

INTRODUCTION TO RECORDS MANAGEMENT



SLRM
STATE AND LOCAL
RECORDS
MANAGEMENT



Agenda

Introduction to Records Management



Fundamentals



Compliance



Electronic Records



Disposition



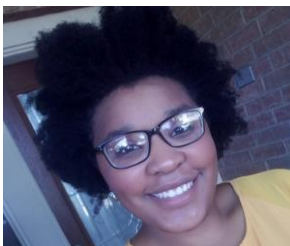
**ANNE
POULOS**

4 Northeast



**ERICA
WILSON-LANG**

8 Central



**JOSLYN
CEASAR**

5 Southeast



**KATHERINE
HOFFMAN**

6 East-South



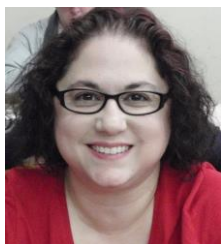
**RAUL
GONZALEZ**

7 West-South



**REBECCA
HANNA**

1 West



**SAHAR
ARAFAT-RAY**

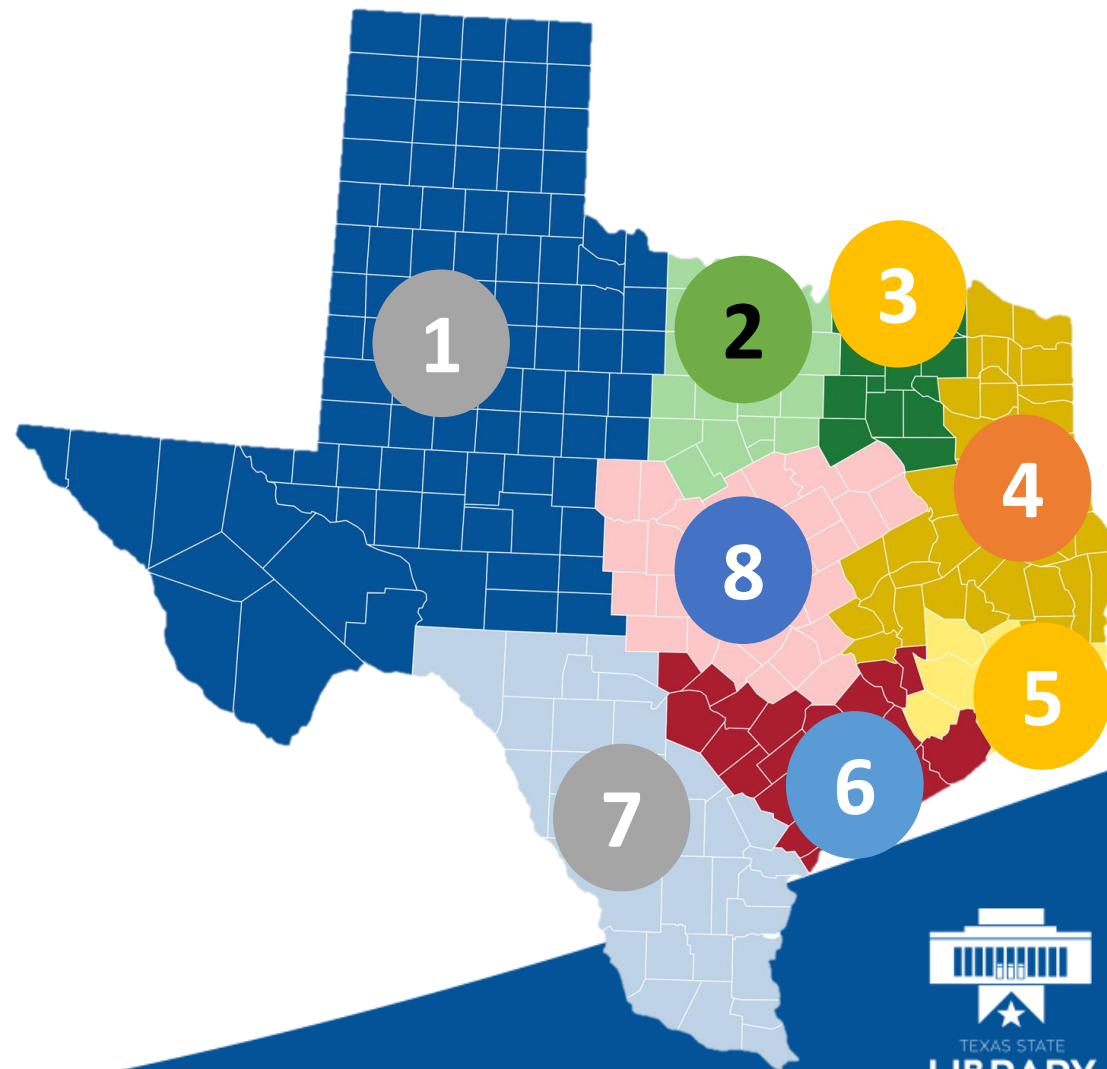
2 West-North



**SEBASTIAN
LOZA**

3 East-North

RMA TEAM



<https://www.tsl.texas.gov/slr/local/countylist>

www.tsl.texas.gov/slr



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Records Management



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Fundamentals



Three Pillars of Open Government



Public Information
Act

(Gov. Code
Chapter 552)

Open Meetings
Act

(Gov. Code
Chapter 551)

Local Government
Records Act

(Local Gov. Code
Chapters 201-205)



Local Government Records Act



Improve efficiency and economic operation of government.



Preserve records of permanent and historical value.



Provide impartial access to records management assistance.



