



SQUAXIN ISLAND TRIBE

RESOLUTION NO. 15- 59

of the

SQUAXIN ISLAND TRIBAL COUNCIL

WHEREAS, the Squaxin Island Tribal Council is the Governing Body of the Squaxin Island Tribe, its members, its lands, its enterprises and its agencies by the authority of the Constitution and Bylaws of the Squaxin Island Tribe, as approved and adopted by the General Body and the Secretary of the Interior on July 8, 1965;

WHEREAS, under the Constitution, Bylaws and inherent sovereignty of the Tribe, the Squaxin Island Tribal Council is charged with the duty of protecting the health, security, education and general welfare of tribal members, and of protecting and managing the lands and treaty resources and rights of the Tribe;

WHEREAS, the Tribe is a federally-recognized Indian Tribe possessing reserved powers, including the powers of self-government;

WHEREAS, the Squaxin Island Tribal Council has been entrusted with the creation of ordinances and resolutions in order to fulfill their duty of protecting the health, security, education and general welfare of tribal members, and of protecting and managing the lands and treaty resources of the Tribe;

WHEREAS, this Records Management Manual is to establish policy, procedures, responsibilities and other elements appropriate for the administration of the Squaxin Island Tribe (SIT) (including the Museum Library and Research Center) records management program;

WHEREAS, this policy is to provide for efficient, economical, and effective controls over the creation, maintenance, use, retention and disposition of all records, especially those with historical, cultural and fiduciary value. SIT is committed to implementing best practice recordkeeping systems to ensure that records, regardless of their physical format, are maintained throughout their life cycle within a managed framework;

WHEREAS, the Squaxin Island Tribe's records management program objectives are to:

- a. Create and preserve records documenting the organization, functions, policies, decisions, procedures and transactions of SIT, especially those with historical, cultural and fiduciary value.
- b. Create and preserve records necessary to protect the legal and financial rights of SIT and of persons affected by SIT activities.

c. Establish policies and procedures for the preservation of historical, cultural and fiduciary records, including photographs and other medium.

d. Implement and oversee a records disposition program, including the issuance of records retention and disposition schedules, to ensure prompt disposal of temporary records whose authorized retention period has expired; timely and systematic transfer and economical storage of records no longer needed in office space; and uniform identification and transfer of permanent records to a records center for permanent preservation; and for reference and research use.

NOW THEREFORE BE IT RESOLVED, that the Squaxin Island Tribal Council hereby adopts the attached Records Management Manual.

CERTIFICATION

The Squaxin Island Tribal Council hereby certifies that the foregoing Resolution was adopted at the regular meeting of the Squaxin Island Tribal Council, held on this 24th day of September, 2015, at which time a quorum was present and was passed by a vote of 6 for and 0 against, with 0 abstentions.



David Lopeman, Chairman

Attested by: 

Charlene Krise, Secretary



Arnold Cooper, Vice Chairman



SQUAXIN ISLAND TRIBE

Squaxin Island Tribe Operations Manual

Records Management Program

Tab/Section: 5.8

Approved: October 1, 2015

Drafted by: Debra Meisner

Responsible Department: Executive Services

Approved:

Donald E. Whitener
Tribal Administrator

This manual is applicable to all Departments.



SQUAXIN ISLAND TRIBE
BASICS OF RECORDS
MANAGEMENT

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CHAPTER 1 - GENERAL

- A. Purpose. The purpose of this manual is to establish policy, procedures, responsibilities and other elements appropriate for the administration of the Squaxin Island Tribe (SIT) (including the Museum Library and Research Center) records management program.

Records management is the systematic control of records, regardless of format, throughout their life cycle—from the moment they are created to the moment they are destroyed or transferred to the Records Center for permanent retention.

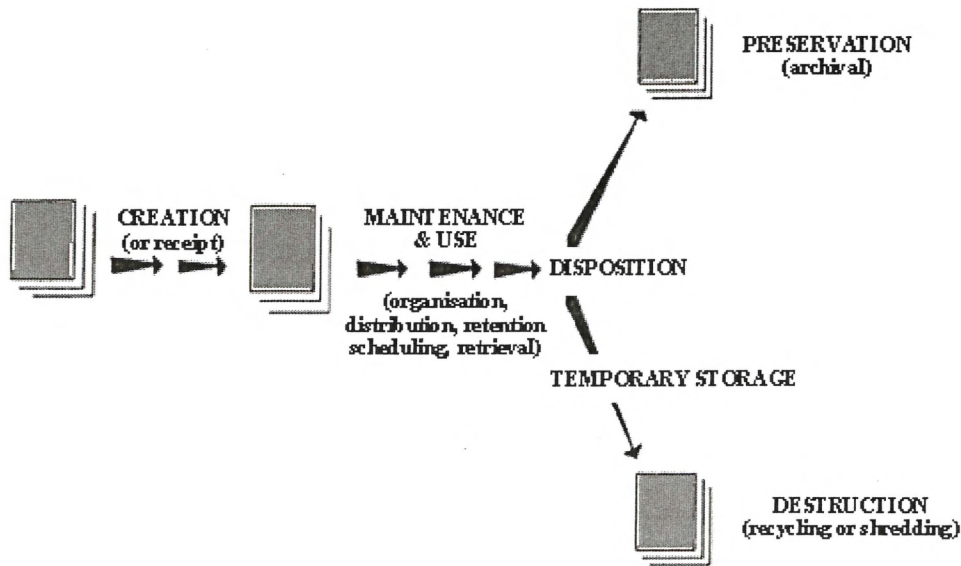
- B. Authority. Tribal Resolution No. 15-___, dated September 24, 2015.
- C. Policy. It is the policy of SIT to provide for efficient, economical, and effective controls over the creation, maintenance, use, retention and disposition of all records, especially those with historical, cultural and fiduciary value. SIT is committed to implementing best practice recordkeeping systems to ensure that records, regardless of their physical format, are maintained throughout their life cycle within a managed framework.
- D. Objectives. The SIT records management program objectives are to:
- a. Create and preserve records documenting the organization, functions, policies, decisions, procedures and transactions of SIT, especially those with historical, cultural and fiduciary value.
 - b. Create and preserve records necessary to protect the legal and financial rights of SIT and of persons affected by SIT activities.
 - c. Establish policies and procedures for the preservation of historical, cultural and fiduciary records, including photographs and other medium.
 - d. Implement and oversee a records disposition program, including the issuance of records retention and disposition schedules, to ensure prompt disposal of temporary records whose authorized retention period has expired; timely and systematic transfer and economical storage of records no longer needed in office space; and uniform identification and transfer of permanent records to a records center for permanent preservation; and for reference and research use.
- E. Records Management Terms. See Appendix A for a “Glossary of Terms.”

