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Appendix  Abbreviations Used for Record Retention Schedules
I. ACKNOWLEDGMENTS

The original manual was a result of a project funded by the National Historical Publications and Records Commission of the National Archives and Records Administration, Washington, D.C. It was initiated due to the need for a systematic and established method of records management for county records in the state of North Dakota. Space considerations within county courthouses for the storage of inactive records and uncertainty over which records needed to be preserved for the future were considerations in requesting funding for this project. The study of North Dakota county government records and the creation of this manual are the results of that funding.

Personnel instrumental to the project’s inception were Gerald Newborg, State Archivist, and Rick Bock, Director, OMB State Records Management Division, who both recognized the need for this project through their work with county employees and officials. The North Dakota Association of Counties Executive Committee was eager to work with these state agencies by seeking and administering the grant.

The initial inventory of six counties throughout the state was conducted with the friendly cooperation of the following counties: Burleigh, Cass, Mercer, Morton, Pembina, and Renville. Their willingness to allow strangers to peer through their files and ask questions of the recordkeeping practices enabled the project to get off to a good start.

Over time, it is necessary to update retention schedules so they accurately reflect the records being maintained for the appropriate length of time. Updates may be required due to changes in job responsibilities, changes in retention periods, discontinued programs or new records being created.

The updates to this manual were completed through the assistance of Jodi Aronson, an intern for the North Dakota Association of Counties who worked with counties across North Dakota to resolve records management issues, and Sue Sorneson, Records Management Analyst with Information Services Division.

A number of six-digit record control numbers were changed due to duplication of numbers. Please dispose of the 1988 version of this manual.
II. INTRODUCTION

The Records Management Program for the State of North Dakota was established July 1, 1961 with the enactment of Chapter 54-46 of the North Dakota Century Code. Effective July 1, 1983, the State Records Management Division was transferred from the Secretary of State to the Office of Management and Budget. (Pursuant to Section 54-46-03, N.D.C.C., the Director of the Office of Management and Budget is the State Records Administrator and shall perform the duties of the State Records Administrator as prescribed in chapter 54-46, N.D.C.C.)

County records are under the jurisdiction of the state records management program as specified in Section 54-46-12, N.D.C.C. which is stated as follows:

COUNTY RECORDS - UNIFORM SYSTEM ESTABLISHED BY ADMINISTRATOR

The administrator shall promulgate rules and regulations in accordance with chapter 28-32 consistent with specific requirements of state law for a uniform system of cataloging, reproduction, retention, and final disposition of county records.

Upon promulgation of such rules and regulations all county offices, departments and agencies may authorized to establish and maintain the uniform system prescribed by the administrator.

III. RECORDS MANAGEMENT

A. What is a record?

A record is any document which has been made or received pursuant to law or in connection with the transaction of official business. The document can be in any physical form such as letters, forms, books, photographs, sound recordings or computer disks, tapes, or print-outs. Records contain evidence or information about an organization’s functions, policies and procedures.

B. What is records management?

Records management is the effective control of all types of records including the creation, filing, use, storage, preservation, retrieval, and final disposition of records. It is a method used to ensure that information is available to those who need it, when and where it is needed, and at the lowest possible cost.

C. Why do county governments need records management?

County governments generate a great deal of information (the majority on paper). Sometimes legal requirements make it necessary to keep certain documents. Others are needed for audit purposes. Some may be used for reference by the county or general public. Identifying and preserving these records for the future is important.

Some records are needed for only a short time. County courthouses generally have limited storage space. Knowing which records to be keep and which to dispose is necessary to utilize space effectively.

Properly managing records decreases costs. Not only is space used in an efficient manner, but the need for file cabinets and other equipment can be monitored, avoiding unnecessary purchases. Having records readily available when they are needed prevents lost time in searching and increases productivity.
D. How is this manual used?

This manual contains lists of record series for each county office. Each record series has a record control number, title, description, and retention period. Counties may file their records differently or use titles other than those which appear here.

The schedule of general records are those which are common to many county offices. This schedule contains retention periods for financial, personnel, and general administrative records. (Obsolete records - those which are outdated and no longer created - are no longer listed in a separate schedule. Please complete a Records Disposal Request (SFN 2044, see Appendix B) in order to dispose of these records.)

Each record series has a retention period. This indicates how long a record must be kept by the county. This allows each office to periodically dispose of records that are no longer needed and maintain only necessary records. See Sections IV, VI, and VII for instructions on disposing of records.

E. How were retention periods determined?

The project began with an inventory of the records of six counties which were selected as a cross-section of counties of varying sizes in different parts of the state. Data from this inventory provided the initial listing of records for each type of county governmental office.

That list of records was put into survey format and distributed to all North Dakota county officials. Officials were asked how long each record was used by their office. Many provided information on other records held by their offices and offered constructive criticism on the clarity and usability of the listing of records contained in the survey. Response to the survey provided an indication of the administrative value of the records.

The North Dakota State Auditor’s Office reviewed the list of records and indicated for each record series whether it was necessary to retain it for either fiscal or audit purposes. Legal value was assigned with the assistance of the North Dakota Office of the Attorney General. Staff researched federal and state laws and regulations to determine legal requirements for the retention of records. The State Archivist assessed each record series for its value as an archival or historical resource.

