




STATE OF HAWAII
DEPARTMENT OF ACCOUNTING
AND GENERAL SERVICES

P.O. BOX 119
HONOLULU, HAWAII 96810-0119

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COMPTROLLER'S CIRCULAR NO. 2001-01

TO: All Department Heads

FROM: Wayne H. Kimura, State Comptroller 

SUBJECT: Vital Records Protection Policy and Guidelines

The management of *vital records* is part of a state agency's emergency preparedness responsibility. This instructional guide addresses the identification and protection of records containing information that state agencies may need to conduct business under emergency operating conditions or to protect the legal and financial rights of state government and the people it serves. It also recommends policies and procedures that will allow agencies to assess the damage to and implement recovery of any of their records that may be affected by an emergency or disaster.

This guide is advisory in nature. It is left to the discretion and judgment of agency officials how best to implement the guidelines taking into consideration the resources available to each program.

Any questions regarding this circular may be directed to the Records Management Branch at 831-6770.

I. Definitions

Disaster means an unexpected occurrence inflicting widespread destruction and having long-term adverse effects on agency operations.

Emergency means a situation or occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. Usually of short duration.

Emergency operating records are those *vital records* essential to the continued functioning or reconstitution of an agency during and after an emergency. Included are: emergency plans and directives, delegations of authority, staffing assignments, critical agency operating procedures.

Legal and financial rights records are those *vital records* essential to protect the legal and financial rights of government and the individuals directly affected by its activities. Includes: accounts receivable records, payroll records, and retirement records.

Off-site storage means a facility other than an agency's normal place of business.

Vital records are essential agency records that must be protected from destruction during an emergency. They are essential to the continued functioning or reconstitution of an organization during or after an emergency. These records contain information necessary for:

- emergency operations during disaster
- resumption and/or continuation of operations
- re-establishment of the legal, financial and/or functional status of the organization
- determination of the rights and obligations of individuals and corporate bodies with respect to the organization

Only 3-5 percent of the records on the General Records Schedules (1996) and departmental records schedules may be *vital records*. *Vital records* are not necessarily historical or permanent records. Refer to Appendix A for examples of *vital records*.

Vital records program means the policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect essential records.

II. Protection Guidelines

Agencies shall take appropriate measures to ensure the survival of *vital records* in case of emergency or disaster.

A. On-site storage considerations

1. Construction of storage vaults

2. Fire protection system
3. Water protection system
4. Security system
5. Store paper records in steel cabinets or boxes on steel shelving at least three inches off the floor
6. Microfilming and/or scanning of records
7. 24-hour environmentally controlled area for electronic records: temperature between 65 and 75 degrees F and a relative humidity between 30 and 50 percent

B. Off-site storage

1. Computer back-up tapes and other electronic media
2. Master microforms - store at maximums of 65 degrees F; 35 percent RH +/- 5 percent
3. Duplicate paper records

III. Disaster Recovery Guidelines for Various Record Mediums

A. Wet paper records. Mold or mildew will attack the records within 48 hours in a warm unventilated environment.

1. Air drying wet paper records
 - a. For small numbers of damp or slightly wet books and documents.
 - b. Requires clean, dry environment: temperature below 70 degrees F and the humidity below 50 percent, or mold may develop.
 - c. Use fans in drying area to keep air moving at all times.
 - d. Lay out single documents protected by paper towels or unprinted newsprint.
 - e. Wet books may be interleaved using paper towels or unprinted newsprint.

2. Dehumidification
 - a. Large, commercial dehumidifiers are placed in facility, leaving furnishings in place.
 - b. For slight to moderate water damage.
3. Freezer drying
 - a. Modest number of books and records that are only damp or moderately wet.
 - b. Store in self-defrosting blast freezer for length of time.
 - c. Transfer to freezer as soon as possible.
 - d. Leave in freezer for several weeks or many months depending upon temperature of freezer and extent of water damage.
4. Vacuum freeze drying
 - a. Large numbers of wet books and records.
 - b. Sophisticated equipment not available in Hawaii (must be flown in).
 - c. Frozen books and records are placed in a vacuum chamber and dried at temperatures below 32 degrees F.

B. Microforms - reference/user copies

1. Remove wet microforms from their enclosures.
2. Rolled film must be unrolled for air drying. It is better to send microfilm to a laboratory for safe washing and drying.
3. Fiche can be dried flat, emulsion side up in a single layer. It is better to send microfiche to a laboratory for safe washing and drying.
4. Do not freeze or freeze-dry wet microforms since film layers may separate.

C. Electronic records

1. Magnetic media must be professionally cleaned and dried before reuse. It is better to have data backed up and stored at an off-site location.
2. Digital media is adversely affected by dust, debris, heat, light, high humidity, solvents, and rapid temperature change. Back up disks should be stored at an off-site location.

IV. Emergency Procurement

Refer to HAR Sections 3-122-88 through 3-122-91 for emergency procurement expenditures for goods, services, or construction, \$25,000 or more. For expenditures under \$25,000, follow procedures for small purchases.

V. References

Association of Records Managers and Administrators International (ARMA)
4200 Somerset Dr., Suite 215
Prairie Village, KS 66208

36 CFR 1236 Management of Vital Records, 6/7/95.
<http://www.nara.gov/nara/cfr/cfr1236.html>

National Archives and Records Administration. Vital Records and Records Disaster Mitigation and Recovery, an Instructional Guide, 1999 Web Edition.
<http://www.nara.gov/records/pubs/vital.html>

Northeast Document Conservation Center. Preservation of Library & Archival Materials: A Manual. Third edition, revised and expanded. 1999.