CHAPTER 2 - RECORDS MANAGEMENT RESPONSIBILITIES

- A. Tribal Administrator. The Tribal Administrator is responsible approving the policies and procedures of the records management program.
- B. Director of Operations. The Director of Operations is responsible for leadership, planning, overall policy, guidance and general oversight of the SIT records management program. The Director will:
1. Ensure that SIT Department Directors and supervisors are aware of their records management responsibilities.
 2. Conduct periodic evaluations of the SIT records management program.
- C. Department Directors. Department Directors are responsible for:
1. Creating, receiving and maintaining official records providing adequate and proper documentation and evidence of the Department's functions, policies, and decisions, especially those with historical, cultural and fiduciary value, consistent with established policies and procedures.
 2. Designating a Departmental Records Liaison.
 3. Ensuring that their program and office records are included in the SIT Records Retention and Disposition Schedule and are managed according to established guidance.
- D. Departmental Records Liaisons (DRL)/File Managers:
1. Maintaining records in accordance with procedures prescribed in this manual.
 2. Ensuring that all records created and maintained by their Department are included in the SIT records retention and disposition schedule.
 3. Maintaining an inventory of all records belonging to the Department, including those destroyed and/or sent to an off-site records center.
- E. SIT Employees. SIT employees are responsible for complying with all policies and procedures relating to the SIT records management program. This includes protecting all SIT records in their custody, ensuring that all records in their custody are disposed of only in accordance with the SIT Records Retention and Disposition Schedule

CHAPTER 3 - RECORDS vs NON-RECORDS

- A. General. All official records belong to SIT, not to any person, regardless of the position the person may occupy. Records do not belong to individual people, rather they belong to the Department or program which produced them and must be kept available in that office or program. This section describes how to manage records in the custody of SIT employees and establishes conditions under which employees may keep reference materials and personal papers in office space.
- B. Records. The term "records" includes:
1. All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by a SIT department, under ordinance or in connection with the transaction of SIT business and preserved or appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of SIT government, including those with historical, cultural or fiduciary value. Records may be generated manually, electronically, or by other means.
 2. Records may be in paper, film, tape, disk or other physical form – for example, email messages, data and spreadsheets, videos, maps, architectural drawings, and microform. The definition of a record must be applied to all such documentary materials to determine if they are records. And, records include both final products and documentation supporting the decision.
- C. Records Creation and Use. All SIT departments are responsible for creating and preserving records that adequately and properly document, "the organization, functions, policies, decisions, procedures, and essential transactions of the SIT and cultural and historical histories of the Tribe" Complete and accurate records are essential to:
1. Protect the legal, financial, and other rights of SIT government and persons affected by SIT activities.
 2. Ensure continuity and consistency in administration.
 3. Assist SIT officials and their successors in making informed decisions.
- D. Life Cycle of Records. A basic concept in records management is the records life cycle. The life of a record goes through three phases starting from when it is created or received by the Department, through to its use, maintenance and temporary storage before finally being destroyed or archived permanently.



1. Creation (or receipt). Records creation/receipt is the first stage in the lifecycle of a record. The objectives of this stage are:
 - a. Create complete and accurate records that provide adequate documentation to document the organization, functions, policies, decisions, procedures, and essential transactions of SIT and that is designed to furnish the information necessary to protect the legal and financial rights of SIT and of persons directly affected by a Department's activities.
 - b. Distinguish between record and non-record material by the appropriate application of the definition of records to documentary material.
2. Maintenance and Use. Records maintenance and use is the second stage of the records lifecycle; it is any action involving the storage, retrieval, and handling of records kept in offices by or for SIT. The objectives of this stage are:
 - a. Preserve the integrity of a record by ensuring the record has not been altered after completion.
 - b. Maintain usability of the record by those with a need for the information.
 - c. Facilitate identification and retention of permanent records
 - d. Maintain permanent and temporary records in a segregable manner.

3. Disposition. Record disposition is the third and final stage in the records lifecycle. Three important objectives of records disposition are:
 - a. Preserve records of continuing value such as those reflecting areas of historical, cultural or fiduciary interest.
 - b. Destroy records of temporary value as soon as they have served the purpose for which they were created.
 - c. Move noncurrent (inactive) records from office space and filing equipment to less expensive storage facilities, thereby improving use of files and reducing maintenance costs.

E. Official Records. Official records have real evidential, documentary, or long-term informational, historical or cultural value. Examples include:

1. The official file copy of any SIT business document.
2. Any original document containing information required to transact the official business of SIT.
3. Any original document used to support an official decision of SIT.
4. Any original document containing information of long term value to the Tribe, such as authenticated photographs, historical maps, etc.

F. Record and Non-record Materials.

1. Program Records. Records documenting the unique, substantive activities for which each specific Department is responsible. Examples of program records include TANAF case files, housing application files, tribal election files, etc.
2. Administrative Records. Records documenting the tasks carried out to support overall government and office management and administration – “housekeeping” records. Examples of administrative records include annual operating budgets, travel vouchers, personnel records, etc.
3. Transitory Correspondence. Files consist of correspondence and other papers of short-term interest. These records involve routine transactions or do not contain information

of continuing reference value. Examples include preliminary drafts of letters, work sheets, spreadsheets, presentations and informal notes which do not represent significant basic steps in the preparation of record documents; letters of transmittal which do not add any information to the transmitted materials, etc.