The advisory committee reviewed the retention schedules and offered additional information regarding the uses of the records, methods of recordkeeping, and retention needs. Input from the committee and from the survey of county officials was used to structure and streamline the retention schedules.

F. What is records disposition?

Retention schedules designate if a record should be placed in storage or destroyed. A nonconfidential record to be destroyed may be disposed by landfill. A confidential record will be shredded or burned. Records which have permanent value may be stored at the county level or transferred to the State Archives if designated as an archival record.
G. What are vital records?

Vital records are those essential to the continuity of services such as personnel records, accounts receivable, contracts, and property records. Procedural policies and resolutions of governing bodies are also vital records which provide the direction for future operation.

Disasters such as fires or floods have varying degrees of severity. Local governments need disaster preparedness plans for such events. Three commonly used methods to secure vital records are:

1. Duplication and dispersal: Records are duplicated on paper, microfilm, or magnetic tape. These duplicates should be placed in locations other than primary storage area where the originals are housed.

2. On-site storage: When the only facility available with adequate staff, equipment, and supplies is the primary storage area, several precautions can be taken. The building should have adequate floor load capacity, lighting and ventilation, smoke and fire alarms, sprinklers or halon fire suppression systems, and precautions against leakage and vermin. Fireproof vaults, or cabinets and safes that meet or exceed Underwriters Laboratory Specifications can be a significant guard against catastrophe.

Routine maintenance and simple precautions such as prohibiting food, beverages, and smoking in records areas are recommended. Periodic building, fire, and electrical inspections may be helpful. Exclusive reliance upon on-site vital records protection measures is not recommended because of the potential for total destruction of vital records in the event of a disaster.

3. Off-site storage: An off-site storage center is one which is separate from the primary storage area and is preferable because it is unlikely that the same disaster will occur to both buildings. The site should be close enough for access, control, and updating of records. Libraries and other public buildings may offer suitable storage space.

H. What are ideal storage conditions?

Storage of Inactive Short-Term Records

Records storage areas should be clean, well lighted and ventilated, and free from vermin and excessive heat, cold, and moisture. Environmental conditions for storage of inactive short-term records should approximate those for human comfort. In addition, records storage areas should be equipped with a fire extinguisher. Locks should be adequate to prevent access by unauthorized persons.

Inactive short-term records should be stored in standard-size corrugated boxes (R-Kive, Bankers Box, etc.). Corrugated records boxes are inexpensive especially if compared to the cost of file cabinets. Records boxes should be stored on metal shelving. Record series should not be mixed within the storage boxes. The contents, the retention period, and date of disposal should be marked on the outside of the records storage box. Proper storage facilitates periodic disposal of records. (See Section VIII., Inactive Records for more information on inactive storage).

Storage of Long-Term or Archival Records

Storage area requirements for records of long-term value are similar to those for short-term records, but the longer records are to be maintained, the more critical proper storage conditions and environmental controls become. The loss of valuable permanent records can be very costly and the price of proper maintenance is always less than the cost of rehabilitation.

In time, all materials used for recording information, whether paper, microfilm, or magnetic tape deteriorate. How fast they deteriorate depends upon two things - the material itself and how it is stored.

The most commonly used material, paper, varies widely in quality depending upon what the paper is made from and how it was manufactured. Much paper is acidic either as a result of what it is made from, wood pulp, for example, or as a result of the sizing used to give the paper a smooth writing surface, or a
combination of both. The acid content causes the paper fibers to break down until the paper has little flexibility and breaks or crumbles easily. An example of this can be seen in most old newsprint, but the same thing happens to other grades of paper. Paper used for records with long-term value should be selected carefully.

The storage conditions for paper are important because the chemical activity which breaks down paper fibers responds to both temperature and humidity. Humidity acts as a catalyst in the deterioration process. Therefore, an increase in 10 degrees or less in temperature alone may cut the life of paper in half. An increase in humidity alone will also reduce the life of paper. An increase of both will accelerate deterioration even more. In addition, excess moisture can lead to mold growth. Too little moisture can make paper brittle and cause it to break easily when handled. Large variations in temperature and humidity are also harmful, particularly on bound volumes or anything else made up of more than one type of material.

Ideal storage temperatures depend on the materials being stored. Most of the time, conditions must also be within the human comfort zone so that they can be used. A temperature of 68 degrees provides good storage and will provide reasonably long life for most good quality paper.

Relative humidity should be kept between 35 percent and 50 percent. Lower is almost always better, but very low humidity levels will cause paper to become brittle and break easily, can damage photographic materials (such as microfilm), and may lead to increased static electricity which can cause problems with computer records. Humidity levels higher than 65 percent will promote mold growth. Variations in relative humidity, particularly in concert with variations in temperature, are very damaging to all materials, causing paper to deteriorate, bindings to break, and emulsion to separate from film.

Light can be damaging. Light high in the ultraviolet range, such as sunlight or fluorescent light may cause yellowing of paper and chemical deterioration similar to that caused by high temperatures. Ultraviolet filters over lights or windows and use of closed file cabinets or boxes can protect materials from the damaging effects of light.

