



RECORDS
MANAGEMENT
BASICS

1st Things First

Objectives

What is a
record?

Examples

What is
Records
Management?

Why do we
Manage
Records?

Consequences

Record
Holder

Records
Life
Cycle

Retention
Schedule

Records
Series

Reading the
Schedule

Retention
Codes

Examples

Records
Inventory

Disposition

Records
Analysis
Exercise

Benefits

Call
to
Action

Objectives

After this training you will be able to:

- Define a record
- Differentiate records from non-records
- Locate the retention schedule
- Read the retention schedule
- Know if you are the record holder
- Categorize records into correct record series
- Complete the Record Destruction Form
- See the benefits of records management

What is a state record?

- ❖ Anything that documents WTAMU business
- ❖ Created or received by WTAMU
- ❖ Is either open OR closed



Payroll

Email

Calendar

Admissions

Meeting Notes

Purchasing

Syllabus

Ledgers

Reports

Memos

A



is a



Regardless of who creates,
receives, or uses it.

Regardless of format or machine

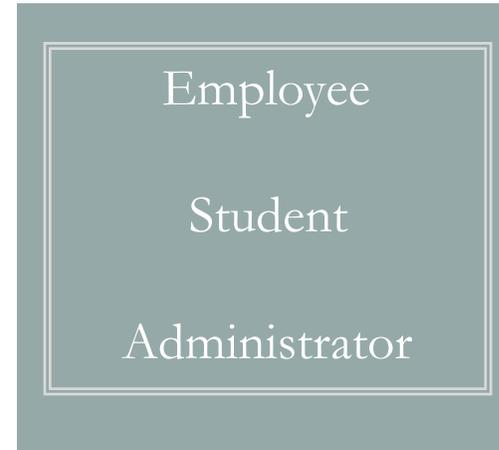


Format

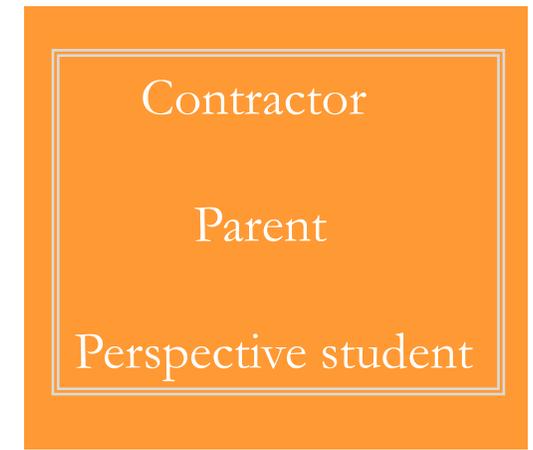
Regardless if internal or external



Machine



Internal



External

What's
NOT
a record?



Blank forms (1 must be kept)

Convenience copies

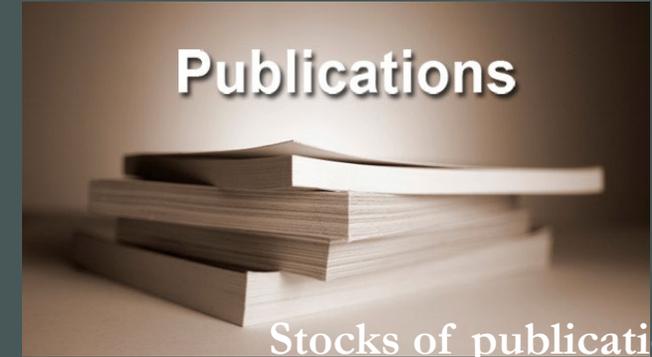


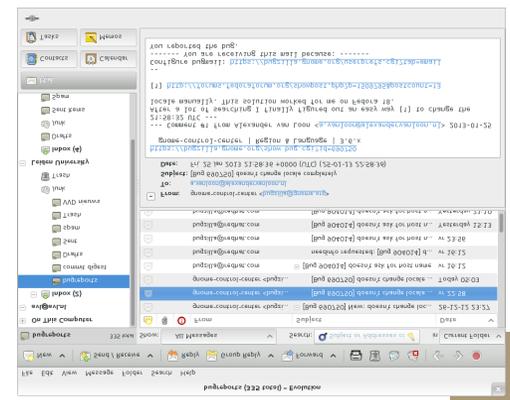
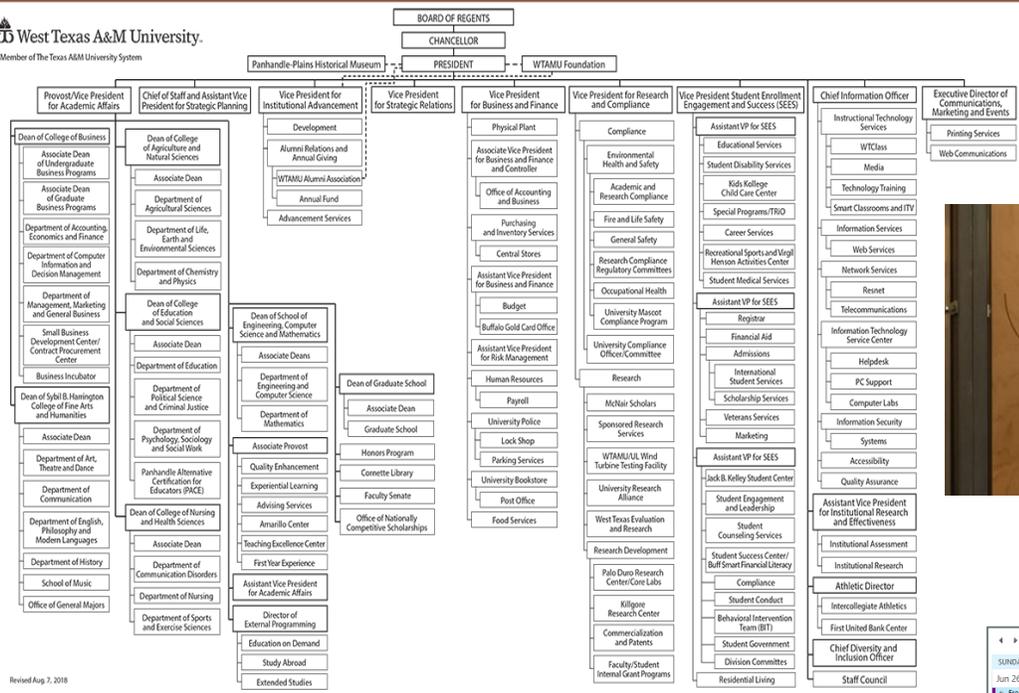
Table 2. Frequently used library materials.

