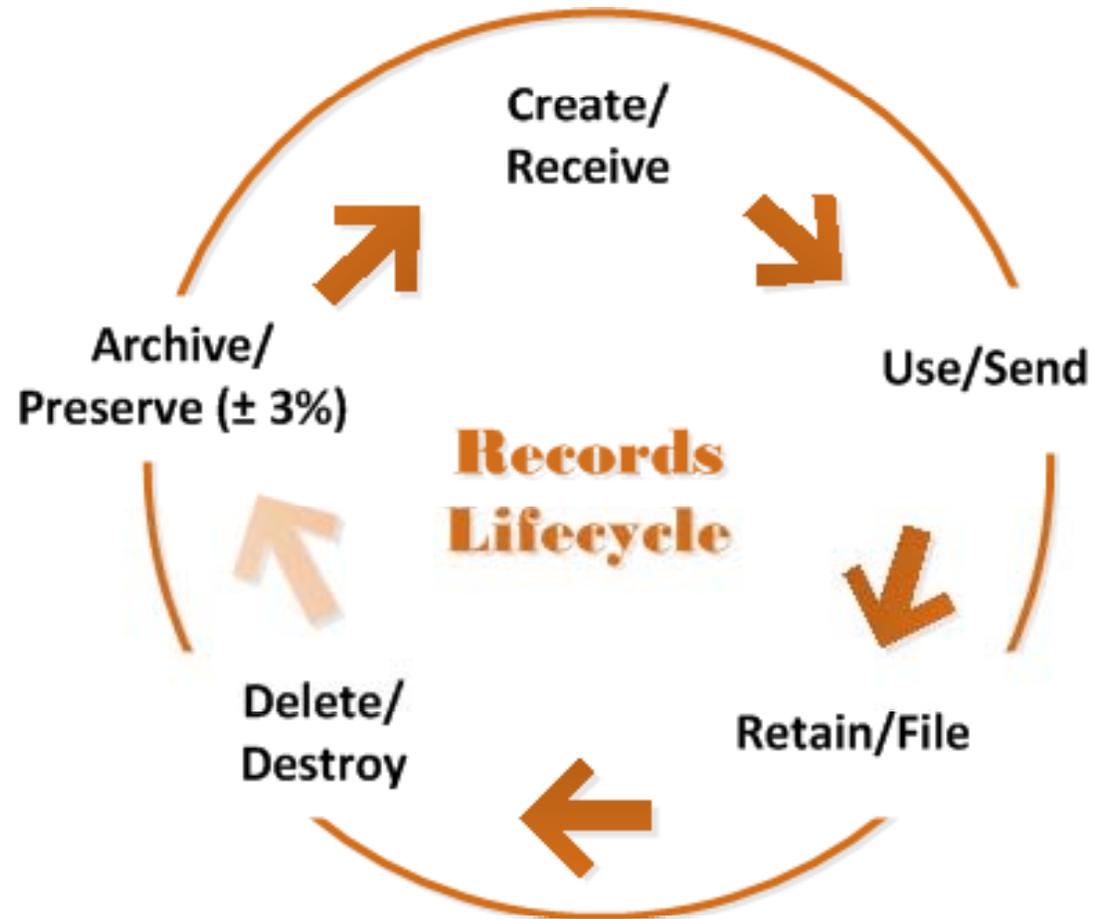
n. ~ RECORDS · The distinct phases of a record's existence, from creation to final disposition.

A Glossary of Archival and Records Terminology

RICHARD PEARCE-MOSES

<https://www.archivists.org/glossary/list.asp>

Life Cycle Management



State Retention Schedules





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Nevada State Library and Archives

Provides information services through library, archives, and records management programs.

Latest News

- 2012-08-28 Michael Torvinen Appointed Dept. of Admin. Deputy Director

Popular Links

- Priorities and Performance Based Budget (PPBB)
- Dept. of Admin Policy Directives
- Budget Instructions (FY2014-FY2015)
- Nevada Open Government
- Customer Service
- Newsroom

SERVICES FOR CITIZENS



- State Jobs
- State Library and Archives

SERVICES FOR STATE AGENCIES



- Buildings & Grounds
- Purchasing

SERVICES FOR STATE EMPLOYEES



- Human Resources
- Motor Pool

SERVICES FOR VENDORS & CONTRACTORS



- Purchasing Division
- State Public Works Division

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Capitol Annex, 1909
The Capitol Annex was the State Library from 1909 to 1937.

Key Resources

- Contact Us
- Boards, Councils, Committees
- History Day in Nevada
- Nevada Library Snapshot Day
- Nevada Literary Map

Social Media

YouTube Facebook

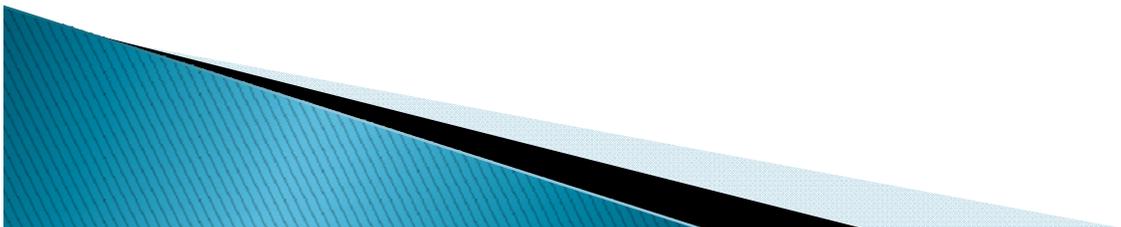
State Library
Library Development
State Archives
Public Records
Imaging Services
Mail Services

STATE LIBRARY LIBRARY DEVELOPMENT STATE ARCHIVES **RECORDS MANAGEMENT**

- State Data Center
- Talking Books
- Research Databases
- LSTA
- Continuing Education
- Nevada Center for the Book
- Archival Records
- About the Archives
- Imaging & Preservation Services
- State Retention Schedules**
- Records Center**
- Local Government Records**

Retention Schedules

The Manual contains a narrative section on Records Management Basics and the retention schedules, established pursuant to [NRS 239.125](#), for the retention of records common to local governmental entities.





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Records Management

[Hot Topics](#)

[Public Records](#)

[Records Center Storage](#)

[Resources](#)

[State Agency Services](#)

[Contact Records Management](#)

RECORDS MANAGEMENT

Records Management serves as the primary records management resource for the State of Nevada and provides professional consultation and leadership on records management issues to state agencies and local governments. It provides support by creating and revising records retention schedules and teaching best practices in records management to ensure an efficient, open government.

Hot Topics

[Records Management News and Events](#)

Records Management Services

State Agencies

- Records Retention and Disposition Schedules for state agencies
- State Records Committee
 - Agendas and Meeting Minutes

Public Records

- Policies and Procedures
- Forms
- Training

Records Center Storage

- Records storage for state agencies
 - Web Access module: On-line forms for transferring and accessing records

Local Governments

- Local Government Records Management Program Manual
 - Records Retention and Disposition Schedules

Resources

- Hot Topics - Records Management News and Events
- Publications
 - Bulletins, Guidelines, Manuals, Procedures
- Training Classes
- Glossary of Terms
- Links to helpful resources

Contact

Monday - Friday
8:00 a.m. - 12:00 noon
1:00 p.m. - 5:00 p.m.
(775) 684-3411
Fax: (775) 684-3426
records@admin.nv.gov

Teri J. Mark, CRM, CPM
State Records Manager
[Staff Contact List](#)



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▶ RECORDS MANAGEMENT SERVICES FOR LOCAL GOVERNMENTS

Records Management Program Manual

The Manual contains a narrative section on Records Management Basics and the retention schedules, established pursuant to [NRS 239.125](#), for the retention of records common to local governmental entities.