How material is stored is important. Unpainted wooden shelves can be very harmful because wood is acidic and acid will migrate to paper that contacts it. Using good quality covered boxes will help protect from damage as well as help protect from dirt and light.

Microfilm has special needs for storage and preservation. Properly exposed and developed microfilm has a long life if properly stored. The original camera negative should never be used for reference, but should be stored under the best available conditions, examined periodically, and used only to produce film copies that may be used for reference. In this way, microfilm can be the closest thing yet to a “permanent” record. ISD Records Management and the State Archives will assist offices in determining the suitability of microfilm storage. The State Archives provides storage for camera negative microfilm of permanent records. Information about this service is available from the State Archivist.

The following guidelines are important for the maintenance of records which have archival value.

1. Use acid-free folders and boxes for archival records.
2. Do not store archival records near overhead water or steam pipes.
3. Protect archival records from direct sunlight and excessive artificial light.
4. Do not use ordinary metal paper clips, rubber bands, or staples when storing archival records. Stainless steel or plastic paper clips may be used.
5. Do not use self-adhesive tape on archival records.
6. Store large bound volumes horizontally, not vertically.
7. Do not flex, fold, or crease archival documents.
8. Eating, drinking, smoking, or use of fountain pens should be prohibited around archival records. Only use pencils when researching archival records.
9. Do not laminate archival records. Most lamination processes are destructive and irreversible.
10. Do not store archival records on the floor. Metal shelves are preferred. Records should be stored at least four inches above the floor and six inches away from walls.
11. Bookmarks and other foreign objects should be removed from archival records.
12. Do not store acidic materials, such as newsprint, with archival records.
13. All loose papers should be boxed in the same manner as filed (including folders).
14. Label all boxes to be stored.
15. Store photographic material in acid-free folders or envelopes. Photographs larger than 8x10 inches should be stored flat. *(Caution: Photographic negatives manufactured before the 1950’s may contain nitrate which makes them highly unstable and flammable. Nitrate negatives should be stored away from other photographs and records.)*
16. Maps, architectural drawings, and oversize documents should be stored flat, unrolled, and unfolded in acid-free folders.

I. Will the county records management program change?

Because county government changes and grows, the records generated will also change. This manual is printed in a loose-leaf format to facilitate additions and deletions. If certain record descriptions or retention periods are found to be awkward or impracticable, revisions can be made to the manual.

Each county official will receive an annual records disposal report from the Office of Management and Budget, ISD Records Management Section to advise which records can be destroyed or transferred to the State Archives. This will enable counties to maintain a current records management program.

IV. PROCEDURES TO ESTABLISH AND MAINTAIN RECORDS MANAGEMENT PROGRAMS

A. Establishment of Record Retention Schedules

The following procedure specified by Administrative Rule 4-06 for establishing record retention periods was established and used.

1. An inventory and a description of the contents of all of the record series located in county offices was completed.
2. The information from these inventories was compiled and the respective offices in all counties were surveyed to determine how long the record series are actually used (administrative value).
3. The inventories were reviewed by the Record Retention Schedule Task Force:
   a. the State Attorney General determined the legal value of each record series;
   b. the State Auditor determined the fiscal value of each record series; and
   c. the State Archivist determined the archival (historical) value of each record series.
4. A record retention schedule was created from the assessment of the administrative, legal, fiscal, and archival (historical) values of each record series.
5. A record retention schedule was provided to each county office along with this “North Dakota County Records Management Manual”.
6. Records to dispose were designated in the record retention schedule and records disposal report.

B. Records Disposal Procedures for Counties

Each county office may dispose of obsolete records in compliance with the retention limits in the Records Retention Schedule. ISD Records Management will provide each county auditor with a Records Disposal Report specifying exact disposal instructions for each record series for each county office.

The Records Disposal Report constitutes approval from the State Records Manager for the disposition of all records for the years indicated in the “Dispose of” column of the report. Comply with the retention schedule on an ongoing basis by disposing of records that have satisfied their retention requirements as outlined in the Records Disposal Report.
Records are to be disposed only in the manner stipulated on the Records Retention Schedule and Records Disposal Report. All nonconfidential records may be disposed of by landfill - in essence, disposed by just “throwing the record in the garbage” or recycling container. Confidential records must be shredded or burned. Records identified as archival should be transferred to the State Historical Society of North Dakota following the procedure outlined in Section VII.

Once the records have been disposed, complete the Certification - Schedule Review and Records Disposal form (SFN 7694--see Appendix C) following the instructions listed at the top of the form. Return the records disposal report and completed Certification - Schedule Review and Records Disposal form to ISD/Records Management, 600 E. Boulevard, Bismarck, ND 58505-0100.

Record series must not be disposed prior to the time approved by ISD Records Management. If a situation warrants early disposal of a record, the procedure outlined in Section VI, Early Disposal of Records, must be followed.

New record series may be added to a Records Retention Schedule by following the procedures outlined in Section V.

In summary, county offices may dispose of records in accordance with the Records Retention Schedule without completing additional forms for disposition approval. ISD Records Management will annually provide to each county a listing of all records and the years of each record series to be disposed, and will periodically monitor offices to ensure compliance with the Records Retention Schedule.