Material	Frequency	Percentage
Textbooks/Monographs	18	11.6
Journal articles	31	20
Reference materials	15	9.7
Conference proceedings	6	3.9
Theses and dissertation	46	29.7
Reprographic services	9	5.8
Abstract/Indexes	10	6.5
Bibliographic services	20	12.9
Total	155	100

Source: Field data.

Museum
or
Library
materials





EXAMPLES

Revised Aug 7, 2018

Is this a record?



July 2016						
SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
Jun 26	27	28	29	30	Jul 1	2
	American Library Association Conference; Orlando, FL		J&T DTS	J&T DTS	J&T DTS	
3	4	5	6	7	8	9
	County Holiday - Independence Day; County Holiday; Technology Services	J&T Records Management	J&T DTS	J&T DTS	J&T DTS	
10	11	12	13	14	15	16
	J&T DTS; 9:30am Employee Timecard Approval; Dur; Technology Services	J&T Records Management	Leave for NAGARA	NAGARA Conference; Lansing, MI	3:30pm Canceled Leadership Team Meeting - canceled on July 14 due to scheduling conflicts; ETS DTS; Conference Room-Ma...	
17	18	19	20	21	22	23
	J&T Records Management	Leave for TSAC Session	TSAC Courses; Austin, TX	J&T Records Management	12:00pm Holy D... Time Off; Holy Dolan	
24	25	26	27	28	29	30
	9:30am Employee Timecard Approval; Dur; Technology Services	9:00am Holy D... Commissioner's Court; Courthouse on the Square; Holy Dolan	1:00pm AIM Webinar - Automating the Back Office: The First Step in Creating True Digital Transformation; Holy Dolan	2:00pm Records Management Modules; Time's Office; Time Wolf	3:00pm Canceled Leadership Team Meeting; ETS DTS; Conference Room-Ma...	

MEMORANDUM

TO: Dallas County Budget Office

FROM: _____

DATE: _____

RE: Request for Budget Impact Statement

Please prepare a budget impact statement as requested below:

DEPARTMENT NAME or GRANT TITLE: _____

Grant Period (if applicable): _____

CURRENT STATUS

Title Number: _____

Current Grade: _____

Current % Above Minimum: _____

Current Title: _____

Current Employee's Name: _____

Proposed Salary: _____

Current Salary: _____

PROPOSED CHANGE OR NEW REQ EST

Title Number: _____

Proposed Grade: _____

Proposed % Above Minimum: _____

Proposed Salary: _____

Effective Date: _____

SPECIAL INSTRUCTIONS

Request Number: _____

SIGNATURE: _____

Definitions

What is Records Management?

Any management technique involved in **KNOWING** what you have, **MAINTAINING** where you have it, **PRESERVING** it, **HOW LONG** to keep it, and **DISPOSING** of records in order to reduce costs and increase organization efficiency.

Why do we Manage Records?

- ◆ Quick response to requests
- ◆ Efficiency
- ◆ Protect important records
- ◆ Reduce storage costs
- ◆ Legal protection
- ◆ Legal requirement

Consequences

Keep all records



- Legal risk
- Increased retrieval times
- Continued responsibility to protect records
- Higher storage cost

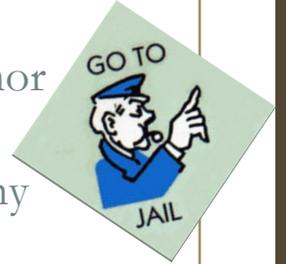


Dispose all records

DISPOSE ALL RECORDS



- Intentional Destruction
 - Class A Misdemeanor
 - Third Degree Felony
 - Penalties and Fines
- Negative media and public perception



RECORD HOLDER

You created or originated it.

It includes administrative instructions for you to do something.

You or your office keeps this type of record as part of your job function.



You have submitted an official identical copy of the record elsewhere.

Who is the record holder?

I send an e-mail to my entire department letting them know the status of a project that we've been working on.

ME

I submit a form to HR to request a tuition reimbursement.