- [Records Management Basics - Manual Narrative](#)
- [Records Retention Schedules](#)

Records Management Services

Records management services are extended to all local governmental entities in Nevada. These services are intended to provide guidance on a full range of records management issues and services.

- [Training](#)
- [Consulting](#)

Contacts

775-684-3411
records@admin.nv.gov
[Staff Contact List](#)

Publications

[Manual - Records Management Basics](#)

Retention Schedules

[Manual - Retention Schedules](#)

Forms

[Request Changes to Retention Schedule](#)

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- ARCHIVES
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▶ LOCAL GOVERNMENT RECORDS MANAGEMENT PROGRAM MANUAL - RETENTION SCHEDULES

The Public Records Act, NRS 239.125, provides that the Administrator of the Nevada State Library and Archives shall approve minimum periods of retention for records of local governments. This Records Retention Schedule was approved and adopted by the Administrator of the Nevada State Library and Archives and is intended for use by all local governments in Nevada, as defined in NRS 239.121 (3). The retention periods within this schedule were reviewed for compliance with current federal and state laws and regulations at the time of adoption. This manual incorporates many important changes and supersedes previous versions. Consult this schedule before disposing of any official records.

Comprehensive List

2012 Schedules with Introduction



Functional Lists

Administrative



Air Quality and Environmental Management



Airports



Animal Control



Assessors



Attorney



Auditor



Building and Safety



Business Licenses and Permits



City Clerk



Civil Services



Constable



Functional List

Administrative

Air Quality and Environmental Management

Airports

Animal Control

Assessors

Attorney

Auditor

Building and Safety

Business Licenses and Permits

City Clerk

Civil Services

Constable

Cooperative Extension Programs

Coroner and Medical Examiner

County Clerk

County Recorder

Elections

Emergency Management

Fair, Recreation Boards and Convention

Authorities

Financial

Fire and Rescue

Health

Hospitals

Improvement Districts and Boards

Information Technology (IT)

Juvenile Probation

Law Enforcement

Law Library

Parks and Recreation

Personnel

Planning Commission and Districts

Public Administrator

Public Defender

Public Guardian

Public Library

Public Utilities

Public Works

Purchasing

Regional Transportation Commission

Sanitation Districts

School Districts

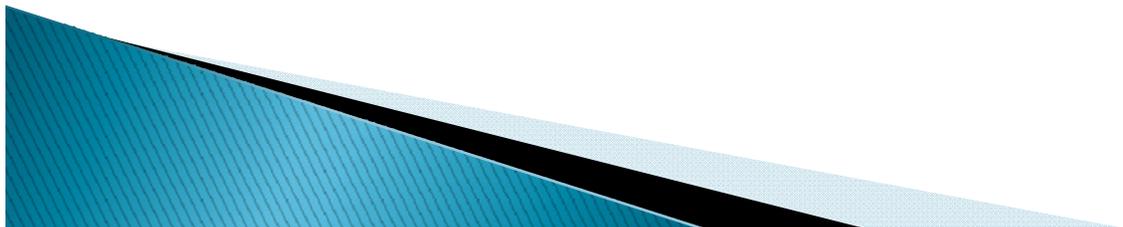
Social Services

Zoning

Records Retention

Elements of a schedule

- ▶ **LRDA number:** Unique identifier assigned to each record series (Local Records Disposition Authorization)
- ▶ **Description:** Explains the nature, content, and purpose of the records and how they are used
- ▶ **Retention:** Minimum period for which records must be retained before they are eligible for disposition



Records Retention

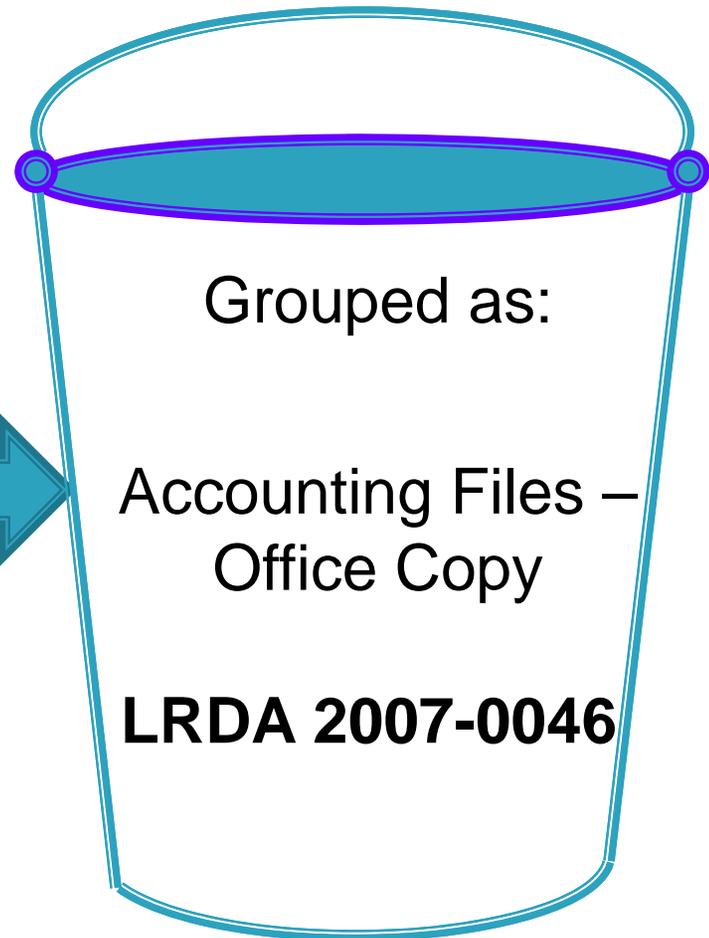
Retention and Disposition Schedule

- Event date – An event that triggers retention
 - **Calendar Year** – A calendar year code is assigned to records when a definitive retention period can be assigned. The retention period is usually based on a calendar year and where there are no conditions that must be met
 - **Closed** – A closed code is usually assigned to records that are case or project related. The records are retained “until the case or project is closed”
 - **Termination (Separation)** – An expiration code is typically assigned to contracts, grants or other types of agreements that must be retained until an termination date or other legal condition has been met
 - **Fiscal Year** – The retention is based on a fiscal year rather than a calendar year
 - **Superseded** – A superseded code is typically assigned to records that are updated or revised at various times during the records lifetime.
 - **Permanent** – These records are not authorized for destruction by an agency at any point in time

Grouping Records

▶ DOCUMENTS

- Bank statements
- Cash receipts
- Deposit receipts
- Reports and supporting documentation
- Ledgers
- Journal entries and work files
- Disbursement logs
- Reconciliation documentation
- Billing claims
- Work program documentation
- Purchasing documentation
- Invoices
- Spreadsheets



Nevada Local Government Retention Schedule

Administration

Section Number

C-1001

Accident Reports

LRDA Number 2007-1712

Description	Minimum Retention Period	Legal Citations	Legal Note	Note
This record series documents accidents involving departmental vehicles or equipment. Reports may contain, but are not limited to, date and time of accident, location of accident, type of accident, narrative reports regarding circumstances, parties involved, injury reports, copies of medical treatment reports, property damage reports, vehicle damage reports, witness statements, copies of police reports, departmental forms, notes, photos, correspondence, and related documents.	Three (3) calendar years following resolution or settlement of any claims or legal actions, or from the accident date if no legal action or damage results.	NRS 11.190 (3)(d), NRS 11.190 (4)(e), NRS 12.060, NRS 12.105, NAC 239.165 (1)(2)	This record series may contain confidential or sensitive information and should be destroyed in a secure manner that will prevent reconstruction of the information, such as by shredding, degaussing, etc. (See NAC 239.165 (1)(2)).	Address public-access issues with your records manager, records management officer, records management review committee, or other custodian of records [NRS 239.121(1)].

