

RECORDS COMMISSION[671]

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CHAPTER 1
ORGANIZATION AND RESPONSIBILITIES

Chapter rescission date pursuant to Iowa Code section 17A.7: 1/1/28

671—1.1(17A,305) Description of organization.

1.1(1) *State records commission.* The membership of the state records commission shall be composed of the following officials or their designees: the secretary of state, the director of the department of cultural affairs, the treasurer of state, the director of revenue, the director of the department of management, the state librarian, the auditor of state, and the director of the department of administrative services. The chairperson shall be elected biennially from the membership.

1.1(2) *Location.* Communication with the state records commission may be established through the State Archives and Records Bureau, Department of Cultural Affairs, State Historical Building, 600 East Locust Street, Des Moines, Iowa 50319.

1.1(3) *Meetings.* Commission meetings shall be held quarterly and at the call of the chairperson. In accordance with state open meeting laws, agendas for meetings will be posted at the state historical building and on the commission's Web site www.iowasrc.org. Two-thirds of the commission membership shall be a quorum for the purpose of conducting business. Actions of the commission shall be by simple majority of members present.

671—1.2(305) Definitions. The definitions that apply to 671—Chapters 1 to 8 and 14 shall be as follows and as set forth in Iowa Code section 305.2, unless otherwise specified.

"Non-record materials" means documents and informational materials that do not meet the statutory definition of a record (Iowa Code section 305.2(9)) or that are excluded from the definition. Non-record materials include library and museum material made or acquired and preserved solely for reference or exhibition purposes, stocks of publications and unprocessed forms, and extra copies of documents made, acquired or received only for convenience or reference purposes.

"Office of record" means the agency in which a record, as defined in Iowa Code section 305.2, is created, produced, executed or received in connection with official business of that agency. The office of record is responsible for maintenance and disposition of records in accordance with approved records series retention and disposition schedules.

"Record" means a document, book, paper, electronic record, photograph, sound recording, or other material, regardless of physical form or characteristics, made, produced, executed, or received pursuant to law in connection with the transaction of official business of state government.

"Reference copy" is a copy of a record kept for easy access to the information the record contains. A reference copy of a record may be distributed to make recipients aware of the content of the record but not to direct the recipient to take action on a matter.

671—1.3(17A,305) Responsibilities.

1.3(1) *State records commission.* The state records commission shall be responsible for development and adoption of government information policies, standards and guidelines, and records series retention and disposition schedules that provide for economy and efficiency in the creation, organization, maintenance, administrative use, security, public accountability, storage, retention and final disposition by destruction or permanent preservation of records.

1.3(2) *Department of cultural affairs.* The department of cultural affairs, through its state archives and records bureau, shall be responsible for providing administrative support to the state records commission.

a. The bureau chief of the state archives and records bureau shall serve as secretary to the commission and shall maintain all records of the commission.

b. The department of cultural affairs shall administer the state archives of Iowa, in accordance with 223—Chapter 3, to preserve, protect and provide public access to state government records that have been identified by the commission as having enduring value and that have been transferred to the state archives of Iowa.

c. The department of cultural affairs shall administer the state records center, which the state records commission has established, to provide efficient, low-cost, secure storage for noncurrent, nonpermanent records.

d. The department of cultural affairs shall provide training opportunities for agencies on records management issues.

1.3(3) Agency head. An agency head shall implement the state of Iowa government records program by:

a. Cooperating with the state records commission and the state archives and records bureau in the development and implementation of the state of Iowa government records program.

