

RECORDS MANAGEMENT

*For Texas State Agencies,
Public Universities, and Local
Governments*



SLRM
STATE AND LOCAL
RECORDS
MANAGEMENT



Brianna



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Maria



How Can We Help You?

RMA Unit

512-463-7610

slrminfo@tsl.texas.gov

Rebecca



Michelle



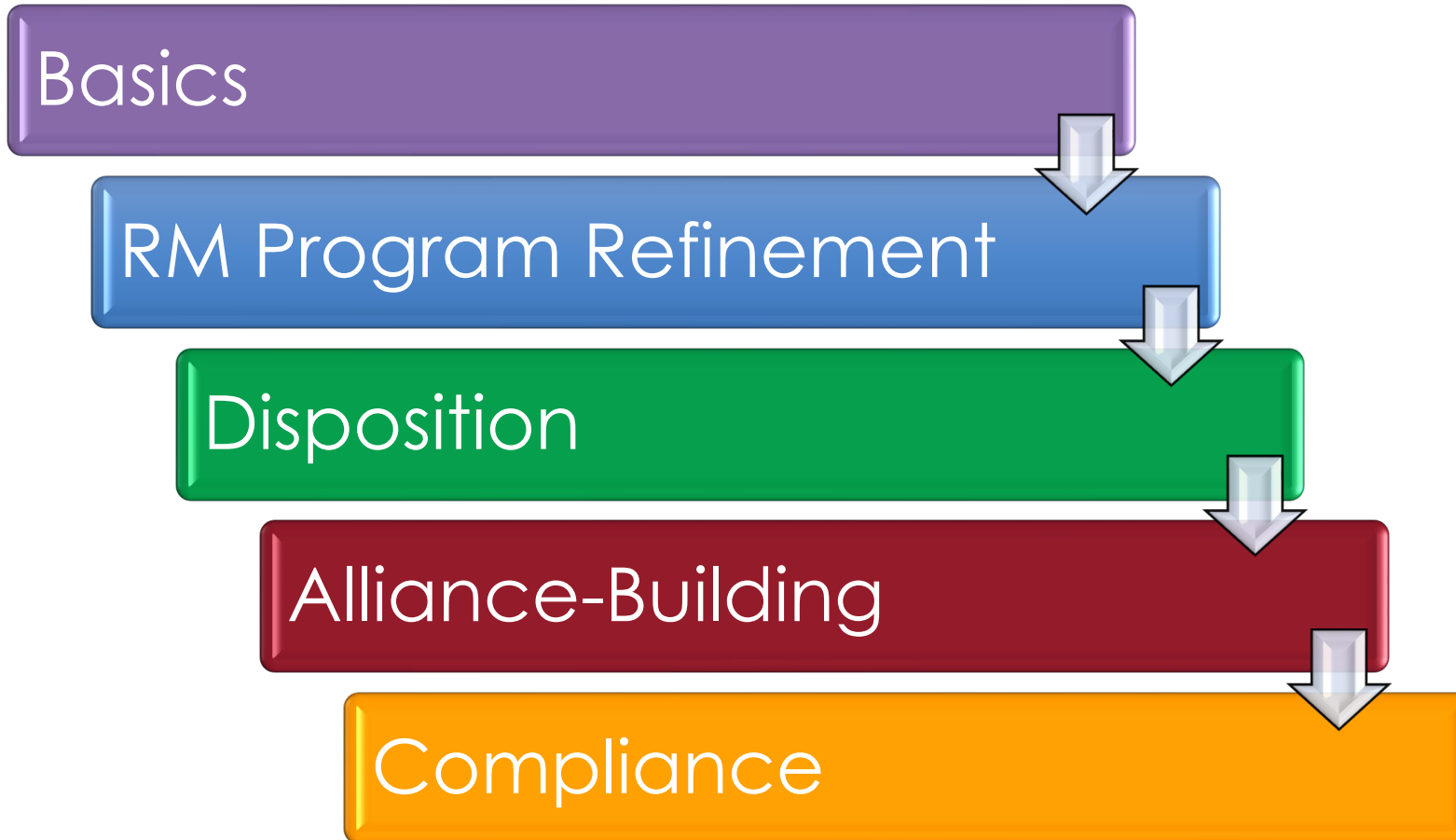
Anne



Erica



Looking Ahead...



Before we begin...



1. Abbreviations:

- SA = State Agency
- PU = Public University
- LG = Local Government

2. How is the records management system going at your organization?

- a) No problems or setbacks
- b) Some issues to resolve
- c) **HELP!**
- d) I don't know.



Retention Schedule Elements (LGs)

Record Number	Record Title	Record Description	Retention Period	Remarks
GR 1050-32a	WORKERS COMPENSATION CLAIM REORDS	Initial and supplemental incident forms, reports, or logs	CE + 5 years	By regulation - 29 CFR 1904.33. Retention Note: If a claim is filed as a result of the accident or...

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



Retention Schedule Elements (SAs & PUs)

1. Agency Code: 306			2. Agency Name: Texas State Library and Archives Commission								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1E.003	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC 5				AC= Termination of employment.		CONFIDENTIAL AND VITAL RECORD	29 CFR §1602.31

1. <https://www.tsl.texas.gov/slr/rrs>
2. <https://www.tsl.texas.gov/slr/urrs>
3. <https://www.tsl.texas.gov/slr/state/schedules>



Common Retention Codes:

AC

- After specific event trigger

AV

- purpose served

CE

- Calendar Year End

FE

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

LA

- Life of asset

PM

- Permanent (never destroy)

US

- until replaced by an updated version



A Record:

- Documents the activities in the conduct of public/state business or the use of public resources.
 - Can be created or received.
 - May exist in **any** medium.
-
- LGRA (Bulletin D) §201.003
 - SRML (Bulletin 4) Gov. Code §441.031



A Record Is NOT:



Convenience
Copies



Blank Forms
and Stocks of
Publications



Library or
Museum
Materials



Alternative
Dispute
Resolution
Working Files

- LGRA (Bulletin D) §201.003
- SRML (Bulletin 4) Gov. Code §441.031



For SAs and PUs...