Activity Reports

LRDA Number 2007-1558

Description	Minimum Retention Period	Legal Citations	Legal Note	Note
These reports document the program or primary activities and accomplishments of various local government units for the previous year. They are often compiled from monthly, quarterly or other activity reports. This series may include, but is not limited to, reports, statistics, narratives, graphs, diagrams, tabulations, correspondence and similar documents.	Retain annual activity reports permanently. Retain other activity and statistical reports (not scheduled elsewhere) for two (2) calendar years from the year created.	NRS 239.0105, NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)	These types of reports are usually statistical in nature and should not contain personally identifying, confidential or restricted information. If there is personally identifying, confidential or restricted information in this record series that information must be protected from public disclosure and the non-permanent records containing that information must be destroyed in accordance with NAC 239.165 when the retention period has expired.	This record series is useful for planning and budgeting, reference, performance monitoring, program justification, position justification and similar uses.

Records Retention

- ▶ Records must be made available throughout the entire life cycle of the record
- ▶ Record retention requirement periods are based on state and federal regulatory requirements, statute of limitations, and best business practices
- ▶ Records should be destroyed soon after retention requirements are met
- ▶ Consistent and systematic retention of records demonstrates a good faith effort to comply with retention requirements

Maintenance & Update

- ▶ Requesting changes
 - Fill out a [Records Retention Schedule Change](#) form
 - Form is available on our Web site
 - Complete one form for each group of records
 - A records analyst from the State Library and Archives will contact you



Department of Administration

Nevada State Library and Archives

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Local Government Records Retention Change Request

Name of Requestor

Telephone number

Email address

Governmental Entity

Change Requested (check one)

- Add new record series
- Delete existing record series
- Change retentions period

Record Series Title and/or Description:

Suggested Retention Period:

Retain years after:

- Creation
- Calendar year end
- Fiscal year end
- Termination
- Other

Comments:

Submit

Maintenance & Update

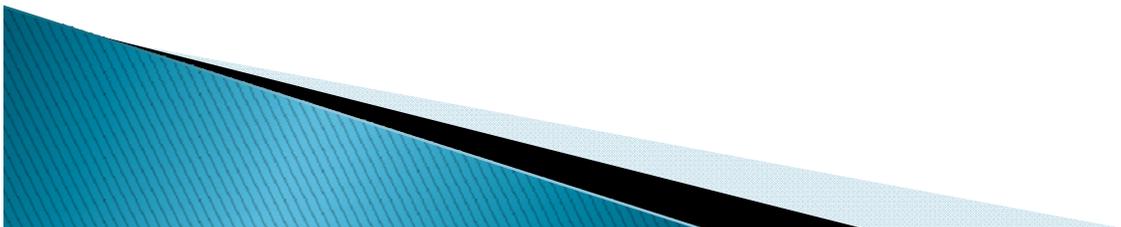
▶ Post-Legislative Retention Schedule Update

- *Final Schedule*
- February 2014
 - Approximately 6 to 7 month process
 - *Local Government Records Retention Change Request* form found on website
 - Requests for additions, amendments, or deletions for update were accepted through February 7, 2014.
- July – August 2014
 - Review of submitted requests and creating draft additions or amendments to the excising record series.
 - Approximately 6 to 8 weeks process.
 - Draft will be posted on website for local government/public review and comment
 - Workshops will be held in northern and southern Nevada (dates to be determined).
- August – September, 2014
 - Final review of comments
 - Final Draft posted for 3 week review.
 - Public Hearing will be scheduled in September 2014 for formal adoption



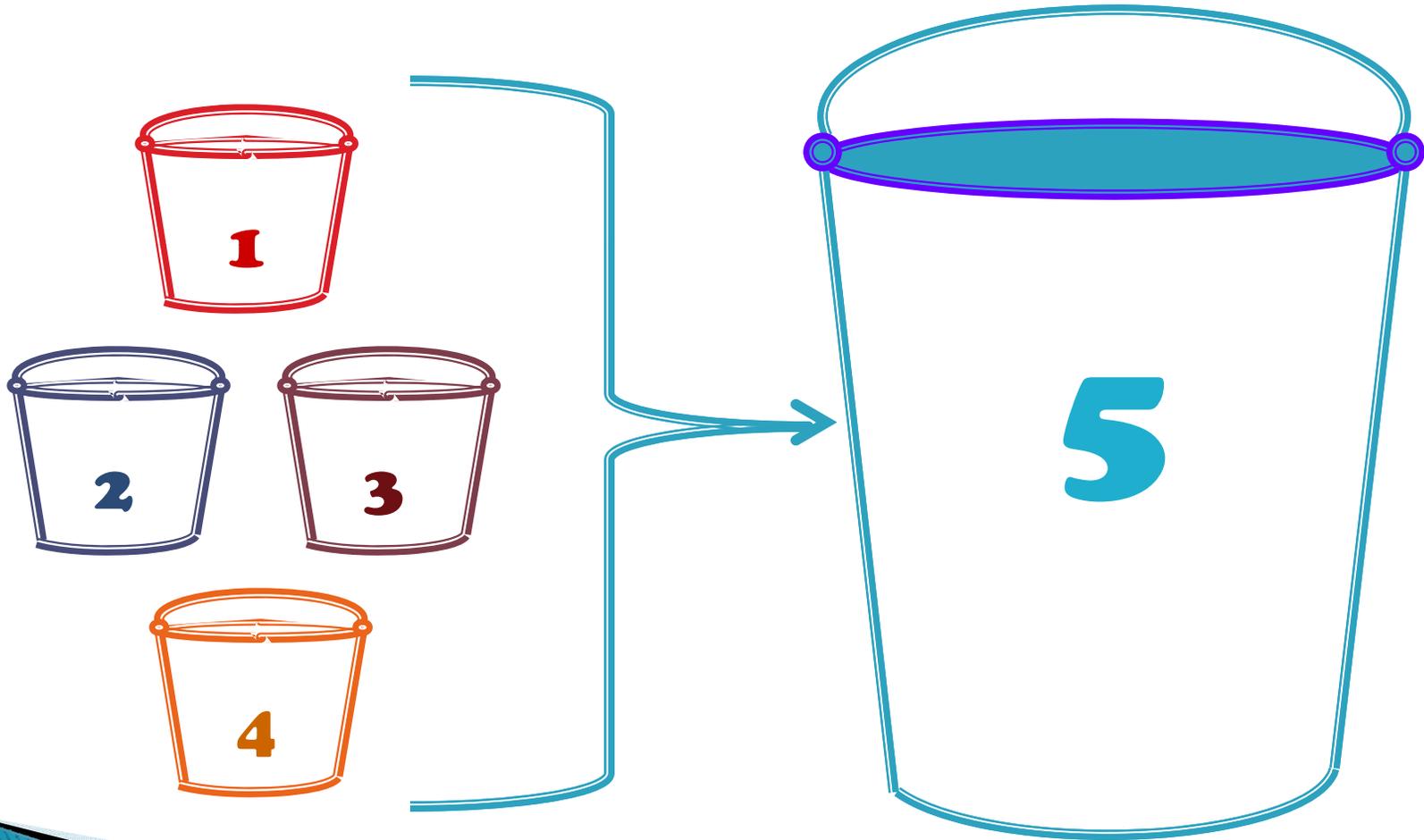
Consolidating Records

- ▶ With fewer buckets resulting in fewer retention choices, employees are more likely to classify information consistently, which ensures better compliance with an agency's record retention requirements

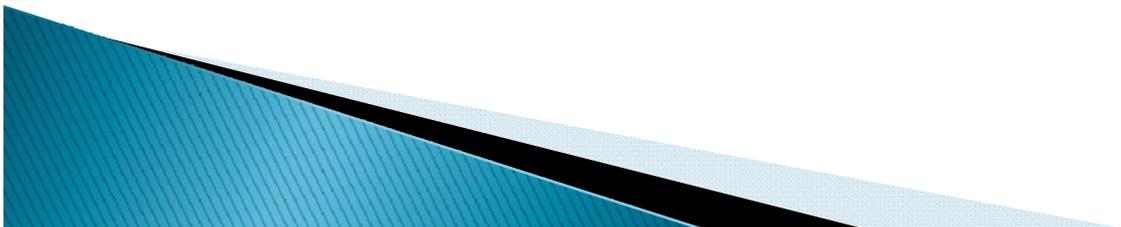


Consolidating Records

- Too many closely-related RDAs?