b. Appointing one or more records officers to coordinate the records program or programs within the agency and to serve as liaisons to the state archives and records bureau by completing a Records Officer(s) and Authorized Users: Department Information Sheet form as described in rule 671—5.3(305);

c. Maintaining or causing to be maintained complete and accurate records documenting the agency's implementation of the state of Iowa records program;

d. Providing secure, environmentally appropriate storage areas for all records in the physical custody of the agency head and providing public access to those records in accordance with the agency's fair information practices rules;

e. Maintaining legal custody of all agency records stored in the state records center and providing public access to those records in accordance with the agency's fair information practices rules;

f. Appointing the agency's authorized users who shall have access to agency records stored in the state records center and who shall have authority to borrow, with the prior consent of the state archivist, agency records in the custody of the state archives of Iowa. An agency head appoints the agency's authorized users by completing a Records Officer(s) and Authorized Users: Department Information Sheet form as described in rule 671—5.3(305); and

g. Transferring legal custody of records that are transferred to the state archives of Iowa in accordance with Iowa Code Supplement section 305.9, subsection 1.

671—1.4(17A,305) Responsibilities of exempt agencies.

1.4(1) The Iowa department of transportation and the institutions under the Iowa board of regents are exempt from Iowa Code Supplement chapter 305.

1.4(2) Exempt agencies shall adopt rules in accordance with Iowa Code chapter 17A that are consistent with the objectives of Iowa Code Supplement chapter 305. These rules shall be submitted to the state records commission for approval prior to filing with the administrative rules coordinator.

These rules are intended to implement Iowa Code Supplement chapter 305.

[Filed 3/16/77, Notice 2/9/77—published 4/6/77, effective 5/11/77]

[Filed 8/22/96, Notice 7/3/96—published 9/11/96, effective 10/16/96]

[Filed 5/21/04, Notice 3/17/04—published 6/9/04, effective 7/14/04]

[Filed 12/1/06, Notice 10/11/06—published 12/20/06, effective 1/24/07]

CHAPTER 2
STATE RECORDS MANUAL

Chapter rescission date pursuant to Iowa Code section 17A.7: 1/1/28

671—2.1(305) Authority of the manual. The state records manual is an interagency manual set forth in accordance with Iowa Code section 17A.2(11)“c.”

671—2.2(305) Content of the manual. The state records commission shall, through the state archives and records bureau, create and maintain a state records manual that contains:

1. Records series retention and disposition schedules adopted by the state records commission;
2. Detailed procedures for agency interaction with the state records commission and the state archives and records bureau for such activities as the development and revision of records series retention and disposition schedules, transfer and storage of records, access and retrieval of records from storage, and destruction of records;
3. Guidelines adopted by the state records commission to assist an agency head in implementing an efficient government records program within the agency; and
4. Reference copies of Iowa Code Supplement chapter 305 and 671—Chapters 1 to 8 and 14, Iowa Administrative Code.

671—2.3(305) Applicability of the manual. The provisions of the state records manual are applicable to all executive, legislative and judicial branch agencies subject to Iowa Code Supplement chapter 305.

671—2.4(305) Availability of the manual. The state records commission shall, through the state archives and records bureau, maintain a current state records manual and shall make that manual available to all agencies. Copies of the state records manual, either on paper or in electronic format, will be available to the public on demand for the cost of publication and distribution. Price information will be available from the state archives and records bureau.

These rules are intended to implement Iowa Code Supplement chapter 305.

[Filed 3/16/77, Notice 2/9/77—published 4/6/77, effective 5/11/77]

[Filed emergency 3/4/82—published 3/31/82, effective 3/12/82]

[Filed 8/22/96, Notice 7/3/96—published 9/11/96, effective 10/16/96]

[Filed 5/21/04, Notice 3/17/04—published 6/9/04, effective 7/14/04]

CHAPTER 3
RECORDS SERIES RETENTION AND DISPOSITION SCHEDULES PROCESS

Chapter rescission date pursuant to Iowa Code section 17A.7: 1/1/28

671—3.1(305) Purpose. Records series retention and disposition schedules establish a timetable for the retention and eventual disposition of state government records. The process employed to develop or revise records series retention and disposition schedules is designed to ensure the evaluation of administrative, legal, fiscal and historical values for records series in order to establish appropriate periods of time for holding records in office and storage areas prior to final disposition by destruction or permanent preservation.