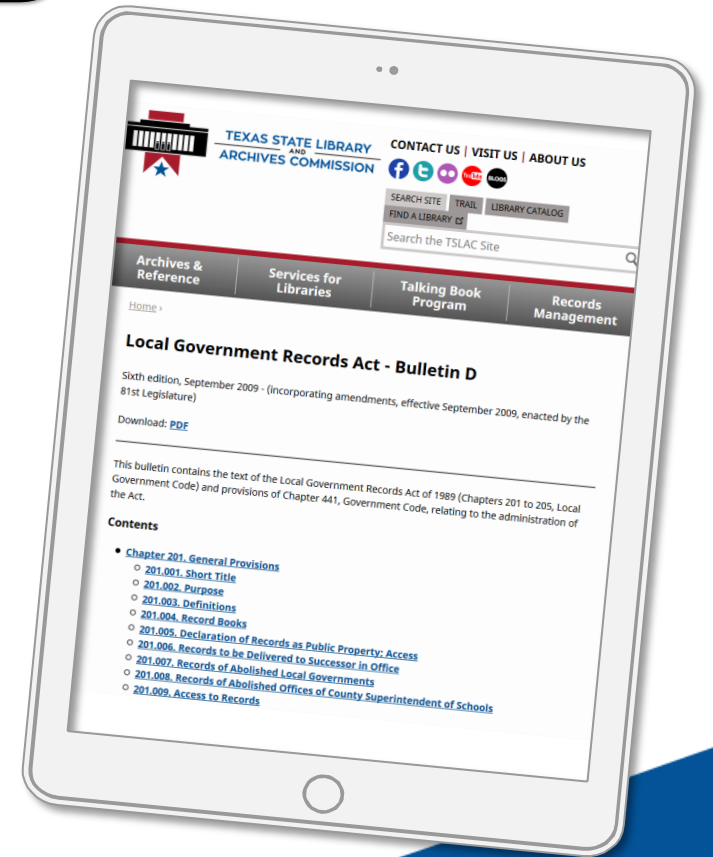
Establish standards and procedures for managing local government records.



Laws Published as Bulletin D

www.tsl.texas.gov/slrn/pubs/bulletind

- Definitions
- Local authority
- Role of RMO
- Compliance requirements



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



Non-Records



Convenience Copies



Blank Forms and Stocks of Publications



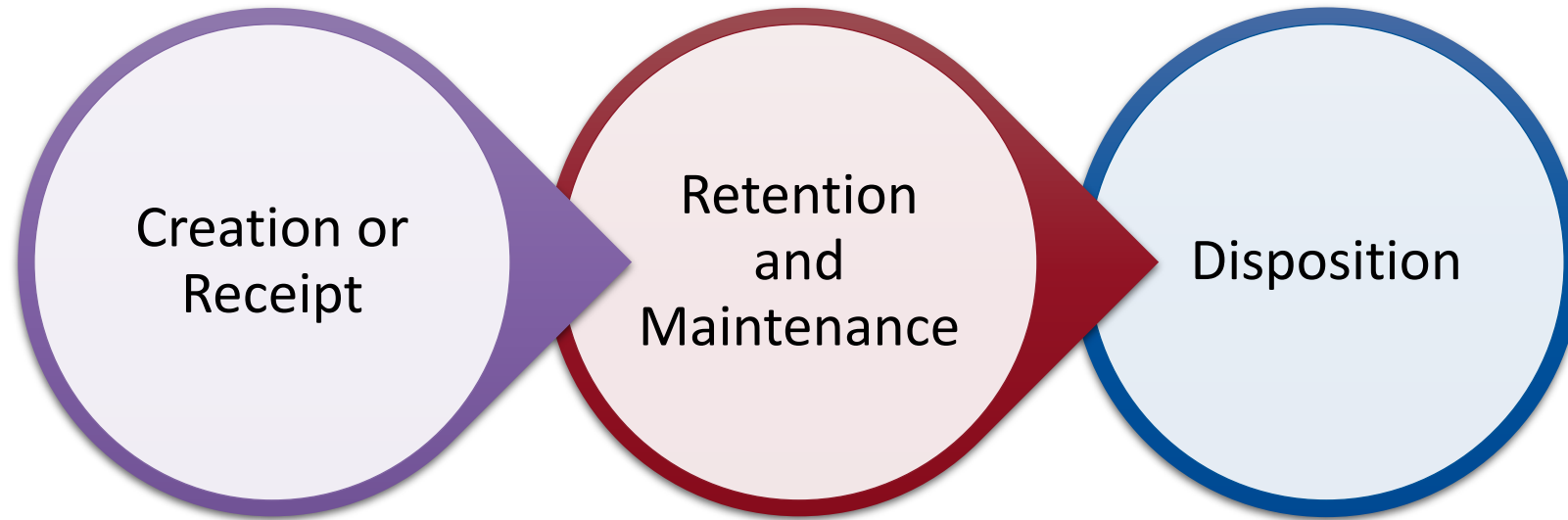
Library or Museum Materials



Alternative Dispute Resolution Working Files



The Records Life-Cycle



Benefits of Records Management

- Legal requirement and protection
- Workflow efficiency
- Timely disposition
- Cost reduction
- Protection of essential records



Consequences of *Not* Managing Records

- Legal risk
- Longer retrieval times
- Higher costs
- Potential criminal penalties
- Negative perception



Record Series

- Grouping of records that all serve same function.
- All kept same length of time.

Retention Period

- Minimum length of time record must be kept.

