

**MANAGING RECORDS
in Texas State Agencies
& Universities
presented to
Stephen F Austin University**

*State and Local Records Management
Texas State Library and Archives Commission*

***Presented by
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Texas Records Management Laws

- A State Record is
 - any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency or an elected state official that documents activities in the conduct of state business or use of public resources
 - Government Code, §441.180(11)

Texas Records Management Laws

- A State Agency includes
 - any university system and its components and any institution of higher education as defined by Section 61.003, Education Code, except a public junior college, not governed by a university system board
 - Government Code, §441.180(9)(B)

Texas Records Management Laws

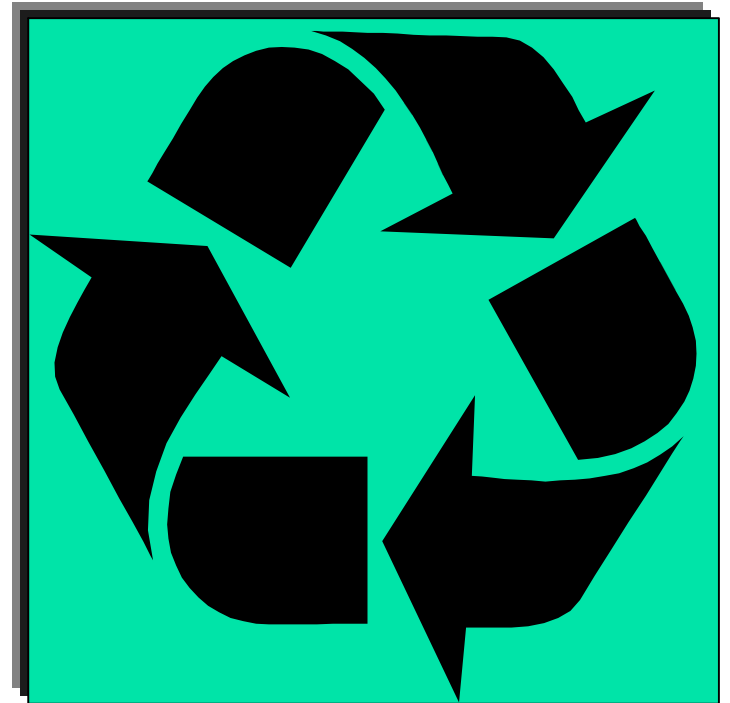
- State Agencies must have:
 - Records Management Officer (RMO)
 - Overall responsibility for records management program
 - Records Retention Schedule
 - Your guide to records series and retention periods
 - Disposition Documentation
- State Agencies must follow:
 - Electronic records standards and procedures
 - Microfilming standards and procedures

See Bulletins 1-4 on TSLAC Website



Records Management Basics

- Records life cycle
- Inventory
- Assessment



What is Records Management?

- **Management/control** throughout records' lifecycle: (a) creation, (b) use, (c) maintenance, (d) retention, (e) preservation and (f) disposal
- **Goals** (a) reduce cost, (b) improve efficiency, (c) ensure legal compliance and protection
- **Methods** (a) filing systems, (b) inactive record storage, (c) vital and permanent record protection, (d) forms, reports, and correspondence creation, and (e) disaster planning



Why Records Management?

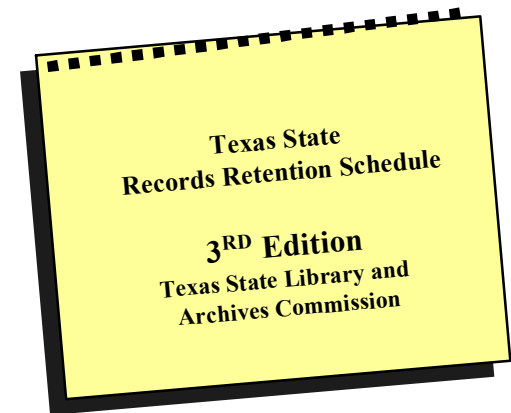
- **Records management**
 - helps locate records to answer open records requests, audits, discovery, etc.
 - protects records from disasters and unauthorized destruction
 - saves time, money, and effort
- **Only a TSLAC-approved schedule or special request authorizes state agencies to dispose of records**



