

INTRODUCTION TO RECORDS MANAGEMENT

36th Annual Election Law Seminar for Cities, Schools, and
Other Political Subdivisions
December 20, 2024



SLRM
STATE AND LOCAL
RECORDS
MANAGEMENT



Agenda

Introduction to Records Management



Fundamentals



Compliance



Electronic Records



Disposition



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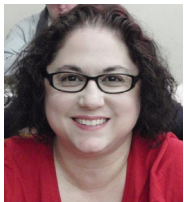
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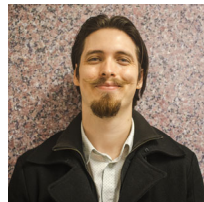
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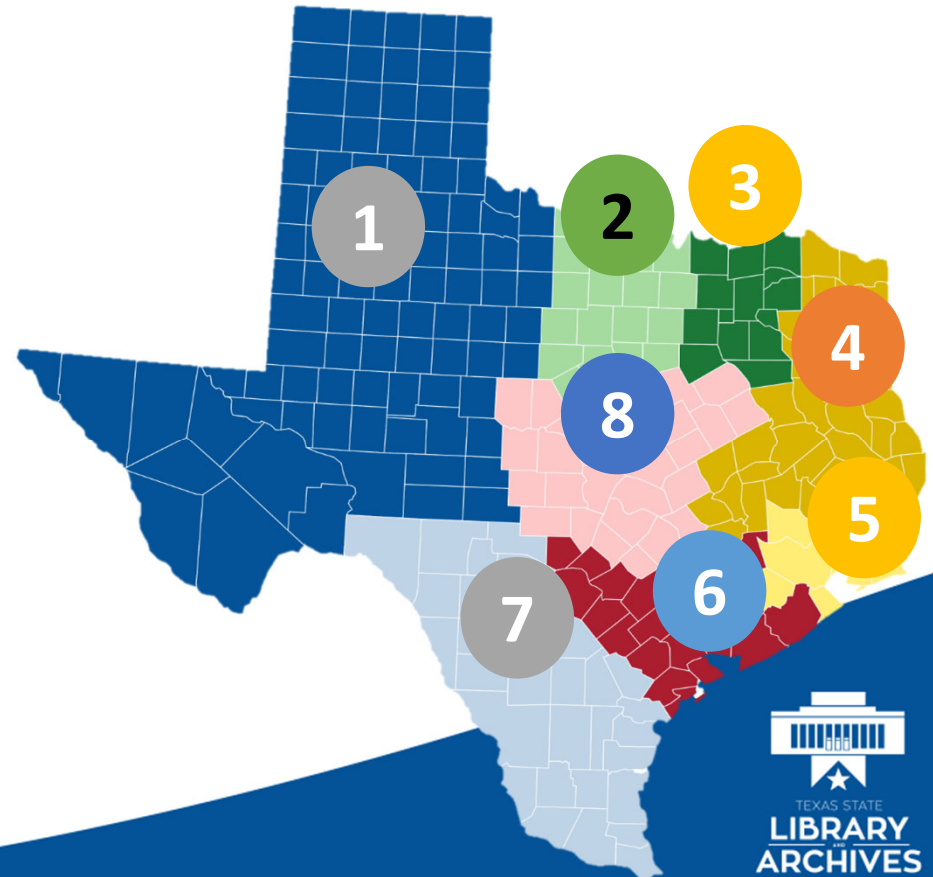


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RMA TEAM



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

www.tsl.texas.gov/slr



TEXAS STATE LIBRARY
AND
ARCHIVES COMMISSION

CONTACT US | VISIT US | ABOUT US

SEARCH SITE TRAIL LIBRARY CATALOG FIND A LIBRARY

Search the TSLAC Site

Archives & Reference Services for Libraries Talking Book Program Records Management

[Home](#) >

Records Management



Forms



Laws and Rules



Training



Local Retention
Schedules



The Texas Record Blog



Contact Us

512-463-7610
slrminfo@tsl.texas.gov



Fundamentals

A classroom scene with a blackboard displaying the word 'Fundamentals'. The room features light blue walls, wooden desks, and orange chairs. A yellow chair is visible at a teacher's desk in the background.