Porck, Henk J. and Rene Teygeler. Preservation Science Survey: an Overview of Recent Developments in Research on the Conservation of Selected Analog Library and Archival Materials. Washington, D.C.: Council on Library and Information Resources. 2000.

- Appendix A Records Series That May be Considered Vital
Appendix B Recommended Emergency Equipment and Supplies on Hand
Appendix C Disaster Recovery Specialized Vendors List

Records Series That May Be Considered Vital

Accounts receivable	Insurance policies and schedules
Administrative rules	Inventory files
Agreements	Investigation case files
Arbitration records	
Audits	Journal vouchers
Balance sheets	Land title records
Bank balances	Leases
Blueprints	Licenses
Board minutes	Loans
Bylaws	
	Medical records
Cancelled checks	Mortgage records
Case files	
Charters and Amendments	Permits
Contracts	Project files
Data processing programs	Real property inventories
Deeds	Retirement records
Directives	
	Tax returns
Emergency procedures manuals	Treasury records
Employee payroll records	
Employee personnel records	Vouchers
Enforcement case files	
Engineering drawings	Workers compensation records
Executive orders	
Facilities records	
Financial statements	
General ledgers	
Grant records	

Recommended Emergency Equipment and Supplies on Hand

Blotters
Book trucks (metal)
Boxes, corrugated
Brooms
Buckets
Dehumidifiers, portable
Disinfectant
Dustpans
Exacto knives
Extension cords (50 ft., grounded)
Fans, portable
Fire extinguishers
First aid kit
Flashlights and batteries
Gloves (leather, rubber)
Identification tags
Keys to rooms and cabinets
Paper, blotting
Pencils, grease
Plastic garbage bags (large)
Polyethylene sheeting (at least 6 mil)
Scissors
Shrink wrap
Sponges
String (cotton), twine
Tape: masking, sealing, strapping
Trash cans, plastic

Disaster Recovery Specialized Vendors List

This list is not comprehensive. These vendors are capable of providing the specified services/supplies, but they are not the sole nor recommended source. This list was last updated on May 21, 2001.

Data Recovery Specialists

Computer Power Specialists 94-344 Ukee St., Unit 1 Waipahu, HI 96797	676-3700
SuperGeeks 2304 S. King St., Suite 101 Honolulu, HI 96826 http://www.supergeeks.net	942-0773 FAX 942-8839

Disaster Recovery Supplies and Services

ProText, Inc. 3515 Leland St. Bethesda, MD 20815 http://www.protext.net e-mail: ProText@protext.net	(301) 718-1659 FAX (301) 654-6153
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Fire / Water Damage Restoration

McClellan's Air Purification Specialists, LLC 3259 Koapaka St., #B Honolulu, HI 96819	839-1999 FAX 839-0995
Magic Care 95-204 Aahu St. Mililani, HI 96789	486-1924
Restorative Clean 95-204 Aahu St. Mililani, HI 96789	626-9420
Re-Oda Chem Engineering Co. 100 Industrial Parkway P.O. Box 424 Chagrin Falls, OH 44022	(216) 247-4131

Freezer Fumigation Service

Cultural Resource and Collection Care
1525 Bernice St. 848-4113
Honolulu, HI 96817 FAX 848-4113
<http://www.bishopmuseum.org>

Freezer Space

Container Storage Co. of Hawaii
2276 Pahounui Dr. 841-5555
Honolulu, HI 96819 FAX 842-0658
<http://www.containerstoragehawaii.com>

Hawaiian Cold Storage Co.
348 A Puuhale Rd. 845-3241
Honolulu, HI 96816 FAX 842-1846
<http://www.earthcenter.com/HCS>
e-mail: HCS1@hi.rr.com

Unicold Corporation
3140 Ualena St. 836-2931
Honolulu, HI 96819 FAX 833-7296

Microfilm Disaster Recovery

Advanced Micro-Image Systems Hawaii, Inc.
525 Kokea St., Bldg. B-1 847-1544
Honolulu, HI 96817 FAX 842-4885
<http://www.adv-micro.com>
e-mail: advmicro@lava.net

Hawaii Microfilm Services, Inc.
1713 Republican St. 832-1444
Honolulu, HI 96819 FAX 832-1455
e-mail: chang@hmsarchive.com
(Microfilm must be Kodak film that was processed by Hawaii
Microfilm Services, Inc.)

Sump Pumps, Electrical and Gasoline

Kilgo's
180 Sand Island Access Rd. 832-2200
Honolulu, HI 96819 FAX 832-2201

Pacific Liquid & Air Systems 536-7699
761 Ahua St.
Honolulu, HI 96819
<http://www.pacificliquid.com>

Trucks, Refrigerated

Honolulu Container Sales
1122 Mikole St. 845-7246
Honolulu, HI 96819 FAX 842-0378
(sells refrigerated containers)

Penske Truck Rental
304 Puuhale Rd. 848-0844
Honolulu, HI 96819 FAX 848-0020
<http://www.penske.com>

Vacuum Freeze Drying

Munters Corporation
79 Monroe St. (978)241-1100
Amesbury, MA 01913 FAX (978) 241-1218
toll-free, 24-hour hotline 1-800-797-5020
<http://www.muntersmcs.com>

Document Reprocessors - San Francisco Office
1384 Rollins Rd. (650) 401-7711
Burlingame, CA 94010 FAX (650) 401-8711
toll-free, 24-hour hotline 1 (800) 437-9464
<http://www.documentreprocessors.com>