671—3.2(305) Form to use. A Records Series Inventory and Retention and Disposition Schedule Form is used for the inventorying of agency records and for the development or revision of records series retention and disposition schedules. The form is available from the state archives and records bureau of the department of cultural affairs.

671—3.3(305) Agency responsibility.

3.3(1) An agency head shall maintain or cause to be maintained an inventory of records that are made, produced, executed, or received by the agency pursuant to statute in connection with the transaction of official business of state government, whether those records are created or maintained in an electronic system or in a paper system.

3.3(2) An agency head shall initiate or cause to be initiated a new Records Series Inventory and Retention and Disposition Schedule Form for previously unscheduled records series and, when needed, a Records Series Inventory and Retention and Disposition Schedule Form for revision of an existing records series retention and disposition schedule, whether a records series is created or maintained in an electronic system or in a paper system.

3.3(3) An agency head shall provide or cause to be provided complete and thorough responses to the questions on the Records Series Inventory and Retention and Disposition Schedule Form and shall work in a collaborative manner with the state archives and records bureau so that the state archives and records bureau can finalize the records series retention and disposition schedule recommendations for presentation to the state records commission.

671—3.4(305) State archives and records bureau responsibility. The state archives and records bureau shall expeditiously review a Records Series Inventory and Retention and Disposition Schedule Form as drafted by an agency, analyze the data reported thereon, and work in a collaborative manner with an agency to finalize the records series retention and disposition schedule recommendations for presentation to the state records commission.

671—3.5(305) State records commission responsibility. The state records commission shall evaluate a records series retention and disposition schedule recommendation presented by the state archives and records bureau to ensure that the state archives and records bureau has considered the administrative, legal, fiscal and historical values when preparing the recommendation and to ensure that the records series retention and disposition schedule recommendation is consistent with other adopted records series retention and disposition schedules. The commission may:

1. Adopt the proposed records series retention and disposition schedule as presented;
2. Amend the proposed records series retention and disposition schedule as the commission deems appropriate; or
3. Return the proposed records series retention and disposition schedule to the state archives and records bureau for additional research before the commission takes final action.

671—3.6(305) Effective date. Records series retention and disposition schedules shall become effective 20 calendar days after commission approval.

671—3.7(305) Procedures. Detailed procedures, including a sample copy of the Records Series Inventory and Retention and Disposition Schedule Form, are available in the state records manual.

These rules are intended to implement Iowa Code Supplement chapter 305.

[Filed 5/21/04, Notice 3/17/04—published 6/9/04, effective 7/14/04]

CHAPTER 4
TEMPORARY RECORDS—TRANSFER AND STORAGE PROCESS

Chapter rescission date pursuant to Iowa Code section 17A.7: 1/1/28

671—4.1(305) Purpose. In order to assist in the maximum efficiency of state government operations, the state records commission operates the state records center, a secure, low-cost storage facility for the temporary storage of records. Central offices of state agencies shall, and field offices may, use the state records center for storage of temporary records in accordance with approved records series retention and disposition schedules.

671—4.2(305) Forms to use. The following forms shall be used in the process for transferring and storing temporary records:

4.2(1) A Records Transfer Authorization form obtained from the state archives and records bureau documents the transfer of a record from an agency to the state records center.

4.2(2) A Record Interfile Request form shall be attached to an agency record to be filed into a box of records already stored in the state records center.

4.2(3) A Records Officer(s) and Authorized Users: Department Information Sheet form obtained from the state archives and records bureau documents the appointment of an agency records officer and an agency's authorized user in accordance with 671—subrule 5.4(1).

4.2(4) A One-Time Records User Authorization form obtained from the state archives and records bureau documents the identification of a nonauthorized agency staff person who requires emergency permanent removal of a file or box of records in the state records center in accordance with 671—subrule 5.4(3).

671—4.3(305) Agency records officer's responsibility.