Three Pillars of Open Government

The image features three classical columns supporting a horizontal beam. Each column is partially obscured by a large, semi-transparent, trapezoidal shape. The leftmost shape is blue, the middle one is red, and the rightmost one is purple. These shapes contain text about open government acts. The background is white with a blue wave-like shape at the bottom.

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.



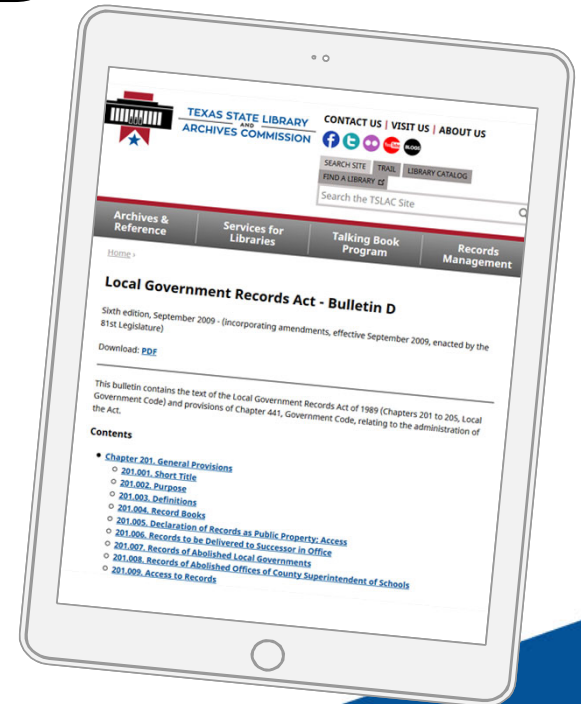
Establish standards and procedures for managing local government records.