HR

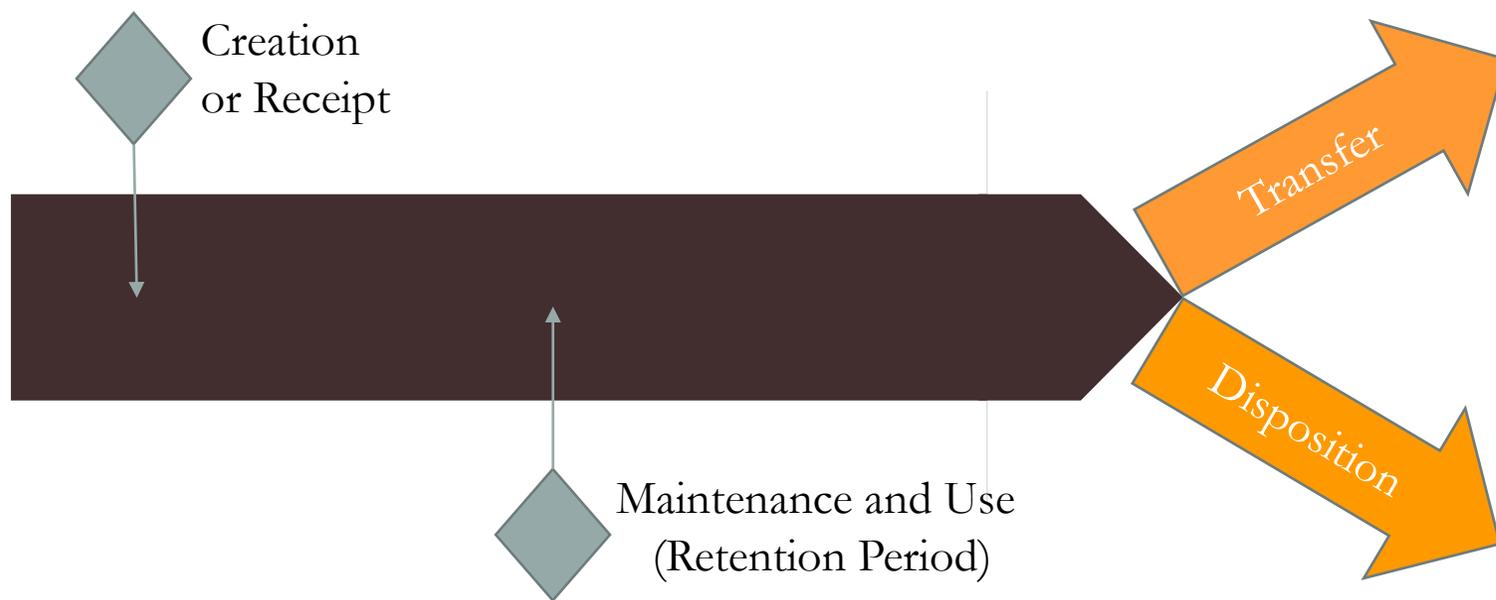
I receive an e-mail from my department head with the agenda for our upcoming meeting.

DEPT. HEAD

I send some boxes of my department's records to the Library Archives for storage.

ME

Records Life-Cycle



Archives



Shred

Retention Schedule



Policy document



Lists each type of record
we may create or receive



Gives the minimum legally required time period we are
required to keep each record before destroying/transferring



tsl.texas.gov
Never print,
access it online



Texas A&M University System
Records Retention Schedule
Index

Section 1. Administration Records

- 1.1 General
- 1.2 Records Management
- 1.3 Publications
- 1.4 Academic Administration

Section 2. Electronic Data Processing Records

- 2.1 Automated Applications
- 2.2 Computing Operations and Technical Support

Section 3. Personnel Records

- 3.1 Employee Records
- 3.2 Payroll
- 3.3 Personnel Administration
- 3.4 Time and Leave Records

Section 4. Fiscal Records

- 4.1 Worksheets, Detail Information on Financial Events or Transactions
- 4.2 Documents of Original Entry
- 4.3 Journals or Registers
- 4.4 Ledgers
- 4.5 Reports
- 4.6 Documents Showing Compliance with System of Internal Control
- 4.7 Other Fiscal Records

Section 5. Support Services Records

- 5.1 General
- 5.2 Facility Management
- 5.3 Purchasing
- 5.4 Risk Management
- 5.5 Telecommunications
- 5.6 Vehicles
- 5.7 Campus Security, Traffic and Parking
- 5.8 Real Estate

