

SALT LAKE COUNTY
COUNTY-WIDE POLICY
ON
Public Records Access

1.0 Access to Records

1.1 Each county agency, department, and division shall provide access to public records during normal County business hours. Every person has the right to inspect a public record free of charge. Every person has the right to obtain a copy of a public record according to the County's fee schedule. Requests can be submitted in person or through the Public Records Portal.

1.2 When an agency receives a records request for records retained by multiple County agencies, the receiving agency shall as soon as possible forward a copy of the request to each affected agency. Each agency is then responsible to respond to that request. If an agency receives a request for records it does not retain, it must forward the request to the correct agency by the end of the next business day.

1.3 The County Records Management and Archives Division ("RMA") shall publish information about how to submit a GRAMA request on the RMA website.

2.0 Timeliness of County Response to Record Requests

2.1 Agencies must respond to most written requests within fourteen (14) calendar days after receipt of the request.

2.2 Agencies must respond to each request seeking an expedited response within seven calendar days by either fulfilling the request or by notifying the requestor that the request does not meet the legal criteria for an expedited response.

2.3 Under certain circumstances, as defined by the Government Records Access Management Act, (the Act), an agency may be granted additional time to process a record request.

3.0 Records Retention

3.1 The Act and the Salt Lake County Ordinance require that all County records regardless of format be evaluated, designated with a primary classification, and scheduled

for retention.

3.2 Salt Lake County Retention Schedules:

3.2.1 It is the responsibility of agency representatives, managers, directors, or coordinators to review, classify, and evaluate record series for proper retention in compliance with the Records and Information Management Policy. Proposed retention schedules shall be submitted to the RIM Committee for assistance and approval. Procedures for retention scheduling and its processes are maintained on the Salt Lake County Records Management webpage.

3.2.2 Each agency shall consider the following factors when scheduling records for retention: requirements established by law, standards based on best business practices, legal proceedings, storage needs, industry standards; pending fiscal or performance audit processes; and historical value.

3.2.3 The County and the Act requires the prompt and appropriate disposal of records that have reached the end of the established retention period.

3.2.4 Records Management will submit reports to the State of Utah regarding changes to retention schedules or records classification not more than thirty (30) days after action has been taken by the RIM Committee.

4.0 Fees and Guidelines

4.1 An agency may fulfill a record request without charge and is encouraged to do so. The agency has the discretion to waive charges.

4.2 If a charge is imposed, the first 30 minutes of research and response by the agency is provided to the requestor without charge. The agency shall thereafter charge \$25.00 per hour to cover the actual cost of providing the record.

4.2.1 A County agency may charge the actual cost for media materials, such as CD, DVD, and thumb drive.

4.2.2 Costs for certified copies shall be \$10.00, or the statutory fee for certified copies, if any.

4.2.3 Costs for paper copies may be charged not more than 50 cents per page.

4.3 Other fees allowed by law may be applicable. Agencies are encouraged to provide requestors estimated fees before duplication. If the estimated cost will exceed \$50.00, an agency may require payment from the requestor before processing the request.

5.0 GRAMA Appeals Procedure

5.1 Each County agency shall designate an employee to act as the agency representative for appeals.

5.2 County agencies shall attempt to informally resolve public concerns and complaints related to records requests.

5.3 Levels of Appeals: At each level of appeal, the requestor will be informed in writing how to appeal to the next level. The requestor will be given any necessary information regarding the appeal process including the address or contact information of the person or agency that will be responding to the next level of appeal.

5.3.1 Agency Appeal:

5.3.1.1 The initial administrative appeal is made by the requester and sent to the agency designee within thirty (30) calendar days after receiving the initial denial.

5.3.1.2 The agency designee shall have 14 calendar days after receipt of the notice of appeal to respond in writing.

5.3.2 Chief Administrative Officer of Appeals (CAOA)

5.3.2.1 The Mayor designates one or more persons to act as CAOAs and may appoint CAOAs to handle different agency's requests.

5.3.2.2 If a request is not resolved at the agency level, the requestor may submit an appeal to the CAOAs within thirty (30) calendar days after receiving a decision from the agency designee.

5.3.2.3 The notice of appeal shall state the basis of the appeal and relief requested.

5.3.2.4 A notice of appeal is considered filed with the CAOAs when it is received through the County's Public Records Portal.

5.3.2.5 Once a notice of appeal has been filed, all communications between the CAOAs and the agency and/or the requestor shall be copied to all interested parties.

5.3.2.6 The CAOAs shall have 14 calendar days after receipt of appeal to respond. If the CAOAs determines that the appeal raises complex issues of fact or law that require additional time to investigate or that the resolution of the matter would benefit from a written response by the agency or the requestor, then the CAOAs may take up to fourteen (14) additional calendar days to respond. The CAOAs must promptly notify the agency and requestor of the reason for requiring the additional time to respond.

5.3.2.7 The County shall send written notice of the CAOAs's decision to all

participants.

5.3.2.8 If the CAO's decision requires an agency to act, the agency shall have fourteen (14) calendar days to comply, unless the CAO grants additional time.

5.3.2.9 The requestor or agency designee may appeal the decision of the CAO. They may seek mediation with the State Government Ombudsman or appeal to the Utah State Records Committee or to Third District Court, as provided by the Act.

DRAFT

APPROVED and ADOPTED by the Salt Lake County Council on the _____ day of _____, 2024.

Salt Lake County

Laurie Stringham, Council Chair

ATTEST:

Lannie Chapman, County Clerk.

date

SALT LAKE COUNTY
COUNTYWIDE POLICY
ON
RECORDS MANAGEMENT AND ARCHIVES POLICY AND STANDARDS

Purpose-

This policy is designed to ensure that County Records Management and Archives (RMA) resources and processes are composed to a set of best practice records management and archive standards wherever possible. Salt Lake County Records Management and Archives will monitor and enforce compliance with this policy.