- State Records Center (SRC)
 - Retention Schedule ↔ TexLinx
 - SRC: records@tsl.texas.gov
 - RMA: slrminfo@tsl.texas.gov
- SLR 122 form for amendments: <https://www.tsl.texas.gov/slr/forms>



For LGs...

- Record not in LG schedules? → Internal amendment
- Your input = improved local schedules
- See: <https://www.tsl.texas.gov/slrn/blog/>
 - FAQ: My Record Is Nowhere to Be Found on a Schedule—Now What?
 - Customizing Your Local Government Retention Schedule



Who is the custodian?



- Could be more than one:
 - Person
 - Department
 - Entity
 - Agency, etc.



S.B. 944:

Amendment to Public Information Act

- “Temporary Custodian”
 - ↓ Past/present officer/employee
 - ↓ Creates/receives public government records on a personal device
 - ↓ Not turned over to the governmental body
- **Must:**
 - **Forward or transfer** records to the governmental body; or
 - **Preserve** the public information in its **original form** on the privately-owned device.

<https://www.texasattorneygeneral.gov/open-government>



22222		a Employee's social security number		OMB No. 1545-0008		
b Employer identification number (EIN)			1 Wages, tips, other compensation		2 Federal income tax withheld	
c Employer's name, address, and ZIP code			3 Social security wages		4 Social security tax withheld	
			5 Medicare wages and tips		6 Medicare tax withheld	
			7 Social security tips		8 Allocated tips	
d Control number			9 Verification code		10 Dependent care benefits	
e Employee's first name and initial Last name Suff.			11 Nonqualified plans		12a	
			13 Statutory employee Retirement plan Third-party sick pay <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		12b	
			14 Other		12c	
					12d	
f Employee's address and ZIP code						
15 State	Employer's state ID number	16 State wages, tips, etc.	17 State income tax	18 Local wages, tips, etc.	19 Local income tax	20 Locality name

Form **W-2** Wage and Tax Statement
Copy 1 — For State, City, or Local Tax Department

2017

Department of the Treasury—Internal Revenue Service



Record Number/RSIN	Record Title	Record Description	Retention Period	Remarks
GR1050-53b	FEDERAL AND STATE TAX FORMS AND REPORTS	Forms and reports used to report the collection, distribution, deposit, and transmittal of payroll or unemployment taxes (W-2, 1099).	4 years after tax due date or date tax paid, whichever later.	By regulation - 20 CFR 404.1225(b) (3), 26 CFR 31.6001-1(e) (2) for federal forms and by authority of this schedule for state forms.
3.2.003	FEDERAL TAX RECORDS	Includes 1099, W2, FICA, and other tax records.	AC+4	AC=Tax due date, date the claim is filed or date tax is paid, whichever is later. 26 CFR 31.6001 – 1(e)(2).

15 State	Employer's state ID number	16 State wages, tips, etc.	17 State income tax	18 Local wages, tips, etc.	19 Local income tax	20 Locality name

Form **W-2** Wage and Tax Statement
Copy 1 – For State, City, or Local Tax Department

2017

Department of the Treasury—Internal Revenue Service



What is your RM program strategy?



- Policies and procedures
 - Training
 - New/current/soon-to-be separated employees
 - File location + maintenance
 - Formats
 - Program efficiency/end-to-end process checks
 - Disaster Plans
 - Outsourcing



Policies & Procedures: Minimum Storage Conditions



✓ Protection from:

- fire, water, steam
- structural collapse
- unauthorized access, theft
- similar hazards

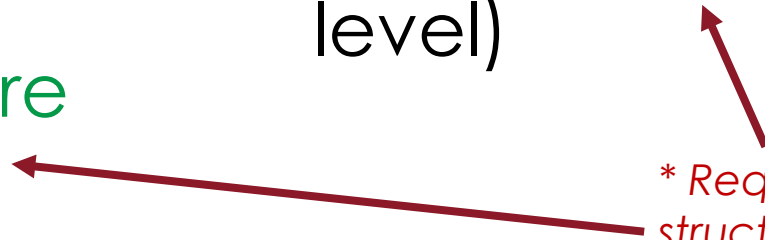
✓ Follow local fire codes/operational fire detection system

✗ Direct exposure to sunlight

✗ Contact with the floor

✗ Located in a 100-year flood plain area (unless at least 5 ft. above flood level)