4.3(1) An agency records officer shall:

a. Transfer records to the state records center in accordance with established records series retention and disposition schedules;

b. Review, verify, sign and submit a completed Records Transfer Authorization form to the state archives and records bureau for approval prior to the physical transfer of records from the agency;

c. Cooperate with the state archives and records bureau in correcting an incomplete or inaccurate Records Transfer Authorization form; and

d. Maintain the agency copy of a Records Transfer Authorization form documenting the transfer of records to the state records center for storage.

4.3(2) Requests for interfiling. An agency records officer may transfer a limited number of records to the state records center by attaching a Record Interfile Request form to each record to be filed with or into a box of records that is in the state records center.

4.3(3) Requests for permanent removal of records. An agency's authorized user may request the permanent removal of an individual record or an entire box of records from the state records center by using a Record Retrieval Request form.

4.3(4) Return of permanently removed records to storage. In the event an agency records officer wishes to return to the state records center an entire box of records that has been permanently removed from the state records center, a new Records Transfer Authorization form must be completed, reviewed, signed and submitted to the state archives and records bureau for approval prior to the physical transfer of the records to the state records center.

671—4.4(305) State archives and records bureau responsibility.

4.4(1) The state archives and records bureau shall review and approve a completed Records Transfer Authorization form in a timely manner and shall assist an agency in correcting an incomplete or inaccurate Records Transfer Authorization form.

4.4(2) After approving a Records Transfer Authorization form, the state archives and records bureau shall arrange with the agency for the physical transfer of records to the state records center.

4.4(3) The state archives and records bureau shall establish and maintain inventory control of boxes of records transferred to the state records center and shall make box locating information available to the agencies.

4.4(4) The state archives and records bureau shall provide a secure and environmentally appropriate storage area for all records that have been transferred to the state records center for storage.

4.4(5) Requests for interfiling. The state archives and records bureau may at its discretion:

a. File a record using the locating information provided on the Record Interfile Request form attached to the record;

b. Return the record to the agency records officer for clarification or additional locating information;
or

c. Request that the agency do the interfiling if the volume of material is excessive.

4.4(6) Requests for permanent removal of records. State archives and records bureau staff shall permanently remove agency records only to an authorized user on the agency's Records Officer(s) and Authorized Users: Department Information Sheet form or to an agency staff person for whom the state archives and records bureau has received a One-Time Records User Authorization form.

4.4(7) In the event a box of records that has been permanently removed to an agency is returned to the state records center to be refiled in its original location, that box of records will be returned to the agency pending submission of a completed Records Transfer Authorization form in accordance with subrule 4.3(4).

671—4.5(305) Procedures. Detailed procedures, including sample copies of the Records Transfer Authorization, the Record Interfile Request, the Record Retrieval Request, the Records Officer(s) and Authorized Users: Department Information Sheet, and the One-Time Records User Authorization forms, are available in the state records manual.

These rules are intended to implement Iowa Code Supplement chapter 305.

[Filed 5/21/04, Notice 3/17/04—published 6/9/04, effective 7/14/04]

CHAPTER 5
TEMPORARY RECORDS—ACCESS PROCESS

Chapter rescission date pursuant to Iowa Code section 17A.7: 1/1/28

671—5.1(305) Purpose. The state archives and records bureau provides access to a record stored in the state records center only to a state agency. The state archives and records bureau does not provide access to a record stored in the state records center to a member of the public.

671—5.2(305) Definitions. In addition to the definitions set forth in Iowa Code Supplement section 305.2, the following definitions shall apply to 671—Chapters 1 to 8 and 14:

“Authorized user” means an agency staff person appointed by an agency head to have the authority to review or remove an agency record from the state records center and the authority to borrow, with prior approval of the state archivist, an agency record from the state archives of Iowa for administrative use in the agency. The auditor of state’s office is an ex officio authorized user for purposes of auditing financial records of state agencies.

“Original warrant user” means an agency staff person appointed by the treasurer of state to have the authority to retrieve or remove an original redeemed warrant from storage in the state records center.