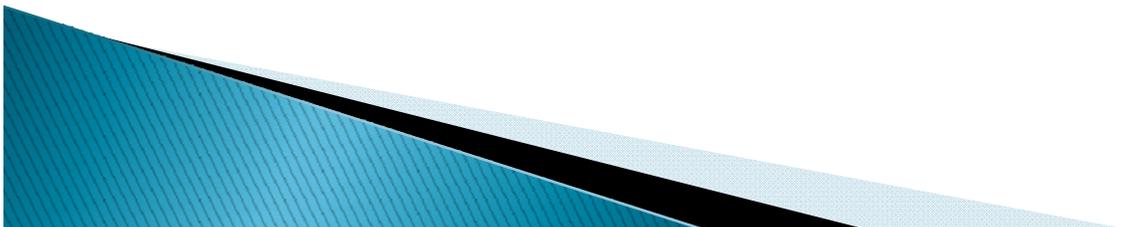


Creating an Entity-Specific Records Retention Schedule



Records Inventory

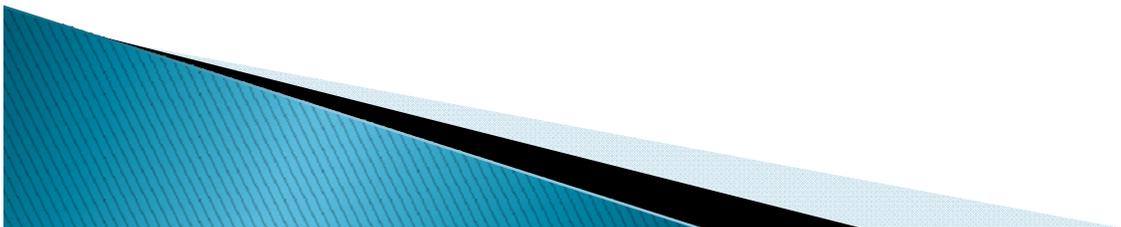
- ▶ A records inventory is the first step in the development of a records retention schedule
- ▶ The inventory identifies all of the types of records in the organization
 - Quantity
 - Physical characteristics
 - Storage conditions
 - Business use
 - Perceived value



Records Inventory

The records inventory process.

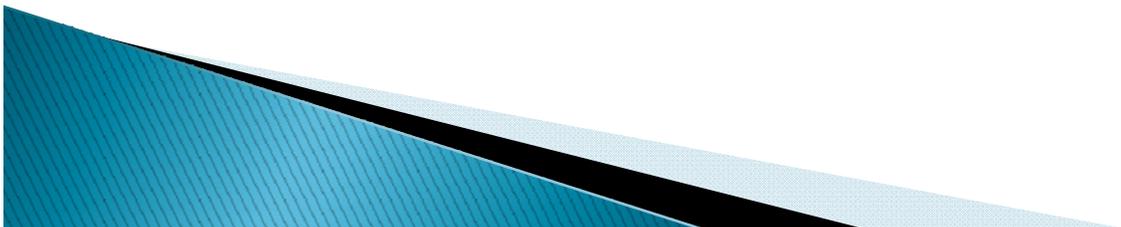
- Describes what the record is used for
- Describes what information or documents are included
- Describes how the record is used
- Describes how much volume there is
- Describes how and where the records are kept
- Describes how long the office references the records



Records Inventory

Inventory at the records series level

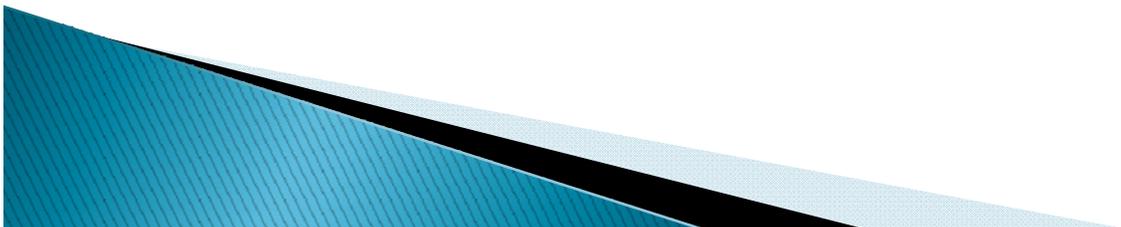
- A records series is a group or unit of related documents or information that is normally filed or kept together because it relates to a particular subject or function, results from the same activity, or documents a particular transaction or activity.
- Examples include correspondence, time sheets, contracts, fiscal vouchers, project files, and minutes.



Records Inventory

Before starting the records inventory, collect any existing information on the records.

- Organizational chart
- Filing procedures
- Office layout plan
- File folder indexes
- File box indexes



Records Inventory

Records inventory form

1. Description of Records Series
2. Official copy or a convenience (non-record) copy
3. Location Description
4. Medium
5. Date range
6. File arrangement
7. Records/File Cut-off
8. Use Frequency
9. Retention Recommendation
10. Electronic/Computer Media

Records Inventory

Electronic records inventory form

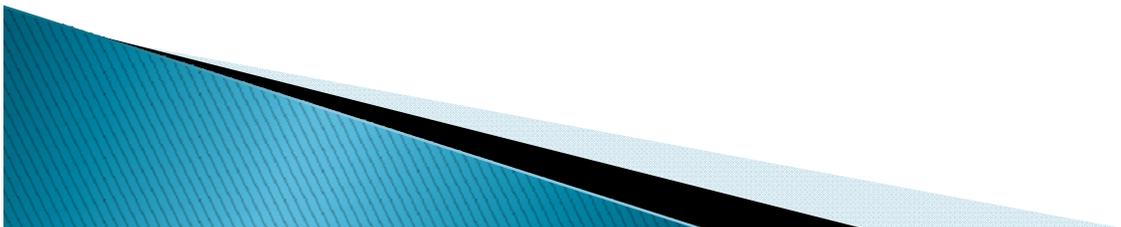
1. System Title
2. System Control Number
3. Agency Program Supported By System
4. Program Authority
5. System Description
 - 5a. Purpose/Function of System
 - 5b. Source(s) of Data (Include inputs from other systems)
 - 5c. Information Content
 - 5d. System Outputs (Include outputs to other systems)
6. Name and Address of Principal Program Office Supported By the System
7. Agency Contacts

<http://www.archives.gov/records-mgmt/publications/disposition-of-federal-records/figure-3-3a.html>

Records Retention

Retention Value

- ▶ Records are retained because of values we place on them
- ▶ Records are considered to have value for as long as they are useful or are needed
- ▶ When the information is important, we place it in a format that we hope will last until the value diminishes



Records Retention

Retention Value/Criteria

- ▶ **Administrative –conducting business**
 - Records necessary for the day-to-day business operations of your office. Usually ephemeral