4. Reference Materials. These are non-record documents which are commonly used for informational purposes such as vendor catalogs, research and literature articles, newsletters produced by other organizations. Reference materials should be destroyed as soon as they become obsolete.
 5. Personal Papers. These are files that individuals have organized and maintained for their personal use as opposed to official use. Personal papers should at all times be designated as nonofficial and filed separately from all records within the office.
- G. Record Categories. After determining whether a document is a record, a decision must be made regarding whether it is a permanent or a temporary record.
1. Permanent. These are records that have been determined so valuable or unique in documenting the history of SIT or for information content that they should be preserved "forever."
 2. Temporary. These are records that have been determined to be incidental to the performance of SIT's mission. They are "operational," "support," and "service" type records, of temporary value to SIT that will be destroyed at some time.
- H. Record Values. Record values fall into four overlapping categories: administrative, fiscal, legal and historical/cultural.
1. Administrative Value. All records have administrative value because they are necessary to conduct SIT's current business. The duration of this value may be long or short. Some records, such as program directives, have long-term administrative value. Others, such as Postal record files, have short-term administrative value.
 2. Fiscal Value. Along with general administrative value, some records may have fiscal value. Records with fiscal value document SIT's financial transactions and obligations. They include budget records, which show how expenditures were planned; voucher or expenditure records, which indicate the purposes for which funds were spent; and accounting records, which classify and summarize SIT expenditures.
 3. Legal Value. Besides administrative and fiscal value, records may also have legal value. Some legal values relate to records that the law requires SIT to create and maintain in

the course of its operations. Others, however, are quite broad and do not necessarily involve SIT operations. Instead, they are intended to protect the rights of individuals and organizations. Such records are useful in documenting legally enforceable rights or obligations, both those of SIT and those of persons directly affected by SIT's activities.

4. Historical/Cultural Value. Some records have an enduring value because they document significant events within SIT and development of the government or because they relate to a significant person or activity.

- I. Non-record Materials. Non-record materials are documents or informational materials excluded from the definition of records. Non-record materials have no real evidential, documentary, or long-term informational value, and can be destroyed once its purpose has been served. Non-record materials are often maintained by SIT staff as reference files. Examples include:
 1. Extra copies of documents used for convenience.
 2. Copies of correspondence, forms, and other documents on which no administrative action is taken.
 3. Catalogs, trade journals and other publications received from other entities that require no action.
 4. Stacks of publications or unused forms that are kept for supply purposes only.

- J. Removal and Disposition of Official Records. Official records may not be removed from SIT custody. Official records are authorized for disposal only as provided in SIT records retention and disposition schedules.

- K. Removal and Disposition of Non-record Materials. Non-record and personal papers may be destroyed or removed at the discretion of the employee accumulating the information.

CHAPTER 4 -RECORDS RETENTION AND DISPOSITION SCHEDULES (RRDS)

- A. Retention Schedule. A records retention schedule describes a records series and sets a MINIMUM period of time for which the records must be retained before final disposition of the records can be made. Every record series must have an approved retention schedule in place before records from that series can be destroyed or otherwise disposed of. Retention and disposition requirements stated in the schedule are based on the administrative, legal, fiscal and historical/cultural values of each record series.
- B. Development. Records schedules are developed based on an analysis of the information that is gathered when preliminary record inventories are conducted of all record and non-record material maintained by each Department, regardless of their location or physical form.
- C. SIT Records Retention and Disposition Schedules (RRDS). The SIT RRDS is the central, key source of information for effective records management activities within each Department. The RRDS:
1. Identifies and describes records created and used in the operations and functions of SIT.
 2. Provides disposition authorities and instructions, including retention periods and disposal procedures, for SIT records.
- D. SIT RRDS Departmental Codes. The following codes have been identified for use in the RRDS and file arrangements:
1. Part 1 – General Administration
 2. Part 2 – Tribal Government
 3. Part 3 – Natural Resources
 4. Part 4 – Cultural Resources
 5. Part 5 – Family Services
 6. Part 6 – Housing
 7. Part 7 – Public Safety & Justice
 8. Part 8 – Education

9. Part 9 – Medical and Professional Services

10. Part 10 – Museum Library Research Center

E. General Administrative vs Program Specific Retention Schedules.

1. The General Administrative retention schedule provides retention and disposition instructions for records created/received that support overall government and office management and administration functions (many offices may use various records series within this schedule). This schedule includes records associated with administration, budget, finance, human resources, legal, operations support, etc.
2. The Program-specific retention schedules provide retention and disposition instructions for records created/received that document unique Department activities. These schedules include records associated with SIT programs such as Natural Resources, Family Services, Tribal Government, etc.

CHAPTER 5 - NON-PAPER RECORDS

A. Micrographic Records.

1. Micrographic records include records stored on microform or microfilm.
2. Micrographic records management includes standards for using micrographic technology in the creation, use, storage, retrieval, preservation, and disposition of SIT records.

B. Audiovisual Records.

1. Audiovisual records include program and information motion pictures, still pictures, sound recordings, video recordings, and related documentation.
2. Audiovisual records management includes the management of audiovisual records and those related records that document the creation or acquisition of audiovisual records, as well as those that were created for or used in the retrieval of information about or from audiovisual records.

C. Electronic Records.

1. Records that meet the definition of a record but require a computer to view, manage, and use. Electronic, or machine-readable records, are records on electronic storage media. Electronic records are not necessarily kept in a "recordkeeping system" but may reside in a generic electronic information system or are produced by an application such as word processing or electronic mail.
2. Electronic records management includes standards for the creation, use, storage, retrieval, preservation, and disposition of SIT records on any medium capable of being read by a computer.
3. Records created or received using electronic media must be printed-out in paper form and filed in the official file system, **unless they are created and maintained in an appropriate electronic recordkeeping system**. Storing records on electronic systems cannot be part of an official filing system since the system is password protected and is accessible only to the owner of the password.
4. Electronic recordkeeping requirements require, at a minimum, a full and accurate documentation of the system: The functions supported by the system; the operational,

legal, audit, oversight, or historical requirements for the information; how the information will be used, accessed, and maintained on each medium to meet these differing requirements; and the procedural controls employed to preserve the integrity of the data in the system.

CHAPTER 6 - ESSENTIAL RECORDS

A. Essential Records. Essential records can be found in any format and in any medium. They may be dynamic, containing changing information that must be updated or they may be static, containing information that does not change or need update. For most organizations, essential records make up less than 5% of the total. Records are considered essential when they:

1. Are necessary for emergency response.
2. Are necessary to resume or continue operations.
3. Protect the health, safety, property and rights of residents.
4. Would require massive resources to reconstruct.
5. Document community and family history.
6. Include fiduciary information.