** Required only for structures built after April 7, 2015.*



Optional Enhanced Storage Conditions



Operational fire suppressant system



Pest management program



Use appropriate shelving



Install UV filters and limit fluorescent light



Store records in archival quality boxes

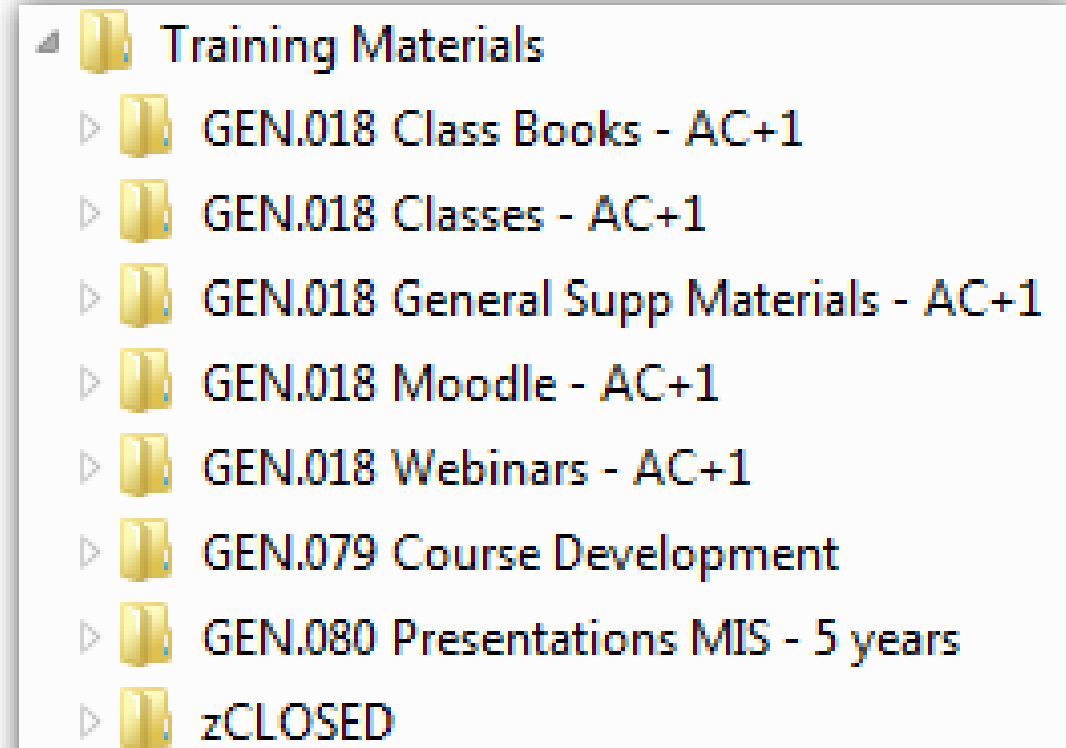


Environmental controls for temperature and humidity



Policies & Procedures: File Naming Conventions

- Be specific and consistent.
 - Title:
 - Short, descriptive
 - record series
 - program acronym
 - retention period (record # optional)
 - Date: YYYY-MM-DD
- Think about future disposition.
- Create shortcuts to common records.



Policies & Procedures: Cloud Storage



- Procedures for third-party online records storage
 - Security
 - Management
 - Retention + disposition
- **Must maintain ownership** and responsibility
- Descriptions of third-party business continuity plans

Bulletin B: §7.73(b)(1), §7.74(a)(2), §7.74(a)(9)



Policies & Procedures: Formats

- **File formats matter!**

- The file format you choose will affect your long-term records management abilities.
- Choose a preservation format for records with 10+ years retention.

- **Sustainability of Digital Formats** – Library of Congress

- <https://www.loc.gov/preservation/digital/formats/>

- **File formats in the Texas Digital Archive**

- <https://tsl.access.preservica.com/tda/about-file-formats/>



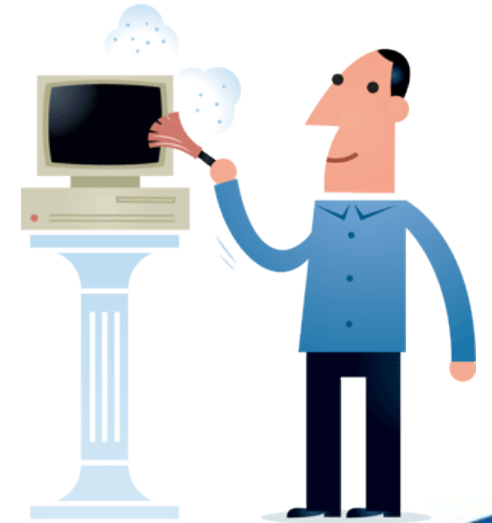
Policies & Procedures: Vital Records

- **LOCKSS and the 3-2-1 Backup Rule**
 - Data redundancy: 2-3 backup copies
 - Combination of cloud backup, external USB hard drive, flash drive