2 Years

Employment Applications

Application Form



Resume

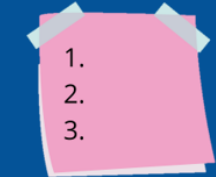


Cover Letter

Transcript

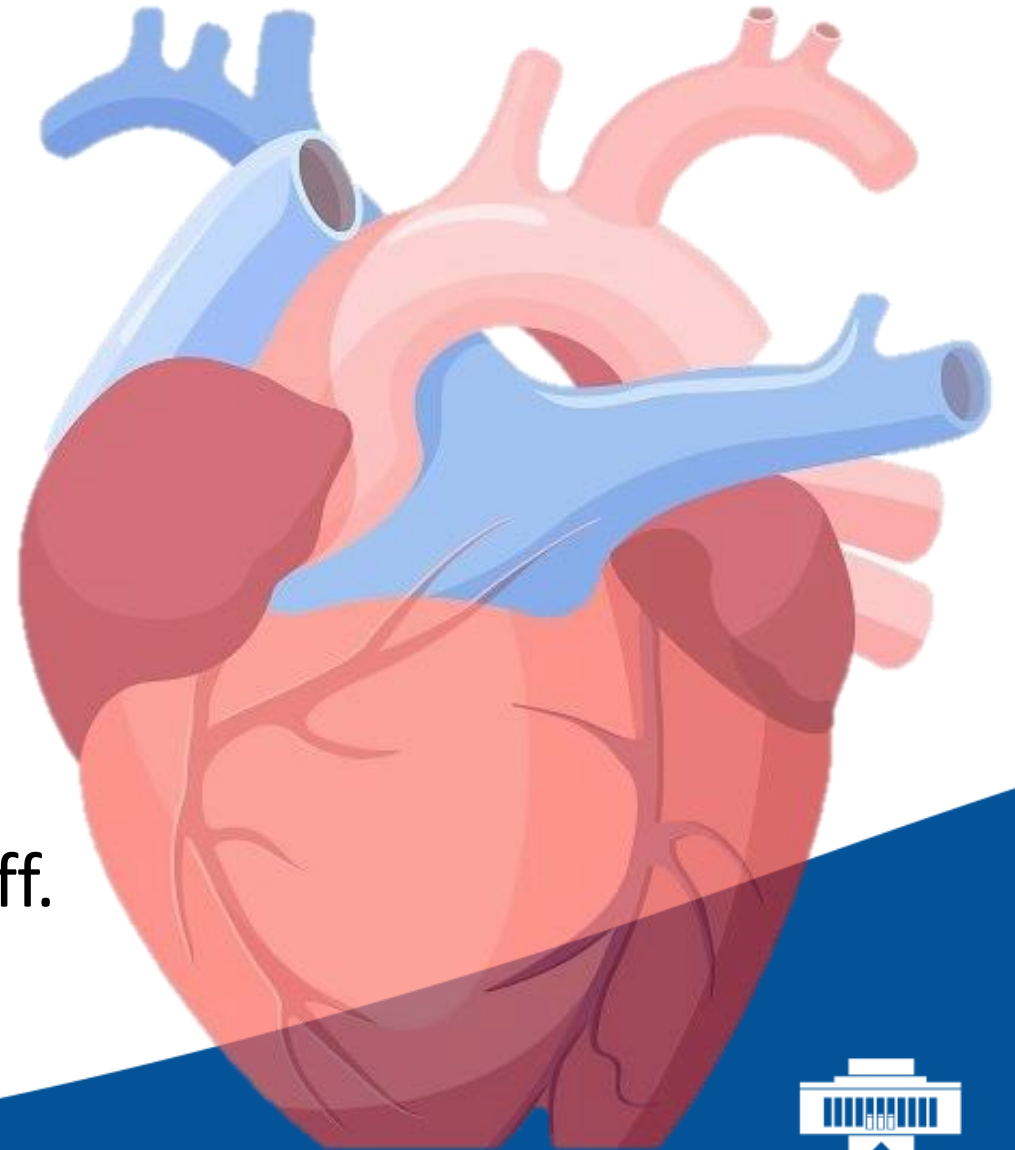


Letters of Reference



A Retention Schedule:

- Lists all **records series** with mandatory **minimum retention periods**.
- Schedules are **media-neutral**.
- **Benefits:**
 - Comply with laws and provide legal protection.
 - Convey retention rules to agency staff.
 - Identify, secure, and protect vital records.



TSLAC Local Retention Schedules

<https://www.tsl.texas.gov/slr/localretention>

CC

County Clerks

LC

Justice and Municipal Courts

DC

District Clerks

PS

Public Safety Agencies

EL

Elections and Voter Registration

PW

Public Works and Other Government Services

GR

Records Common to All Local Governments

SD

Public School Districts

HR

Public Health Agencies

TX

Property Taxation

JC

Public Junior Colleges

UT

Utility Services



Common Retention Codes

[just a number]

Add to creation/receipt date

AV

As long as administratively valuable

CE

Calendar Year End

FE

Fiscal Year End (<http://bit.ly/FYEcalc>)

LA

Life of asset

PM

Permanent

US

Until superseded



Record Series Example

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-56	TIME AND ATTENDANCE REPORTS	Time cards or sheets	4 years	By regulation - 40 TAC 815.106(i).
Unique # assigned by TSLAC	What TSLAC calls this series	What kinds of records these are	Minimum time the records must be kept.	Citations or notes affecting retention



COMPLIANCE

- Declaration of Compliance



What does a RMO do for a government?

RMO ensures the records management program...