B. Categories. The SIT essential records program includes two basic categories:

1. Emergency Operating Records. This category includes records vital to the essential functions of the SIT for the duration of an emergency caused by a natural or man-made disaster. The records include records necessary for the maintenance of public health, safety, and order; and the protection of material and manpower resources, services, and systems. These records must be available as needed at or in the vicinity of emergency operating centers.
2. Rights and Interests Records. Rights and Interests Records are records essential to the preservation of the legal rights and interests of individual citizens and the SIT. The records include social security records, retirement records, payroll records, insurance records, and valuable research records. These records require protection but storage points do not have to be at or in the vicinity of emergency operating centers.

Essential records can include the following types of documents:

- Fiduciary records
- Accounts payable/receivable
- Bank account information
- Budgets

- Building plans and blueprints
- Capital assets records
- Cemetery records
- Child welfare
- Client case files
- Indian Self Determination PL 93-638 records
- Licenses and permits
- Maps (taxation, topographical, utility)
- Minutes, ordinances, resolutions
- Payroll/pension fund records
- Personnel files
- Police identification/fingerprint files
- Property history files
- Property tax assessment records
- Student records
- Surface water drainage/flood control

CHAPTER 7 - RECORDS DISPOSITION

- A. Records Disposition. Records disposition is the action taken regarding records no longer needed to conduct current SIT business.
1. Permanent Retention. Records which have enduring value to the Department will be protected for historical and reference purposes.
 2. Temporary Retention. Most files fall into this category, are maintained for a specified period of time, and then destroyed in accordance with guidelines in this manual. Destruction dates may relate to the passage of time, or a particular event.
- B. Purpose of Records Disposition. The objectives of records disposition are to:
1. Preserve records of continuing value such as those reflecting a Department's activities of historical interest.
 2. Destroy records of temporary value as soon as they have served the purpose for which they were created.
 3. Move noncurrent (inactive) records from office space and filing equipment to less expensive storage facilities, thereby improving use of files and reducing maintenance costs.
- C. Records Schedules and Disposition. SIT employees must maintain and dispose of records in accordance with disposition authorities provided in the SIT RRDS.
- D. Cutoff and Disposition of Files. File managers should cut off files periodically to ensure easier disposition. Files may be cut off after a specific period of time or after the completion of an action. Most SIT records are cut off at the end of the fiscal year. Some records may be disposed of immediately after cut off; others must be placed in an inactive file or retired to a records center until the authorized retention period has expired. After the scheduled retention criteria has been met, the records are either destroyed or maintained permanently at the records center.
- E. Requirements for Records Disposal. Records accumulated by SIT in the performance of official business must not be destroyed or removed except under the authority of SIT RRDS. SIT records cannot be destroyed on the basis of an individual's opinion.
- F. Transferring Records to Records Centers. Records will not be sent to a records center for storage if they are authorized for immediate disposal. Eligible records must be sent to the

records center using the "Records Transmittal and Receipt." (RM-2). File Managers must prepare a detailed listing of the records to be transferred and attach the list to the FM-2. (See Appendix C.)

- G. Storage of Inactive SIT Records. No Department is authorized to rent, lease, or purchase warehouse space for the storage of inactive records.

- H. Destruction. When a record has met its retention period and is not eligible for transfer to a records center, it must be destroyed in a timely manner following SIT-approved processes and documented using the Certificate of Records Destruction form (RM-3). (See Appendix D.)

- I. Emergency or Accidental Disposal of Records.
 - 1. Emergency Destruction. If records are a menace to human health, life, or property, notify the SIT RM. Identify the records, their location, quantity, inclusive dates, and the type of menace.

 - 2. Accidental Destruction. In case of accidental loss or destruction of records by fire, flood, or other cause notify the SIT RM identifying a complete description of the records with volume and dates if known; the office of origin; and a statement of the exact circumstances surrounding the destruction of the records.

- J. Archival Records. Archival records are records selected for permanent preservation because they have been determined to have permanent or enduring value. Archival records are often referred to as historical records, but their value can be historical, administrative, legal, or financial. (See Appendix F.)

CHAPTER 8 - PLANNING AND ARRANGING FILES

- A. Office of Record. The "Office of Record" is the office that is responsible for the maintenance and/or disposition of a record. The office of record is responsible for filing the record copy of documents in accordance with the authorized disposition instructions found in the SIT RRDS.
- B. Establishing a Filing System.
1. A filing system is established by first reviewing the current files. This process identifies current record types and various subject areas covered by the current files. Also, it is important to find out how current records are arranged, who uses current records, and how often they are referred to.
 2. Department Directors promote good filing systems by ensuring that files are maintained properly and that noncurrent records are disposed of in accordance with the SIT RRDS.
- C. Filing Arrangement Options. Filing arrangement options include:
1. Subjective Arrangement. Subject filing is the process of arranging and filing records according to their general informational content. This brings together all papers on the same topic. Sometimes "the subject" is based on some characteristic of the document. Titles of forms are often used as subjects, e.g., printing requisitions or position descriptions.
 2. Chronological Arrangement. This system is used to arrange files in date sequence when the date is the primary means of reference. Transitory and suspense files are usually arranged chronologically.
 3. Organizational Arrangement. This arrangement is used when the grouping of documents by the name of the pertinent organization is the primary means of reference.
 4. Alphabetical Arrangement. This arrangement is used to file documents by names of persons, companies, agencies, etc., in alphabetical sequence. It is very important to follow standard rules to achieve uniformity. The number of alphabetical subdivisions used in a file depends on the number of names in the file and whether the materials to be filed are papers, index cards, case files, etc. As a general rule, an alphabetical subdivision guide for each 10 to 20 name folders, or for each 25 to 50 name cards, should be provided.

5. Numerical Arrangement. This system is used to arrange records identified and referred to by number, such as contracts, grants, purchase orders, etc. Numbers will not be assigned to documents for the sole purpose of arrangement for filing because this practice requires the establishment of additional indexes to locate the documents.