- ▶ **Legal – satisfying legal requirements or obligations**
 - Evidence of the legal rights or obligations of the government and its citizens or ensures compliance with relevant laws and regulations

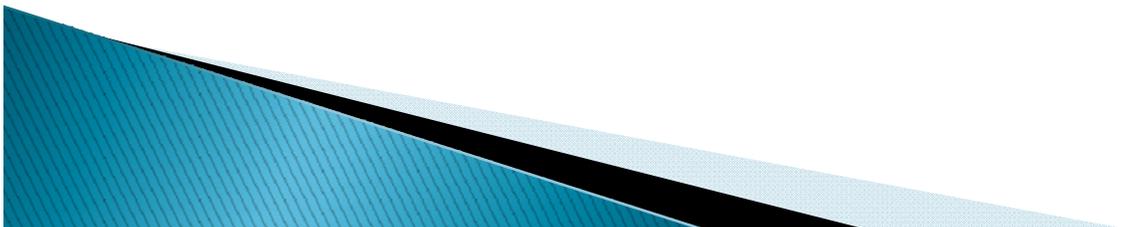
- ▶ **Fiscal –conducting financial business or proof thereof**
 - Document financial actions – document the expenditure of funds or the fulfillment of financial obligations. Retention periods are most often determined by audit requirements.

- ▶ **Historical – documenting organizational history**
 - Documents the history of the organization– only a small percentage of the total volume, less than 5%

Records Retention

Retention and Disposition Schedule

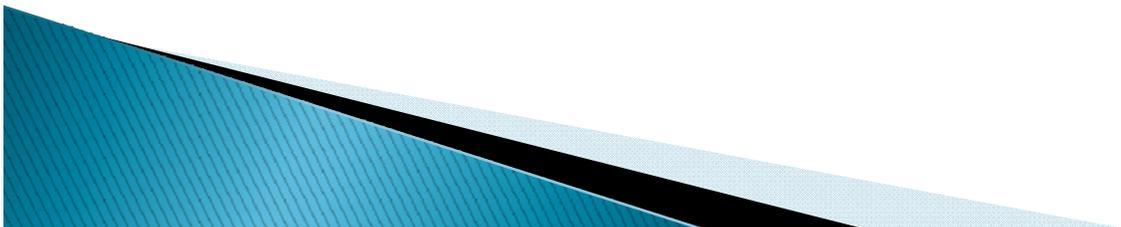
- Determine Records Values
 - Administrative
 - Legal
 - Fiscal/Tax
 - Historical
- Records Appraisal
 - Primary Value
 - Secondary Value
- Cost/Benefit Considerations
- Make Retention Decisions



Records Retention

Retention and Disposition Schedule

- Determine the Retention Schedule Format
 - Title/Description of Record
 - Official Record holder
 - Event date
 - Retention Period
 - Active Period (maintained within the department)
 - Inactive Storage
 - Total Retention Period
 - Media
 - Disposition instructions
 - Essential Record Identification



Records Retention

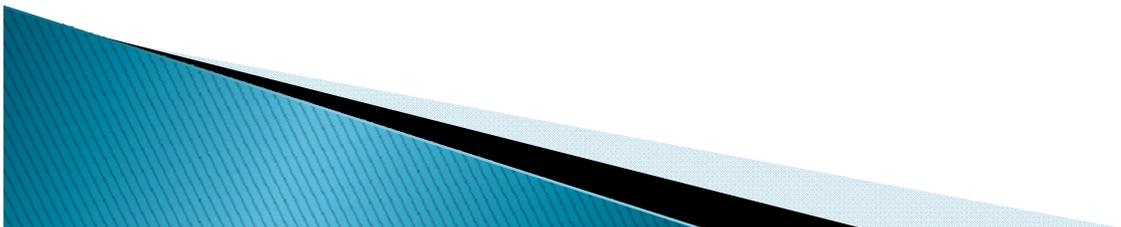
Retention and Disposition Schedule

- Event date – An event that triggers retention
 - **Active** – An active code is usually assigned to records that are case or project related. The records are retained “until the case or project is closed”
 - **Calendar Year** – A calendar year code is assigned to records when a definitive retention period can be assigned. The retention period is usually based on a calendar year and where there are no conditions that must be met
 - **Termination (Separation)** – An expiration code is typically assigned to contracts, grants or other types of agreements that must be retained until an termination date or other legal condition has been met
 - **Fiscal Year** – The retention is based on a fiscal year rather than a calendar year
 - **Superseded** – A superseded code is typically assigned to records that are updated or revised at various times during the records lifetime.
 - **Permanent** – These records are not authorized for destruction at any point in time

Records Retention

Retention and Disposition Schedule

- Reviewed by the Legal Department
- Route for Approval to Managers and Executives in Key Positions within the Organization
- Final Draft Reviewed and Approved by NSLA Administrator



The City of Henderson

Record Retention Schedule Police Department

Record Series

Page

General

Accreditation	1
Accreditation Backup Material	1
After Activity/Action Report	1
Automated License Plate Reader Information	1

Record Series/Description

Accreditation

Certificate of Accreditation for CALEA.
Accreditation occurs every three (3) years.

Filing Method

By year

Retention/Disposition

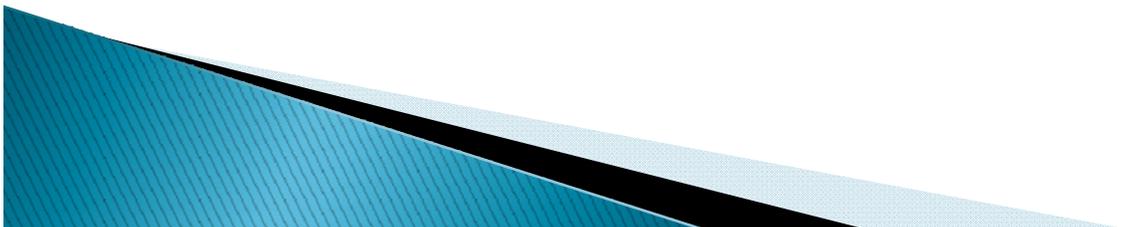
Permanent – Maintain in department for six (6) years or until superseded, then transfer to City Archives for permanent retention.

LRDA: 2007-0787 Accreditation Files

Legal Citations: NRS 289.510 Peace Officers' Standards and Training Commission: Powers and duties; regulations; NAC 289.310 Courses above level of basic training; revocation of certification; duty to report certain information; exception to certification requirement.

Disposition

Obsolete Records should be destroyed or deleted as early as possible and in an authorized, systematic manner.



