Introduction to Records Management

County Treasurers’ Continuing Education Seminar
April 19, 2018
INTRODUCTION

Records Management Assistance at the Texas State Library

- Consulting and Training for State and Local Governments
- Retention Schedule Reviews and Development

Call: 512-463-7610  |  Email: slrminfo@tsl.texas.gov
INTRODUCTION

www.tsl.texas.gov/slrm

- Forms and publications
- Retention schedules
- Training opportunities
- SRC services
- Contact information
AGENDA

1: Basics
2: Compliance
3. Disposition
4. Managing E-Records
1. BASICS
Definitions and Legal Framework
Local Government Records Act of 1989:

1. Improve **efficiency and economic operation** of government.

2. **Preserve** records of permanent and historical value.

3. Provide **impartial access** to records management assistance.

4. Establish **standards and procedures** for managing local government records.

LGC § 201.002 Purpose
Local Government Records Act


Published as: Bulletin D

- Definitions
- Local authority
- Role of RMO
- Compliance requirements
Records Life-Cycle

- Creation or Receipt
- Maintenance and Use
- Disposition

Steps:
- Transfer
- Destroy
A local government record:

- Documents the transaction of public business
- Is created or received by a local government
- Is a record whether it is open or closed
- May exist in any medium

LGC §201.003
Definition of a record does not include:

- Convenience Copies
- Blank Forms and Stocks of Publications
- Library or Museum Materials
- Alternative Dispute Resolution Working Files

LGC §201.003
Records Series

- A grouping of records that all serve the same function and are all kept the same length of time.
Retention Period

- The minimum length of time you must keep a record.

2 years

- Application form
- Résumé
- Cover letter
- Transcripts
- Letters of reference

Employment Applications
### BASICS

**Common retention period codes:**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>[just a number]</td>
<td>Add this number to the creation/receipt date of the record</td>
</tr>
<tr>
<td>AV</td>
<td>As long as administratively valuable (there is some sort of business use for it)</td>
</tr>
<tr>
<td>CE</td>
<td>Calendar Year End: December 31&lt;sup&gt;st&lt;/sup&gt;</td>
</tr>
<tr>
<td>FE</td>
<td>Fiscal Year End: August 31&lt;sup&gt;st&lt;/sup&gt; ? September 30&lt;sup&gt;th&lt;/sup&gt;?</td>
</tr>
<tr>
<td>LA</td>
<td>Life of the Asset (keep the record about the asset until you don’t have the asset anymore)</td>
</tr>
<tr>
<td>PM</td>
<td>Permanent (never destroy)</td>
</tr>
<tr>
<td>US</td>
<td>Until superseded (keep until replaced by an updated version)</td>
</tr>
</tbody>
</table>
Lists all records series with mandatory minimum retention periods.

Schedules are media-neutral.
<table>
<thead>
<tr>
<th>Record Number</th>
<th>Record Title</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>GR1000-03f</td>
<td>MINUTES</td>
<td>Certified audiovisual recordings of closed meetings.</td>
<td>2 years</td>
<td>By law - Government Code, Section 551.104(a).</td>
</tr>
</tbody>
</table>
TSLAC Local Retention Schedules available to adopt:

**GR – General Records** *plus...*

- **CC** – County Clerk
- **DC** – District Clerk
- **EL** – Elections/Voter
- **HR** – Health
- **JC** – Junior Colleges
- **LC** – Justice/Municipal Courts
- **PS** – Public Safety
- **PW** – Public Works
- **SD** – Schools
- **TX** – Taxation
- **UT** – Utility Services

2. COMPLIANCE
COMPLIANCE

Are you in compliance?