D. File Folders and Labels. See Appendix B for guidance on preparing file folders and labels.

CHAPTER 9 - FILES MAINTENANCE AND DISPOSITION PLANS

A. Definition.

1. A Files Maintenance and Disposition Plan is a comprehensive outline that includes the records series, file organization, active file locations, file transfer instructions, file retention and disposition instructions, and other specific instructions that provide guidance for effective management of records, including essential records.
2. Files Maintenance and Disposition Plans specify how records are to be organized once they have been created or received, provide a “roadmap” to the records created and maintained by a Department and facilitate dispositioning of the records.

B. Constructing the Plan.

1. A Files Maintenance and Disposition Plan describes every type of record in each Department, the location where they are stored, the rules applying to them, the retention schedule and timeline, manner of their disposition, and the person or persons responsible for their management.
2. Determine how the records within each series should be arranged (e.g., alphabetically by surname, numerically by contract number). Where there is a choice, the most appropriate arrangement is the one which will make it easiest to apply retention periods and to remove time-expired records.

- C. Maintaining the Plan. A Files Maintenance and Disposition Plan must be maintained to ensure that it remains relevant, accurate and up to date. Plans must be reviewed at least annually. (See Appendix E.)

CHAPTER 10 - ELECTRONIC MAIL

- A. Applicable Policy. The SIT records management policy applies to E-mail records just as it does to records that are created using other media. Employees who create or receive E-mail messages during the course of their daily work are most likely generating and receiving records; and are responsible for ensuring that the records are properly managed.
- B. Definition. An E-mail message consists of any document created, transmitted, or received on an E-mail system, including message text and any attachments, such as word-processed documents, spreadsheets, and graphics that may be transmitted with a message, or with an envelope containing no message.
- C. Determining Record Status. E-mail documents are records when they are:
1. Created or received in the transaction of SIT business
 2. Appropriate for preservation as evidence of SIT's functions and activities.
 3. Valuable because of the information they contain
- D. Employee Responsibilities. SIT employees are responsible for properly managing the creation, retention and disposition of records that they send or receive on an E-mail system. They must:
1. As soon as possible after receiving or sending a message—and any attachments—determine whether it is a record or a non-record.
 2. If a record, print a hard copy of the record, including attachments and transmission information and file it in the official filing system. (E-mail folders are part of the e-mail system and cannot be part of an office's official filing system because the E-mail system is protected by an individual's password; records must be available for retrieval and access by those who need them.)
 3. Delete the E-mail version when it is no longer needed for current business activities or reference purposes.
 4. Delete messages or attachments that are not records as soon as they have served their purpose.

E. Non-record E-mails. Employees should promptly delete non-record messages.

Examples include:

1. Copies of memoranda or text sent for information rather than action.
2. Instruction memoranda or information bulletins where the recipient is not the action office.
3. Messages that have only temporary value such as a message that a meeting time has changed.

CHAPTER 11 – ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) vs ELECTRONIC RECORD MANAGEMENT SYSTEM (ERMS)

Electronic documents and records are dependent upon technology to interpret them; and normally are dependent upon specific hardware and software system configurations. There is a lack of affordable tools to appropriately and effectively manage electronic records. There are significant risks of records loss or damage due to instability of storage media.

- A. Electronic Document Management Systems (EDMS). EDMS is a software system that controls and organizes documents throughout an organization.
1. An EDMS may be a small stand-alone desk top system or as large as an enterprise wide server-based system.
 2. It may include:
 - a. Document and content creation and capture
 - b. Document and content editing and revision
 - c. Image processing
 - d. Document repositories
 - e. Computer-Output Laser Disk/Enterprise Report Management and other output systems
 - f. Information
- B. Electronic Records Management System (ERMS). ERMS is a software system that allows an organization to assign a specific life cycle to individual pieces of organizational information.
1. An ERMS may be a small stand-alone desk top system or as large as an enterprise wide server-based system.
 2. Documents or content may NOT be edited or revised once they are declared in an ERMS.
 3. ERMS has the functionality to:

- a. Receive records
- b. Use records
- c. Manage and maintain electronic records
- d. Manage paper-based and other analog records
- e. Manage the disposition of records

APPENDIX A – GLOSSARY OF TERM

Administrative Record – Records created or received that document the tasks carried out to support overall government and office management and administration – “housekeeping” records. They include, but are not limited to budget, finance, human resource, and operations support.

Case Files - A series of case files is a grouping together of folders or file units containing records relating to a specific action, transaction, event, person, place, project, or other subject. Some common kinds of case files are personnel folders, contract files, medical records, client files, or files relating to construction projects.

Current (active) Records - Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment.

Cutoff - Cutting off 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 or to permit the establishment of new files on the same subject.

Disposition - The actions taken regarding records no longer needed for current business. These actions include transfer to storage facility, transfer to a tribal archives, and disposal of temporary records.

Disposal - Those final actions taken regarding temporary records after their retention period expires.

Disposition Schedule - An alternate term for retention schedules.

Electronic Records - Records that meet the definition of a record but require a computer to view, manage, and use. Electronic, or machine-readable records, are records on electronic storage media. Electronic records are not necessarily kept in a "recordkeeping system" but may reside in a generic electronic information system or are produced by an application such as word processing or electronic mail.

E-mail - E-mail is a format, not a record series. Determining how to file an E-mail is the same as identifying how to file a piece of paper. The content determines the disposition of retention decisions.

Essential Record – A record that is critically important to the continued functioning or rebuilding of the tribal government during and after an emergency created by a disaster, or

necessary to protect the rights and interests of persons or to establish and affirm powers and duties of SIT in the resumption of operations after a disaster.

File Plan – Based on the records disposition schedule, the file plan describes those records held in an office. It discusses how each group of records is filed, how they are disposed of, and other information. Using it, the office can control the records it produces.

Information/Convenience Copy – A non-record copy sent to individuals or offices interested in, but not acting on, a matter.

Inventory – A detailed listing of the records created, managed, or used by an organization. The inventory specifically identifies each record by name/record series, identification number, or other type of identifying information.

Legal Value – The usefulness of records in documenting legally enforceable rights or obligations, both those of the SIT and those of persons directly affected by the SIT's activities.

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

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

Noncurrent (inactive) Records – Those records no longer required to conduct business and therefore ready for final disposition.

Non-record Material – Papers having no documentary or evidential value. These include stocks of record material, such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value, such as drafts, worksheets, informal notes, and routing slips. Non-record materials are destroyed when their purpose has been met.