671—5.3(305) Forms to use. The following forms, which are available from the state archives and records bureau, shall be used in the process of accessing temporary records:

5.3(1) A Records Officer(s) and Authorized Users: Department Information Sheet form is used to appoint an agency records officer and to appoint an agency’s authorized users.

5.3(2) A Record Retrieval Request form is used to request access to a file or box of records stored in the state records center.

5.3(3) A One-Time Records User Authorization form is used to provide a nonauthorized agency staff member emergency access to a file or box of records stored in the state records center.

5.3(4) A Request for Copies of State Warrants form is used to request a copy of a redeemed state warrant stored in the state records center.

5.3(5) An Original Warrant Release form is used to request access to an original redeemed state warrant stored in the state records center.

671—5.4(305) Access to a file or box of records.

5.4(1) An agency head shall complete and file a Records Officer(s) and Authorized Users: Department Information Sheet form with the state archives and records bureau to appoint the department records officer(s) and to identify those agency staff members appointed as authorized users for the purpose of access to agency records in the state records center.

5.4(2) An authorized user who requires access to or the return of a file or box of records from the state records center shall properly complete, or provide information to the state archives and records bureau to complete, a Record Retrieval Request form prior to use or release of the record.

5.4(3) In the event a nonauthorized agency staff member requires emergency access to a file or box of records in the state records center, an agency records officer shall complete a One-Time Records User Authorization form prior to the use or release of the record.

5.4(4) Upon completion of temporary use by an agency’s authorized user, the authorized user shall return the file or box with its attached copy of the Record Retrieval Request form to the state records center.

671—5.5(305) Access to a redeemed state warrant.

5.5(1) An original warrant user may request access to an original redeemed state warrant stored at the state records center by providing to the state archives and records bureau a properly completed Original Warrant Release form prior to use or release of the original redeemed warrant.

5.5(2) Upon completion of use, the original redeemed state warrant shall be returned to the state records center with its attached copy of the Original Warrant Release form.

5.5(3) An agency's authorized user shall provide to the state archives and records bureau a properly completed Request for Copies of State Warrants form to request a copy of a redeemed state warrant stored at the state records center prior to release of the copy of the redeemed state warrant.

671—5.6(305) State archives and records bureau responsibility.

5.6(1) The state archives and records bureau shall make an agency record in the state records center available only to an authorized user on the agency's Records Officer(s) and Authorized Users: Department Information Sheet form or to an agency staff person for whom the state archives and records bureau has received a One-Time Records User Authorization form.

5.6(2) The state archives and records bureau shall make all agency financial records in the state records center available to the auditor of state for purposes of financial audit unless those records are otherwise protected by law.

5.6(3) The state archives and records bureau shall attach a copy of the completed Record Retrieval Request form to each file or box returned to an agency.

5.6(4) The state archives and records bureau shall refile a file or a box of records using the locating information on the Record Retrieval Request form attached to the file or box of records.

671—5.7(305) Procedures. Detailed procedures, including sample copies of the Record Retrieval Request, the Records Officer(s) and Authorized Users: Department Information Sheet, and the One-Time Records User Authorization forms, are available in the state records manual.

These rules are intended to implement Iowa Code Supplement chapter 305.

[Filed 5/21/04, Notice 3/17/04—published 6/9/04, effective 7/14/04]

CHAPTER 6
TEMPORARY RECORDS—DESTRUCTION PROCESS

Chapter rescission date pursuant to Iowa Code section 17A.7: 1/1/28

671—6.1(305) Purpose. Temporary state government records that have fulfilled administrative, legal, and fiscal requirements shall be destroyed in accordance with records series retention and disposition schedules established by the state records commission.