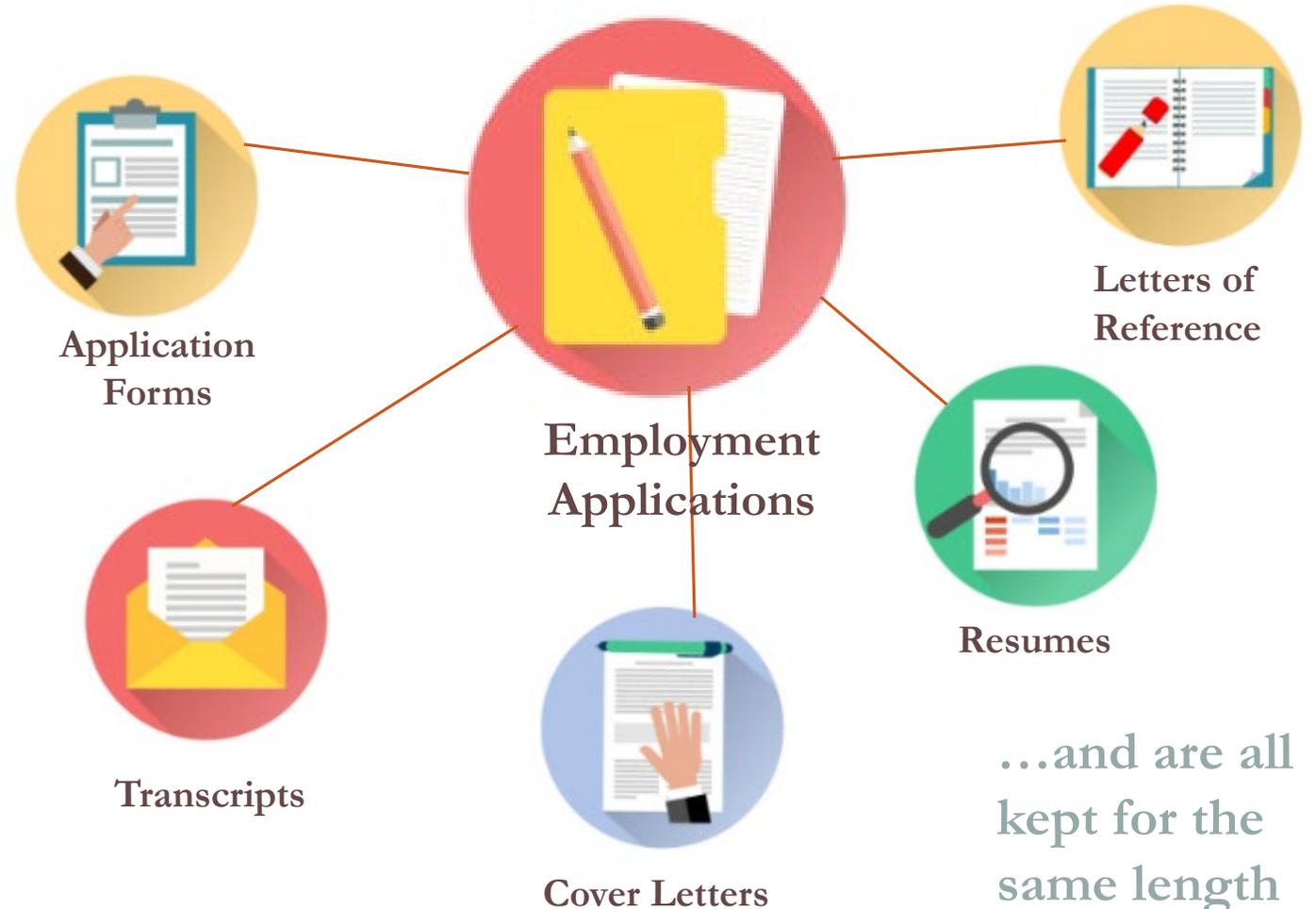
Section 6. Student Records

- 6.1 Admissions Data Documents
- 6.2 Registration and Records Data/Documents
- 6.3 Certification Data/Documents
- 6.4 Publications, Statistics, Institutional Reports
- 6.5 Family Educational Rights and Privacy Act
- 6.6 Other Student Related Records

Section 7. Agency Program Records

- 7.1 Research and Development Records
- 7.2 Dental Records

What is a records series?



...and are all kept for the same length of time.

Records that serve the same function...

Boxes on page

STATE OF TEXAS Records Retention Schedule											
1. Agency Code: 710			2. Agency Name: Texas A&M System Office (TAMUS)								
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				
01.100.10	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency audits	AC	7			AC=Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
01.100.20		Compliance Program Records	Records documenting TAMUS/System Member compliance activities.	AC				AC=Retain the longer of applicable federal or state laws or regulations, TAMUS requirements, or administrative value.		Note: This applies to compliance program records not covered by another records series.	
01.100.30		Civil Rights Complaint Records	Records related to the receipt, investigation, and resolution of a complaint alleging the violation of an individual's civil rights.	AC	3			AC=Final disposition of the complaint or longer as required by state or federal law.		Note: Employee or student disciplinary records arising from the complaint should be retained in accordance with the applicable retention periods (for employees, see Agency Item Nos. 03.109.10 or 03.110.10; for students, see Agency Item No. 06.218.10). This item also does not include a complaint filed with an external enforcement agency, follow item No. 1.1.048.	

1. Agency code: TAMUS is 710
2. Agency Name: TAMUS
3. Agency item number
4. A unique number assigned to this record series
5. Record Series Title
6. An explanation of what records are included in this series
7. Retention Code
8. Retention Period – the minimum amount of time you're required to keep these records
9. Code Definitions
10. Archival
11. Remarks
12. Legal Citations