Office of Record – The Department responsible for maintaining the record for the entire duration of the retention period.

Permanent Records – Those records that have been determined to be so valuable or unique in documenting the history of the Tribe or for information content that they should be preserved "forever."

Personal Papers – Documentary materials belonging to an individual that are not used by SIT to conduct business. Related solely to an individual's own affairs or used exclusively for that

individual's convenience. Must be clearly designated as such and kept separate from SIT records.

Program Records – Those records documenting the unique substantive activities for which each Department is responsible. Examples of SIT program records include, but are not limited to natural resources, tribal government, family services.

Recordkeeping – The act or process of creating and maintaining records.

Records Center – A comparatively low cost centralized area for housing and servicing inactive or semi-active records which are not referred to often enough to warrant their retention in office files.

Record Copy – The copy of a document specifically intended to be kept as a record. It is also referred to as an official file copy.

Record Series – A series is the basic unit for organizing and controlling files. It is a group of files or documents kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, maintenance, or use.

Records Management –The systematic control of records, regardless of format, throughout their life cycle—from the moment they are created/received to the moment they are destroyed or transferred to the Archives for permanent retention.

Reference Materials – Non-record copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are not properly part of the office's records.

Retention Period – The time period or particular records (normally a series) to be kept. Also referred to as Retention Standard.

Retention Schedule – Provides mandatory instructions for what to do with records (and non-record materials) no longer needed for current business. Schedules provide instructions for the retention, disposition, and systematic removal of unneeded records from offices. All records are scheduled in the SIT Records Retention and Disposition Schedules. Schedules:

- Ensure that important records are organized and maintained in such a way so to be easily retrieved and identifiable as evidence of a Department's activities;
- Conserve office space and equipment by using file cabinets to store only active paper records;

- Save money by moving inactive files to off-site storage until they are ready for disposition;
- Help preserve those records that are valuable for historical or other research purposes; and
- Control the growth of records in offices through the systematic disposition of unneeded records.

Temporary Records – Those records that have been determined to be incidental to the performance of the Tribe’s mission. They are “operational,” “support,” and “service” type records, of temporary value to the Tribe, that will be destroyed at some time.

Transitory Correspondence – Correspondence relating to matters of short-term interest, such as acknowledgements for publications received, routine inquiries for publications, and announcements of fundraising events.

Working Files – Documents such as notes, calculations, or rough drafts assembled or created and used to prepare or analyze other documents.

APPENDIX B – FILE FOLDERS AND LABELS

Use the following procedures to prepare file folders and labels.

1. Determine the type(s) of records used to conduct daily business operations.
 - A. If the document is a record, separate administrative records from program records; and personal papers from program records.
 - B. If the document is a non-record, it still must be managed; they may not be interfiled with records but may be stored in binders, bookcases, or shelf files.
2. Prepare file folders and labels.
 - A. Use straight-cut folders, accordion files for loose papers, or press board folders for records that experience frequent use.
 - B. Prepare folder labels. Program and administrative files with a retention period of over a year will have two labels. One label will be affixed on the left, and the other label will be affixed on the right side. Both labels will be placed on the front of the folder. The labels will appear in the following manner:
 - The label on the left side of the folder will include the records series number, series title, case (project) file number if appropriate, or other identifier such as name, contract or project number and the file open (creation) date using the 4-digit year.
 - The label on the right side will identify whether the retention status of the file is temporary or permanent, whether the file is comprised of a single folder or contains parts of a larger series (Example: part 1 of 5); and disposition instructions.

Examples:

FS5.2.5 Child Welfare Case Files
Case # 012345 - (Doe, John)
Opened: 1/30/2014

Retention: Permanent
Part ____ of ____
Maintain in office for a
maximum of 5 years after end of
fiscal year; transfer to records
center

ADM1.1.25 Supervisor's Personnel Files
Public, John Q.
Opened: 10/1/2014

Retention: Temporary
Review annually and destroy
when superseded or obsolete;
destroy file relating to employee
1 year after separation

DIAGRAM

APPENDIX C – PREPARING RECORDS FOR STORAGE

All employees should routinely transfer inactive records to storage according to the disposition instructions contained in the SIT RRDS.

Records centers serve as extra storage and are the preferred storage option for records which are no longer needed for current business. Records centers store permanent and temporary paper records and make them available to authorized staff at their request.

1. Store records at a records center if they are:
 - A. No longer needed onsite for audit or legal purposes.
 - B. Consulted less than once per month.
 - C. Covered by an approved records retention and disposition schedule.
 - D. Not eligible for destruction within 1 year from the date of transfer.
 - E. Not on electronic or audiovisual media.
2. Boxing records:
 - A. Screen or weed the files to remove and destroy all non-record material such as extra copies or reference material.
 - B. Confirm that the files are completed or closed.
 - C. Organize the files for transfer based on their disposition instructions.
 - D. Separate records by series.
 - E. Do not commingle permanent records with temporary records in the same series. Retire each type as a separate accession.
 - F. Separate multiple series of records into individual accessions by year. For example, T&As should be divided by year and one accession number assigned for each year.
 - G. Do not place records with different disposition dates in the same box except when retiring single box accessions. Give priority to filling the box rather than separating the files by disposition date when retiring less than 1 cubic foot of records. For example, it

is preferable to fill one box with 2 years of T&As than to separate the files into two half-filled boxes.

- H. If the records are not already foldered, for instance if they are in binders, place records in standard or expansion file folders labeled by subject or title as appropriate except where the binder helps to maintain the integrity of the binder contents, such as for briefing books.
 - I. Include all guides and tabs separating the folders in the box if they help to provide access to the files.
 - J. Use any standard word-processing or spreadsheet software to prepare a box list detailing the contents of each box. The list should be in letter-landscape format identifying the Department which created the records and showing each folder's subject title, file number, description and date, along with page numbering (preferably bottom-center), for easy reference.
3. Preparing Form RM-2, Records Transmittal and Receipt.
- A. Complete blocks 1, 3, 5 and 6 (d-i).
 - B. Send the RM-2 and the box list to the Records Manager, who will assign an accession number and review, sign, and return to the originator.
 - C. Place the approved copy of the RM-2 and the box list in the first box of the accession before shipping it to the records center.
 - D. After the boxes are shelved at the records center the SIT RM Records Manager will return a copy of the RM-2 to the originator. This copy should be retained for future reference as it includes the shelf location code (block 6[j] of the RM-2) needed when retrieving records at a future date.