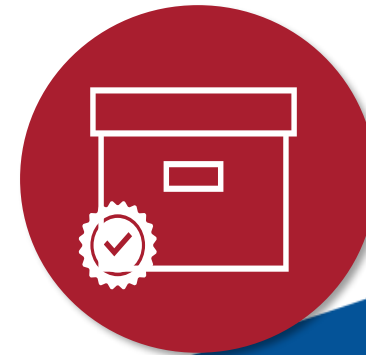
Runs Efficiently



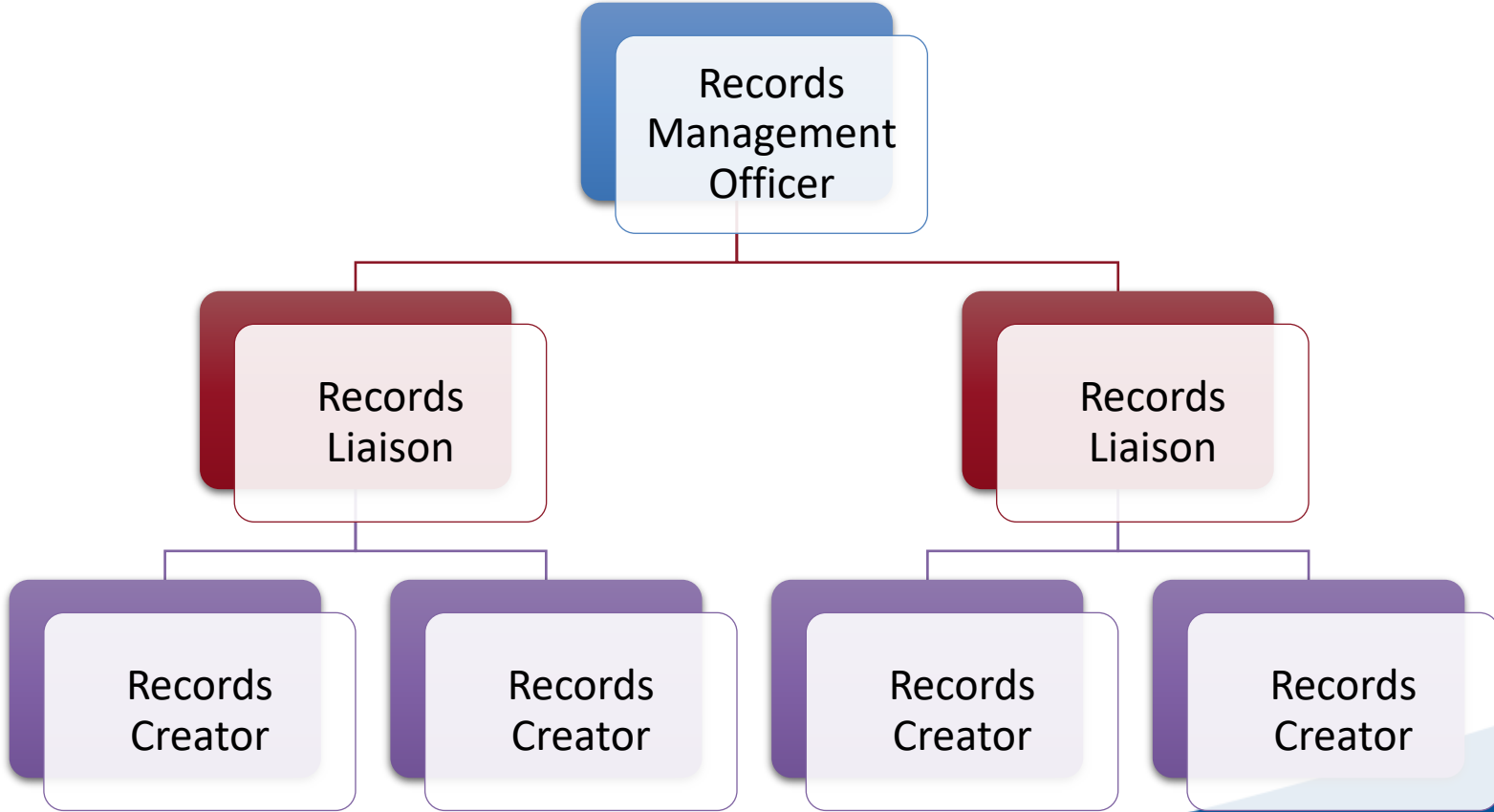
Protects Records and Information



Meet Laws, Rules, Standards



There's No "I" in Records Management Team



HAS YOUR OFFICE FILED A RECORDS MANAGEMENT POLICY WITH TSLAC?



YES!



NO!



I DON'T KNOW!



Elected Official

- Submit SLR 512
 - Will you serve as your own RMO?

www.tsl.texas.gov/slr/form

Local Government Records Act
Chapter 203 Subchapter A

www.tsl.texas.gov/slr/pubs/bulletind



Common Oversights - Elected Officials



Form SLR 512 – Records Management Policy and Declaration of Compliance By an Elected County Official

Part 1: Contact Information

Name of County and Elective Office: Travis County, County Clerk

Name of Officeholder: Lucy Ricardo

Mailing Address, City, Zip Code: 100 Congress Ave., 3rd Floor, Austin, TX 78701

Business email: lricardo@austintx.gov Phone: 512-555-0000

Please subscribe me to The Texas Record for news and training information: <https://www.tsl.texas.gov/slrmblog/>

Part 2: Records Management Policy

The Texas Local Government Records Act (Title 6, Subtitle C, Local Gov. Code) requires that each elective county office establish a records management program. A written plan establishing the program must be filed with the director and librarian of the Texas State Library and Archives Commission.

I, the undersigned elected county officeholder,

will serve as records management officer (RMO) for the office as provided by Local Gov. Code § 203.001.

Or, instead;

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 Local Gov. Code § 203.005(g).