Retention Code Abbreviations

AC

“After close”,
see event
trigger for
specific
definition

CE

Calendar year
end

LA

Life of asset

TAC

Texas
Administrative
Code

AV

As long as
administratively
valuable

FE

Fiscal year end

US

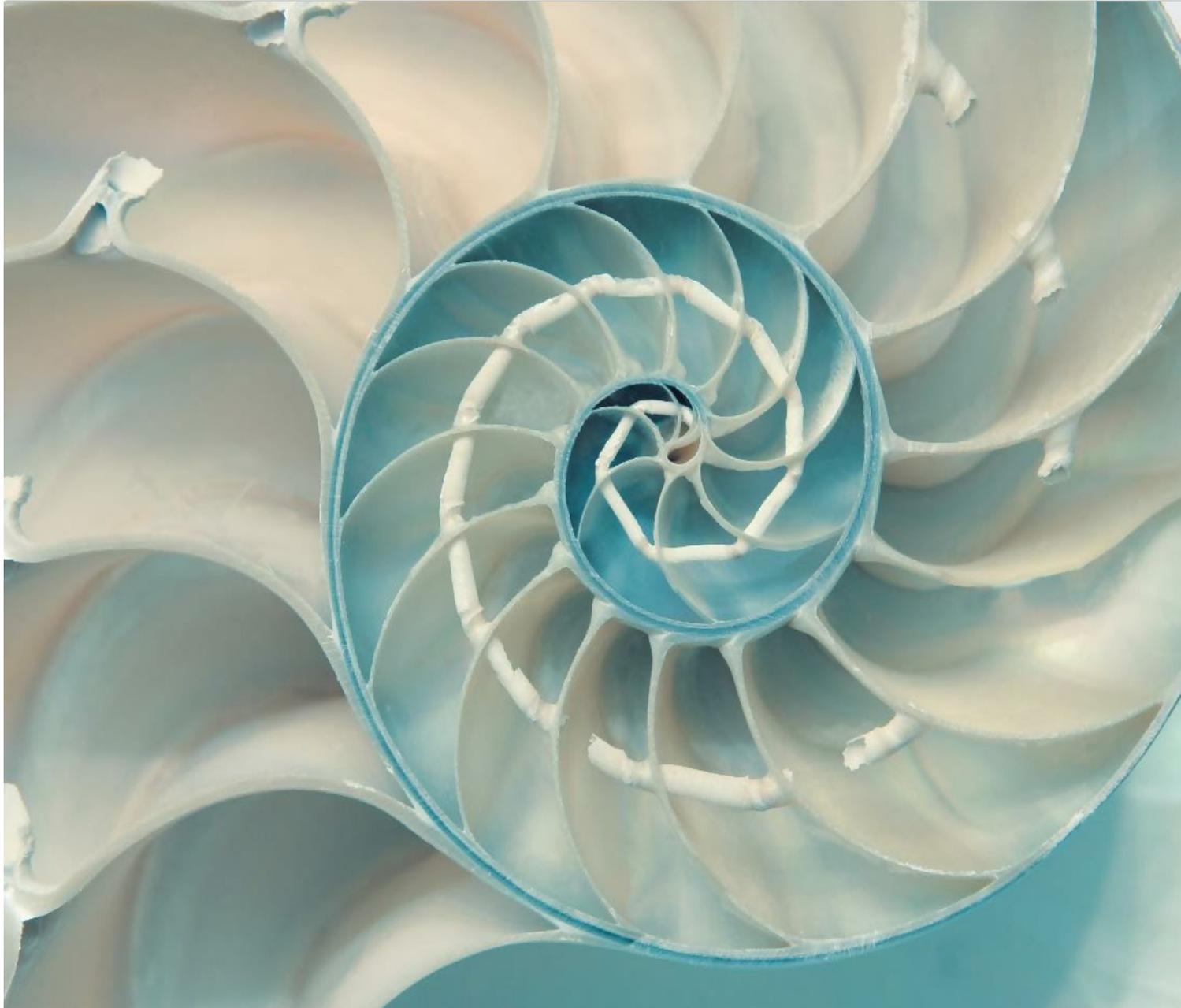
Until
superseded

CFR

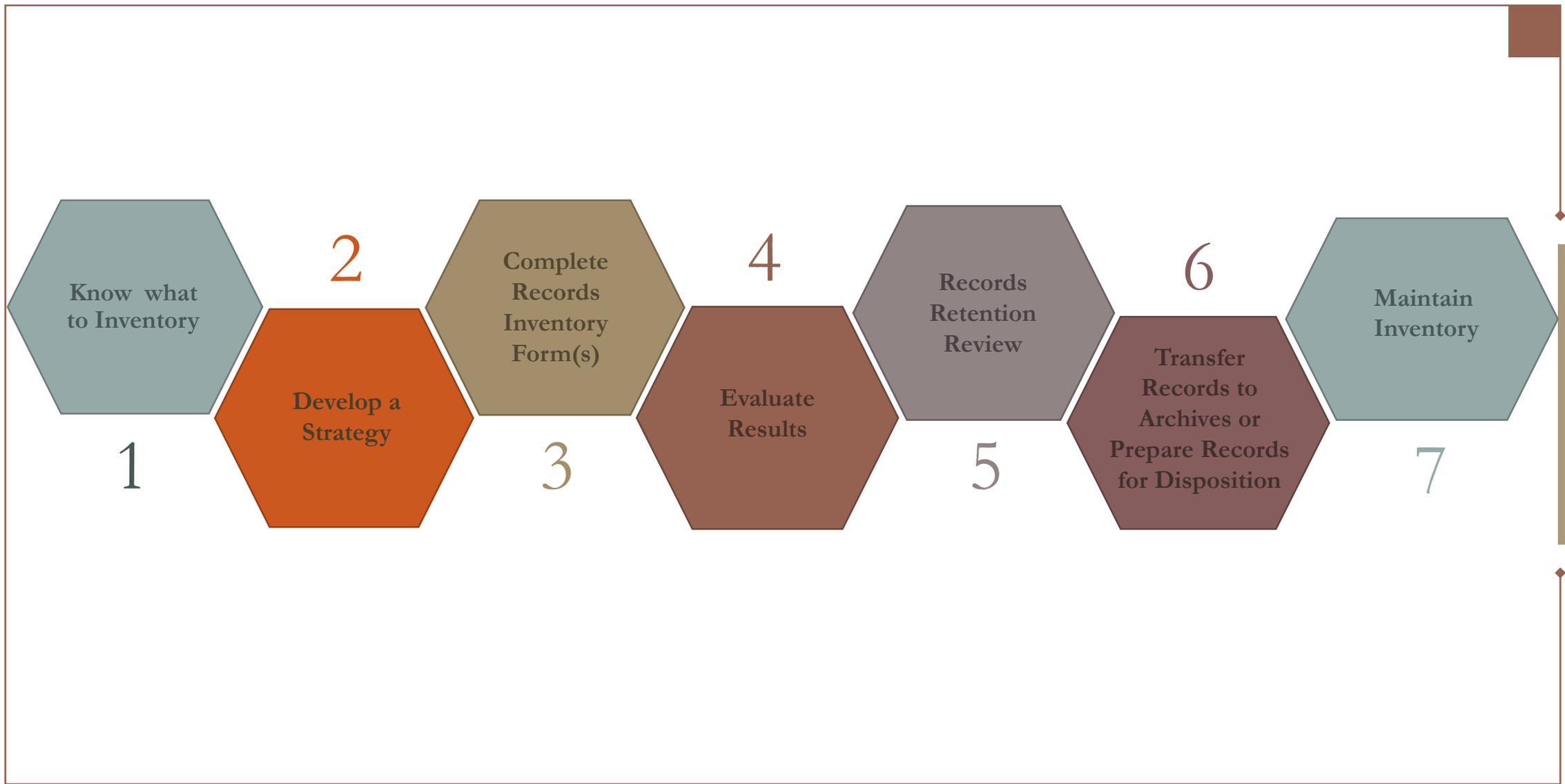
Code of
Federal
Regulations

PM

Permanent
(never destroy)



Records
Inventory



RECORDS INVENTORY WORKSHEET

Texas State Library – State and Local Records Management Division
RMD 103 (11/07)

1. AGENCY NAME AND DIVISION	
2. DEPARTMENT / SECTION / UNIT	3. LOCATION OF RECORDS AND/OR FILE CODE
4. NAME AND TITLE OF PERSON RESPONSIBLE FOR MAINTAINING RECORDS	5. TELEPHONE

RECORDS SERIES IDENTIFICATION

6. WORKING RECORDS SERIES TITLE		
7. DESCRIPTION (Summary of contents: function of records; form numbers, if any. Continue description on reverse side if needed.)		
8. STATUS <input type="checkbox"/> RECORD COPY <input type="checkbox"/> CONVENIENCE COPY	9. RECORD MEDIUM PAPER (SPECIFY SIZE) _____ <input type="checkbox"/> MICROFORM - SPECIFY _____ <input type="checkbox"/> ELECTRONIC - SPECIFY _____ <input type="checkbox"/> MAPS, DRAWINGS _____ <input type="checkbox"/> COMPUTER PRINTOUT _____	10. ARRANGEMENT <input type="checkbox"/> ALPHABETICAL <input type="checkbox"/> NUMERIC <input type="checkbox"/> ALPHA-NUMERIC <input type="checkbox"/> OTHER-SPECIFY _____ <input type="checkbox"/> SUBJECT GEOGRAPHICAL <input type="checkbox"/> CHRONOLOGICAL
11. VOLUME (IN CUBIC FEET) CURRENT TOTAL _____ ANNUAL ACCUMULATION RATE _____	12. ESTIMATED ACTIVITY PER FILE DRAWER FOR HOW LONG? HIGH (DAILY) _____ MEDIUM (WEEKLY TO MONTHLY) _____ LOW (LESS THAN ONCE A MONTH) _____	13. RESTRICTIONS <input type="checkbox"/> LEGAL <input type="checkbox"/> VITAL (ESSENTIAL) <input type="checkbox"/> CONFIDENTIAL <input type="checkbox"/> ARCHIVAL <input type="checkbox"/> SUBJECT TO AUDIT