Disposition

Disposition Methods

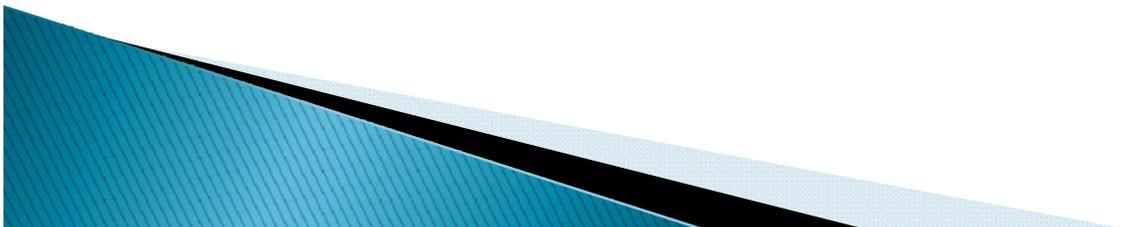
▶ Destruction

- Normal methods of tossing or recycling

▶ Secured Destruction

- Confidential, restricted and sensitive records must be destroyed in a secure manner that will prevent the reconstruction of the records

▶ Transfer to an archival repository



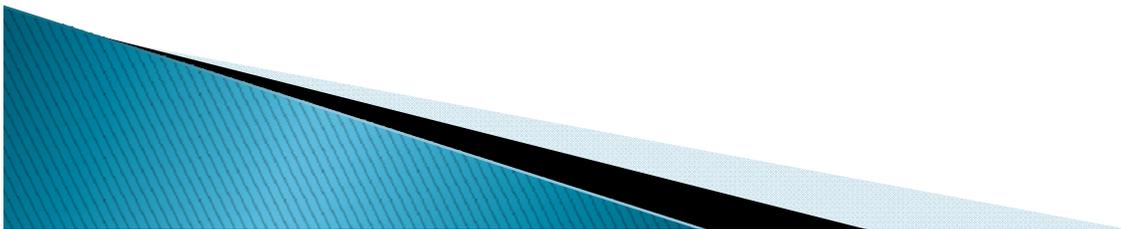
Records Destruction

Confidential Records

Local Government NAC 239.165 (1)

To protect the confidentiality of records of local governments that are declared by law to be confidential, such records must be destroyed in accordance with the applicable schedule:

- By shredding in a manner that ensures the information cannot be reconstructed;
- By burning if allowed by federal, state and local regulations; or
- As required by the laws, regulations, established standards, policies and procedures of the State or Federal Government.



Official records vs. Convenience copies

- ▶ Retention and disposition requirements are set for OFFICIAL records
- ▶ Convenience copies can be disposed when they are no longer needed and do not require RMS authorization to do so



Do not retain convenience copies past the retention requirements of the Official record

Records Disposition

- ▶ Disposition Holds
 - Audit
 - Investigation
 - Litigation



Untimely Disposals

- ▶ Common Reasons
 - Natural disasters
 - Poor storage
 - Human error
 - Manmade disasters



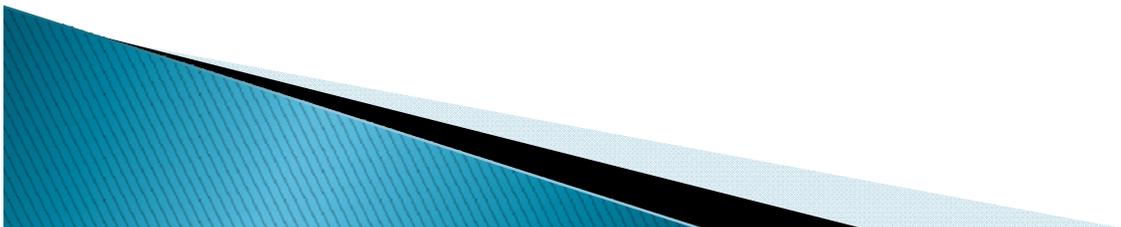
Untimely Disposals

- ▶ What to do?
 - Document the destruction
 - Take photographs, if possible
 - Take remedial action, if possible or necessary



Records Protection

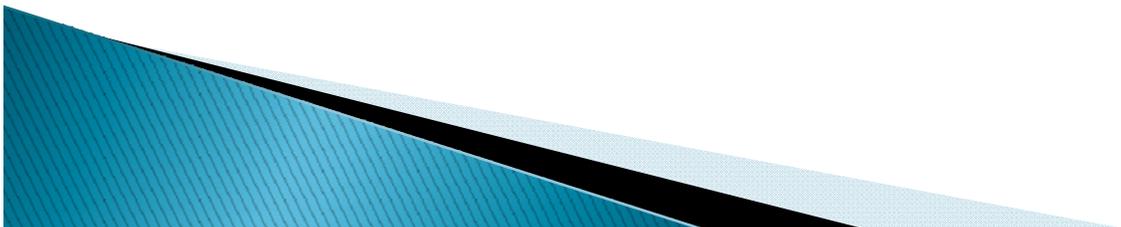
- » Disaster Planning
Essential Records



Disaster Planning

Disaster

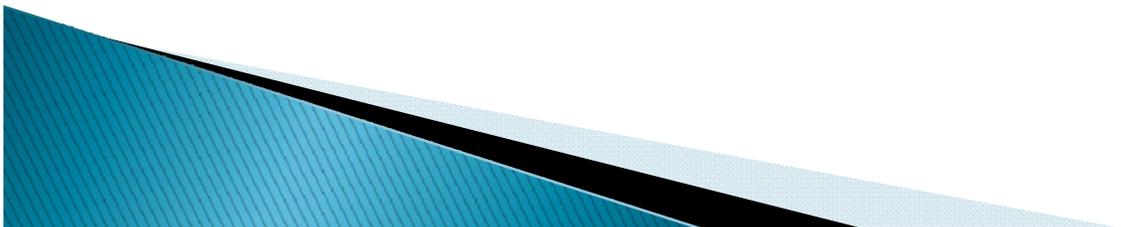
- A sudden, unplanned event making it impossible for government to function



Disaster Planning

Disaster recovery planning

- Advance planning and preparation to minimize loss and ensure continuity of business operations
- Information protection is key element (records-related disaster recovery planning)



Disaster Prevention & Recovery

Protect against:

- ▶ Ordinary hazards of fire, water, mildew, light, dust, insects, rodents, acids and fumes, and excessive humidity.
- ▶ Human hazards of theft, misplacement, and unauthorized access.
- ▶ Disasters of earthquakes, wind storms, explosions, bombings, nuclear fallout, and radiation.

What Are Essential Records?

Records are considered essential when they:

- Are necessary for emergency response
- Are necessary to resume or continue operations
- Protect the health, safety, property, and rights of residents
- Would require massive resources to reconstruct
- Document the history of communities and families



A project of the
Council of State Archivists
to provide records-related emergency
training for state and local governments

What Are Essential Records? (cont'd.)

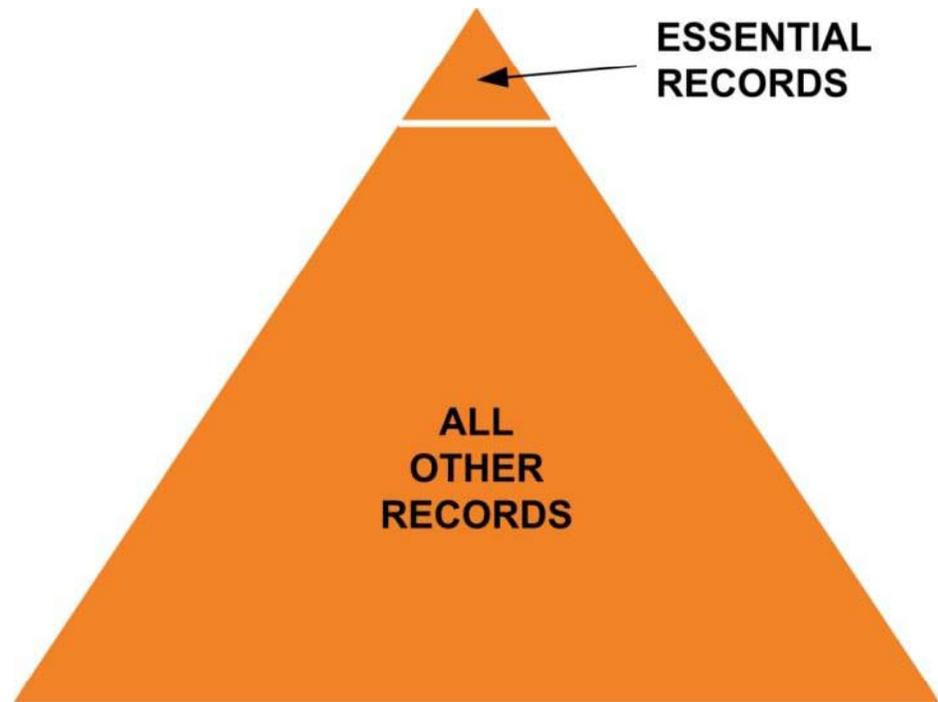
- ▶ Essential records require special protection strategies to ensure they are protected and accessible.
- ▶ Essential records can be found in any format and in any medium.



