



**State Records Committee  
Records Disposition Delegation Authority  
Agreement Guidelines**

These guidelines assist an Agency to identify and achieve the qualifications that support agreement for authorizing delegated public records disposition authority to an executive branch Agency that actively and sustainably implements and follows state and agency records and information management practices.

Secretary of State, Records and Information Management (SOS-RIM) and all members of the State Records Committee (SRC) will not be responsible for agencies disposition of records once the agency has been given the delegated authority to destroy.

**Parties to Records Disposition Delegation Authority Agreement**

A Records Disposition Delegation Authority (RDDA) agreement is between the Secretary of State - Records and Information Management (SOS-RIM), the State Records Committee (SRC), and the qualifying Agency. The SRC is composed of representatives of:

- (a) the department of administration;
- (b) the legislative auditor;
- (c) the attorney general;
- (d) the secretary of state; and
- (e) the Montana historical society.

In conjunction with SOS-RIM, the SRC is responsible for providing a service to state agencies by guiding, approving, modifying or disapproving executive Agency records and information management functions (MCA § 2-6,203 and 2-6-213), thereby sustaining the allowance for delegated authority management and reporting. This includes but is not limited to the:

- Agency public records policies, procedures and standards
- Agency records ownership and authority designation
- Records roles and responsibilities
- Records Retention Schedules
- Records preservation and archiving
- Essential records identification and protection
- Secure and efficient records dispositions

**Purpose of the RDDA Agreement**

The RDDA agreement details the compliance level expectations between the SOS-RIM, the SRC and the qualifying Agency, whereas the agency can provide documented compliance level qualifications in regards to the Agency's implementation and sustainability of its records management function (MCA § 2-6-213).

SOS-RIM, will conduct audit review meetings during which an Agency's qualifications are measured against established compliance levels. These audits will be done annually by SOS-RIM or at any time that a question on compliance has been brought to the attention of SOS-RIM.

In order to be eligible an Agency must apply, in writing, for delegation authority. In their application, the Agency must document established RIM executive and managerial support, policy and procedures, retention and migration schedules, records disposal history, and other such RIM practices that support the timely, secure and final stages of records and data lifecycles. In support of the application, a "qualifications packet" list and documentation examples are provided as a part of these guidelines (see Attachment A).

Authorizing reviews for new agreements will take place once the packet is received at SOS/RIM.

### **Compliance Level Qualifications for Agency**

In accordance with the procedures prescribed by SOS-RIM and the SRC, to maintain compliance with the RDDA an Agency is responsible for coordinating all aspects of the Agency records management function (MCA § 2-6-213). This might include but is not limited to:

- Designating an official Agency Records Custodian;
- Managing the inventory of all public records within the Agency;
- Analyzing records inventory data, including examination and comparison of Divisional / Unit inventories for duplication of records;
- Reviewing established records retention schedules to ensure that the schedules are complete and current Agency specific schedules (RM3);
- Obtaining internal authority from the record owning management prior to records disposal;
- Maintaining internal procedures for archiving, refreshing and migrating long-term and permanent, agency-maintained records;
- Establishing mutually acceptable procedures to offer/transfer records of potential, historical significance, to the State Archives, as defined by Agency-specific or General Retention Schedules;
- Enacting scheduling, disposition, and archival records actions, in order to comply with short-or mid-term retentions, plus, preserve long-term and permanent records held by an agency or qualifying for review and transfer to the State Archives due to historic interest;

In accordance with the procedures prescribed by SOS-RIM and the SRC, to maintain compliance with the RDDA an Agency is responsible for coordinating all aspects of the

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protection and storage of essential records (MCA § 2-6-206). Using the following suggested methods:

- Designate certain public records as essential records needed for an emergency or for the reestablishment of normal operations after the emergency.
- Ensure that the security of essential records is accomplished by the most economical means possible. Protection and storage of essential records may be by vaulting, planned or natural dispersal of copies, storage in the state archives or in an alternative location provided pursuant to 2-6-211(2), or any other method approved by the secretary of state.
- Reproduce essential records by photocopy, magnetic tape, microfilm, or other methods approved by the secretary of state.
- If agency is using the LDRPS system, or has plans to do so, state that.

SOS/RIM and the SRC may rescind this agreement at its discretion, in writing, due to non-compliance of the agency qualifications.

Questions regarding the DDA qualifications or documentation may be directed to the State Records Committee, by email sent to: [sosrecordscommittee@mt.gov](mailto:sosrecordscommittee@mt.gov) or on behalf of the SRC, to SOS-RIM at: [sosrecords@mt.gov](mailto:sosrecords@mt.gov) .

SRC membership and contact information can be located on the Secretary of State web site for Records and Information Management, found at: <http://sos.mt.gov/Records/Committees/state.asp> .

## **ATTACHMENT A**

### **Records Disposition Delegation Authority Qualifications Documentation Packet (Required)**

- (A) Qualifications Packet Check List
  - (A1) Letter of Application and Executive Support
  - (A2) Dedicated FTE by Organizational Chart
  - (A3) Records Management Policy and Procedures
  - (A4) Approved Retention Schedules (only required if not using the General Schedules)
  - (A5) Records Disposal Requests History
  - (A6) Statement of Essential Records Plan
  - (A7) Migration Plan
  - (A8) State Archives Transfer Reporting

Some Agency's documentation examples are available and can be viewed on the Secretary of State Records and Information Management webpage. Click [HERE](#) or visit: [Records and Information Management Services - Montana Secretary of State Linda McCulloch](#) .