14. STORAGE <input type="checkbox"/> FILING CABINET <input type="checkbox"/> ROLLED <input type="checkbox"/> FLAT <input type="checkbox"/> OTHER-SPECIFY _____ <input type="checkbox"/> BOXED <input type="checkbox"/> SHELVING	15. CURRENT RETENTION PERIOD ACTIVE (IN OFFICE) _____ INACTIVE (IN STORAGE) _____	16. INCLUSIVE DATES FROM _____ TO _____
17. INFORMATION MAINTAINED ON MORE THAN ONE MEDIUM (EXPLAIN)		
18. INFORMATION DUPLICATED ELSEWHERE (EXPLAIN)		
19. INFORMATION SUMMARIZED ELSEWHERE (EXPLAIN)		
20. NAME AND TELEPHONE NUMBER OF PERSON TAKING INVENTORY		21. DATE OF INVENTORY

FOR USE OF AGENCY RECORDS MANAGEMENT OFFICER

22. OFFICIAL RECORDS SERIES ITEM NUMBER	23. OFFICIAL RECORDS SERIES TITLE
24. OFFICIAL RECORDS RETENTION PERIOD REFER TO THE TEXAS STATE LIBRARY RECOMMENDED RECORDS RETENTION SCHEDULE (RRS) FOR RECOMMENDED RETENTION PERIODS	BASIS FOR RETENTION PERIOD <input type="checkbox"/> RRS - ITEM # _____ <input type="checkbox"/> STATUTE - # _____ <input type="checkbox"/> AGENCY POLICY - # _____ <input type="checkbox"/> OTHER - SPECIFY _____
ACTIVE (IN AGENCY) _____ INACTIVE (IN STORAGE) _____ TOTAL _____	

Records Inventory Worksheet

- 8. Status
- 9. Record Medium
- 13. Restrictions
- 14. Storage
- 16. Inclusive Dates



Disposition



Disposition Forms

West Texas A&M University—University Records Management
RECORDS DESTRUCTION FORM Page ____ of ____

Department _____ Total # of Boxes _____

Date _____ Fax _____ Telephone _____

User Box #	Retention Schedule Item #	Description of box contents with first and last folder listed. The contents of each box should be listed separately.	Inclusive Dates	Type of Destruction (S, D, OV)
1	1.1.059	Meeting Notes	87-90	S

CAUTION: A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of the retention period. The record must be retained until completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later. Section 441.187(b) Texas Government Code. Any record subject to federal audit must be retained until the expiration of the audit period or the period specified

Request for Departmental Destruction
 (Check One)

I certify that these are CONVENIENCE COPIES that are no longer needed by the department.