V. ADDING, DELETING, OR CHANGING RECORD SERIES ON COUNTY RETENTION SCHEDULES

County offices may need to add, change, or delete a record series from their Records Retention Schedules. Reasons for the additions, changes, or deletions may be:

A. A program or function may be added to or deleted from your responsibilities resulting in a new record series being added, changed, or deleted.

B. A function or responsibility may be transferred from one county office to another as a result of administrative or legal changes. If the new record contains the same information as the old description, the same description completed by the original office may be used by your office after approval from ISD Records Management.

C. A record series may have been missed during the development of the original Records Retention Schedule.

The following steps must be used to add, change, or delete a record series from the existing retention schedule:

A. Complete the Record Series Description, SFN 2042 (see Appendix A) for each record series to be added to the schedule. All parts of SFN 2042 must be completed with the exception of the legal value, fiscal value, archival value, and records control number.

B. Send the completed Record Series Description to ISD Records Management Division, 600 E. Boulevard, Bismarck, North Dakota 58505-0100. The Records Retention Schedule Task Force will determine the legal, fiscal, and archival values of the records.


VI. EARLY DISPOSAL OF RECORDS

Early disposal of records may only occur as a result of a change in the fiscal value of a record. An example of this is a disposal resulting from early completion of an audit.
If the State Auditor indicates that a record series may be needed for audit purposes, it is assigned a retention period of “three years after the current fiscal year” so it is available for auditing.

If your office has been audited, and the record series in question has been reviewed and released by the auditor, you may petition ISD Records Management for an early disposal of that series. This may be done by completing the Records Disposal Request, SFN 2044 (see Appendix B), which may be obtained from ISD Records Management. The following areas of the form must be completed:

A. County, office name, address, city, and zip code.
B. Record control number.
C. Record title.
D. Inclusive dates of record.
E. Approved retention from record retention schedule.
F. Explain beneath each record title why you are requesting early disposal of that record series.
G. The county official signs the departmental approval section of the report and completes the date, title, and phone number.
H. Send the Records Disposal Request to ISD Records Management. The request will be reviewed and returned to your office. It is the responsibility of your office to verify that the records are no longer needed for current or future audit purposes. The records may be disposed of only after you have received the approval.

ISD Records Management may verify the fiscal value of any record series with the State Auditor.

VII. TRANSFER OF RECORDS TO THE STATE ARCHIVES

How are records transferred to the State Archives?

Transfer procedures vary depending on whether the records are currently being produced and are therefore covered by a records retention schedule or they are obsolete. Records covered by current retention schedules have been appraised for values. Retention periods and methods of disposal have been determined. Many of the records have archival (historical) value. That is, they have continuing value to citizens or the government because they contain evidence or information which protects some right or claim, document significant events or functions, or contain sufficient information about people, places, or events to warrant retention for historical research.

Many of these records have been designated for “permanent” retention. The retention schedule simply recognizes that for legal, functional, or convenience reasons, these records may need to be retained permanently by the office of origin.

Other records generally recognized as being of permanent value are referred to less frequently as they get older and eventually have little value to the office of origin. Some offices may wish to transfer older records of this nature to the State Archives for convenience, improved storage conditions, or security. Retention schedules for these records are written to leave the determination of transfer of these records up to the county office in consultation with the State Archivist.

A third type of record of archival value generally is not legally mandated to be kept permanently and gradually loses most administrative value to the office of origin. Yet, because of the information contained, the records are of sufficient value to retain as archival resources. Only this third type will be indicated for transfer to the State Archives on the annual Records Disposal Report.

Offices that are ready to transfer records listed on a Records Disposal Report should contact the State Archives, which will attempt to pick up the materials within 60 days. The State Archives will issue a receipt for the material received. Records of a type no longer being created should be listed on a Records Disposal Request, SFN 2044. The State Archives will evaluate these records for archival value and designate which records to transfer. Upon receipt of the approved Records Disposal Report the county office may destroy any records not claimed by the State Archives according to the stated disposal date and method.
Following is the procedure to transfer records to the State Archives.

A. Records designated for transfer to the archives on the Records Retention Schedule or the Records Disposal Report are placed in boxes. Keep these boxes separate from records to be disposed by shredding or landfill.

B. Offices should use sturdy, uniform-size records boxes, such as Banker’s Boxes or R-Kive boxes.

C. When packing records for transfer to the State Archives, maintain the existing arrangement of the files. Records should not be removed from file folders and the existing arrangement of the files should not be changed. Boxes should be packed to allow easy removal of files. Do not stuff boxes or pile extra files horizontally on top of vertical files. File folders may be stacked horizontally if there are not enough to fill the box properly. Do not mix record series. A box should contain only one record series unless the series is too small to fill a box properly. Odd-size records, such as bound volumes, maps, and charts, require special handling. Advise the State Archives of the nature of odd-size records so special arrangements can be made for transfer. If file inventories, indexes, keys, and other finding aids to the records are retained for office use, make copies of the finding aids and send them along with the records.