Texas State Records Retention Schedule

- Records Series by Function
- Minimum Retention Periods
- Archival Records Series
- Alphabetical Index
- AKA RRS

13 TAC 6.10





Definitions

- Records Series
- Retention Period
- Records Retention Schedule
 - RS from RRS
 - RS of program records
 - 13 TAC 6.1

Texas State Records Retention Schedule

- Categories
 - 1: Administrative Records
 - 2: Electronic Data Processing Records
 - 3: Personnel Records
 - 4: Fiscal Records
 - 5: Support Services Records

Dispose of Records

- Records Eligible for Final Disposition



- Disposition Methods



Disposition Log
Name of Government/Agency

Division Director's Signature _____ Date _____

Document Disposition

Program Manager's Signature _____ Date _____

Agency Item No.	Records Series Title	Retention Period	Dates of Records	Disposal Method	Volume (cf)	Disposition Date	See Attached
	■ Internal Agency Approvals						
	■ Disposition Log						

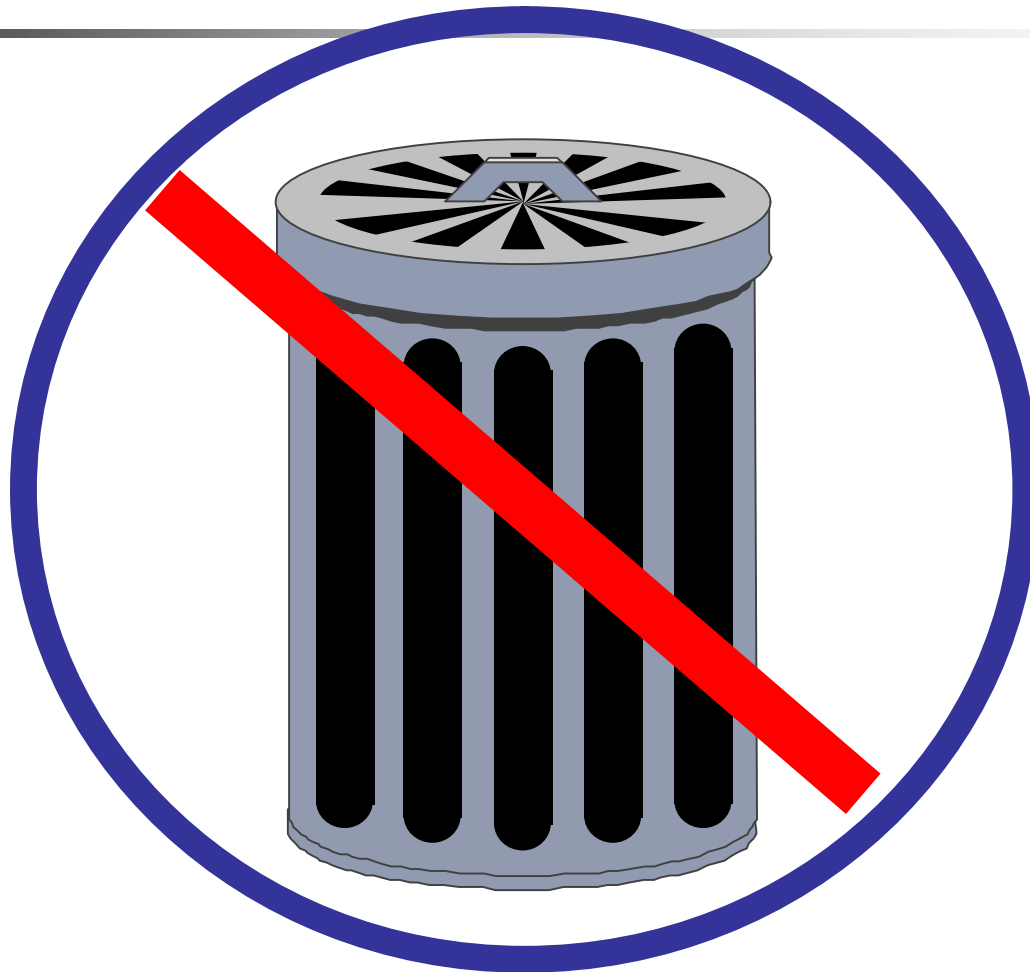
Legend

Disposition Methods: BD = Bulk Disposal (Recycling for open records) SH = Shred (for confidential records) A = Transfer to Archives