I certify that these are OFFICIAL RECORDS that are past the retention period specified by the TAMUS Records Retention Schedule and that all audit and administrative requirements have been satisfied.

Required Approval		Departmental Destruction	
Departmental Records Coordinator	Date	Date of Records Destruction	
Department Head	Date		
University Records Manager	Date	Destruction Method	
		Shredding _____	
		Discard _____	
		Outside Vendor _____	

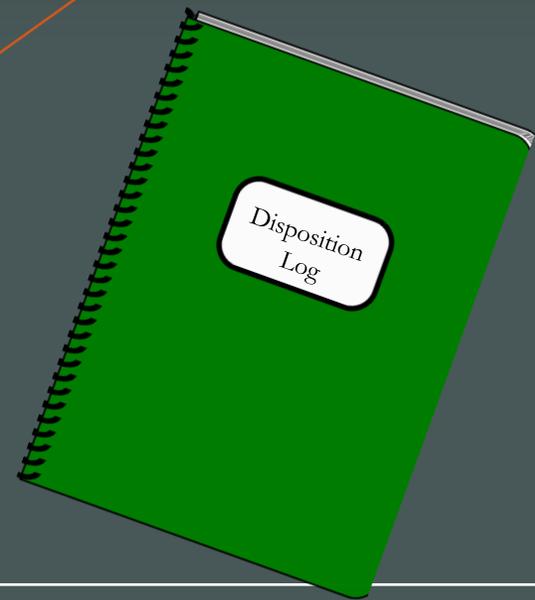
Records Disposition Log

Prepared By: _____ Signature*: _____ Date: _____

Approved By Liaison: _____ Signature*: _____ Date: _____

Approved By Dept Head/Official: _____ Signature*: _____ Date: _____

Information from the Retention Schedule			Records Description		Disposition Description (See Legend)		
Record Number	Record Series Title	Retention Period	From-To Dates of Records	Volume	Disposition Method	Actual Disposition Date	Initial
1.1.059	Meeting Notes	AC+90	5/87-5/90	1 box	S	2/15/20	



1. Department

West Texas A&M University—University Records Management
RECORDS DESTRUCTION FORM Page 1 of 1

Department AR-EHS Total # of Boxes 1

Date 1-10-23 Fax _____ Telephone 2270

User Box #	Retention Schedule Item #	Description of box contents with first and last folder listed. The contents of each box should be listed separately.	Inclusive Dates	Type of Destruction (S, D, CV)
1	1.1.059	Meeting Notes	12-14	S

CAUTION: A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of the retention period. The record must be retained until completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later. Section 441.187(b) Texas Government Code. Any record subject to federal audit must be retained until the expiration of the audit period or the period specified in the TAMUS Records Retention schedule, whichever is later.

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 I certify that these are OFFICIAL RECORDS that are past the retention period specified by the TAMUS Records Retention Schedule and that all audit and administrative requirements have been satisfied.
 Note: Please read the instructions on page 3 concerning Departmental Records Destruction.

Required Approval		Departmental Destruction	
Departmental Records Coordinator <i>Karen McKaskle</i>	Date <u>1-10-23</u>	Date of Records Destruction	
Department Head <i>James Gray</i>	Date <u>1-10-23</u>	Destruction Method Shredding <input checked="" type="checkbox"/> Discard <input type="checkbox"/> Outside Vendor <input type="checkbox"/>	
University Records Manager	Date	Destruction Witness	

If you have multiple pages, please indicate

Please indicate department and telephone number, in case AR-EHS has questions when reviewing form

Use the retention schedule to list the code, this insures the retention period has been met

Insure documents have met retention period

Convenience copies do not have to be listed on a destruction form

Form must be signed by person completing it

Check the correct destruction method

Form must be signed by department head

Email completed document to AR-EHS
(ar-ehs@wtamu.edu)

How is a Records Destruction Form Processed

2. AR-EHS

1. Form Reviewed (all fields complete, correct code, retention period met)
2. If form not correct, AR-EHS will work with contact to correct deficiencies
3. If form is correct, AR-EHS will sign and email form back to contact
4. AR-EHS will advise contact to complete lower right-hand corner, and email a copy back to AR-EHS

3. Department

Department will add form to their department records retention log and keep copy of form with log

How to dispose of records:

Paper records

- Non confidential
 - Recycling
- Confidential
 - Discarding
 - Shredding
 - Outside vendor

Electronic records

- Non confidential
 - Deleting
- Confidential
 - Overwriting
 - Degaussing (magnetic medal)
 - Physical destruction



When NOT to destroy a record:

Before the
Retention
period

Intentional destruction
is unlawful except by
a court order

If there is a
legal hold on
the record
because of:

Litigation
Public Information Act request
Audit
Claim
Negotiation

Minutes of Records Management Department Staff Meeting
 August 15, 2013
 9:00 a.m.

1

Attendees:

Bob Evans	Nina Pfeiffer
Erica Barleymore	Martin Rister
Maria Cassavetes	Erin Walker
Ray Houseman	Eva Williams

Eva Williams will be learning the duties of Ray Houseman's position as Training Coordinator so that she may act as a backup for times when Ray is not here. She will also take minutes at the Status and Briefing meetings for the department that will occur every two weeks.