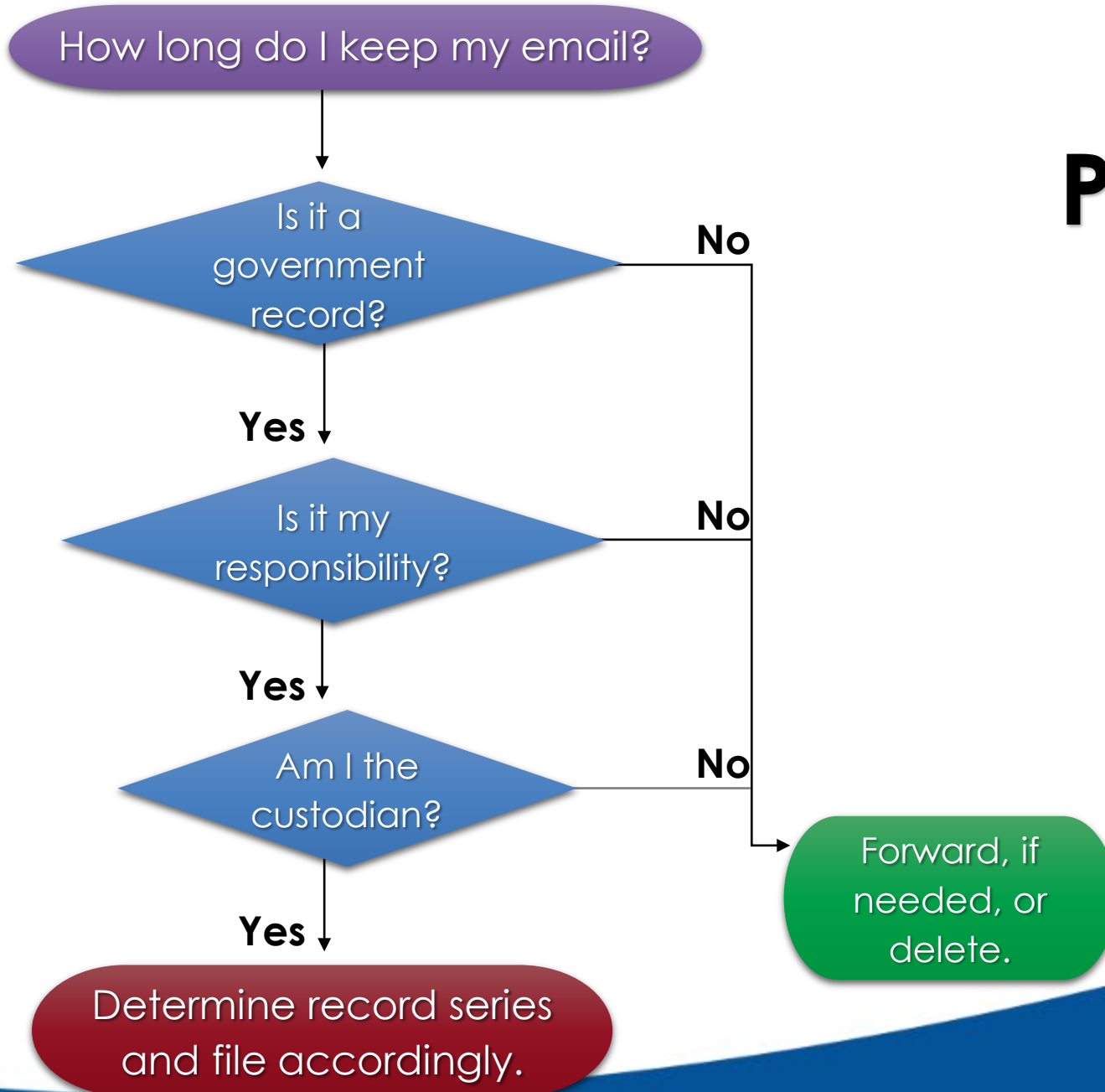


Policies & Procedures: Computer Museum

- Preserve the computing environment that is required to retrieve and read the electronic records.
 - Hardware
 - Software
 - Operating systems
 - Disk drives
 - Documentation
- Protect against data loss from changing technology or media deterioration.



Policies & Procedures: Email



Retention Conscious Email File Plan

▼ Email

Inbox

Sent Items

▼ Correspondence

General (2 years)

▼ Program Records

Consulting (2 years)

Schedule Reviews (AC)

Special Projects (AV)

Publication Development (AV)

Public Information Requests – Non-Excepted (1 year)

Transitory (AC)

Reference

From: Your Analyst

Sent: Thursday, December 3, 2020 3:31 PM

To: LocalGovernment@texas.gov

Subject: Answer to Consulting Question

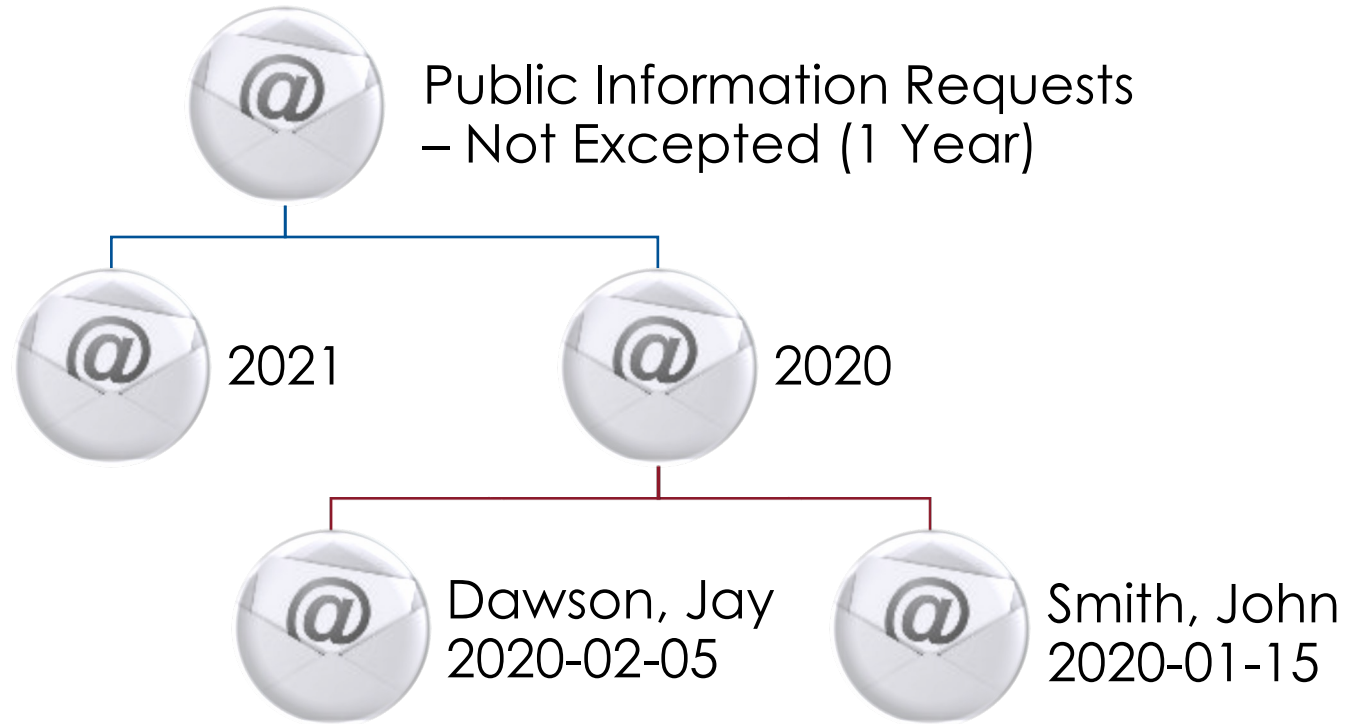
Dear Local Government,

Here is the answer to your consulting question. Retain PIA requests for 1 year after the request has been fulfilled.