D. Label all boxes in the lower left corner on the front of the box. Use ink to mark the record series title, records control number (from the records retention schedule), and the box number. Information, such as file numbers, serial numbers, or alphabetical designations, should be noted on the box.

E. Contact the State Archives when ready to transfer records. In most cases, State Archives personnel will remove records from your offices and transfer them to the State Archives in the North Dakota Heritage Center. The State Archives staff will help if you have any problems. The State Archives telephone number is 328-2668.

F. The State Archives receives a copy of the Records Disposal Report from ISD Records Management and will verify that records requested for transfer have actually been transferred. State law requires certification of records transferred to the Archives. The State Archivist completes the Certificate of Transfer To State Archives section of the Certification - Schedule Review and Records Disposal, SFN 7694 (see Appendix C), and returns it to ISD Records Management after the record series have been transferred.

VIII. INACTIVE RECORDS

Inactive records are defined as “those records referred to less than once per month per file drawer.” Generally, records become inactive when they have fulfilled the immediate administrative purposes for which they were created.

Offices should transfer records to inactive storage on a regular basis. This frees up file space needed for active records and eliminates the need to purchase additional file equipment. It also minimizes time needed by personnel to file and retrieve active records.

Records moved to inactive storage areas should be boxed or placed in surplus file equipment labeled with the record control number, inclusive dates, date of authorized disposal, and any special instructions. The label found below is available for use by state and county offices. Contact ISD Records Management at 328-3589 for information about obtaining these labels.
IX. CLASSIFICATION SYSTEM FOR RECORDS

Filing is the process of classifying, arranging, sorting, and storing records so that they may be easily located and retrieved when needed. The basic file groups, material collection procedures, file preparation, sorting, indexing, maintenance, and cross referencing are considered for control of information.

ISD Records Management recommends a 30-subject classification system, coordinated among all state and county offices and designed with the capacity to meet the special and individual needs found within each office.

A list of 30 recommended subject classifications with descriptions is on pages 16-20. This classification system can be used in either vertical file cabinets or open-shelf filing units.

VERTICAL FILING SYSTEMS

Third-cut file guides and folders are used for the classification system in vertical file cabinets.

The PRIMARY INDEXING UNIT will be the subject name and numbers from the list on page 16. These are placed on the left-position guides only.

Subjects which do not apply to a specific office will be omitted. Guides or folders should not be prepared for omitted subjects.

The SECONDARY INDEXING UNIT will be the record series names which are determined through the records inventory. These will be placed on the middle-position guides.

The TERTIARY INDEXING UNIT will be subfile units within a record series. These are the right-position folders. All file folders should be identified and labeled by year. Groups of folders for the current year placed in front of those for prior years.

Use of folders and guides with the classification system is illustrated on page 14. A different color label will be used for each new primary indexing unit. This color would be the same on all guides and folders until the next primary indexing unit begins. A different color label should be used for each new primary indexing unit.

OPEN-SHELF FILING SYSTEMS

Open-shelf filing systems require the following file supplies:
1. End tab folders - straight tab cut
2. Color-coded numeric labels (0-9)
3. Self-adhesive folder labels with color bar

Guides are not necessary in color-coded, open-shelf systems because the change of colors indicate the change of subject.

The PRIMARY INDEXING UNIT uses the color-coded numeric labels.

The SECONDARY INDEXING UNIT will be typed as the first line of the label. It will be the record series name that was determined through the records inventory.

The TERTIARY INDEXING UNIT will be typed as the second line of the label. It will be the subfile units within a record series.

Following is an example of a typed label:

50-(LG) COURT CASES
       SMITH vs. JONES, 1986

This label is read as follows:

50-(LG) Primary Indexing Unit
COURT CASES - Secondary Indexing Unit
Smith vs. Jones - Tertiary Indexing Unit
1986 - All file folders in open-shelf or vertical filing systems should be identified and labeled by year.

An example of the open-shelf filing system is on page 15.

ISD Records Management will assist state or county offices in determining the subject classifications in which the agency’s records would be located. This will result in an individualized filing system coordinated to the statewide records management program.

For more information on the subject classification system, call the Records Management Analyst at 328-3589.