Disposition Date: Date put in staff recycling, handed over to Facilities Management for Bulk Disposal, handed over to Records Services for Shredding

See Att (See Attachment): Put an X in this field if there is an attachment giving more detail about the records being destroyed.

Destruction Holds



Alienation & Tampering Prohibited

- Alienation of State Records Prohibited
 - Govt Code 441.191
 - May not be sold, donated, loaned or transferred without consent of state librarian
- Tampering prohibited –
 - Penal Code 37.10
 - In part, may not be destroyed unless on approved retention schedule or approved RMD 102



E-mail

- E-mail is the *medium* or *delivery mechanism* not a single records series
- Agency needs:
 - E-mail Policy
 - Definitions
 - Training
 - Management
 - Disposition



Electronic Records

- Electronic Records must be included in Records management plan
- Agency needs:
 - Policy
 - Definitions
 - Training
 - Management
 - Disposition



Computer Folders

- Simple solutions
 - Create folders in MS Windows and E-mail to match retention schedule
 - Create folders that are retention conscious
 - Create naming conventions for folder and file names as well as subject lines



Address C:\SDrake\1.X Administrative Records

- Folders
- SDrake
 - 1.X Administrative Records
 - 1.1.007 Correspondence-Admin
 - 1.1.008 Correspondence-General
 - 1.1.014 Legal Opinions and Advice
 - 1.1.043 Training Materials
 - 1.1.064 Agency Performance
 - 1.2.004 Forms Inventory
 - 1.2.005 Records Retention Schedule
 - 2.X Electronic Data Processing
 - 2.1.001 Processing files
 - 2.1.007 Software Programs
 - 3.X Personnel Records
 - 3.1.019 Performance Appraisals
 - 3.3.023 Reimbursable Activities
 - Travel
 - Workshops
 - 3.4.002 Leave Accounting
 - 3.4.006 Time Cards and Time Sheets
 - Time Sheets
 - 4.X Fiscal Records
 - 4.1.001 Accounts Payable
 - 4.2.002 Cash Receipts
 - 5.X Support Services
 - 5.1.014 Office Procedures
 - 5.2.010 Equipment Manuals
 - Access
 - Consulting Logs
 - CSB

Name	Size	Modified	Type
1.1.007 Correspondence-Admin		2/27/01 2:06 PM	File Folder
1.1.008 Correspondence-General		2/27/01 2:07 PM	File Folder
1.1.014 Legal Opinions and Advice		10/14/99 2:34 PM	File Folder
1.1.043 Training Materials		2/27/01 2:08 PM	File Folder
1.1.064 Agency Performance		10/14/99 1:14 PM	File Folder
1.2.004 Forms Inventory		10/14/99 2:32 PM	File Folder
1.2.005 Records Retention Schedule		10/14/99 2:41 PM	File Folder



Agency Best Practices

- Written records management policy
- Written acknowledgement
- Training
- Enforcement
- Exit process
- Perform routine disposition
- IT, Legal, PIO, RMO, and more on team



Summary

- Records management
 - Is a team effort
 - Saves time, money, resources
 - Is easy – with training and your retention schedule



Texas State Library and Archives Commission

State and Local Records Management

- **Government Information Analysts** assigned by Agency
 - Address
 - P.O. Box 12927
 - Austin, TX 78711-2927
 - Phone: 512-421-7200
 - Fax: 512-421-7287
 - Internet address: <http://www.tsl.state.tx.us>