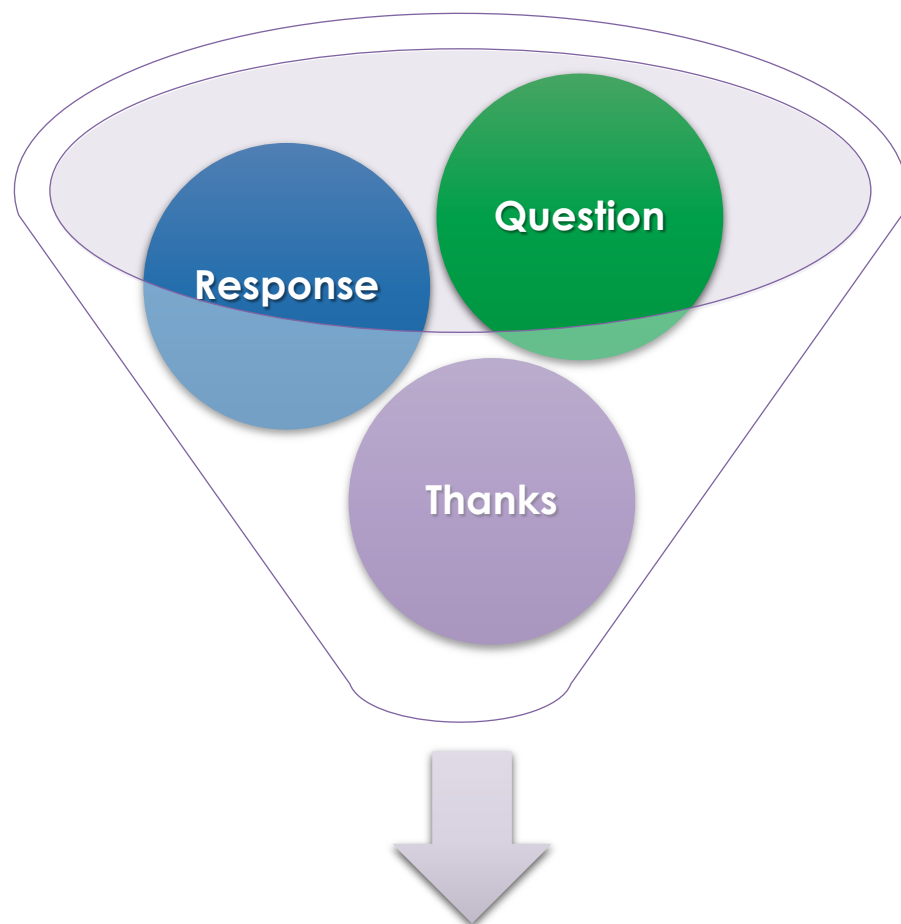
Sincerely,
Your Analyst



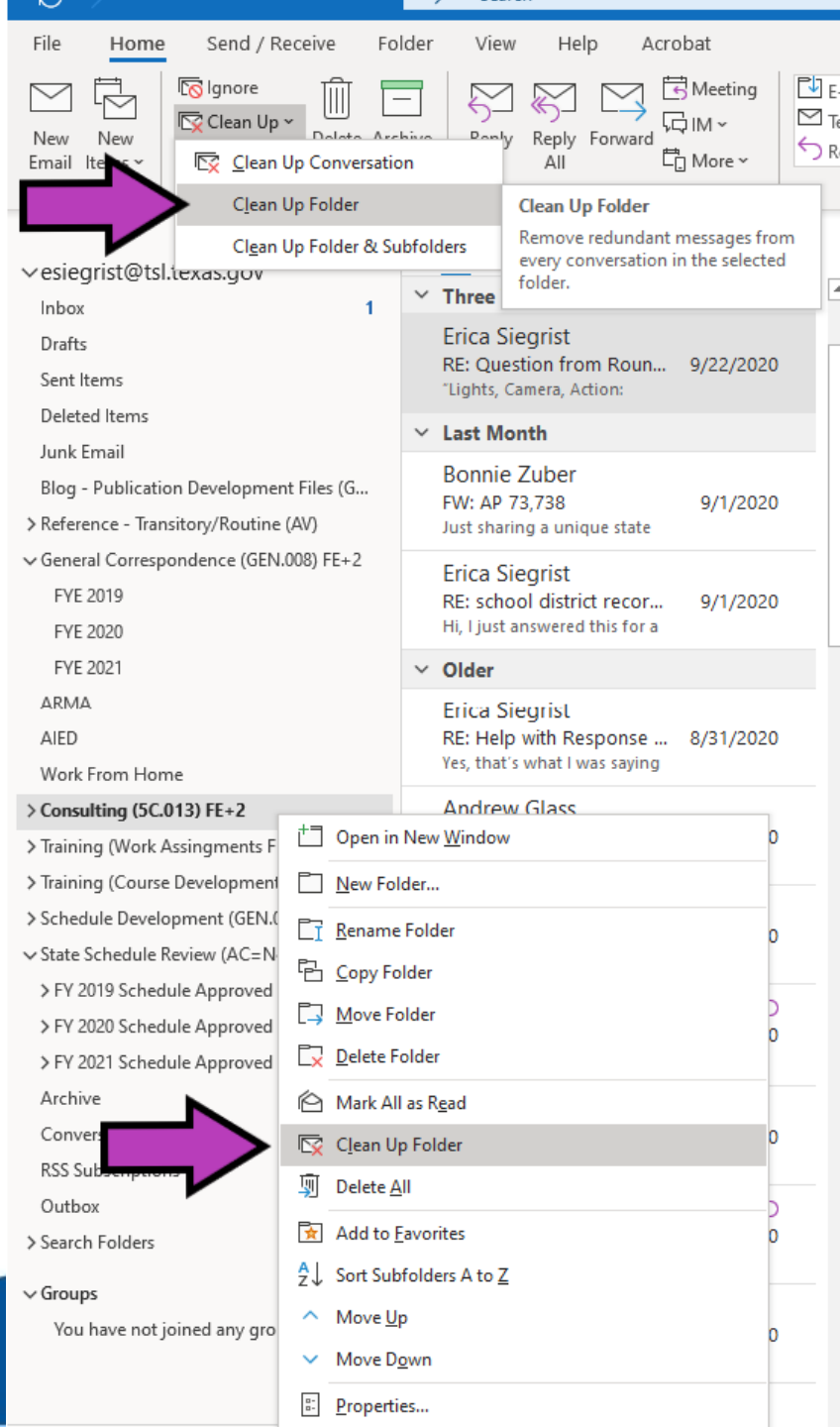
Retention Conscious Email Folders



Outlook Clean Up (Keep the Chain)



One record to keep



Separated Employee Emails

- Make it policy:
 - For soon-to-be separated employees to:
 1. Review and sort their own email **based on retention**.
 2. Set up a folder in the shared drive for easy access.
 3. Transfer/forward emails of ongoing business to the manager.
 - For sudden separations, assign a new custodian.
 - Decide where these emails will live for rest of their retention.



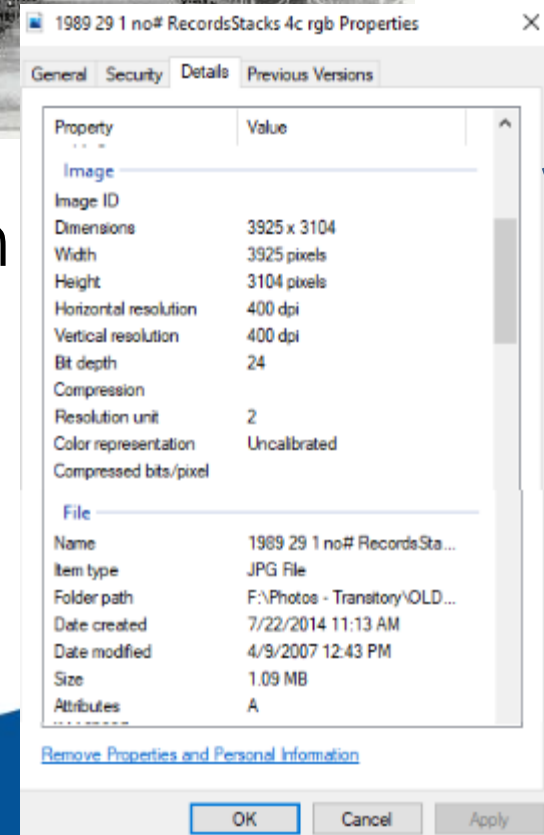
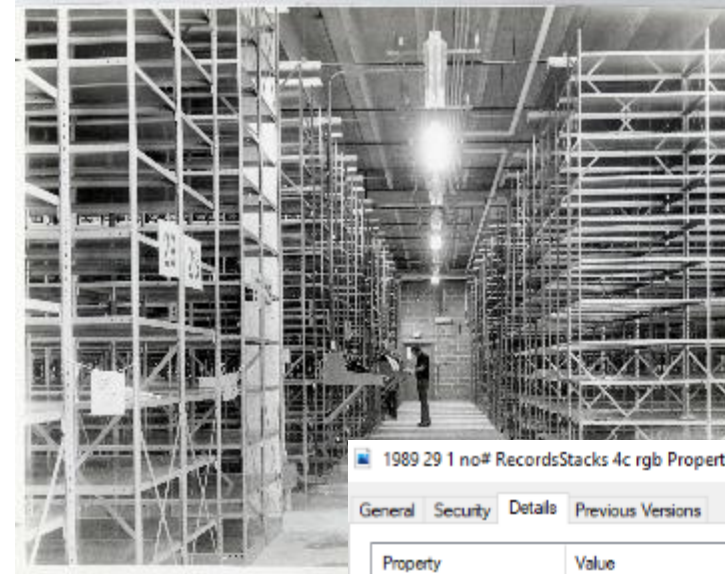
Policies & Procedures: Text Messages

- If necessary, use separate devices/accounts for work and personal use.
- Decide how to capture government records:
 1. Screenshot, save image
 2. Keep hyperlinks and metadata
 3. Forward all to work email



Policies & Procedures: Metadata

- Part of the electronic record
- Stays with record
- Gives context
- Authenticates the validity of information
- Created by systems or people



**Data
about
the
data**

Bulletin B: TAC 7.71(11) and 7.74(a)(5)
Bulletin 1: 13 TAC §6.92 (9)



Policies & Procedures: Social Media

<https://www.tsl.texas.gov/slrn/webinars/socialmedia>

- Social media policy template
- NARA Best Practices for the Capture of Social Media Records
 - Web crawlers
 - Web capture tools
 - Built-in social media tools to export content
- ARMA IMM Best Practices for Governing Social Media
- DIR Social Media Resource Guide



Policies & Procedures: Websites

- Many kinds of records
 - Layout/content changes
- Advantages/limitations of automated web crawling/archiving
- Preservation of:
 - some content offline/alternative format
 - hyperlinked content/metadata in original context



Ready-to-Use:

- Disaster Plan Checklist:
<https://www.tsl.texas.gov/slrn/blog/2021/09/information-disaster-plan/>
- Electronic Records/Email/Social Media Policy Templates:
<https://www.tsl.texas.gov/slrn/pubs/bulletin1resources#policies>