CLASSIFICATION SYSTEM FOLDER LAYOUT

VERTICAL FILING SYSTEM
OPEN SHELF FILING SYSTEM

10 (AS)  
CORRESPONDENCE WATER COMMISSION 1986

10 (AS)  
CORRESPONDENCE WHEAT COMMISSION 1986

19 (CF)  
ADOPTIONS JONES 1986

22 (C/M)  
CORRESPONDENCE COUNCIL ON AGING 1986

22 (C/M)  
MINUTES COUNCIL ON AGING 1986
STATE OF NORTH DAKOTA SUBJECT CLASSIFICATION SYSTEM

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>(ACT) ACCOUNTING</td>
</tr>
<tr>
<td>05</td>
<td>(AF) AGENCY FEDERAL</td>
</tr>
<tr>
<td>10</td>
<td>(AS) AGENCY STATE</td>
</tr>
<tr>
<td>14</td>
<td>(AOC) ASSOCIATIONS</td>
</tr>
<tr>
<td>15</td>
<td>(AUD) AUDITS</td>
</tr>
<tr>
<td>17</td>
<td>(BUD) BUDGETS</td>
</tr>
<tr>
<td>18</td>
<td>(CR) CIVIL RIGHTS</td>
</tr>
<tr>
<td>19</td>
<td>(CF) CASE FILES</td>
</tr>
<tr>
<td>22</td>
<td>(C/M) COMMITTEE/MEETINGS</td>
</tr>
<tr>
<td>26</td>
<td>(COM) COMMUNICATIONS/NEWS RELEASES</td>
</tr>
<tr>
<td>28</td>
<td>(CON) CONSULTANTS</td>
</tr>
<tr>
<td>30</td>
<td>(C/L/A) CONTRACTS/LEASES/AGREEMENTS</td>
</tr>
<tr>
<td>35</td>
<td>(ED/T) EDUCATION/TRAINING</td>
</tr>
<tr>
<td>43</td>
<td>(EQ) EQUIPMENT (owned or leased by your department)</td>
</tr>
<tr>
<td>44</td>
<td>(FOR) FORMS</td>
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<tr>
<td>45</td>
<td>(GC) GENERAL CORRESPONDENCE</td>
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<td>47</td>
<td>(INS) INSURANCE</td>
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<td>50</td>
<td>(LG) LEGAL</td>
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<td>(LEG) LEGISLATION</td>
</tr>
<tr>
<td>60</td>
<td>(PER) PERSONNEL</td>
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<tr>
<td>65</td>
<td>(P/P) POLICIES/PROCEDURES</td>
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<tr>
<td>70</td>
<td>(PS) POLITICAL SUBDIVISIONS</td>
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<td>72</td>
<td>(REF) REFERENCE INFORMATION</td>
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<td>(SA) SAFETY/SECURITY</td>
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<tr>
<td>80</td>
<td>(SPS) PROGRAMS AND SERVICES</td>
</tr>
<tr>
<td>81</td>
<td>(SPR) SPECIAL PROJECT</td>
</tr>
<tr>
<td>85</td>
<td>(S/D) STAFF/DIVISION/UNIT</td>
</tr>
<tr>
<td>90</td>
<td>(S/S/R) SURVEY/STUDY/REPORT</td>
</tr>
<tr>
<td>95</td>
<td>(TS) TRANSPORTATION SYSTEMS</td>
</tr>
<tr>
<td>97</td>
<td>(VI) VENDOR INFORMATION</td>
</tr>
</tbody>
</table>
N.D. County Records Management Manual

DEFINITIONS OF NORTH DAKOTA STATE AND COUNTY SUBJECT CLASSIFICATION SYSTEM

01 (ACT) ACCOUNTING - All functions involved in a financial transaction.
  accounts payable
  accounts receivable
  audits (intradepartmental) - (State Auditor) - agency
  budgets (intradepartmental)
  funds
  inventories
  invoices
  liabilities
  payroll
  purchase orders
  requisitions
  revenue sharing
  status of funds
  tax vouchers

05 (AF) AGENCY FEDERAL - Information related to a federal agency (reports, data, correspondence, etc.)
  Bureau of Reclamation/Water and Power Resources
  Civil Service Commission
  Corps of Engineers
  Environmental Protection Agency

10 (AS) AGENCY STATE - Information relating to any state agency (reports, data, correspondence, etc.)
  Attorney General
  Director of Institutions
  Game and Fish
  Governor
  Health and Consolidated Laboratories
  Highway Department
  Highway Patrol
  Labor Commission
  Motor Vehicle Department
  NDPERS
  Parks and Recreation
  Public Service Commission
  State Historical Society
  Water Commission
  Workers Compensation

14 (AOC) ASSOCIATIONS - Information concerning organizations outside of the department. (Corporate data, membership rosters, institutes, trade groups.)
  ARMA
  County Commissioner
  Corridor Board
  Greater North Dakota Association
  Mississippi Valley Conference
  National Association of Governors
  Highway Safety Representation
  Wildlife Society

15 (AUD) AUDITS - All information related to audit projects (reports, data, correspondence, etc.).
Generally, audit information will be placed under 01-Accounting. Upon request, ISD Records Management will evaluate the need to place audit information under this category.
17 (BUD) BUDGETS - All information related to budgeting (reports, data, correspondence, etc.). Generally, budget information will be placed under 01-Accounting. Upon request, ISD Records Management will evaluate the need to place budget information under this category.

18 (CR) CIVIL RIGHTS - Material relating to affirmative action, EEO, equal employment, minority businesses, and Title IV, VI, and VIII.
   Audits
   Discrimination complaints
   Manuals
   Programs
   Projects
   Reports

19 (CF) CASE FILES - Includes all records retained as case files.
   Clinical case files
   Medical case files
   Social Services case files

22 (C/M) COMMITTEE/MEETING - Committees, councils, boards, objectives, agendas, schedules, minutes, reports of and on meetings for the office/department.
   Directors meetings
   Regional Councils

26 (COM) COMMUNICATIONS - Material dealing with any form of communication the agency has with the media or public.
   New releases
   Publications printed by your office
   Speeches

28 (CON) CONSULTANTS - Companies, engineers, or individuals that are or have the potential of being contracted by the department. Include contract and reimbursement information, references, proposals, audits, guidelines. File by corporate title.