• Name and Title of Designated Countywide RMO: Ethel Mertz County Judge

• Countywide RMO Signature: Ethel Mertz

➤ Elected County Officer Signature: _____

SECTION 1. DEFINITION OF RECORDS OF THE OFFICE. All documents, papers, letters, books, maps, photographs, sound or video recordings, microfilm, magnetic tape, electronic media, or other information recording media, regardless of physical form or characteristic and regardless of whether public access to it is open or restricted under the laws of the state, created or received by the office or any of its officers or employees pursuant to law or in the transaction of public business are declared to be the records of the office and shall be created, maintained, and disposed of in accordance with the provisions of this policy or procedures authorized by it and in no other manner.

SECTION 2. RECORDS DECLARED PUBLIC PROPERTY. All records as defined in Section 1 of this statement are declared to be the property of the office. No official or employee of the office has, by virtue of his or her position, any personal or property right to such records even though he or she may have developed or compiled them. The unauthorized destruction, removal from files, or use of such records is prohibited.

SECTION 3. POLICY. It is declared to be the policy of the office to provide for efficient, economical, and effective controls over the creation, distribution, organization, maintenance, use, and disposition of all records of the office through a comprehensive system of integrated procedures for the management of records from their creation to their ultimate disposition, consistent with the requirements of the Local Government Records Act and accepted records management practice.

SECTION 4. RECORDS MANAGEMENT OFFICER. The records management officer for the office will ensure that the maintenance, destruction, microfilming, electronic storage, or other disposition of the records of this office are carried out in accordance with the requirements of the Local Government Records Act, rules adopted under the Act, and the policies of the office.

SECTION 5. RECORDS MANAGEMENT COOPERATION. The office shall work with the commissioners court, the county records management officer, and other county officers in seeking efficient and cost-effective solutions to records problems commonly experienced by all county offices.

Part 3: Declaration of Compliance

As records management officer for the local government named, I declare records control schedules have been prepared for all records as required by Local Gov. Code §203.041(a) for use in our records management program. I certify that the schedules:

- Comply with the minimum requirements established on records retention schedules issued by the Texas State Library and Archives Commission (as checked below), including retention periods; and
- No retention period on the records control schedules is less than a retention period prescribed by a state or federal law, regulation, or rule of court.

As records management officer, I understand that I shall:

- Assist in establishing and developing policies and procedures for the records management program for the local government;
- Ensure compliance with other duties of records management officer pursuant to Local Gov. Code, §203.023;
- Ensure compliance with Electronic Standards and Procedures, 13 TAC 7, pursuant to Local Gov. Code, §205.002; and
- Ensure compliance with Microfilming Standards and Procedures, 13 TAC 7, pursuant to Local Gov. Code, §204.002.

I declare that this local government will comply with the retention schedule:

Schedule GR (Records Common to All Governments)

I declare compliance with the following additional retention schedules issued by the commission:

(check all that apply):

- | | |
|---|---|
| <input checked="" type="checkbox"/> Schedule CC (Records of County Clerks) | <input type="checkbox"/> Schedule PS (Records of Public Safety Agencies) |
| <input type="checkbox"/> Schedule DC (Records of District Clerks) | <input type="checkbox"/> Schedule PW (Records of Public Works and Services) |
| <input checked="" type="checkbox"/> Schedule EL (Records of Elections and Voter Registration) | <input type="checkbox"/> Schedule SD (Records of Public School Districts) |
| <input type="checkbox"/> Schedule HR (Records of Public Health Agencies) | <input type="checkbox"/> Schedule TX (Records of Property Taxation) |
| <input type="checkbox"/> Schedule JC (Records of Public Junior Colleges) | <input type="checkbox"/> Schedule UT (Records of Utility Services) |
| <input type="checkbox"/> Schedule LC (Records of Justice and Municipal Courts) | |

RMO Name and Title: Ethel Mertz County Judge

RMO Signature: Ethel Mertz Date: 3/15/23




```
object to mirror_
mirror_mod.mirror_object
operation == "MIRROR_X":
mirror_mod.use_x = True
mirror_mod.use_y = False
mirror_mod.use_z = False
operation == "MIRROR_Y":
mirror_mod.use_x = False
mirror_mod.use_y = True
mirror_mod.use_z = False
operation == "MIRROR_Z":
mirror_mod.use_x = False
mirror_mod.use_y = False
mirror_mod.use_z = True

#selection at the end -add
mirror_ob.select= 1
modifier_ob.select=1
context.scene.objects.active
("Selected" + str(modifier_ob
mirror_ob.select = 0
= bpy.context.selected_object
data.objects[one.name].select
print("please select exactly
--- OPERATOR CLASSES ---
types.Operator):
on X mirror to the selected
object.mirror_mirror_x"
mirror X"
is not
```

Electronic Records

Legal Obligations for E-Records

www.tsl.texas.gov/slrn/pubs

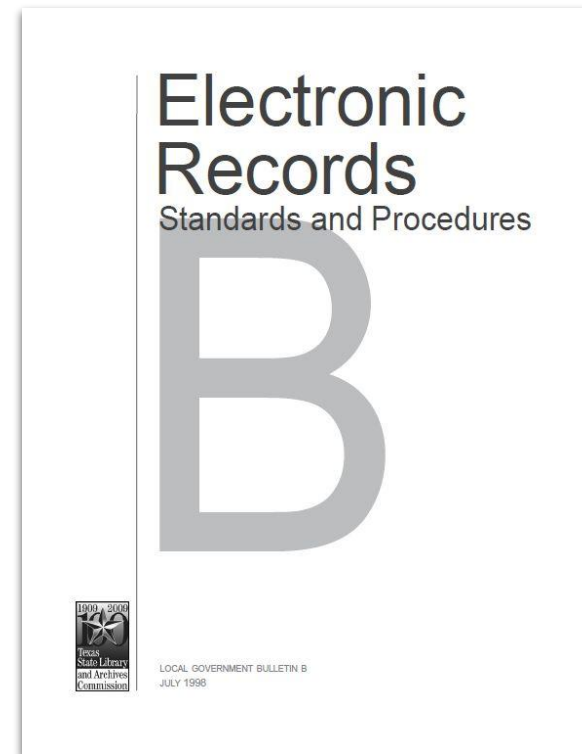
Statutes

Local Government
Code Chapter 205



Rules

13 TAC §§
7.71-7.79



An Electronic Record:

- Media neutral
- Any information that is recorded in a form for computer processing, a.k.a. **machine-readable**.