Policies & Procedures: Disposition

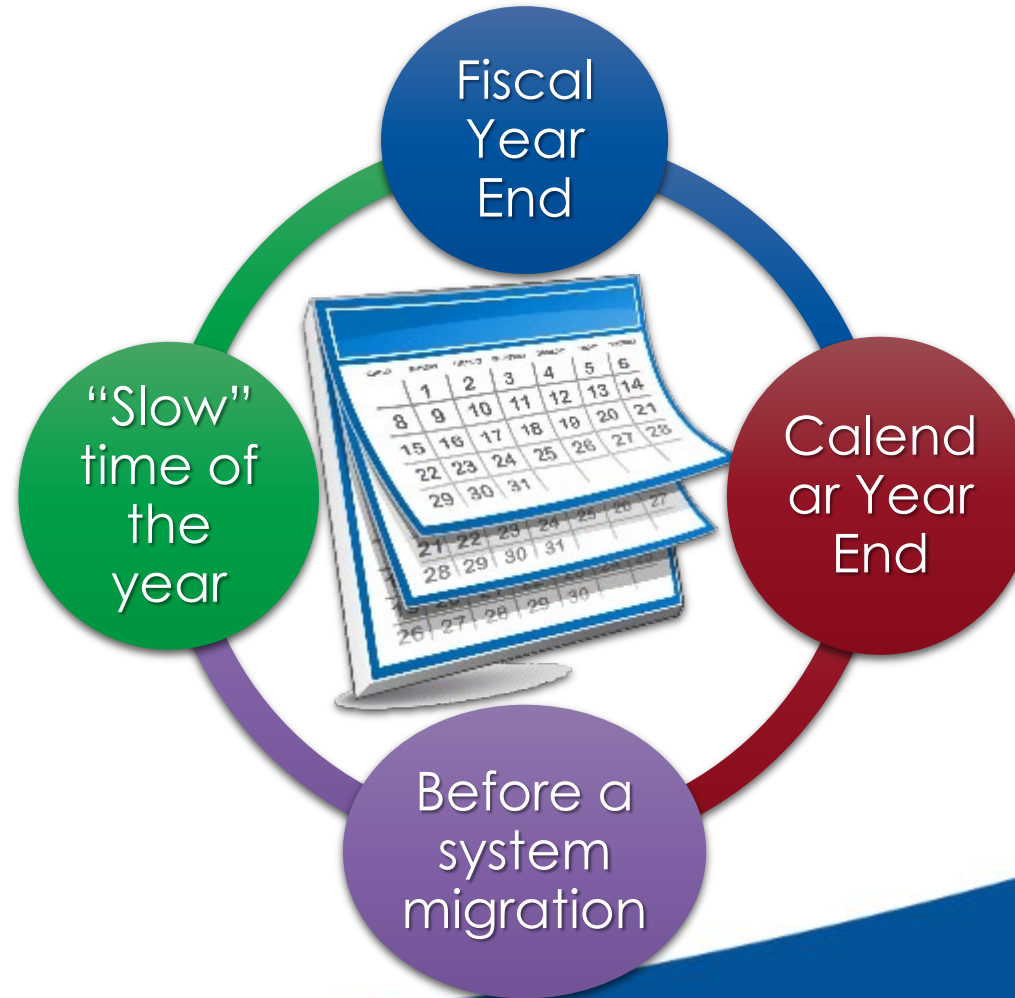
- What, Where, When, How, Who
 - Protect confidential, sensitive information
 - Transfer or destroy
- Duplicates/copies/backups
- Disposition Logs

- Destruction Holds

- **Litigation**
- **Claim**
- **Negotiation**
- **Audit**
- **PIA requests**
- **Administrative review**