671—6.2(305) Form to use. The Disposal Authorization portion of a Notice of Intent to Destroy and Disposal Certificate form shall be used by an agency to authorize the destruction of a box of records when it has reached its destruction eligibility date, the extension of the destruction eligibility date of a box of records, or the permanent removal of a file or box of records from the state records center in lieu of destruction. The Disposal Certificate portion of a Notice of Intent to Destroy and Disposal Certificate form shall be used by the state archives and records bureau to certify the actual destruction of a box of records, the extension of the destruction eligibility date of a box of records, or the permanent removal of a file or box of records from the state records center in lieu of destruction.

671—6.3(305) State archives and records bureau responsibility.

6.3(1) The state archives and records bureau shall maintain an accurate inventory of each box of records in the state records center. For each box of records, the inventory includes the destruction eligibility date as established by the records series retention and disposition schedules approved by the state records commission.

6.3(2) The state archives and records bureau shall generate a Notice of Intent to Destroy and Disposal Certificate form for each box of records eligible for destruction as of January 1 and July 1 of each year.

6.3(3) The state archives and records bureau shall distribute Notice of Intent to Destroy and Disposal Certificate forms to the appropriate agency records officer no later than May 1 prior to each July destruction cycle and no later than November 1 prior to each January destruction cycle.

6.3(4) Following completion of the destruction process, the state archives and records bureau shall sign the “disposal certificate” portion of the Notice of Intent to Destroy and Disposal Certificate form to confirm that all records authorized to be destroyed were destroyed and to confirm that records not authorized to be destroyed have not been destroyed.

6.3(5) In the event an agency head or an agency records officer fails to sign and return a Notice of Intent to Destroy and Disposal Certificate form to the state archives and records bureau by the established deadline, the state archives and records bureau may, at its discretion:

a. Permanently remove to the agency those boxes of records recorded on the Notice of Intent to Destroy and Disposal Certificate form that was not returned;

b. Decline new Records Transfer Authorization forms from that agency until the Notice of Intent to Destroy and Disposal Certificate form is returned; or

c. Bill the agency for the continued storage of the boxes of records recorded on a Notice of Intent to Destroy and Disposal Certificate form, which was not returned, at a rate to be posted in the state records center and on the state records commission’s Web site.

6.3(6) The state archives and records bureau shall destroy records in a secure manner and shall utilize recycling technologies for destruction of records whenever possible.

671—6.4(305) State agency responsibilities.

6.4(1) An agency head or an agency records officer shall review or cause to be reviewed a Notice of Intent to Destroy and Disposal Certificate form to authorize destruction of records or to identify records that need to be held in the state records center for additional time or that need to be permanently removed to the agency in lieu of destruction due to pending legal action, fiscal or audit requirements that remain unfulfilled or due to the agency’s renewed administrative need for the record.

6.4(2) After making any necessary annotations in red, an agency head or an agency records officer shall sign the Disposal Authorization portion of the Notice of Intent to Destroy and Disposal Certificate

form and return the Notice of Intent to Destroy and Disposal Certificate form to the state archives and records bureau no later than June 30 prior to each July destruction cycle and no later than December 31 prior to each January destruction cycle.

6.4(3) Records for which the state records commission has authorized destruction directly from the agencies shall be destroyed in accordance with records series retention and disposition schedules. The records shall be destroyed in a secure manner using recycling technologies whenever possible, and the destruction shall be documented in a manner designated by each agency head.

671—6.5(305) Procedures. Detailed procedures, including a sample copy of the Notice of Intent to Destroy and Disposal Certificate form, are available in the state records manual.

These rules are intended to implement Iowa Code Supplement chapter 305.

[Filed 5/21/04, Notice 3/17/04—published 6/9/04, effective 7/14/04]

CHAPTER 7
PERMANENT RECORDS—TRANSFER PROCESS

Chapter rescission date pursuant to Iowa Code section 17A.7: 1/1/28

671—7.1(305) Purpose. The department of cultural affairs administers the state archives of Iowa in order to preserve, protect and make accessible those records of state government that have enduring value.