The purpose of this policy is to define the process by which RMA policies and standards are developed and approved. RMA policies and standards will be developed by RMA in consultation with the existing County governance process.

Reference -

The policy and standards set forth herein are provided in accordance Chapter 2.82.060 Records Management. Also referencing the following:

Countywide Policy 2010 Public Record Access (GRAMA)

Countywide Policy 2020 Records Management

All Countywide Human Resource Policies

1.0 Scope

All Salt Lake County employees shall adhere to this policy on both disclosure and restrictions on access to County records. Compliance with this policy serves both public and County interests by assuring that records are accessible and administrative, legal, fiscal, and historical requirements have been met.

2.0 DefinitionsRecords Management and Archives Standards

Records Management and Archives Standards are specific requirements that must be met by everyone. These may be internal requirements or those from an external standards body.

Records Management Policy

Records Management policies outline specific organizational requirements or rules that must be followed, and specific actions that are not permitted, and include statements of consequences for violations.

3.0 Policy Statement

It is the policy of Salt Lake County to establish records management and archive policies and standards driven by changes in public records access and management. Standards will be established, maintained and published by RMA. All standards will be reviewed by the governance processes allowing for discussion by stakeholders. All standards established under this policy will apply to all individuals who fall within the scope of this policy.

4.0 Exceptions

Any exceptions to this policy must be explicitly approved in writing by the Salt Lake County Mayor or their designee.

5.0 Enforcement

Anyone found to have knowingly violated this policy shall be subject to disciplinary action.

APPROVED and ADOPTED this _____ day of _____, 2023.

SALT LAKE COUNTY COUNCIL:

By _____
Chairperson

ATTEST:

Lannie Chapman, County Clerk

SALT LAKE COUNTY
COUNTYWIDE RECORDS MANAGEMENT AND ARCHIVES STANDARD
ON
CLASSIFICATION AND RETENTION SCHEDULING

Purpose -

The purpose of this standard is to offer guidance regarding the records retention scheduling process, including classification of agency records series.

Reference –

The policy and standards set forth herein are provided in accordance Chapter 2.82.060 Records Management. Also referencing the following:

Countywide Policy 2010 Public Record Access (GRAMA)

Countywide Policy 2020 Records Management

1.0 Scope

The Act and the Salt Lake County Ordinance 2.82 requires that all County records be evaluated, designated with a primary classification, and scheduled for retention. Compliance with this policy serves both public and County interests by assuring that records are accessible and administrative, legal, fiscal, and historical requirements have been met. Agencies may also use the [State of Utah's General Schedule](#) to develop and establish retentions schedules using records descriptions of previously approved records series.

2.0 Definitions

Classification

Determining whether a record or information is public, private, controlled, protected or otherwise exempt from disclosure.

Controlled records

A record that contains data on individuals that is controlled as provided in section 63G-2-304.

Public record

A record that is not private, controlled, protected or exempt from disclosure based on some other statute.

Private record

A record that contains data on individuals that is private as provided in section 63G-2-302.

Protected record

A record that is classified as protected as provided in section 63G-2-305.

Records

All books, papers, letters, documents, maps, plans, photographs, sound recordings, management information systems, or other documentary materials, regardless of physical form or characteristics, made or received, and retained by any public office under state law or in connection with the transaction of public business by the offices, agencies, and institutions of the state and its counties, municipalities, and other political subdivisions.

Record Series

A group of identical or related records, files, documents and/or other media created by one agency that are normally used, indexed, or filed together, and that permit evaluation as a unit for retention and disposition purposes.

Retention Schedule

A list or other instrument describing record series and their minimum retention periods.

Segregation of Records

When records contain both public and restricted information, they may be segregated to allow access to the public information and deny access to remaining information (redacted).

3.0 Standard Statement

All County agencies shall follow the County's Classification and Retention Scheduling Standard. Each agency's records management program is responsible for the classification of its own records. If agencies need help determining classifications, they are encouraged to reach out to the Division of Records Management and Archives for guidance and use their legal resources available to them.

4.0 Standard Guidance

All county records must be classified according to law and given a specified retention period for how long the records must be kept. GRAMA provides that each governmental entity evaluates all its records and designate classifications. The evaluation of classification is based on the content of the record, not its format. There are four types of classification in GRAMA: Public, Private, Protected, and Exempt.

The Act does not require that any record be classified until that record is requested. However, an effective method of managing classification decisions is to designate intended classifications for each record series the agency maintains.

Classification

Classification is the process of identifying the access rights based on the content of the record, and records must be classified in response to a GRAMA request. Designation is the process of determining what the primary classification would be in review of a records series as a whole.

When classifying records, agencies will:

- evaluate all record series that it uses or creates.
- designate those record series [classifications](#), whether public, private, protected, etc.
- report the designations of its record series to the Records and Information Management Committee.

Agencies may redesignate a record series or reclassify a record or record series, or information within a record at any time.

Retention Scheduling

If the records within your agency have not been scheduled, use the [retention schedule reference sheet](#) and submit it to Records Management providing details about your records in order to assign them a records schedule number.

You will be asked to provide the following information:

- Name, email, and phone number of the person completing the classification
- Descriptive title of the records (include alternate titles)
- Date ranges of records
- Information regarding the filing arrangement of the series; alphabetical, etc.
- County functions documented by the records
- How the records are used
- What information is contained in the record series
- Designation and classification of records, whether public, private, protected, etc.

Retention Schedule Review

Agencies submissions will be reviewed by Records Management and an assignment of series number will be created. Upon receiving the retention and classification number, agencies will review and make changes if needed. After any edits and any changes are made, it will be submitted to the Records and Information Management Committee for approval.