In August, the six-month performance appraisals will be done for the new analysts and status checks will be performed for the rest of the unit.

We need to have change management steps built in to projects to ensure manager/management approval before process, print or web changes are made. Any submission needs to be carefully checked before being published or printed. Everyone should be involved in the proofreading process, so please build in time for review.

ACTION ITEM: The person in charge of a project will set a deadline for review and Polly will then help calculate a timeline for proofing and printing.

The County and District Clerks Association conference will occur on Friday, November 6. Materials for the conference need to be approved by Polly LePlume. Online registration will be handled by Shoal Creek County and Calaveras County will publicize the event. PIFs have been started for speakers, materials, and the venue, but will have to wait until FY10 purchases. The registration will be available on Monday, August 3. Everyone in the department is required to register and Polly and Ray will provide registration services during the conference.

Records

Analysis

Exercise

Texas State Library and Archives Commission

State and Local Records Management Division is pleased to present this

Certificate of Completion

to

State Agency Employee

Jane Doe

for participation in

Introduction to Records Management

Credit Hours: 3.50 February 14, 2013

Mark Smith
 Mark Smith
 Director and Librarian
 Texas State Library and Archives Commission



Craig A. Kelso
 Craig A. Kelso
 State Records Administrator
 Texas State Library and Archives Commission

OFFICIAL HR COPY

3

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.	
f Employee's address and ZIP code		11 Nonqualified plans		12a	
		13 Statutory employee <input type="checkbox"/> Retirement plan <input type="checkbox"/> Third-party sick pay <input type="checkbox"/>		12b	
		14 Other		12c	
				12d	
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

2

Form **W-2** Wage and Tax Statement **2017** Department of the Treasury—Internal Revenue Service
 Copy 1—For State, City, or Local Tax Department

Records Analysis Exercise (cont.)

Document #1

Is it a record? <input type="checkbox"/> Yes <input type="checkbox"/> No	What is its record series item number, title, and retention period? <input type="checkbox"/> 1.1.058 – Meetings, Agendas, and Minutes of Open (retention: PM) <input type="checkbox"/> 1.1.061 – Meetings – Notes (Retention: AC+90 days) <input type="checkbox"/> 1.1.063 – Staff Meeting Minutes and Notes (Retention: 1 year)	Is it ready to be on a destruction form? <input type="checkbox"/> Yes <input type="checkbox"/> No
--	---	---

Document #2

Is it a record? <input type="checkbox"/> Yes <input type="checkbox"/> No	What is its record series item number, title, and retention period? <input type="checkbox"/> 3.2.002 – Employee Earnings Records (retention: 4 years) <input type="checkbox"/> 3.2.003 – Federal Tax Records (Retention: AC+4; AC=tax due date, date the claim is filed, or date tax is paid, whichever is later) <input type="checkbox"/> 3.2.006 – Wage Rate Tables (Retention: 2 years)	Is it ready to be on a destruction form? <input type="checkbox"/> Yes <input type="checkbox"/> No
--	---	---

Document #3

Is it a record? <input type="checkbox"/> Yes <input type="checkbox"/> No	What is its record series item number, title, and retention period? <input type="checkbox"/> 3.1.027 – Training and Ed Achievement Records (Individual) (retention: AC+5; AC=termination of employment) <input type="checkbox"/> 3.1.037 – Employee Recognition Records (Retention: AC+5; AC=termination of employment) <input type="checkbox"/> 3.3.030 – Internal Training Admin Records (Retention: A+2=close of training session, after training materials are superseded, or Termination of training program, as applicable)	Is it ready to be on a destruction form? <input type="checkbox"/> Yes <input type="checkbox"/> No
--	--	---

 West Texas A&M University—University Records Management RECORDS DESTRUCTION FORM		Page ____ of ____
Department		Total # of Boxes
Date	Fax	Telephone

User Box #	Retention Schedule Item #	Description of box contents with first and last folder listed. The contents of each box should be listed separately.	Inclusive Dates	Type of Destruction (S, D, OV)

CAUTION: A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of the retention period. The record must be retained until completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later. Section 441.187(b) Texas Government Code. Any record subject to federal audit must be retained until the expiration of the audit period or the period specified in the TAMUS Records Retention schedule, whichever is later.

Request for Departmental Destruction
(Check One)
 I certify that these are CONVENIENCE COPIES that are no longer needed by the department.
 I certify that these are OFFICIAL RECORDS that are past the retention period specified by the TAMUS Records Retention Schedule and that all audit and administrative requirements have been satisfied.
 Note: Please read the instructions on page 3 concerning Departmental Records Destruction.

Required Approval		Departmental Destruction
Departmental Records Coordinator	Date	Date of Records Destruction
Department Head	Date	Destruction Method Shredding _____ Discard _____
University Records Manager	Date	Outside Vendor _____
		Destruction Witness

Faster retrieval

Cost Savings

Use of space

Legal protections

Benefits

Prevents
human error

Prevents
Information
overload

- ▶ Determine records
- ▶ Are you the record holder?
(convenience copies vs. official records)
- ▶ Complete records inventory
- ▶ Conduct records review with (Records Management Officer)
- ▶ Determine records that are past the retention period
- ▶ Prepare Records Destruction Form
- ▶ Get approvals
- ▶ Send form to RMO for final approval
- ▶ Complete form and dispose of records

Dispose of convenience
copies asap

1 step at a time

Spend 10 min everyday

TIME FOR ACTION

Thank You.



Email
ar-ehs@wtamu.edu



Phone
806/651-2270