671—7.2(305) Identification of permanent records. The state records commission shall adopt records series retention and disposition schedules in accordance with 671—Chapter 3 to identify state government records that have enduring value.

671—7.3(305) Form to use. A Transfer of Custody of State Government Records to the State Archives of Iowa form obtained from the state archives and records bureau shall be used to transfer legal and physical custody of a record from an agency to the state archives of Iowa.

671—7.4(305) Agency responsibility.

7.4(1) A record that is scheduled for permanent preservation in the state archives of Iowa shall be transferred to the state archives of Iowa in accordance with established records series retention and disposition schedules. An agency records officer shall review, sign and submit a properly completed Transfer of Custody of State Government Records to the State Archives of Iowa form to the state archives and records bureau for approval prior to the physical transfer of records from the agency.

7.4(2) A record scheduled for permanent preservation in an agency shall be retained in the agency in perpetuity.

a. An agency shall maintain a record scheduled for permanent preservation in the agency in a manner that will ensure the continued availability of an accurate, authentic, reliable record in perpetuity.

b. An agency shall make a record scheduled for permanent preservation in the agency available in perpetuity for public inspection and copying in accordance with agency fair information practices rules.

671—7.5(305) State archives and records bureau responsibility.

7.5(1) The department of cultural affairs shall maintain legal and physical custody of all records transferred to the state archives of Iowa in accordance with Iowa Code Supplement section 305.9(1).

7.5(2) The state archives and records bureau shall review and approve a properly completed Transfer of Custody of State Government Records to the State Archives of Iowa form in a timely manner and shall assist an agency in correcting an incomplete or inaccurate Transfer of Custody of State Government Records to the State Archives of Iowa form.

7.5(3) After approving a Transfer of Custody of State Government Records to the State Archives of Iowa form, the state archives and records bureau shall arrange with the agency for the physical transfer of records to the state archives of Iowa.

7.5(4) The state archives and records bureau shall establish and maintain inventory control of records transferred to the state archives of Iowa.

7.5(5) The department of cultural affairs shall provide a secure, environmentally appropriate storage area for all records transferred to its custody.

These rules are intended to implement Iowa Code Supplement chapter 305.

[Filed 5/21/04, Notice 3/17/04—published 6/9/04, effective 7/14/04]

CHAPTER 8
CARE OF AND ACCESS TO PERMANENT RECORDS COLLECTIONS

Chapter rescission date pursuant to Iowa Code section 17A.7: 1/1/28

671—8.1(305) Purpose. A record with enduring value shall be transferred to the state archives of Iowa in accordance with a state records commission adopted records series retention and disposition schedule. The state archives of Iowa shall provide a secure environment for the storage and use of these records so that they may be preserved and made available to future generations of researchers in accordance with Iowa Code Supplement section 305.9(1).

671—8.2(305) State archives and records bureau responsibilities.

8.2(1) Records transferred to the state archives of Iowa shall be cared for and administered in accordance with 223—Chapter 13.

8.2(2) Records transferred to the state archives of Iowa shall be made accessible to researchers in accordance with 223—Chapter 22.

8.2(3) The state archives and records bureau, with prior approval of the state archivist, may loan an agency record from the state archives of Iowa to an authorized user appointed in accordance with 671—subrule 5.4(1) for the agency from which that record originated.

These rules are intended to implement Iowa Code Supplement chapter 305.

[Filed 5/21/04, Notice 3/17/04—published 6/9/04, effective 7/14/04]

CHAPTERS 9 to 13
Reserved

CHAPTER 14
DEVELOPMENT PROCESS FOR GOVERNMENT INFORMATION POLICIES,
STANDARDS AND GUIDELINES

Chapter rescission date pursuant to Iowa Code section 17A.7: 1/1/28

671—14.1(305) Purpose. The state records commission develops and adopts statewide government information policies, standards and guidelines that provide for economy and efficiency in the creation, organization, maintenance, administrative use, security, public accountability, storage, retention and final disposition by destruction or permanent preservation of records.