5.0 Exceptions

Any exceptions to this standard must be explicitly approved in writing by the Salt Lake County Director of Records Management and Archives or their designee.

SALT LAKE COUNTY
COUNTYWIDE POLICY
ON
RECORDS MANAGEMENT AND ARCHIVES
**TRANSFERRING, STORING, AND RETRIEVING RECORDS
AT THE RECORDS CENTER STANDARD**

Purpose -

The purpose of this standard is to offer guidance regarding the transferring of records as well as retrieving records still in the custody of the agency.

Reference –

The policy and standards set forth herein are provided in accordance Chapter 2.82. Records Management. Also referencing the following:

Countywide Policy 2010 Public Record Access (GRAMA)

Countywide Policy 2020 Records Management

1.0 Scope

Utah's Government Records Access and Management Act ("GRAMA") and the Salt Lake County Records Management Ordinance require that all County records be evaluated, classified, and scheduled for an appropriate retention period. All County records must be scheduled and classified prior to transfer for temporary storage at the County Records Center or for permanent historical management in the County Archives.

In order to provide efficient and cost-effective storage, County records stored at the County Records Center will be reviewed annually for retention compliance and after agency notification will be disposed of according to policy.

2.0 Definitions

Archives

The archival repository which is located within the County Records Center County Records Management and Archives' staff is responsible for selecting, preserving, and making available records determined to have permanent or continuing value.

County Records Center

A facility specially designed and constructed to provide low-cost, secure storage, and retrieval service on inactive records, pending ultimate disposition. The Records Center is located in West Valley City.

Records

All books, papers, letters, documents, maps, plans, photographs, sound recordings, management information systems, or other documentary materials, regardless of physical form or characteristics, made or received, and retained by any public office under state law or in connection with the transaction of public business by the offices, agencies, and institutions of the state and its counties, municipalities, and other political subdivisions.

Record Series

A group of identical or related records, files, documents and/or other media created by one agency that are normally used, indexed, or filed together, and that permit evaluation as a unit for retention and disposition purposes.

Retention Schedule

A list or other instrument describing record series and their minimum retention periods.

3.0 Policy Statement

All County agencies shall follow the County's Records Transferring, Storing, and Retrieving Records Standard. Each agency's records management program is responsible for the classification of its own records and the transfer of those records to the County Records Center, if necessary. If an agency needs help determining which records should be transferred to the Records Center for temporary storage or permanent storage, they are encouraged to reach out to the County Records Management and Archives for guidance and use their legal resources available to them.

4.0 Standard Guidance

All records that are semi-active or inactive may be stored at the County Records Center. Records Management and Archives assumes responsibility for the physical storage and security; however, County agencies still maintain custody and will continue to follow proper disclosure and release of information stored at the Records Center. Agency records will be released to authorized persons only. The County Records Center is a closed facility and does not allow the public access to County records.

Records stored by agencies remain in each agency's jurisdiction and may be retrieved at any time for the purposes of the agency. County Records Management and Archives is the custodian of these records on behalf of the agency. An agency's records custodian may [request records](#) from the Records Management and Archives Division at any time during normal business hours.

To qualify for storage in the Records Center, a record series must have an approved retention schedule or be in the process of becoming scheduled. If the records do not have an approved retention and need to be scheduled, contact County Records Management and Archives for assistance.

If the records have been scheduled and have an approved retention, they are ready to be transferred to the County Records Center. Agencies must complete the [Records Transfer Form](#) and send it to County Records Management and Archives for review. Once approved, agencies will take the necessary [steps to transfer their record boxes](#) to the Records Center. County Records Management and Archives staff will coordinate with the Facilities Division or directly with the agency for delivery of the records. Agencies must maintain a copy of their Records Transfer Forms.

5.0 Records Held by County Archives

All records that have permanent legal, fiscal, and historical value, excluding those covered by other statutes, are held in the custody of the County Archives. County Records Management and Archives assumes responsibility and long-term management for the physical storage, security, preservation, and access of these records. Upon transfer, these records are relinquished from the agency's jurisdiction and are held in trust by the County as a historic resource for the citizens of Salt Lake County and the public at large. (See [Archive Standard](#))

6.0 Exceptions

Any exceptions to this standard must be explicitly approved in writing by the Salt Lake County Director of Records Management and Archives or their designee.

SALT LAKE COUNTY
COUNTYWIDE POLICY
ON
RECORDS MANAGEMENT AND ARCHIVES
TRANSFERRING AND STORING RECORDS AT THE ARCHIVES STANDARD

Purpose -

The purpose of this standard is to offer guidance to County agencies regarding the transfer of County records that are of legal, fiscal, or historical value to County Records Management and Archives for appropriate preservation and safe keeping.

Reference –

The standards set forth herein are provided in accordance Chapter 2.82.050 Records Management. Also referencing the following:

Countywide Policy 2010 Public Record Access (GRAMA)

Countywide Policy 2020 Records Management

Countywide Policy 2021 Records Management and Archives Policy and Standards

1.0 Scope

Utah's Government Records Access Management Act ("GRAMA") and the Salt Lake County Ordinance 2.82 requires that all County records be evaluated, designated with a primary classification, and scheduled for retention. Compliance with this standard serves both public and County interests by assuring that records are accessible and administrative, legal, fiscal, and historical requirements have been met. The County Archives is the official repository of County records of enduring legal, fiscal, and/or historical value, where not otherwise determined by law; and, where appropriate, historical artifacts and productions in other media.

2.0 Definitions

County Archives

1. The agency responsible for selecting, preserving, and making available, records determined to have legal, fiscal, or historical value.

2. The building in which an archival repository is located within the County Records Center.

County Records Center

A facility specially designed and constructed to provide low-cost, secure storage and retrieval service on inactive records, pending ultimate disposition.

Classification

Determining whether a record or information is public, private, controlled, protected, or otherwise exempt from disclosure.