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to provide records-related emergency
training for state and local governments

Essential Records

- ▶ Only a small percentage of records are essential, typically less than five percent.
- ▶ Its critical value during and/or after an emergency makes a record essential.
- ▶ As disruption time increases, more records become essential.



Which of Your Agency's Records Are Essential?

- ▶ Essential records differ by agency.
- ▶ Each agency must determine which of its records is or are essential.
- ▶ What you need to know to identify essential records:
 - Your agency's essential functions
 - The stakeholders
 - Your agency's records
 - Relevant statutes, regulations, and standards



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Risk Assessment—Identify Risks

Categories of risks:

- Risks from loss of agency memory
- Risks related to emergencies
- Risks related to records management



Photo courtesy of NARA



A project of the
Council of State Archivists
to provide records-related emergency
training for state and local governments

Strategies for Handling Risk

- ▶ Acceptance
- ▶ Mitigation



Photo courtesy of Tina Seetoo, Georgia Archives



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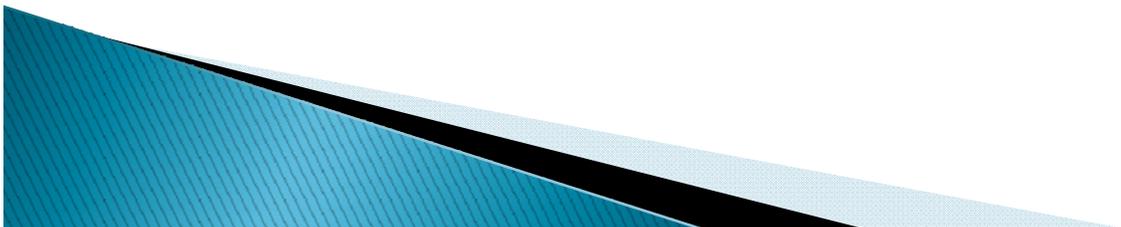
Priority Levels and Timeframes for Accessing Essential Records

- ▶ Priority 1—First 12 hours
 - Needed immediately, to respond to the incident
- ▶ Priority 2—First 12–72 hours
 - Needed to manage the incident and resume operations
- ▶ Priority 3—After first 72 hours
 - Needed to continue essential functions and for long-term recovery



Records Storage and Protection

» Inactive Records Storage



Inactive Records

- ▶ **Inactive Records**

 - Definition

 - ▶ n. ~ Records that are no longer used in the day-to-day course of business, but which may be preserved and occasionally used for legal, historical, or operational purposes.

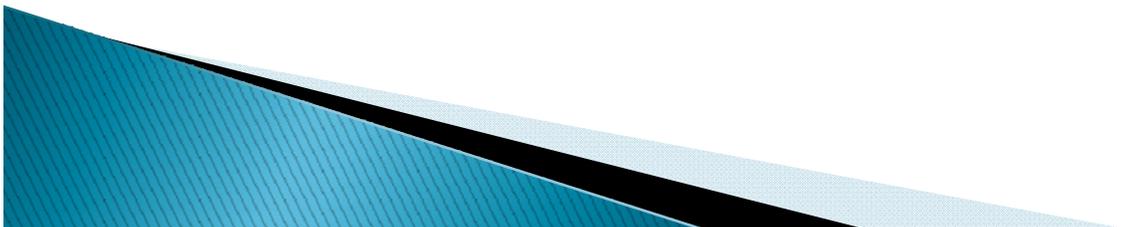
A Glossary of Archival and Records Terminology

RICHARD PEARCE-MOSES

<https://www.archivists.org/glossary/list.asp>

Inactive Records Management

- ▶ Inactive Records Center
 - A warehouse designed to provide safe, economical, high-density storage of inactive records
 - It offers a centralized area for the housing records whose reference rate does not warrant their retention in expensive office equipment and space



Inactive Records Management

- ▶ Inactive Records Center
 - A clean, fireproof building equipped with fire alarms, fire suppression (sprinkler) system, and fire extinguishers.
 - Floor strong enough to support the weight of the records
 - HVAC with ability to maintain/sustain temperature/humidity controls with maximum temperature of 70° F (21.11° C) and humidity level at 30 to 50 percent
 - No obvious environmental hazards, such as overhanging water pipes and chemical storage areas
 - Protection from rodents, insects, dirt, mold, and other hazards
 - Restrict access
 - Intrusion alarm system

Inactive Records Management

▶ Inactive Records Center

◦ Containers

- Standard-sized storage boxes. Commonly used is a “letter/legal” box, measuring 15” x 12” x 10”

◦ Shelving

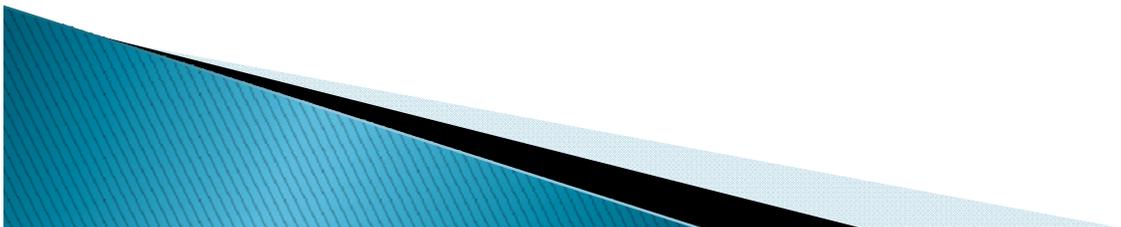
- Industrial-type steel shelving constructed of 18-gauge steel, with shelves measuring 42 inches wide and 15 inches deep (accommodates three boxes across, one deep) or 42 inches wide and 30 inches deep (three boxes across, two deep)

◦ Shelving Layout

- Design the shelving layout in the most cost-effective scheme possible
- Set the aisle space approximately 36 inches wide to promote access; wider aisles may be necessary for access equipment, such as ladders or carts; and avoid dead-end aisles

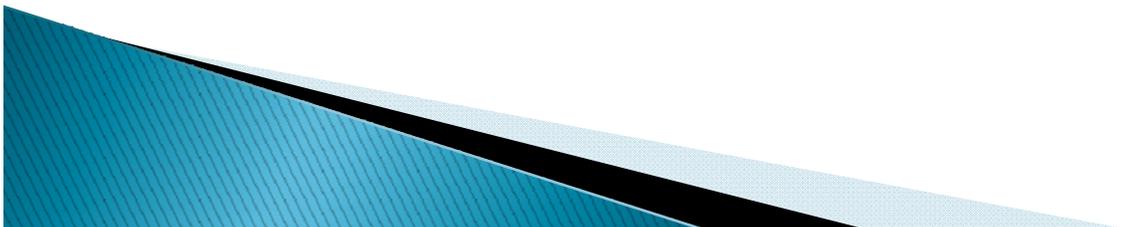
Inactive Records Management

- ▶ Records Center
 - Managing the records center
 - Planning, staffing, and procedures
 - Operating the records center
 - Policies and procedures to operate a facility
 - Business continuity
 - Disaster recovery plan
 - Review and evaluation
 - Management control systems and reporting tools