1. Records Management Policy Statement
2. Records Management Officer (RMO) designation
3. Records Retention Schedule/Decision

Download forms:  
Compliance Element #1:
Records Management Policy Statement by an Elected County Official

- Establishes the records management program
- Identifies the officeholder’s decision:
  - to serve as records management officer for the office as provided by § 203.001
  - designate the county records management officer to act as records management officer for the records of the office, to the extent authorized, as provided by § 203.005(g)
Compliance Element #2: SLR 504 – Designation of Records Management Officer

- Position **must** match policy
- Signed by elected official
- File new form within 30 days of personnel change
### Form SLR 504 – Elected offices:

#### Section 1  Elected County Officials ONLY

1. County: **Texas County**
2. Title of Office: **Sheriff**
3. Name of Officeholder: **Buford T. Justice**
4. Address: 123 City Street
5. City: **Municipal City**
   - ZIP code: **12345**
6. Telephone: **123-456-7890**
7. Email address (optional): **bjustice@texascounty.gov**

Please subscribe this email address to *The Texas Record* blog for news and training information.

---

**Signature**

**Buford T. Justice**

**Date:**
COMPLIANCE

Compliance Element #3: Retention Decision

3 Options:

• Permanent
• Adopt TSLAC schedules
• Create custom schedule
Compliance Element #3: Retention Decision

- Option A: No schedule
  - Keep every record forever
  - By choice or by default
  - RCS not required
  - Policy and RMO appointment on file with TSLAC is still required
Compliance Element #3: Retention Decision

- Option B: Declaration of Compliance
  - Adopt TSLAC local schedules
  - Form SLR 508
  - Choose schedules that apply to your office
Compliance Element #3: Retention Decision

- Option C: Custom retention Schedule
  - Different structural needs
  - Unique records
  - Instructions for disposition
COMPLIANCE

Forms & Templates!

- SLR 508
- SLR 504
- Policy Models
- Sample disposition log

“A comprehensive term that includes destruction as well as other actions, such as the transfer of permanent records.”

– National Archives and Records Administration (NARA)
DISPOSITION

Transfer of Non-permanent Records

- Only to other *public* institutions
  - Exceptions must be approved by TSLAC
  - Check for other applicable regulations
- After expiration of retention period
- Documented approval from RMO
- Change of custody

Local Gov. Code §202.004
DISPOSITION

Transfer of Permanent Records

- Only to other *public* institutions
- Documented approval from RMO
- Documented approval from TSLAC
- Change of ownership
  - Physical & Legal

Local Gov. Code §203.049
BULLETIN F:

- Court records prior to 1951 and permanent records
- Records in storage
- Paper records

Destruction of *Confidential* Paper Records

- Shredding
- Burning
- Pulping
DISPOSITION

Destruction of **Open** Paper Records

- Recycle
- Landfill
- Shredding
- Burning
- Pulping
Before disposition, ask:

- Has it met retention?
- Are there copies?
- Is there a destruction hold?
- Did I receive internal approval?
- Do I have a disposition log?
Before disposition, ask:

- Has it met retention?
- Are there copies?
- Is there a destruction hold?
- Did I receive internal approval?
- Do I have a disposition log?
DISPOSITION LOG:
- Record series title
- Dates of record
- Date of disposal
- Volume of records disposed
- Disposal method
- Approval signatures
DISPOSITION

Destruction Holds:

- Litigation
- Public Information Request
- Audit
- Claim
- Negotiation
DISPOSITION

Destruction of Electronic Records

- Reformat (enlist IT)
- Overwrite three times
- Degauss (neutralize magnetic field)
- Physically destroy
  - Shred
  - Pulverize
  - Drill holes

4. Managing E-Records
E-RECORDS

Electronic Record:

- Any information that is recorded in a form for *computer processing* and that satisfies the definition of local government record data in the Local Government Code §205.001.
- Machine-readable

13 TAC §7.71
E-RECORDS

Metadata:

- **Data about data**
- **Part of the electronic record**
  - Information about the e-record
  - Stays with record
  - Created by systems or people
Legal Obligations for E-Records

Statutes
Local Government Code Chapter 205

Rules
13 TAC §§ 7.71-7.79

When you ask: 

How long do I keep my email?