Public record

A record that is not private, controlled, protected, or exempt from disclosure based on some other statute.

Records

A book, letter, document, paper, map, plan, photograph, film, card, tape, recording, electronic data, or other documentary material regardless of physical form or characteristics; that is prepared, owned, received, or retained by a governmental entity or political subdivision; and where all of the information in the original is reproducible by photocopy or other mechanical or electronic means.

Record Series

A group of identical or related records, files, documents and/or other media created by one agency that are normally used, indexed, or filed together, and that permit evaluation as a unit for retention and disposition purposes. Alternate definition: A group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity.

3.0 Standard Statement

All County agencies shall follow this Records Transferring and Storing Records at the Archives Standard. Each agency's records management program is responsible for the classification of its own records and the transfer of those records to the County Archives for permanent storage. If an agency needs help determining which records should be transferred to the County Archives for permanent storage, they are encouraged to reach out to the County Archivist for guidance.

4.0 Standard Guidance

Each agency shall be responsible for assisting County Records Management and Archives in the collection of such records, depository materials, and artifacts through methods promulgated by the records policy administration.

5.0 Exceptions

Any exceptions to this standard must be explicitly approved, in writing, by the Salt Lake County Director of Records Management and Archives or their designee.

SALT LAKE COUNTY
COUNTYWIDE POLICY
ON
RECORDS MANAGEMENT AND ARCHIVES
DISPOSAL OF RECORDS STANDARD

Purpose -

This standard establishes justification, responsibility and standards for proper disposal of records created or maintained in any format after the official retention period has expired. Records Management and Archives should monitor compliance and Agency Records Coordinators should coordinate compliance of their agency, however, ultimate responsibility for compliance rests with the agency's director.

Reference –

The policy and standards set forth herein are provided in accordance Chapter 2.82.050 Records Management. Also referencing the following:

Salt Lake Countywide Policy 2010 Public Record Access

Salt Lake Countywide Policy 2020 Records Management

Utah Administrative Services Code, Public Records Management Act, Utah Code Annotated, Subsection 63A-12-105(3)(a)

Salt Lake County Ordinance Chapter 2.81 Security of Personal Identifiers

Salt Lake Countywide Policy 1510 HIPAA Security Requirements

Salt Lake Countywide Policy 1400-7 Payment Card Industry Data Security Standard Policy

1.0 Scope

Utah's Government Records Access Management Act ("GRAMA") and the Salt Lake County Ordinance 2.82 requires that all County records be evaluated, designated with a primary classification, and scheduled for retention. The schedules establish the length of time records must be maintained in order to provide appropriate access for administrative, legal, fiscal, audit, historical, or public inquiry functions. County records that must comply with federal law, regulations or industry guidelines must also meet established retention periods and follow authorized records disposal.

2.0 Definitions

County Records Center

A facility specially designed and constructed to provide low-cost, secure storage and retrieval service on inactive records, pending ultimate disposition.

Disposition

The final action that puts into effect the results of an appraisal decision for a series of records. Transfer to an archival repository, retain permanently, or destruction, are among possible disposition action.

Non-Record

Material not considered to fall within the definition of an official record, a copy, duplicate, or publication that is kept for purposes of personal reference or convenience or that is defined as a non-record by GRAMA or other applicable law.

Public Record

A record that is not private, controlled, protected, or exempt from disclosure based on statute.

Records

A book, letter, document, paper, map, plan, photograph, film, card, tape, recording, electronic data, or other documentary material regardless of physical form or characteristics: that is prepared, owned, received, or retained by a governmental entity or political subdivision; and where all of the information in the original is reproducible by photocopy or other mechanical or electronic means.

Retention Schedule

A list or other instrument describing record series and their minimum retention periods-which specifies the length of time each record series should be retained by the County for administrative, legal, fiscal, or historical purposes and when each record series should be transferred to the County Archives or destroyed. Retention schedules apply to all records within the series, regardless of format.

3.0 Standard Statement

All County agencies shall follow this Disposal of Records Standard. Each agency's records management program is responsible for the prompt and appropriate disposal of records that have reached the end of the established retention period, this applies to all records, regardless of format. If an agency needs help determining which records should be disposed of, they are encouraged to reach out to the Division of Records Management and Archives for guidance.

4.0 Standard Guidance

Each agency shall be responsible for assisting Records Management and Archives in the collection of such records, depository materials, and artifacts through methods promulgated by the records policy administration.

4.1 Records Stored in the Records Center

4.1.1 The Records Center is responsible for disposal of records in its custody that have completed the required retention. Disposal is performed in a controlled accessible process that ensures proper disposal of the records and prevents unauthorized accessibility.

4.1.2 The Records Center notifies the agency having proprietorship prior to the disposal of records. This allows the agency opportunity to defer the disposal until litigation, audit, or regulatory processes have been completed. It also allows for re-appraisal of the records due to changed retention requirements and/or archival review due to potential historical value of the records.

4.1.3 The Records Center uses approved methods and industry best practices to document the disposal of all records. All records documenting the disposal process are retained permanently and available for agency review upon request.

4.2 Records Stored by County Agencies

4.2.1 Agencies may request assistance in the disposal of their own records when the following requirements are satisfied:

4.2.1.1 the record has been scheduled on the County Retention Schedule.

4.2.1.2 the disposal process is specified in written standard operating procedures that comply with approved disposal guidelines and are approved by the department director.

4.2.2 Records of county agencies may be disposed of by the following methods:

4.2.2.1 Records classified as Public may be recycled by disposing of them in appropriate bins conforming to County guidelines, or they may be shredded.

4.2.2.2 Records with classifications other than Public should be shredded or transferred to the Records Center for disposal.

