

Honolulu Museum of Art

RECORDS RETENTION AND DISPOSITION POLICY

I. PURPOSE

Establish and clarify records retention and disposition policies for the Honolulu Museum of Art.

II. SCOPE

The policy applies to all offices and staff of the Honolulu Museum of Art.

III. OBJECTIVES

- A. Documents are an important means by which the Honolulu Museum of Art achieves its mission and goals. Documents communicate intent and record actions and are important sources for understanding the evolution of the museum.
- B. Conversely, the timely disposal of unneeded records is complementary to ensuring the preservation of archives and for operational efficiency.

IV. POLICIES

- A. Records (regardless of media, e.g., paper, electronic, etc.) created and received by staff of the Honolulu Museum of Art in the course of their duties on behalf of the museum are the property of the Honolulu Museum of Art.
- B. The Museum does not permit unauthorized destruction, donation, or other dispersal of Museum records.
- C. Guidelines are provided for the retention and disposition of records based on legal, fiscal, historical, administrative, and other needs through authorized retention schedules.
- D. Records will be disposed according to authorized retention schedules.
- E. **However, in the event of an investigation, all records destruction will cease, records will remain on the premises, and records will not be altered.** Document alteration or purging prior to a pending investigation or during an investigation is illegal.

V. DEFINITIONS

- A. Office of record: The office of record is designated with primary responsibility for keeping the record and producing the record if

- needed for audit or other purposes.
- B. Record: A record is recorded information regardless of media or format that is produced or received by the museum staff. Records may include printed forms, correspondence, reports, drawings such as engineering diagrams, or photographs. The medium may be paper, film, or magnetic.
 - C. Electronic Record: Electronic records are informational files or data files that are created and stored in digitized form through the use of computers and applications software. Electronic records are always machine dependent formats.
 - D. Non-records: Non-records are unofficial copies, working papers, and drafts maintained in an office for convenience.
 - E. Records Disposition: Disposition refers to the systematic destruction or transfer of records to temporary or to archival storage when they are no longer needed for everyday operations, frequent reference, or to meet external requirements.
 - F. Retention Period: The retention period is the length of time a record must be maintained to satisfy the purposes for which it was created or to fulfill the legal, fiscal, historical, and administrative requirements of the museum.
 - G. Records Retention Schedule: A records retention schedule is an established timetable for maintaining museum records and defines actions to be taken relative to the disposition of records.

VI. ACTIVE RECORDS

- A. Definition: Active records are referred to more than once a month and are necessary to conduct the business of the office.
- B. Responsibility for Active Records: Honolulu Museum of Art offices and staff that create and maintain records are responsible for their preservation and security while they are in active use.
- C. Files Management: Different filing schemes are required to accommodate a diversity of functional activities and facilitate document retrievals from the files: The most common types of files and associated filing schemes are:
 1. Correspondence includes letters, emails, memorandums, enclosures, reports and related documents. Correspondence is usually filed alphabetically by the name of the correspondent or organization or by subject.
 2. Transactional records include forms and correspondence giving evidence of a transaction, i.e. purchase order, and are usually filed alphabetically, chronologically, or numerically.
 3. Project records include correspondence, notes, and other data related to a specific project, e.g., grant proposal or performance, etc., and are usually filed alphabetically or chronologically by project name.

4. Case files include personnel and other files specific to a person or property and are usually filed by name.

VII. INACTIVE RECORDS

- A. Definition: Inactive records are consulted infrequently but may be required, for legal, fiscal, or informational purposes, to be retained for specified periods or permanently.
- B. Disposition: Records that are not actively used may be discarded in accordance with law and museum policy or transferred to the museum archives. Departments will consult with the Archives to determine the disposition of active records.
- C. Appraisal: Some records are of enduring significance; others are needed to provide legal and administrative evidence for the Academy's actions and obligations; others are only of transient value to support the functions of the creating office. The Museum Archivist will consult with appropriate administrators to appraise the records for continuing legal, fiscal, and research value and will collaboratively determine the retention and disposition of the appraised records. The proposed schedule will be approved by the Director.
- D. Records Retention Schedules: The disposition of records is set forth in retention schedules authorized by the Director. The schedule authorizes the disposition of all records of the Museum by destruction, retention for specified periods, or transfer to the Archives.

VIII. RECORDS DISPOSAL

- A. Records Transfer: Non-active records that are permanent or have not met their retention period may be transferred to the Archives/Records Center.
 1. Scheduled records: If the records are listed on the Museum's Records Retention Schedule:
 - a. Contact the Archives regarding the records that you wish to transfer.
 - b. Separate the permanent records from the non-permanent records.
 - c. Pack the records separately in banker's boxes.
 - d. List the contents of each box, folder by folder.
 - e. Send the lists to the Archives.
 - f. The Archives will arrange for the transfer of the records.
 2. Unscheduled Records: If the records are not listed on the Museum's Schedule, contact the Archives to schedule the records as in VII., C.

above. After the records are scheduled, follow the steps for schedule Records.

- B. Records Disposal: Non-permanent records that have met their retention period may be disposed by shredding or incineration. Contact the Archives to arrange for incineration.
- C. Disposal of non-records: Offices may dispose of the following types of material when they are no longer used administratively:
 - 1. Extra copies of official documents kept for convenience or reference
 - 2. Stock supplies of publications
 - 3. Extra copies of circulated materials where original materials are filed e.g., reading files
 - 4. Draft or working copies of finalized documents
 - 5. Letters of transmittal that do not add to the transmitted information
 - 6. Tapes of transcribed documents
 - 7. Routing slips
 - 8. Telephone call slips
 - 9. Private materials that are neither made nor received by administrative staff while transacting official business.

IX. ELECTRONIC RECORDS

- A. Active Electronic Records Systems: The office that creates an electronic records system will maintain the system. Maintaining these systems will entail routine systems backup and may involve periodic or scheduled recopying of data from old to fresh storage media. Secure copies of essential electronic records will be stored in different areas of the premises than where the system is used, along with any system documentation necessary to enable recovery of the system in the event of an emergency.
- B. Text and Data Files: If documents are printed out and retained in hard copy, the electronic copy may be deleted. If the record copy of the document is retained in electronic format only, the electronic record will be retained for the time specified in the retention schedule.
- C. Electronic Mail: Records of negotiations for a contract or other legal agreement created using an email system will be saved for the approved Retention period by one of the following methods:
 - 1. Print message and file in appropriate hard copy file.
 - 2. Place in folders and save on personal network drive of C: drive.The person who transmits an email message is responsible for retention of that message.
- D. Electronic Records of Long-term Value: The Archives cannot accession or provide reference services to records in electronic format at this time. Records that will ultimately go to the Museum Archives for permanent

retention should be printed out.

X. RESTRICTED RECORDS

- A. Definition: Some documents contain sensitive, confidential information and are precluded from general access. The following categories of documents are classified:
 - 1. Personnel information
 - 2. Investigative information
 - 3. Medical information
 - 4. Financial information
 - 5. Donor records
 - 6. Purchase price and value of art works
 - 7. Storage location of art works
- B. Disclosure: Classified information may be disclosed only to the Director, Deputy Director, staff of the office of origin, staff whose duties require access to the information, and regular employees of the Archives in the performance of normal archival work on such records.