Two Types of E-records

Born Digital

- Original record is electronic
- e.g., Word doc, MP3, web page



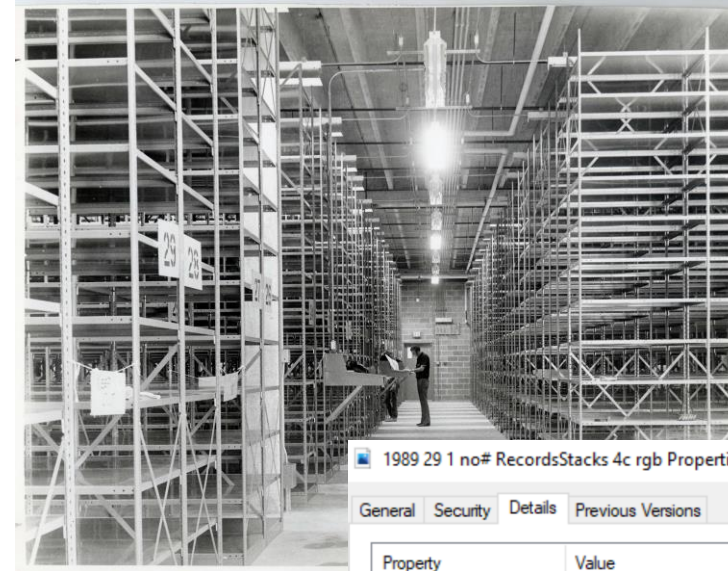
Digitized

- Original record was analog
- e.g., receipt, cassette, VHS, typewritten page



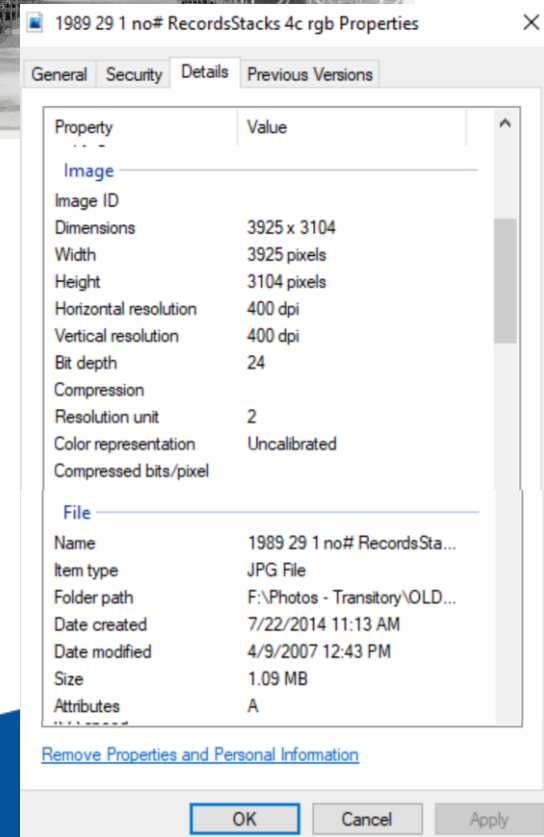
Metadata Is:

- Data about data
- Part of the electronic record
 - Information about the e-record
 - Stays with record
- Created by systems or people



The data

Data about the data



Email Records



Defining Email Records

- Email is a format, not a type of record
 - No record type for “paper”
...no record type for “email”
- Includes any government records sent from personal devices or accounts



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.