4.2.2.3 Records for shredding must be shredded at a width of no more than ¼ inch or shredded with a cross-cut shredder.

4.2.2.4 Agencies who subcontract records disposal services must ensure compliance with these policies.

4.2.2.5 Records Management and Archives will provide guidance for disposal of unique record formats that require special handling upon request by the agency.

4.4 Disposal of Non-Records

4.4.1 Non-records do not have any retention requirement; they may be disposed of at any time without formal documentation. Non-records, regardless of format,

are those as per the definition of a non-record under GRAMA.

4.4.2 When non-records contain public information, it is recommended that they are disposed of according to the guidelines in 4.2.2.2 and 4.2.2.3 of this standard.

5.0 Exceptions

Any exceptions to this standard must be explicitly approved, in writing, by the Salt Lake County Director of Records Management and Archives or their designee.

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SALT LAKE COUNTY
COUNTYWIDE POLICY
ON
RECORDS MANAGEMENT AND ARCHIVES
DISPOSAL OF RECORDS STANDARD

Purpose -

This standard establishes justification, responsibility and standards for proper disposal of records created or maintained in any format after the official retention period has expired. Records Management and Archives should monitor compliance and Agency Records Coordinators should coordinate compliance of their agency, however, ultimate responsibility for compliance rests with the agency's director.

Reference –

The policy and standards set forth herein are provided in accordance Chapter 2.82.050 Records Management. Also referencing the following:

Countywide Policy 2010 Public Record Access

Countywide Policy 2020 Records Management

Utah Administrative Services Code, Public Records Management Act, Utah Code Annotated, Subsection 63A-12-105(3)(a)

Salt Lake County Ordinance Chapter 2.81 Security of Personal Identifiers

Salt Lake Countywide Policy 1510 HIPAA Security Requirements

Salt Lake Countywide Policy 1400-7 Payment Card Industry Data Security Standard Policy

1.0 Scope

Utah's Government Records Access Management Act ("GRAMA") and the Salt Lake County Ordinance 2.82 requires that all County records be evaluated, designated with a primary classification, and scheduled for retention. The schedules establish the length of time records must be maintained in order to provide appropriate access for administrative, legal, fiscal, audit, historical, or public inquiry functions. County records that must comply with federal law, regulations or industry guidelines must also meet established retention periods and follow authorized records disposal.

2.0 Definitions

County Records Center

A facility specially designed and constructed to provide low-cost, secure storage and retrieval service on inactive records, pending ultimate disposition.

Disposition

The final action that puts into effect the results of an appraisal decision for a series of records. Transfer to an archival repository, retain permanently, or destruction, are among possible disposition action.

Non-Record

Material not considered to fall within the definition of an official record, a copy, duplicate, or publication that is kept for purposes of personal reference or convenience or that is defined as a non-record by GRAMA or other applicable law.

Public record

A record that is not private, controlled, protected, or exempt from disclosure based on statute.

Records

A book, letter, document, paper, map, plan, photograph, film, card, tape, recording, electronic data, or other documentary material regardless of physical form or characteristics: that is prepared, owned, received, or retained by a governmental entity or political subdivision; and where all of the information in the original is reproducible by photocopy or other mechanical or electronic means.

Retention Schedule

A list or other instrument describing record series and their minimum retention periods-which specifies the length of time each record series should be retained by the county for administrative, legal, fiscal, or historical purposes and when each record series should be transferred to the County Archives or destroyed. Retention schedules apply to all records within the series, regardless of format.

3.0 Standard Statement

All County agencies shall follow this Disposal of Records Standard. Each agency's records management program is responsible for the prompt and appropriate disposal of records that have reached the end of the established retention period, this applies to all records, regardless of format.

If an agency needs help determining which records should be disposed of, they are encouraged to reach out to the Division of Records Management and Archives for guidance.

4.0 Standard Guidance

Each agency shall be responsible for assisting Records Management and Archives in the collection of such records, depository materials, and artifacts through methods promulgated by the records policy administration.

4.1 Records Stored in the Records Center

4.1.1 The Records Center is responsible for disposal of records in its custody that have completed the required retention. Disposal is performed in a controlled accessible process that ensures proper disposal of the records and prevents unauthorized accessibility.

4.1.2 The Records Center notifies the agency having proprietorship prior to the disposal of records. This allows the agency opportunity to defer the disposal until litigation, audit, or regulatory processes have been completed. It also allows for re-appraisal of the records due to changed retention requirements and/or archival review due to potential historical value of the records.

4.1.3 The Records Center uses approved methods and industry best practices to document the disposal of all records. All records documenting the disposal process are retained permanently and available for agency review upon request.

4.2 Records Stored by County Agencies

4.2.1 Agencies may request the disposal of their own records when the following requirements are satisfied:

4.2.1.1 the record has been scheduled on the County Retention Schedule.

4.2.1.2 the disposal process is specified in written standard operating procedures that comply with approved disposal guidelines and are approved by the department director.

4.2.2 Records of county agencies may be disposed of by the following methods:

4.2.2.1 Records classified as Public may be recycled by disposing of them in appropriate bins conforming to county guidelines, or they may be shredded.

4.2.2.2 Records with classifications other than Public should be shredded or transferred to the Records Center for disposal.

4.2.2.3 Records for shredding must be shredded at a width of no more than ¼ inch or shredded with a cross-cut shredder.

4.2.2.4 Agencies who subcontract records disposal services must ensure compliance with these policies.

4.2.2.5 Records Management and Archives will provide guidance for disposal of unique record formats that require special handling upon request by the agency.

4.4 Disposal of Non-Records

4.4.1 Non-records do not have any retention requirement; they may be disposed of at any time without formal documentation. Non-records, regardless of format, are those as per the definition of a non-record under GRAMA.

4.4.2 When non-records contain public information, it is recommended that they are disposed of according to the guidelines in 4.2.2.2 and 4.2.2.3 of this standard.