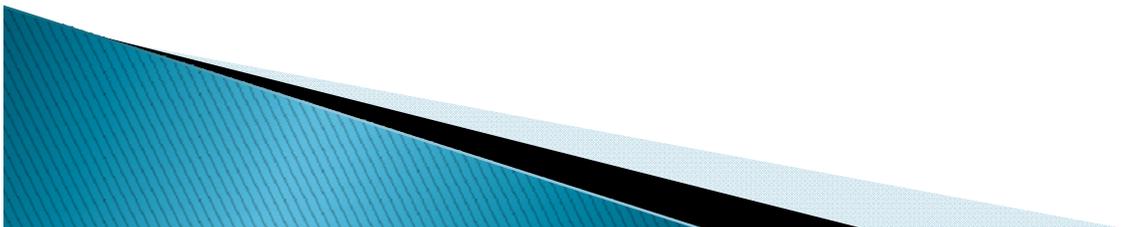
Inactive Records Management

- ▶ Commercial Records Centers
 - Vendor evaluation
 - Service costs, contract provisions and accessibility
 - Contract considerations
 - Evaluate services vs. cost
 - Commercial facility use
 - Responsibilities of the vendor and the user



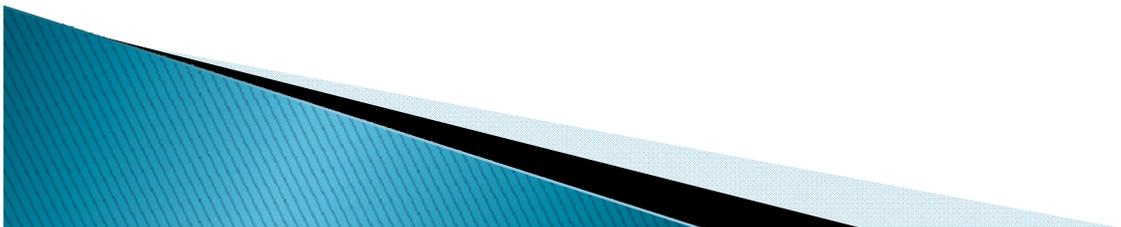
E-Mail Management

» Retention



Email Retention

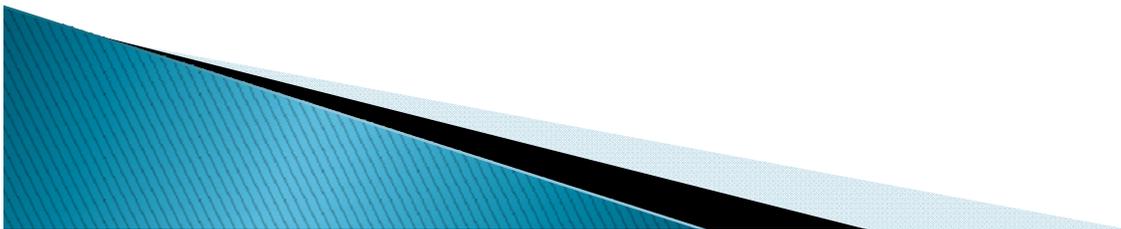
- ▶ Retain all public records for the minimum retention period as listed on the approved Records Retention Schedule
- ▶ Once retention is met:
 - Destroy, if not an archival or permanent series
 - If permanent, take appropriate action to retain



Email Retention

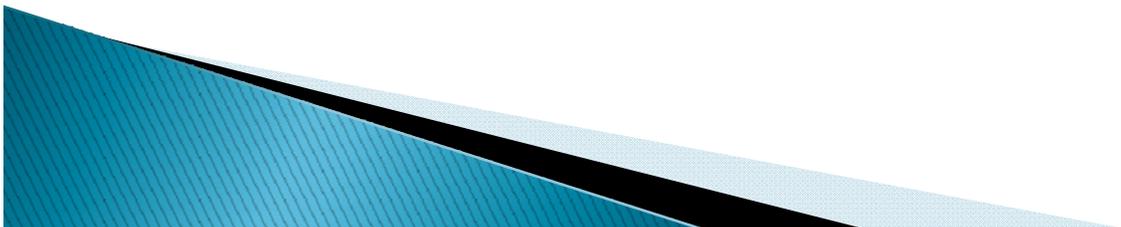
- ▶ Why not just keep it all?
- ▶ There are increased costs when you keep it all:
 - Discovery and legal fees
 - Administration/staff for maintenance
 - Migration or recopying
 - Disaster recovery/restoration
 - Energy costs

Think needle in a haystack:
Less hay, easier to find the needle



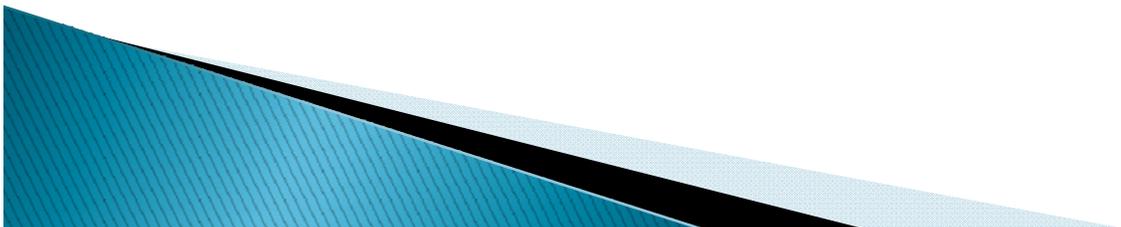
Email Retention

- ▶ Using approved records retention schedules will help you:
 - Identify records you need to keep
 - Identify records you can get rid of
 - Identify records needing additional attention:
 - Essential
 - Archival



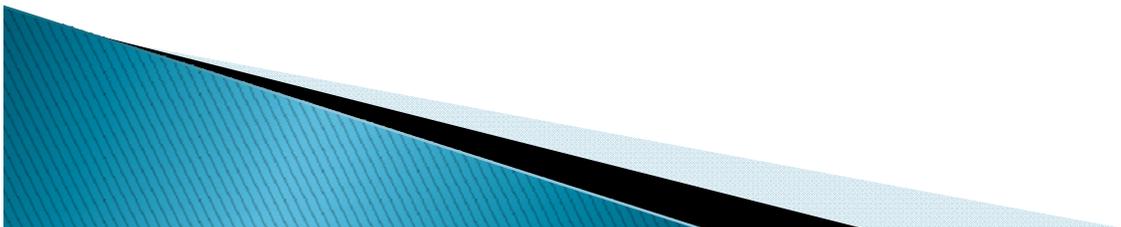
Assets and Liabilities

» Challenges



Balancing Assets And Liabilities

- ▶ What constitutes an official record (i.e., an information asset you want to keep)
- ▶ When does the information become obsolete (i.e., a liability you want to destroy)



An Asset or a Liability?

Records are Assets when they are:

- Easy to find when you need them
- Readable when you find them
- Secure and protected
- Verifiably authentic
- Gone after their retention period is over
- Consistently managed
- Occupy as little space as necessary



An Asset or a Liability?

Records are LIABILITIES when they are:

- ▶ Inconsistently managed
 - Legal challenges – can't produce records
 - Court assumes malicious destruction or contempt
- ▶
- ▶ Difficult to locate
 - An average employee spends 11 hours/week looking for records
 - Unanswered public records requests
- ▶ Unreadable
 - Damaged records
 - Obsolete electronic medium



An Asset or a Liability?

Records are a LIABILITY when they are:

- ▶ Not protected from unauthorized access
 - Authenticity becomes questionable
 - Information may be released inappropriately
- ▶ Kept beyond their retention period.
 - Subject to Disclosure
 - Location and Reproduction Time, Effort, Costs
- ▶ HOARDED





Department of Administration
Nevada State Library and Archives

Records Management
775-684-3411
<http://nsla.nv.gov/>