Leave Records – GR1050-54b

- FE + 5 years for school districts
- FE + 3 years for other governments

Common Series for Email



3-Step Drill

1. Is this a record?

2. Is this related to my job?

3. Am I the custodian?

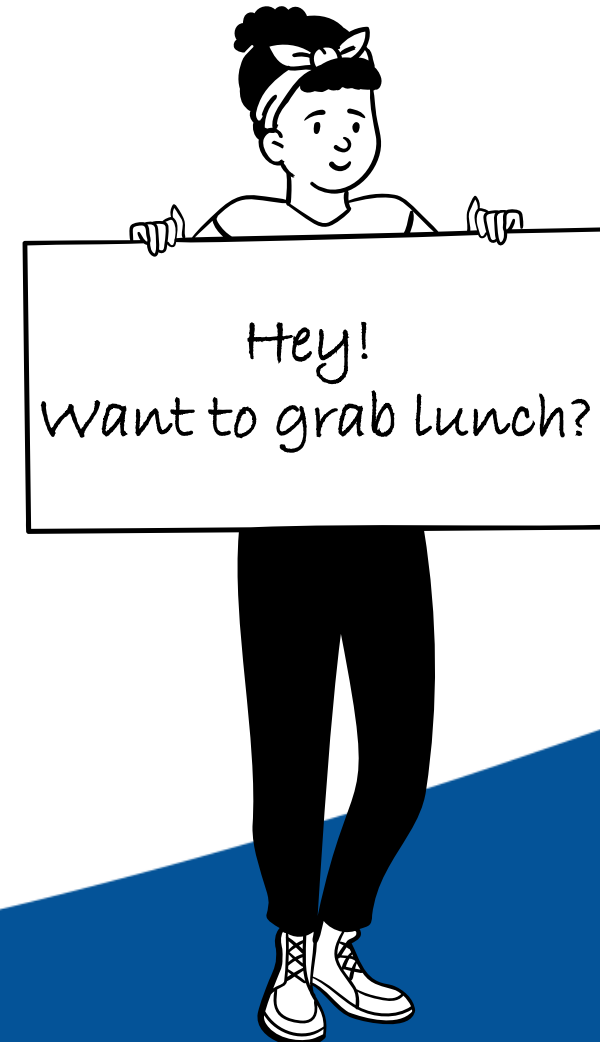


Step 1: Is the email a record?

Does the email document government business?

Emails that are not records:

- Personal or non-business related
- 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?*

No

Forward and/or delete your copy, as applicable.



Yes

Proceed to next step

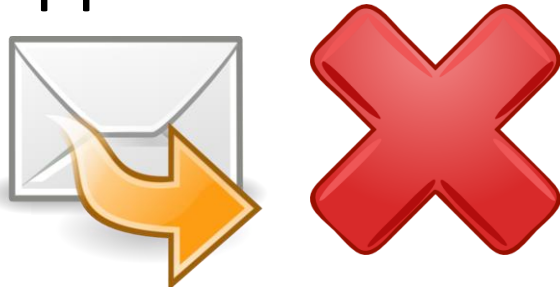


Step 3: Are you the custodian?

Are you the person in your organization responsible for maintaining records related to this subject?

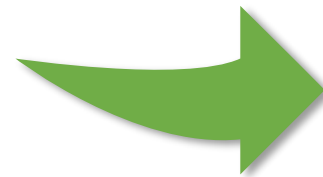
No

Forward and delete your copy, as applicable.

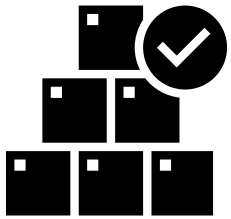


Yes

Proceed to next step

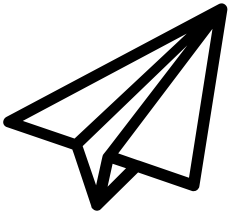


Custodianship: Who has the record copy?



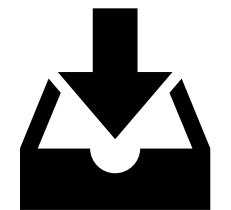
The custodian is:

- The person who has the record copy, which needs to be kept for the full retention period.



With email, the sender is:

- Typically the custodian of the record copy.



The recipient may also need to keep a copy if:

- The email requires the recipient to take an action
- The email documents an action taken by the recipient



After the Drill



Keep and file the email!

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



Messaging Strategies



Managing Text and IM Records



- If possible, use other communication formats (email, phone, or talk in person).
- If possible, use separate devices/accounts for work and personal use.
- Have a capture strategy:
 - Screenshot, save image
 - Forward to email



“

The general forms in which the media containing public information exist include a book, paper, letter, document, e-mail, Internet posting, **text message**, instant message, other electronic communication, printout, photograph, film, tape, microfiche, microfilm, photostat, sound recording, map, and drawing and a voice, data, or video representation held in computer memory.

Gov Code, §552.002 – Public Information Act



2019 Amendment to Public Information Act

Definition of Temporary Custodian:

- Past or present government officer or employee
- Received government records on their personal device

Temporary Custodians Must:

- Forward or transfer the records to the governmental body, OR:
- Preserve the public information in its original form on their privately owned device



Retention Summary:

- A record is a record is a record!
- Metadata is part of a complete e-record.
- Remember the 3-Step Drill for managing email.



Disposition

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

– National Archives and Records Administration (NARA)

