

Instructions for Completing Record Series Inventory Form

ACTION REQUESTED (Check the appropriate box.)

- If this series is newly created/received by your agency or does not appear on your retention schedules or the general retention schedule, please check the "**Establish retention schedule**" box.
- If you are revising the retention schedule requirements for a records series already on a retention schedule, check "**Revise retention schedule**". If the "Revise retention schedule" box is checked, enter the schedule number of the schedule being revised in the space provided under "Revise retention schedule".
- Record Group Number assignment is for Archives use only.

SECTION A

1. **State or Local Agency:** Enter the name of the state agency, board, etc., or the local government subdivision, (county, municipality, school district, special service district) that creates/maintains the records being described.
2. **Division or Office:** Enter the name of the state agency division or the local government department/office that creates the records.
Subdivision: Enter the name of the state agency subdivision or the section within the local government department/office that creates the records.
Program Unit: If applicable enter the name of the program unit within the subdivision or section that creates the records.
Person Completing Form: Enter the name, title and the telephone number of the person filling out this form and the date accomplished.

SECTION B

6. Record Series Title: The title should clearly indicate both the predominant form and function of the record series to outside reviewers as well as agency staff. For instance:

<i>Examples of good titles</i>	<i>Examples of poor titles</i>
Annual Reports of Charitable Boards	DOS-32 Reports
Public Relations Photograph Files	Photographs

a. **Title:** Enter the official title of the series. If the series is already on a records retention schedule, enter the title exactly as it appears on the schedule.

b. **Variant title(s):** If applicable, enter any other title(s) by which the series is commonly referred to within the office or unit. This may be any previous title or any other informal title which differs from item 6a. For example, Program Status Reports may be referred to

in-house, as Status Reports. This entry provides another means of identifying and accessing a series.

7. Dates of Records: Indicate the earliest and latest dates covered in the records described. If applicable, include dates for missing records.

8. Are records still created? Check "yes" if record series is a continuing series; check "no" if this series is no longer created.

9. Index: Check the appropriate box to indicate whether or not the records are covered by an index or code book providing access to information in the record.

10. Arrangement of Record Series: Describe the filing arrangement of paper and microfilm records only. Common arrangements are chronological, alphabetical, numeric, and by subject. Indicate how file is broken within each category; ie., alphabetically by person's name, geographic location, etc., or chronologically by calendar or fiscal year, month, pay period, etc.

11. Description of record series: A record series is a group of related records, files, documents and/or other media which are used, indexed or filed together and which permit evaluation for disposition purposes. Be sure the series description includes all elements to answer the following questions:

11a. Who creates and/or uses the records and for what purposes: A summary description of who creates, sends, receives, or otherwise compiles the information, how and by whom the information is used, and what purpose is served by the record series. Avoid the use of abbreviations and technical jargon known only to program staff.

11b. Informational content: Describe the information consistently found in the series and provide a summary of the subject matter of the record series. If most information is compiled on standard forms, the description should note that such forms are used. If possible, attach copies of the forms.

11c. Value of records: Check the box(es) that best describe(s) the value(s) of these records.

Administrative: Primarily needed to conduct program business only.

Fiscal:

Document the receipt, management, and expenditure of public funds and are usually subject to audit.

Legal:

Contain information on the legal rights and obligations of government or its citizens, created or maintained to defend those rights or obligations in litigation.

Historical:

Used by program or other staff or citizens to conduct research into particular topics.

Other:

Records which are created for special purposes such as proclamations and certificates of achievement.

11d. Are these vital records? Vital records are records essential to the continuing operation of an organization. These records are necessary for an organization to resume its operations after a major disaster.

11e. Reference frequency: Enter the rate of reference activity for the records. This information is used to determine when to place a record series in off-site storage or to microfilm.

12a. Characteristics: Check the medium for recording the information; e.g., paper, audio-visual, microfilm, and computer machine readable.

12b. Total volume and locations of records (by cu.ft.): Indicate the volume of the portion of the record series described/located in your agency or in the State Records Center, if applicable. If "other storage" is checked, specify where records are located (such as an agency or commercial off-site storage facility or some other storage area outside the office).

12c. Total volume generated per year (most recent year): Indicate the volume of records generated in the most recent year. This information is useful in projecting the rate of growth and future space needs.

13. Condition of records: Check the basic condition of records. Identify any problems. For example, indicate if records are molded, dirty, taped, or torn.

14. Confidential: Please check appropriate box to indicate if all or part of the information found in the record is defined as confidential or otherwise restricted under law. If "yes" is checked, cite the appropriate authority mandating the restriction.

15. Record is original or duplicate: This entry indicates whether the series described includes the record (or official) copy of the information created or compiled by the program unit, or a duplicate copy of information received or transcribed by the program unit for some purpose. Check the appropriate box and indicate the location of the duplicate(s) (if original record), or location of the record copy (if duplicate).

16. Summarized: Often information found in many record series is adequately summarized in other series. Check "yes" or "no" to indicate whether or not important information found in this series is summarized in another series. If "yes" give the record series title and location of the summary record. Examples of summarized records are:

Payroll data may be summarized in the agency's payroll Register or the Comptroller General's Payroll Warrant Register.

Fiscal record information is usually summarized in (one or more) of the agency's General Ledger series.

Monthly and Quarterly Reports may be summarized in the agency's official printed Annual Report.

Personnel records information is usually duplicated and/or summarized in the agency's Personnel Files (Active and Inactive).

SECTION C

17. Subject to: Check the appropriate box to indicate any special considerations or requirements for retention such as audit review. If other is checked, please specify. For example the records could be used as evidence in civil or criminal proceedings or there might be a statute of limitations on actions.

18. Legal Retention Requirement: Indicate the number of years the record series must be kept to meet legal requirements. If legal retention requirements apply, cite the appropriate authority.

19. Recommended Retention: The retention period covers the entire life-cycle of the record series described. Indicate the number of years/months the records should be kept in the program office space, state/local facility, and/or the State Records Center. If information is converted to another medium such as microfilm, explain how and when the reformat will occur. Indicate the final disposition of the record following completion of the retention period, ie; destroy, transfer to the State Archives, or transfer to other approved repository.

20. Additional Comments: Record any additional information to support the recommended retention or provide insight on the rationale for retention. This space may also be used for making recommendations on how the record series is maintained and/or rationale/recommendations for changing storage media. Further explanation on any of the sections on this form should be placed here. Refer to the specific data element on this form when making comments.