We will tell you:
1. Email is a *format* for a record, not a type of record.
2. You must determine the retention by analyzing the *content* of the email.
3-STEP DRILL

Is this a record?

Is this related to my job?

Am I the custodian?
Step 1: Is the email a record?

Emails that are not records:
- Personal email
- CCs – Copies
- Unsolicited email
- Spam
Step 2: Is it related to your job?

- Is the content of the email directly related to your responsibilities as a government employee?
- If no, delete or forward
Step 3: Are you the custodian?

- Are you the designated person in your organization responsible for maintaining records related to this subject?
- If no, forward and delete your copy
E-RECORDS

Keep and file the email!

- This email is the **official record copy** and you must retain it according to your approved records retention schedule.
E-RECORDS

Who has the record copy?

- Custodian: The person who has the record copy, which needs to be kept for the full retention period
- Sender is typically custodian of the record copy
- Recipient copy is also a record if:
  - You need to take action based on message
  - Message required for adequate documentation of action
Common series for email:

**Correspondence – GR1000-26**
- Administrative – 4 years (review for historical value)
- General – 2 years
- Routine – AV (as administratively valuable)

**Complaints – GR1000-24**
- Resolution + 2 yrs

**Public Information Act Requests – GR1000-34**
- Non-exempted or withdrawn – Date request for records fulfilled or withdrawn + 1 year.
- Exempted – Date of notification that records requested are exempt from disclosure + 2 years.

**Work Schedules – GR1050-31**
- 1 year
E-RECORDS

Transitory Information

- Temporary usefulness
- Not essential to documenting business, fulfilling statutory obligations, and not regularly filed within your office’s recordkeeping system

- Examples:
  - Outlook meeting reminder
  - Telephone message email
  - “Where are you?” text
Use meaningful subject lines

<table>
<thead>
<tr>
<th>Poor or confusing</th>
<th>Good or descriptive</th>
</tr>
</thead>
<tbody>
<tr>
<td>“helpful info”</td>
<td>“contact info”</td>
</tr>
<tr>
<td>“report”</td>
<td>“quarterly financial report”</td>
</tr>
<tr>
<td>“minutes”</td>
<td>“January 99 board minutes”</td>
</tr>
<tr>
<td>“important”</td>
<td>“revised admin. procedures”</td>
</tr>
<tr>
<td>“today?”</td>
<td>“lunch plans today?”</td>
</tr>
<tr>
<td>“news”</td>
<td>“new agency head appointed”</td>
</tr>
</tbody>
</table>
Email File Plan example

- **SAMPLE INBOX**
  - CORRESPONDENCE 2013 - 2 years
    - GEN.008 General - 2 years
    - GEN.020 Transitory - AC
  - Program Records 2013
    - 5c.013 Consulting - 2 years
      - Local Govts 2013
      - State Agencies 2013
    - 5c.201 Training - FE-5
    - 5c.501 Schedule Reviews - AC
    - GEN.001 Special Projects - AV
    - GEN.004 Public Information Requests - AC-2
  - Reference
Where do I even start?

- DON’T tackle your entire inbox at once – take small steps!
- Devote 5-10 minutes per day
- Make it habitual

**Webinar:** Email Management Part 1

Back at the Office...

✓ Check compliance status
  ▪ Policy on file?
  ▪ RMO Designation?
  ▪ Adopt or update schedules?

✓ Share resources
WRAP-UP

✔ Check out more training opportunities from TSLAC

- Webinars
- Self-paced online courses
- Conferences
- Regional workshops
WRAP-UP

✓ Subscribe to blog: The Texas Record

- Announcements
- Upcoming training
- New services
- Featured questions

Find the analyst assigned to your county:


Call:
(512) 463-7610

Email:
slrminfo@tsl.texas.gov