5.0 Exceptions

Any exceptions to this standard must be explicitly approved, in writing, by the Salt Lake County Director of Records Management and Archives or their designee.

DRAFT

RECORDS MANAGEMENT GUIDELINE



Adopted:

Date	Approved by	Policies and Standards
8/16/2022	Records and Information Management Committee (RIM)	<u>2010 - Public Records Access - GRAMA</u> <u>2020 - Records & Information Management</u>
8/23/2022	Steering Committee	<u>2010 - Public Records Access - GRAMA</u> <u>2020 - Records & Information Management</u>
9/13/2022	Salt Lake County Council	<u>2010 - Public Records Access - GRAMA</u> <u>2020 - Records & Information Management</u>
4/19/2024	Records and Information Management Committee (RIM)	2021 - Records Management and Archives Policy and Standards 2021 – 2 Transferring, Storing, And Retrieving Records at the Records Center Standard 2021-3 - Transferring And Storing Records at The Archives 2021-4 Disposal of Records
06/24/2024	Executive Coordinating Committee	2021 - Records Management and Archives Policy and Standards 2021 – 2 Transferring, Storing, And Retrieving Records at the Records Center Standard 2021-3 Transferring And Storing Records at The Archives 2021-4 Disposal of Records
	Salt Lake County Council	2021 - Records Management and Archives Policy and Standards 2021 – 2 Transferring, Storing, And Retrieving Records at the Records Center Standard 2021-3 - Transferring And Storing Records at The Archives 2021-4 Disposal of Records

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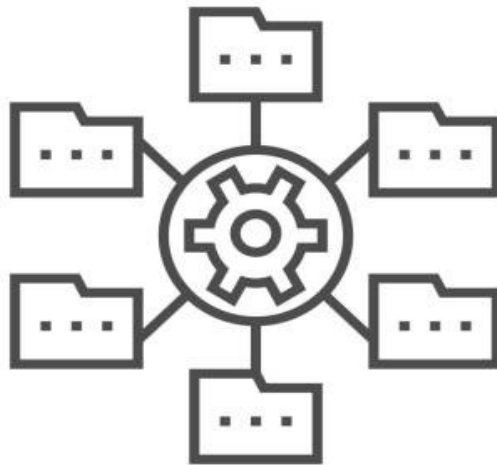
SECTION 1

PURPOSE

The Government Records Access and Management Act (“GRAMA;” Utah Code 63G-2) and the Public Records Management Act (Utah Code 63A-12) impose obligations to retain and dispose records. Additionally, Salt Lake County Ordinance 2.82. and County Policy 2020 requires the management and coordination to access to records. The Salt Lake County Records Management Guideline fulfills those obligations and identifies all the County’s records, and their retention periods for efficient records management, and establishes policies for all employees. This Guideline should be reviewed annually by the Records and Information Management Committee and updated every time a change is made that affects this Guideline by the County’s Records Management Division.

SECTION 2 RECORDS COMMITTEE

The Director of Records Management and Archives shall chair the Committee and manage the Plan. The Committee shall assist the County in complying with statute and provide assistance, input, and recommendations regarding County records classification, retention schedules, and policies. The committee shall have representation from RMA, Mayor's Operations, Information Technology, Contracts and Procurement, County Council, Sheriff, Treasurer, Health Department, and the District Attorney. Other agencies may request membership on the committee upon the approval of the agency director or the elected official. Agency record custodians ensure their department's records are correctly filed and organized according to the Plan and the department's standards. If the Committee does not deem it necessary to meet routinely, then at a minimum the Committee shall meet once a year to ensure that the County is still upholding this Guideline.



SECTION 3 TRAINING

All new staff hired will receive brief records management training as part of the Human Resources on-boarding process and detailed training by their department to ensure that clear expectations are set before commencing regularly assigned duties. Additional GRAMA training is available by contacting the Records Management and Archives Division.

Each employee is expected to know the retention and proper record storage according to the Plan. Employees shall follow the County's Information Technology Division's recommendations for computer decorum including but not limited to using assigned naming conventions, properly saving documents, updating computers, closing records on the shared network when not in use, and restarting computers weekly.

SECTION 4 RECORD STORAGE

All electronic records created should be maintained in a format that can be easily converted to keep with industry standards. All active and long-term electronic records are recommended to be saved, stored, and functionally organized on County Division's network drive, SharePoint, or OneDrive as these locations are regularly backed up and are properly secured. Departmental and employee restrictions will be put in place as necessary to safeguard records on the network drive. Other designated locations include separate secured network drives for restricted records and internal process software.

All physical records that are inactive and have not yet hit their retention period, may be stored at the County Records Center. The Records Management and Archives Division assumes responsibility for the physical storage and security of such records and shall process proper disclosure and release of information of such records. Agency records will be released to authorized agency persons only.

SECTION 5

RECORD RETENTION AND DESTRUCTION

All County Department records will follow their Retention Schedules that are approved by the Committee. Retention shall be based on the content of the record and its value to the County, **not** on its format or storage medium.

The department in which the record is created or maintained is the custodian of said record. They are responsible for related record requests and oversight of the disposition of associated records. Departments may organize their retained records in a manner that best suits the function. Records whose retention period has been met shall be destroyed unless the record is necessary for litigation purposes. This includes all copies of a record. The Records Management and Archives Division will provide guidance for disposal of unique record formats that require special handling, upon request by the agency. Records stored at the County Records Center scheduled to be destroyed shall be logged with the Records Management and Archives Division before destruction occurs. The Records Management and Archives Division will, with the assistance of the department to whom the records are created or maintained by, ensure the appropriate destruction of the records. The destruction log shall include a list of records destroyed including the type of record and relevant date, the retention schedule reference, the name of the custodian of the record and their signature as a witness to the destruction. The third-party records destroyer shall sign the County's affidavit attesting to the destruction of said records. The destruction logs and affidavits shall be retained Records Management and Archives Division.