30 (C/L/A) CONTRACTS/LEASES/AGREEMENTS - Information or documents regarding office agreements, leases, and contracts.
   Bid letting
   Deeds

35 (ED/T) EDUCATION/TRAINING - Any information regarding education, training, seminars, etc. that an employee attends or that is sponsored by the office.
   Funding
   Pamphlets
   Scholarships

43 (EQ) EQUIPMENT - Any information related to equipment actually owned or leased by the office (cameras, computers, copiers, readers, typewriters, etc.)
   Owners manuals
   Service reports
   Specification lists

44 (FOR) FORMS MANAGEMENT - All original forms used by your agency.

45 (GC) GENERAL CORRESPONDENCE - A miscellaneous category used only if records don't fall under any other category. These should have a short life span.

47 (INS) INSURANCE - Any insurance related information which pertains to the office.
   Claims
Policies

50 (LG) LEGAL - Any communication with the Legal Division or law firms.
   Attorney General opinions
   Claims
   Complaints (see 18 Civil Rights)
   Litigation

55 (LEG) LEGISLATION - Reference material on what is proposed or enacted into law (federal, state, county, township, municipal).
   Initiatives
   Laws
   Referendums
   Regulations
   Requirements

60 (PER) PERSONNEL - Any information relating to personnel of the agency.
   Awards
   Benefits
   Compensation
   Development
   Employment records
   Job descriptions
   Orientation
   Position classification
   Resumes

65 (P/P) POLICIES/PROCEDURES - Guidelines on established principles and methods of operation for the office.
   Lists
   Manuals

70 (PS) POLITICAL SUBDIVISIONS - Any city, county, or township information not relating to a project file.
   Zoning

72 (REF) REFERENCE MATERIALS - Material used for reference purposes only.
   Books
   Magazines

75 (SA) SAFETY/SECURITY - Records relating to operating safety requirements, precautions, protection from damages, risk, injury, responsibility, and reports pertaining to safety.
   OSHA
   Personnel safety
   Procedures
   Regulations

80 (SPS) PROGRAMS, PROJECTS, AND SERVICES - Programs and services not related to other categories. Includes programs and services provided by your department.
   Busing for elderly
   Disaster emergency
   Garrison Diversion
   Grants
   Pavement markings
   Special mill levy program

81 (SPR) SPECIAL PROJECTS - Special projects provided by your department. These projects are generally "one-time" and are of shorter duration than programs or services.
85 (S/D) STAFF/DIVISION/UNIT - Statistical data, memos within your own staff or with other divisions within your own agency/department. These will have a short life span.
   Intra-agency correspondence
   Monthly staff reports
   Travel

90 (S/S/R) SURVEY/STUDY/REPORT - Statistical data, comprehensive, or comparative studies, or recurring reports that don't pertain to any other category.

95 (TS) TRANSPORTATION SYSTEM - Material relating to airways, railways, roadways, and waterways.

97 (VI) VENDOR INFORMATION - All information received from vendors for equipment not owned, leased, or used by your department.
   Brochures
   Pamphlets
   Specifications
### Abbreviations Used for Record Retention Schedules