671—14.2(305) Proposal of government information policies, standards and guidelines. An agency staff member or a member of the public may propose a topic to be developed into a government information policy, standard or guideline by contacting the state records commission through the state archives and records bureau. A proposal may include a draft government information policy, standard or guideline.

671—14.3(305) Commission responsibilities.

14.3(1) The state records commission shall:

- a. Develop such government information policies, standards and guidelines as it deems appropriate;
- b. Prior to final adoption, solicit agency participation in the review of government information policies, standards and guidelines;
- c. Draft and file administrative rules in accordance with Iowa Code chapter 17A for all government information policies and standards; and
- d. Include all government information guidelines in the state records manual.

14.3(2) The state records commission may:

- a. Appoint advisory committees to research and analyze issues related to government information policies, standards and guidelines; and
- b. Prior to final adoption, solicit public participation in the review of government information policies, standards and guidelines.

671—14.4(305) State archives and records bureau responsibilities. The state archives and records bureau shall provide administrative support to advisory committees appointed by the state records commission.

671—14.5(305) Agency responsibilities.

14.5(1) An agency shall be in substantial compliance with government information policies and standards adopted by the state records commission.

14.5(2) An agency may utilize government information guidelines adopted by the state records commission as the agency implements the government records program within the agency.

671—14.6(305) Advisory committees.

14.6(1) Advisory committees of the state records commission shall make recommendations to the state records commission.

14.6(2) Advisory committees of the state records commission may consist of public members and agency staff members. No more than three members of the state records commission may be members of any advisory committee.

14.6(3) Individuals may volunteer to serve on advisory committees of the state records commission by submitting a letter of application to the state archives and records bureau along with a résumé stating areas of interest and expertise.

14.6(4) The state archives and records bureau shall maintain the applications of individuals who volunteer to serve as members of advisory committees of the state records commission for a two-year period following receipt of the letter of application.

These rules are intended to implement Iowa Code Supplement chapter 305.

[Filed 5/21/04, Notice 3/17/04—published 6/9/04, effective 7/14/04]

CHAPTER 15
E-MAIL RETENTION

Chapter rescission date pursuant to Iowa Code section 17A.7: 1/1/28

671—15.1(17A,305) Definitions.

“E-mail” is a computer-generated message transmitted or received by means of a computer network. An E-mail may contain any combination of text, Internet Uniform Resource Locator (URL) links, attached files and associated metadata.

“E-mail messages” are individual E-mail transmissions sent or received.

“Metadata” is the contextual information (i.e., sender, recipient, creation date, transmission information) that is used to understand and access other information.

“Record” means a document, book, paper, electronic record, photograph, sound recording, or other material regardless of physical form or characteristics, made, produced, executed, or received pursuant to law in connection with the transaction of official business of state government. “Record” does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes, additional copies of records maintained or distributed for reference purposes, or stocks of publications and unprocessed forms.

671—15.2(17A,305) E-mail messages as records.

15.2(1) E-mail messages are records as defined in rule 671—15.1(17A,305) when sent or received in the course of conducting state business.

15.2(2) In order to determine the proper retention and disposition, E-mail messages must be evaluated for content and purpose. E-mail messages that meet the definition of “record” must be retained and disposed of in accordance with records series retention and disposition schedules which have been approved by the records commission.

15.2(3) Approved record series retention and disposition schedules for state government records of Iowa are available through the state records manual. Agencies may request additions and changes to the schedules by submitting a request to the records commission in accordance with 671—Chapter 3.

15.2(4) To protect the integrity of information contained in E-mail messages that meet the definition of “record,” they must be maintained as authentic, reliable and trustworthy records for their entire retention period. Unauthorized users must not be able to modify, destroy or distribute E-mail messages from an E-mail storage system.

These rules are intended to implement Iowa Code chapter 305.

[Filed 9/9/05, Notice 8/3/05—published 9/28/05, effective 11/2/05]