SECTION 6

RECORD REQUESTS

GRAMA is the Act that governs the disclosure of certain records. If there is a request for information that does not involve a record or that is publicly available, it does not need to go through the GRAMA process. Likewise, if the record does not exist, the County does not have to create one (UCA 63G-2-201(8)).

The County can charge fees for record requests if the request will take longer than 30 minutes to process and/or if the requestor would like copies of the record(s). The fee for searching and compile is \$25.00 per hour. If it is anticipated that the fee will be more than \$50.00, the County can charge in advance of doing the work to ensure just compensation.

Each county department shall designate a records custodian, who will be the respondent for GRAMA requests, be a user within the NextRequest system, and communicate with their department their respective retention schedule and basic records management overview.

Any time a record is requested, the process for the request will be in accordance with GRAMA and the established County procedure as follows:

- A request for records must be in writing (email, form, etc.), preferably through the [Public Records Portal](#) and contain the following: the requestor's name, mailing address, email address, daytime telephone number, and a description of the record requested that identifies the record with reasonable specificity (UCA 63G-2-204). If it is missing information, it is not a valid request.
- This request may be accepted by any staff member at the respective County Departments location and shall be immediately entered

into the Public Records Portal for processing.

- The County has 14 calendar days or 5 calendar days (expedited request) to respond to the request (UCA 63G-2-204). This time starts the day following the receipt of the request by the Department's records custodian. The Department will track the request and send it to the relevant department who is the custodian of the record(s) requested.
- The Department's records custodian will respond to the requestor in accordance with GRAMA before the required deadline. Responses to requests may be approvals, approvals in part, or denials.

SECTION 7

ELECTRONIC COMMUNICATION

Purpose

The Government Records Access and Management Act (GRAMA; Utah Code 63G-2) and the Public Records Management Act (Utah Code 63A-12) impose obligations to retain records. Electronic communications, including but not limited to, emails, messages via messengers, chats, and texts, may be considered a record per GRAMA, depending upon content as the General Retention Schedule dictates below:

Transitory Correspondence (GRS-1759)

Description

Incoming and outgoing correspondence, regardless of format or mode of transmission, related to matters of short-term interest. Transmittal correspondence, including email, is transitory unless part of another process. This correspondence does not impact agency functions. When resolved, there is no further use or purpose.

Local Government, Routine Administrative Correspondence (GRS-1760)

Description

Incoming and outgoing business-related correspondence, regardless of format or mode of transmission, created while administering agency functions and programs. Administrative correspondence documents work accomplished, transactions made, or actions taken. This correspondence documents the implementation of agency functions rather than the creation of functions or policies. Business-related correspondence, including email, that is related to a core function with an associated retention schedule should follow that associated schedule.

Email records are work-function related. They are subject to legal retention schedules and have administrative, legal, fiscal, or historical value based on the content of the email.

Non-record emails are emails with no business-related content. They include, but are not limited to, personal messages and spam. They should be destroyed immediately and not kept in the email system. They may be forwarded to personal accounts.

Record copy refers to the electronic communication copy to which the retention period applies. Both sent and received communications can be records. Duplicative emails should be disposed of when the administrative need ends.

Primarily the:

- Outgoing (sender's) email/message within government is the record copy.
- Incoming (the recipient's) email/ message from outside the government is the record copy.

Storage and Retention

The length of time that electronic communications should be kept is based on the content of the record and its value. Although most electronic communications have only short-term value, communications that document policy development and decision-making are considered historically valuable and should be preserved permanently, along with other records that document these processes.

Documents attached to electronic messages sent or received while conducting county business must be retained in accordance with the records management procedures and retention schedules applicable to such attachments.

Management Tools

Employees are responsible for proper management of their electronic communications, specifically email. This includes messages sent and received.

The most common tools for records management are the built-in features of the email system itself. Features usually include labels, folders, tags, and multiple inboxes, along with more advanced features. Staff should, at a minimum, utilize folders in Outlook and mirror the records index spreadsheet for what pertains to them.

Transitory emails should be deleted to the system's "Deleted Items" folder with the understanding that records placed there are obsolete.

Training

Employees are responsible and accountable for the way they use electronic communications technologies and for proper management of those communications. Employees should also know and understand the associated policies and procedures.

Department directors are responsible and accountable for ensuring employees are properly trained and understand the policies and procedures surrounding the use of electronic communications technologies.

Legal Search (Litigation Hold)

There is no expectation of privacy related to the use of County technology in the sending or receiving of any electronic communications. This includes personal communications sent or received from any County owned technology or device.

This policy and related procedures apply to technology not owned by the County but used for the performance of County business whether sending or receiving electronic communications.

SOCIAL MEDIA

Social media records in Utah are subject to the Government Records Access and Management Act (GRAMA). Content on a social media site that relates to transactions of government business is a record and must be managed accordingly. By this definition, information posted to social media by public agencies, as well as the comments and replies received on that information, can constitute public records in Utah and must be retained by the agency.

As social media increasingly serves as a primary communications channel with our citizens, the ability to review, analyze, and report on the impact of social media on our agency's initiatives becomes increasingly important. Analytics and reporting technology is necessary for allowing us to generate and share information on a frequent basis without diverting staff resources and time. Furthermore, records of social media content may prove critical in protecting our County during legal proceedings and other risk-oriented circumstances.

The county utilizes Social Media Archiving, a social media archiving software for record retention compliance and risk management. This preservation takes place in the background and any county department with social media platforms needs to have an account set up through the Records Management and Archives. County departments are the custodians of their social media accounts; however, the Archives assists in the preservation of the content. County departments social media are subject to GRAMA and oversee pulling any records from those accounts for records requests made by the public.