<table>
<thead>
<tr>
<th>Abbrev.</th>
<th>Terminology</th>
<th>Abbrev.</th>
<th>Terminology</th>
</tr>
</thead>
<tbody>
<tr>
<td>A/#AP</td>
<td>After # Audit Periods</td>
<td>DUP</td>
<td>Duplicated in Another Agency</td>
</tr>
<tr>
<td>AA</td>
<td>After Audit</td>
<td>EOC</td>
<td>End of Construction</td>
</tr>
<tr>
<td>AAC</td>
<td>After Account Closed</td>
<td>EOS</td>
<td>End of Season</td>
</tr>
<tr>
<td>AAFA</td>
<td>After Approved Federal Audit</td>
<td>EP</td>
<td>Effective Period</td>
</tr>
<tr>
<td>ABC</td>
<td>After Business Closes</td>
<td>FL</td>
<td>Film Life</td>
</tr>
<tr>
<td>AC</td>
<td>After Conference</td>
<td>FT</td>
<td>From Termination</td>
</tr>
<tr>
<td>ACC</td>
<td>After Case Closed</td>
<td>FUD</td>
<td>Federal Update</td>
</tr>
<tr>
<td>ACD</td>
<td>After Class Delivered</td>
<td>LA</td>
<td>Life of Agreement</td>
</tr>
<tr>
<td>ACF</td>
<td>After Card is Full</td>
<td>LB</td>
<td>Life of Bond</td>
</tr>
<tr>
<td>ACFC</td>
<td>After Computer File Completed</td>
<td>LD</td>
<td>Life of the Dealer</td>
</tr>
<tr>
<td>ACFY</td>
<td>After Current Fiscal Year</td>
<td>LM</td>
<td>Life of Member</td>
</tr>
<tr>
<td>ACM*</td>
<td>After Conditions Met</td>
<td>LOA</td>
<td>Life of Applicant</td>
</tr>
<tr>
<td>ACP</td>
<td>After Close of Policy</td>
<td>LOB</td>
<td>Life of Bridge/Building</td>
</tr>
<tr>
<td>ACR</td>
<td>After Code Repealed</td>
<td>LOC</td>
<td>Life/Length of Contract</td>
</tr>
<tr>
<td>ACY</td>
<td>After the Current Year</td>
<td>LOD</td>
<td>Length of Deduction</td>
</tr>
<tr>
<td>AD</td>
<td>After Disposal</td>
<td>LOE</td>
<td>Life of Equipment</td>
</tr>
<tr>
<td>ADI</td>
<td>After Date of Issuance</td>
<td>LOF</td>
<td>Life of Form</td>
</tr>
<tr>
<td>ADIN</td>
<td>After Deletion of Inventory Number</td>
<td>LOM</td>
<td>Life of Machine</td>
</tr>
<tr>
<td>AE</td>
<td>After Expired</td>
<td>LOP</td>
<td>Life of Program</td>
</tr>
<tr>
<td>AES</td>
<td>After Expiration of Sentence</td>
<td>LOR</td>
<td>Life of Road</td>
</tr>
<tr>
<td>AF</td>
<td>After Full</td>
<td>LOS</td>
<td>Life of System</td>
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<tr>
<td>AFC</td>
<td>After Full Collection</td>
<td>LOT</td>
<td>Life of Teacher</td>
</tr>
<tr>
<td>AFD</td>
<td>After Final Disposition</td>
<td>LR</td>
<td>Length of Rental</td>
</tr>
<tr>
<td>AFP</td>
<td>After Final Payment</td>
<td>MO</td>
<td>Month</td>
</tr>
<tr>
<td>AFRS</td>
<td>After Final Report Submitted</td>
<td>NS</td>
<td>Not Specified</td>
</tr>
<tr>
<td>AGC</td>
<td>After Grant Closed</td>
<td>O+CR</td>
<td>Original plus Current</td>
</tr>
<tr>
<td>AGE</td>
<td>After Garnishment Ends</td>
<td>PA</td>
<td>Past Appointment</td>
</tr>
<tr>
<td>AL</td>
<td>After Legislature</td>
<td>PERM</td>
<td>Permanent (PR)</td>
</tr>
<tr>
<td>ALA</td>
<td>After Last Activity/After Last Action</td>
<td>RY</td>
<td>Review Yearly</td>
</tr>
<tr>
<td>ALII</td>
<td>After Lost Item Issued</td>
<td>SPF</td>
<td>Sent to Project File</td>
</tr>
<tr>
<td>AM</td>
<td>After Maturity</td>
<td>UA</td>
<td>Until Automated</td>
</tr>
<tr>
<td>AP</td>
<td>After Paid</td>
<td>UC</td>
<td>Until Canceled</td>
</tr>
<tr>
<td>APAR</td>
<td>After Printing of Annual Report</td>
<td>UD</td>
<td>Updated/update</td>
</tr>
<tr>
<td>AR</td>
<td>Administrative Review</td>
<td>UDPC</td>
<td>Until Disciplinary Period Completed</td>
</tr>
<tr>
<td>APC</td>
<td>After Project Completed</td>
<td>UDR</td>
<td>Until Disciplinary Period Completed</td>
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<tr>
<td>ASC</td>
<td>After Survey Complete</td>
<td>UCG</td>
<td>Until Certificate Granted</td>
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<tr>
<td>ASCS</td>
<td>After Construction Sent to County</td>
<td>UHSC</td>
<td>Until High School Completed</td>
</tr>
<tr>
<td>AT</td>
<td>After Termination</td>
<td>ULC</td>
<td>Until Let to Contract</td>
</tr>
<tr>
<td>ATE</td>
<td>After Training Ends</td>
<td>UM</td>
<td>Until Microfilmed</td>
</tr>
<tr>
<td>AW</td>
<td>After Withdraw</td>
<td>UMR</td>
<td>Until Maturity Reached (age 18)</td>
</tr>
<tr>
<td>CB</td>
<td>Current Biennium</td>
<td>UR</td>
<td>Until Renewed/Registered</td>
</tr>
<tr>
<td>CBBP</td>
<td>Current Biennium Previous Biennium</td>
<td>URQ</td>
<td>Until Released from Quarantine</td>
</tr>
<tr>
<td>CBY</td>
<td>Current Biennial Year</td>
<td>US</td>
<td>Until Summarized</td>
</tr>
<tr>
<td>CC</td>
<td>Chart Completed</td>
<td>USR</td>
<td>Until Security Recalled</td>
</tr>
<tr>
<td>CFY</td>
<td>Current Fiscal Year</td>
<td>UW</td>
<td>Until Withdrawed</td>
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<tr>
<td>CR</td>
<td>Current</td>
<td>VL</td>
<td>Vehicle Life</td>
</tr>
<tr>
<td>CY</td>
<td>Current Year</td>
<td>WA</td>
<td>While Active</td>
</tr>
<tr>
<td>DISP</td>
<td>Dispose of Record No Longer Created</td>
<td>YR</td>
<td>Year</td>
</tr>
</tbody>
</table>

*AFTER CONDITIONS MET - CONDITION SPECIFIC TO YOUR AGENCY*