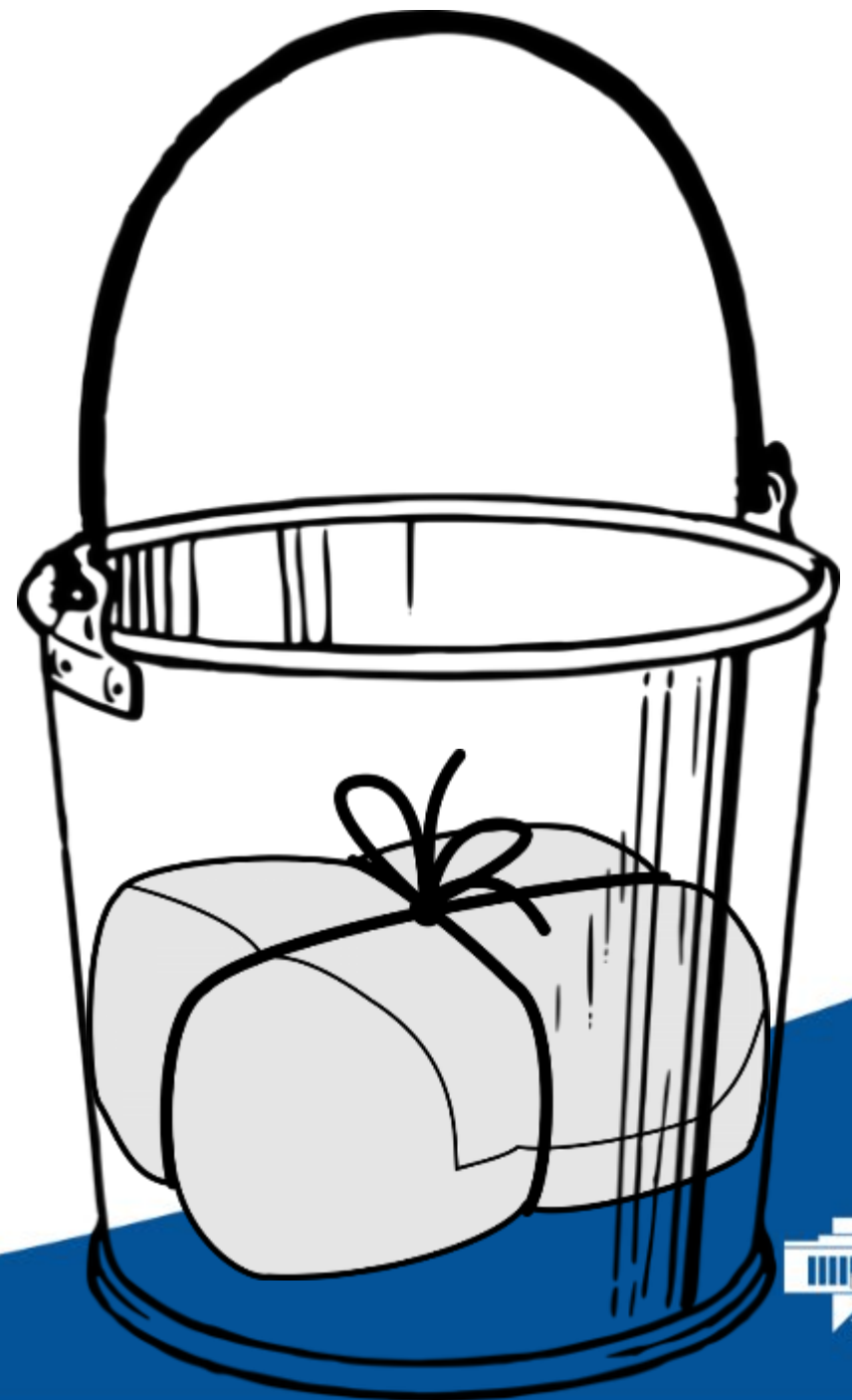


When to Do Disposition



To Bucket or Not to Bucket...?

- Interrelated/inseverable records
 - May have different retention periods
- Use retention period of element with **longest** retention period
- Know risks of destroying by separate retention periods



Archival/Historical Records

SAs & PUs

- **A/I** – Records must be transferred to State/University Archives
- **R/O** – Contact State/University Archives for archival review of records before disposition
- Paper or electronic
- Email: statearchives@tsl.texas.gov

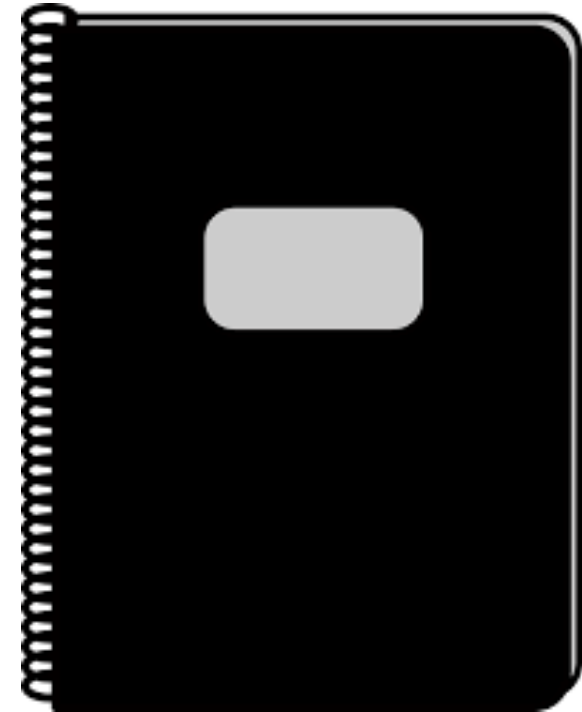
LGs

- LGRA (Bulletin D) **§202.004** and **§203.049**:
 - Only to other *public* institutions
 - Documented approval from RMO
 - Documented approval from TSLAC
- Regional Historical Resource Depository System:
<https://www.tsl.texas.gov/aboutRHRD>



Elements of a Disposition Log

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



➤ Template: <https://bit.ly/dispolog>



Do you have boxes or microfilm at the SRC with obsolete records?

- If **yes** + **records met retention period** → work with SRC to destroy
 - records@tsl.texas.gov
- If **yes** + **archival** → work with State Archives
 - statearchives@tsl.texas.gov



Can we destroy a paper record after it has been scanned?



How mysterious does RM seem to staff at your organization?



Starting Places

- Whenever, Wherever:
 - **Create new alliances**
 - New ways to market/promote RM
 - Executive sponsors
 - **Broad visibility**
 - Names & Faces
 - **Reinforcement**
 - Train, train, train
 - New habits
 - More regular clean-up/disposition events
- Pull in I.T., Legal, Executive, TSLAC, etc.



Remember:



- You do **not** have to do it all alone.
- We **all** create/receive records.
- RM is **not** a one-person job.



LG Compliance Forms

<https://www.tsl.texas.gov/slr/form/forms>

- SLR 504 – Designation of RMO
- SLR 508 – Declaration of Compliance
- Policy template for **non**-elected offices
- SLR 512 – Policy and Declaration for Elected Officials
- Create compliance procedures for new/current/exiting staff

slrinfo@tsl.texas.gov

Bulletin D: LGC Section 203



SA & PU Schedule Recertification

- Update RMO contact information w/ TSLAC
 - Procedures for new/exiting staff
- Know when next recertification is due
 - How do you keep track and prepare?
- Tutorial:
 - <https://www.tsl.texas.gov/slr/state/schedules/recertification>
- Blog articles:
 - <https://www.tsl.texas.gov/slr/blog/>
 - How do I Recertify my State Agency Retention Schedule?
 - Search “Recert”

slrinfo@tsl.texas.gov



Records Management



Forms



Laws and Rules



Training

➤ <https://www.tsl.texas.gov/slr>



Local Retention
Schedules



State Retention
Schedules



The Texas Record Blog

➤ <https://www.tsl.texas.gov/slr/blog/subscribe/>

- Announcements:
- Schedule/Law Updates
 - Training/Conferences
 - Best Practices



Records Center Storage



Imaging Services



Contact Us





Questions?

RMA Unit

(512) 463-7610

slrminfo@tsl.texas.gov