Sample RM-2

APPENDIX D – RECORDS DESTRUCTION

The SIT Records Manager coordinates and administers the formal process for submission, review, and approval of records disposition requests. The review and approval process begins with the submission of a completed “Certificate of Records Destruction” – Form RM-3 to the Records Manager. The RM-3 documents that records were destroyed properly and in accordance with this manual. (Non-records such as reference material, personal items, and copies must not be reported on the RM-3.)

The Department submitting the request to destroy records must ensure that the records being destroyed are eligible for destruction under the RRDS and that the retention period for the records has expired. Upon receipt of the approved RM-3 from the Records Manager, the Department is responsible for carrying out the destruction of the records.

The destruction of records should be irreversible and environmentally friendly. Irreversible means that there is no reasonable risk of the information being recovered again. Failure to ensure the total destruction of records may lead in some cases to the unauthorized release of confidential information. Both paper and other media should be recycle when possible. In addition, records should always be disposed of with the same level of security that was maintained during the life of the records.

Paper Records.

- Shredding. The security provided by shredding of records depends on how fine the paper is shredded. Cross shredding in a two axis shredder may be needed for particularly sensitive documents. Shredded paper may be pulped and recycled, or then used for other purposes such as insulation.
- Pulping. Pulped paper is reduced to its constituent fibres. If carried out correctly, it is a very secure method of destruction. Pulped paper is usually recycled.
- Burning. Burning records is not recommended and should only be used as a last resort if there is no environmentally friendly method of destruction available. Densely packed paper does not burn well, so burning should be undertaken in an industrial facility (not in a backyard incinerator).

Non-paper Media. Videos, cinematographic film and microforms (microfilm/fiche/ aperture cards/x-rays) may be destroyed by shredding, cutting, crushing or chemical recycling.

Sample - Certificate of Records Destruction

APPENDIX E – SAMPLE FILES MAINTENANCE AND DISPOSITION PLAN

APPENDIX F - ARCHIVAL RECORDS

Archival records are records selected for permanent preservation because they have been determined to have permanent or enduring value. Archival records are often referred to as historical records, but their value can be historical, administrative, legal, fiduciary, or financial.

Archival records are an invaluable source of information on the history and development of SIT and the lives of its members. Archival records document personal lives, businesses and professions, SIT environment, society and culture. Historical records need to be preserved because SIT is obligated to maintain them and because they tell where SIT has been, offer insights into where SIT is now, and provide vision for SIT's future. Historical records are used to provide information on SIT programs and functions, to prove ownership of property, and to document family history. Archival records document and, therefore, protect SIT and persons affected by SIT's activities rights and privileges.

SIT employees and Department Directors work together to identify, select, and preserve historical records. The Department Directors, through the application of standard records management practices, ensure that records and information are properly identified and managed within the office and that, through the scheduling and disposition process, archival records are preserved.

When records are appraised to determine archival value, a number of factors are considered in addition to age and format. Records and information being created today can have archival value equal to that of records created over 100 years ago. Information maintained electronically can have archival value equal to that of records on paper or bound in a volume. The characteristics of records that justify their continued retention as archives include such values as:

- Evidential value – the value of the evidence records provide of the origins, structure, functions, and operations of the agency that created them
- Informational value – the research or reference value of the information contained in the records
- Financial, fiduciary, legal, and administrative value – the value of the records for the conduct of current and future agency business
- Intrinsic value – value of records deriving from their association with a historical event or person or their unique physical format

A. General Preservation. Due to the inherent instability of analog and electronic records, no file format or storage media is permanent. All media formats including paper and microfilm are susceptible to degradation, corruption and inadvertent destruction.

- Light – Light accelerates the deterioration of materials. It is best to store materials in the dark. Media is vulnerable to degradation due to light exposure.
- Temperature – Cooler temperatures are best for media. Temperature that is too cold or too hot will damage the media. The general rule is 50 to 70 degrees Fahrenheit, check specific media recommendations.
- Keep records at a steady temperature as fluctuating temperature will cause the media to expand and contract, thus damaging the media.
- Media, other than paper, must acclimate to room temperature and humidity prior to use, usually 24 to 48 hours. This time can vary due to media type and temperature variance.
- Humidity – Recommendations run from 20% to 45% relative humidity. The materials that make up the physical media are also susceptible to damage such as rust. Fluctuating humidity can damage material.
- Pollutants – Particulate and gaseous contaminants such as dust, dirt, mold, smoke and other gases can damage media especially during the reading of the materials. You can minimize particulate contamination with a filter system.
- Handling – Minimize handling and use of archival media. Make a master copy of the original and one or two use copies, as a minimum.
- Wash and dry hands thoroughly before handling media. Do not use lotions or sanitizers prior to working with any media.
- Wear white, clean, lint free cotton gloves when possible.
- Clean work surfaces before handling materials.
- Never touch the media directly, handle by the case.

- Shelving – Refrain from using wood shelving for storage. Items should be stored 4” to 6” off of the ground. Do not stack boxes or containers more than 5 high. Weight from upper items can damage lower items.
- Labeling – Ensure media boxes are clearly labeled with record series, inclusive dates and index location.
- Creating – Verify all records are readable, meet quality standards and are complete.

B. Books.

1. Storage:

- Stand upright, flat or spine down.
- Place damaged books in enclosures just larger than the size of the book, so that book fits snugly.
- Tie loose materials with flat cotton tape.
- Remove moldy books from collection immediately. Contact a conservator for remediation immediately.
- Avoid storing books in areas with lots of lighting.
- Keep area and books clean, dust regularly.
- Do not allow books to lean while in storage and store books of comparable size together.

2. Care and Handling:

- Remove book by text block or sides.
- Support book spines and covers while open, decreasing the opening angle as much as possible.
- Do not use post-it notes, paper clips, double sided tape, or pressure sensitive tape on pages, as this can cause damage to the book.

C. Small Print – Letter and Legal Sized Records.

1. Storage:

- Store items in folder and folders within a box; all of which aid in protecting against environmental factors.
- Store items in area where temperature, humidity, air pollutants, etc. can be best controlled.
- Store objects of the same type and size together.
- Do not overfill boxes.
- Support folders in boxes that are not filled to prevent warping and damage.