Benefits of Disposition

Promotes

- Cost savings
- Faster retrieval
- Use of space
- Legal protection

Prevents

- Information overload
- Human error
- Negative perception



Types of Disposition



Confidential
Records



Burning



Shredding



Pulping



Recycle

Open
Records



Landfill

Approved Destruction Methods



Before Destroying Records

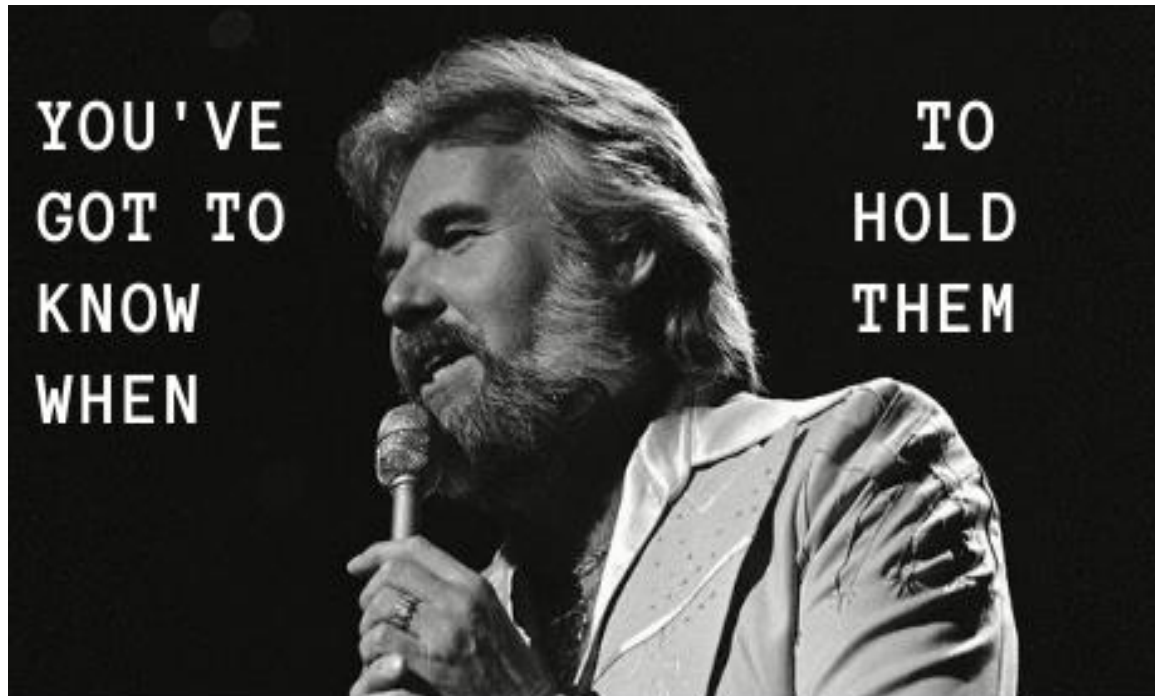
- Has the record met the retention period?
- Are there any copies?
- Did I receive internal approval?
- Do I have a disposition log?
- Is there a destruction hold?

A thought bubble with a white background and a black outline, containing the text "Ask yourself...".

Ask
yourself...



Types of Destruction Holds



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



Using a Disposition Log



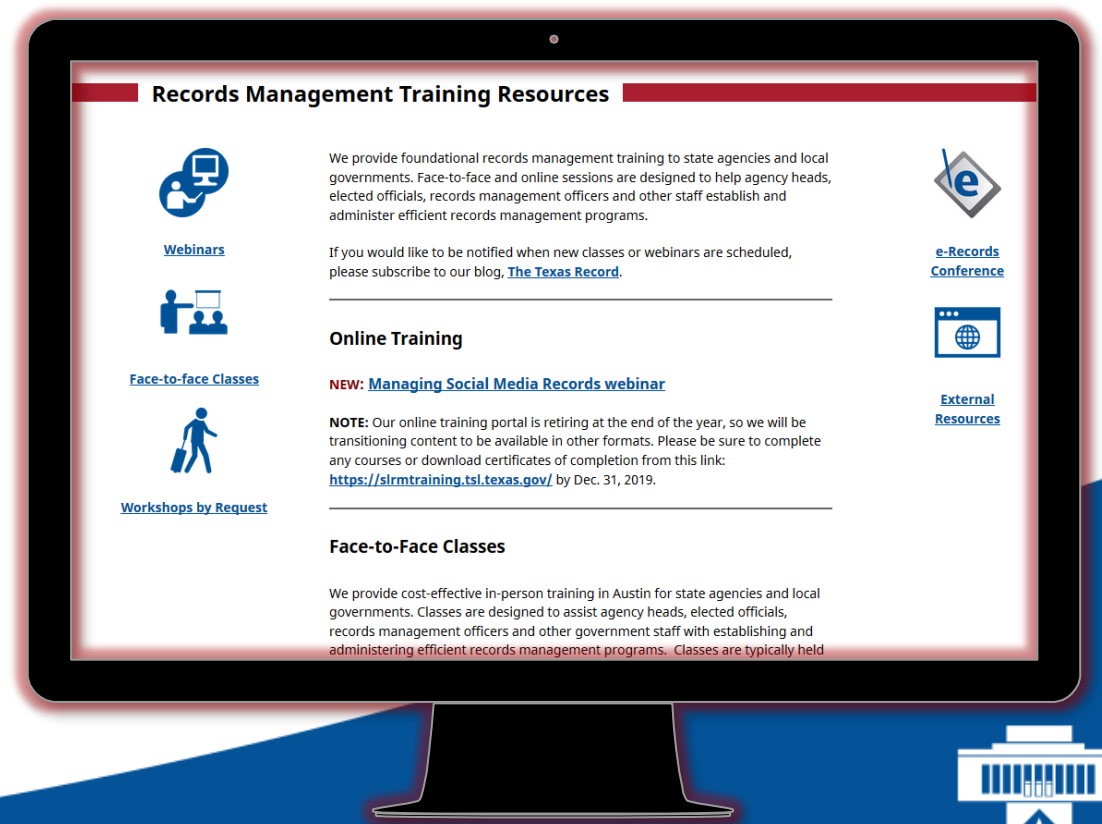
- Record series title
- Dates of record
- Date of disposal
- Volume of records disposed
- Disposal method
- Approval signatures



More Training

www.tsl.texas.gov/slrtraining

- Webinars and online courses
- Conferences
- Regional workshops



E-Records Conference

- Co-sponsored by TSLAC and DIR since 2000
- For government records managers and IRMs
- www.tsl.texas.gov/slrn/training/erecords
- Recaps of conference sessions on The Texas Record blog



The State Record Center (SRC)

- Storage
 - Inactive Records,
 - Microfilm, and
 - Disaster Recovery Records
- Imaging
 - Digitization and
 - Microfilm
- Contact Info:
 - Our Main Line:
512-463-7610 or slrminfo@tsl.texas.gov



The Texas Record

www.tsl.texas.gov/slrm/blog/

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- Publish:
 - Announcements on training
 - Networking opportunities
 - Updates to local schedules and bulletins
 - TX records management guidance



Questions?

- **Our Main Line:**

- Call: (512) 463-7610
- Email: slrminfo@tsl.texas.gov