SECTION 8

APPENDICES

- Definitions
- [Salt Lake County Retention Schedules](#)
- [Utah State General Retention Schedule](#)
- Electronic Communications
- Records Resources
 - [Public Records Portal \(NextRequest\)](#)
 - [Records Classification Worksheet](#)
 - [GRAMA 101](#)
 - [Destruction Forms](#)
 - [Transfer Log Forms](#)
 - Contact and Helpful Links

DEFINITIONS

Active Records - Records that are required for day-to-day business and are subject to frequent use; generally referred to more than once per month.

Administrative Value - In appraisal, the usefulness of records for the conduct of current and/or future administrative business needs.

Agency - An organizational entity of government, either executive, legislative, or judicial, that is defined by law and has decision-making authority. Can be an office, department, board, commission, or other separate unit.

Agency-Specific Schedule - Retention schedule which specifies the approved disposition of a record series unique in purpose and function to its creating agency.

Appraisal - The process of determining the value and thus the disposition of records based on their current administrative, fiscal, and legal value; their evidential and informational value; their arrangement and condition; their intrinsic value; and their relationship to other records.

Archives - 1. The noncurrent historical records of an organization or institution, preserved because of their enduring value.

2. The County agency responsible for selecting, preserving, and making available, records determined to have permanent or continuing value.

Classification - "Classify" and their derivative forms means determining whether a record series, record, or information within a record is public, private, controlled, protected, or exempt from disclosure under UCA 63G-2-201(3)(b).

Cloud - The cloud is a metaphor for a global network of remote servers that operates as a single ecosystem, commonly associated with the Internet.

Conversion of Records Formats -The process of transferring records from one physical format to another. Conversion includes changing paper to an electronic

format or one electronic format to another.

Continuity of Operations (COOP) - ensures an individual organization can continue to perform its essential functions, provide essential services, and deliver core capabilities during a disruption to routine operations.

Copy - A reproduction of the contents of an original document which is not the official file copy of the agency. In most instances, copies will have a shorter retention than the official file copy (see Record Copy) of a record series.

Custody/Custodian -The guardianship of records which may include both physical possession (protective responsibility) and legal title (legal responsibility).

Disposition - The final action that puts into effect the results of an appraisal decision for a series of records. Transfer to an archival repository, retain permanently, or destruction, are among possible disposition action.

Electronic Records - Records consisting of data and information which is input, created, manipulated and/or stored on electronic media which show evidence of actions and decisions occurring during transactions of government business.

Inactive Records - A series of records with a reference rate of less than one search per month.

Permanent Records - Indicates a disposition other than "destroy." Specifically, records would either be transferred to the State Archives or maintained permanently in the office. These records need continued retention due to their long-term administrative, legal, fiscal, or historical value.

Record Copy -The original file copy of a record series maintained by the county.

Record Series - A group of identical or related records, files, documents and/or other media created by the county that are normally used, indexed, or filed together, and that permit evaluation as a unit for retention and disposition purposes.

Records - All books, papers, letters, documents, maps, plans, photographs, recordings, management information systems, electronic data, or other documentary materials, regardless of physical form or characteristics, that is prepared, owned, received, or retained by a governmental entity or political

subdivision state and where all the information in the original is reproducible by photocopy or other mechanical or electronic means.

Records Center - A facility specially designed and constructed to provide low-cost, efficient storage, and retrieval service on inactive records, pending ultimate disposition.

Records Officer - In Utah, an agency-appointed person whose responsibilities include the development and oversight of Records and Information Management (RIM) programs and who serves as the agency's contact person with the State Archives. An annual certification through the State Archives is required.

Retention Period - The period of time during which records are kept in the custody of the county (including Records Center storage) before disposition occurs; usually in terms of years or contingent upon an event, such as an audit.

Retention Schedule - A list or other instrument describing record series and their minimum retention periods. The process of specifying the length of time each record series should be retained by the county for administrative, legal, fiscal, or historical purposes and when each record series should be transferred to the State Archives or destroyed.

Vital Records - Records essential to the continued functioning or reconstitution of an organization during and after an emergency and those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes it is called essential records. Recommended that there be duplicates located off-site.

VPN - A virtual private network (VPN) is an encrypted connection over the Internet from a device to a network. The encrypted connection helps ensure that sensitive data is safely transmitted. It adds security and anonymity to users when they connect to web-based services and sites and allows the user to conduct work remotely.

SALT LAKE COUNTY DEPARTMENT RETENTION SCHEDULES

Accounting Records

Addressing

Administrative Records

Adult Detention Center: Health Services

Aging Services

Animal Services

Auditor

Behavioral Health Services

Bonds

Budget

Clerk

Contracts & Procurement

County Council

Criminal Justice

District Attorney

Facilities

Fixed Assets

Geographic Information Systems (GIS)

Health

Health Insurance Portability and Accountability Act (HIPAA)

Human Resources

IS - Telecommunications

Library

Mayor's Office

Parks and Recreation

Payment Card Industry Security Standard

Planning and Development

Real Estate

Recorder

Records Management

Regional Development

Sheriff

Tax Assessment

Treasurer

Volunteer Services

Youth Services

ZAP

Zoom Grants

RECORD RESOURCES

Contact and Helpful Links

Salt Lake County Records Management and Archives

Maren Slaugh, 385-468-0813

Darrell Passey, 385-468-0822

Karri Krattley, 385-468-0816, archives@saltlakecounty.gov

[Salt Lake County Records Management](#)

[Salt Lake County Archives](#)

[Salt Lake County Retention Schedules](#)

[Utah State Archive Information](#)

Salt Lake County Records Management Forms (on RMA SharePoint)

- [Records Classification Form](#)
- [Records Transfer Form](#)
- [Immediate Records Disposal Form](#)



Salt Lake County Records Management and Archives
<https://www.slco.org/records-management/>