2. Care and Handling:

- Lay flat when reviewing.
- Unroll, unfold or flatten with humidity and/or weights.

D. Large Print – Newspapers, Maps and Blueprints.

1. Storage:

- Store items in folder and folders in a map case or box or wrap if map case is not available; all of which aid in protecting against environmental factors. Frequently used items should be stored in boxes with covers whose depth is the same as the base, if map cases are unavailable. Items used less frequently may be wrapped in alkaline paper.
- Store items in area where temperature, humidity, air pollutants, etc., can be best controlled.
- Store objects of the same type and size together.
- Do not overfill boxes.

- Do not stack more than 5 boxes or containers. Weight can damage lower items.

2. Care and Handling:

- Lay flat and unfold. Unroll, unfold or flatten with humidity and/or weights.
- When removing from storage, remove top items first.
- Encapsulate commonly used items using stable, archival, polyester film and archival approved double-sided tape.

E. Motion Picture Film.

1. Storage:

- Do not store film in areas where environmental factors may affect film such as near heaters, sprinklers, direct sunlight, or in areas where humidity cannot be controlled.
- Excessive dryness can lead to brittle film.
- Excessive dampness can lead to mold growth.
- Store in cans made of polyester, polyethylene, polypropylene, anodized aluminum or stainless steel.
- Store cans horizontally if cored or on undamaged reel with even film pack and vertically if on damaged reel and film pack is uneven.
- In addition, film can be frozen (32°F) to extend the life of the material. Care must be used with this type of storage and gradual thawing of the film prior to use.

2. Storing Nitrate Film:

- Store in steel cabinets with sprinkler system and venting.
- Store at appropriate temperature and relative humidity.

3. Care and Handling:

- Avoid viewing film on projectors as the light and spokes can damage the film.

- Handle the film by the edges. Never touch the surface of the film.
- Transfer film to core (plastic centerpiece that film is stored on) instead of the metal reels (prone to rust) for long term storage.

F. Magnetic Media – Video.

1. Storage:

- Store tape vertically, in its proper container.
- Never store tape at less than 46 F, as it will cause damage to the tape.
- Store in areas where environmental conditions such as heat, light, humidity, and dust will least likely affect the media.
- Floppy disks/diskettes should be secured in non-abrasive envelopes.

2. Care and Handling:

- Wash and dry hands thoroughly and/or wear protective gloves when handling media.
- Handle magnetic tape and disks by the protective cases. Do not touch the tape or disk directly.
- Write labels prior to affixing. Labels should be placed on the protective case only.
- Keep away from magnetic fields.

G. Microfilm and Microfiche.

1. Storage:

- Store microfiche in acid/lignin free individual envelope or box.

2. Care and Handling:

- Allow the cold film to reach room temperature before using it. Sudden temperature change may cause moisture condensation on the surface of the films.
- Keep microfilm on inert plastic reel in acid/lignin free boxes. Metal reel can scratch and rust.
- Wear cotton gloves when handling, especially master negatives.
- Handle by the edges or leaders of microfilm, and by the header of microfiche to prevent scratching the surface of the film.
- To prevent scratching the film, make sure the film glass over the film carrier of the microfilm reader is up when rewinding the microfilm.

H. Photographs.

1. Storage:

- Store film based negatives in buffered (alkaline, pH 7.5 – 9.5) enclosure. For other materials use unbuffered (neutral, pH7) enclosures. Enclosures protect photographs from dust, light and physical damage.
- Photographs are susceptible to damage from high and low temperatures and changes in relative humidity.
- Place glass negatives and lantern slides in individual four flap enclosures to avoid scratches and store them upright in a study box.

2. Care and Handling:

- Do not use magnetic or self-adhesive albums to store photographs as this will damage the photographs.
- Do not write on photographs. All identification of photographs should be on the enclosure not on the photograph.
- Wash hands before working with photographs. It is important to not use hand lotion or hand sanitizer on hands.

- Wear nitrile gloves rather than white cotton gloves when handling photographs and negatives and lantern slides. Nitrile gloves protect the glass plate while reducing the chance of dropping the image.
 - Glass plate negatives and lantern slides are especially susceptible to damage from fluctuating temperatures.
- I. Optical Discs – Compact Discs (CDs), Digital Versatile/Video Disc (DVDs) and Magnet-optics (MOs).
1. Storage:
 - Store discs in cases or specialized non-abrasive envelopes. Make sure the surface of the disc does not touch the surface of the case.
 - Store discs vertically.
 2. Care and Handling:
 - Handle discs by the edge or the center hole. Do not touch the surface.
 - Media, other than paper, must acclimate to room temperature prior to use.
 - Do not write or apply label to surface of the disc. Chemicals in the ink and adhesive can leach into the disc and cause damage. Apply label or writing to the clear center portion of the disc.
 - The life expectancy of CDs and DVDs varies greatly from 2 years and up. Material used in the creation of the media and the equipment quality to write to this media fluctuate greatly. It is best to test readability frequently and copy to a new media at a minimum of every 3 to 5 years.
- J. Long Plays (LPs).
1. Storage:
 - Store vertically to prevent warping. Use a cardboard insert to backfill storage box so that LPs do not slant.
 2. Care and Handling:

- Handle by edge and center (label) portion of the record.
- Do not touch the playing surface.
- Clean from the center out with a soft lint free cloth.

Storage Temperature and Relative Humidity

Type of Materials	Temperature (Fahrenheit)	Relative Humidity
Books	65°	35% - 45% ± 5%
Large Print	65°	35% - 45% ± 5%
Motion Picture Film: Acetate and Polyester	40° - 50°	20% - 40%
Motion Picture Film: Cellulose Nitrate	36°	20% - 30%
Magnetic Media	59° - 68°	25% - 40%
Microfilm and Microfiche: Master Negatives	46° - 54°	30% - 40%
Microfilm and Microfiche: Use Copies	46° - 68°	45% - 55%
Photographs	46° - 68°	20% - 40%
Film based negatives, Glass negatives, Color Photographs	30° - 40°	30% - 40%
Optical Discs	40° - 68°	20% - 50%
Long Plays (LPs)	45° - 50°	45% - 50%