Laws Published as Bulletin D

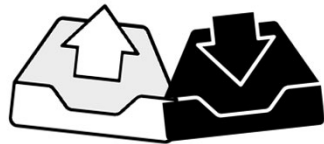
www.tsl.texas.gov/slrn/pubs/bulletind

- 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



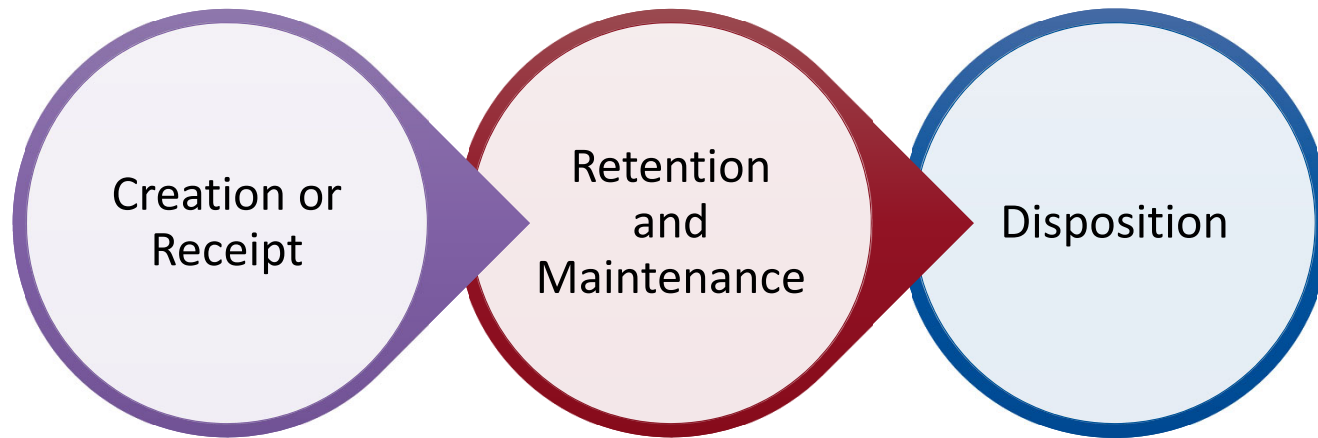
Library or Museum Materials



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

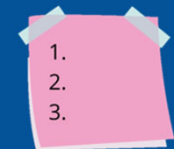


Cover Letter

Transcript

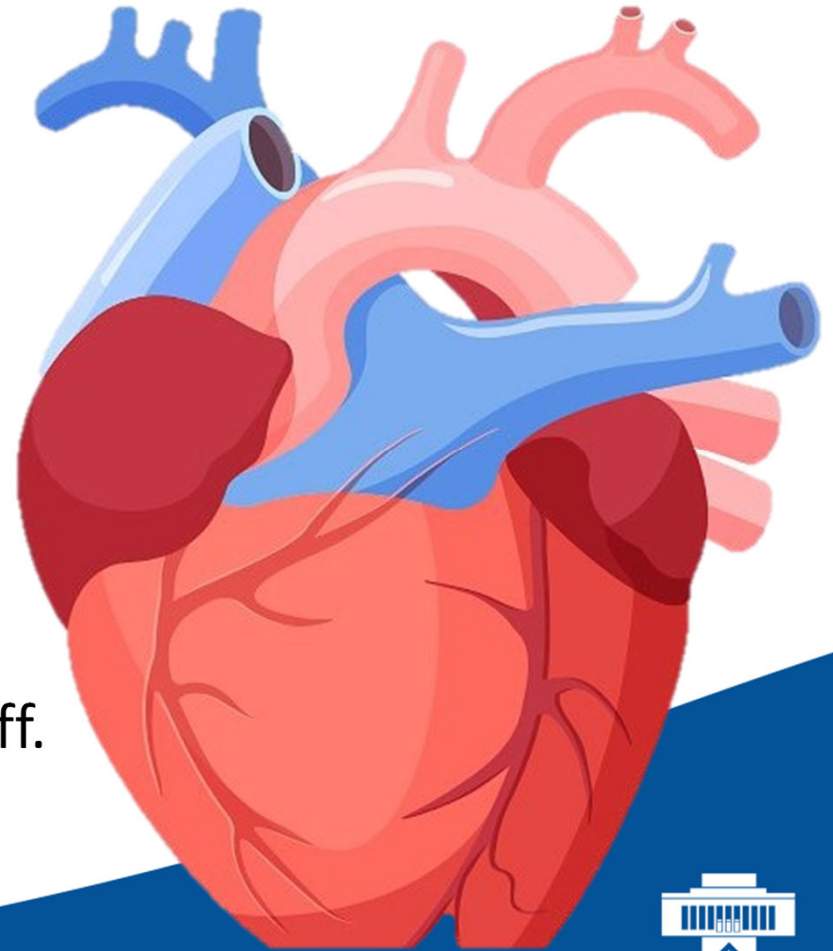


Letters of Reference



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



About Schedule EL

- Assists local governmental entities maintain election records.
- Laws impacting retention periods:
 - Election Code
 - Voting Rights Act of 1965
 - Texas Administrative Code
- Currently undergoing review to take into account:
 - Changes in laws during past legislative sessions;
 - Suggested revisions and additions.



Local Governments using Schedule EL

Counties/Municipalities
County Judge
County Clerk
County/District Clerk
Tax Assessor-Collector
Public School District
Junior College District
Charter School
Library District
Municipal Utility District



https://miro.medium.com/v2/resize:fit:1400/1*PV7QVVzAGCNpZQoA67mYCw.jpeg

www.tsl.texas.gov/rec-localschedules.pdf



Schedule EL-Specific Records

(Revised Fourth Edition, Effective September 1, 2020)

- Election Records
 - Ballots – Notices – Recount
- Candidacy and Campaign Finance
 - Reports – Applications – Disclosure
- Voter Registration
 - Challenges – Certificates - Registrar

[Local Government Retention Schedules | TSLAC](#)



COMPLIANCE

- Declaration of Compliance



What does a RMO do for a government?

RMO ensures the records management program...

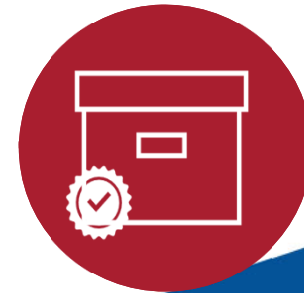
Runs Efficiently



Protects Records and Information

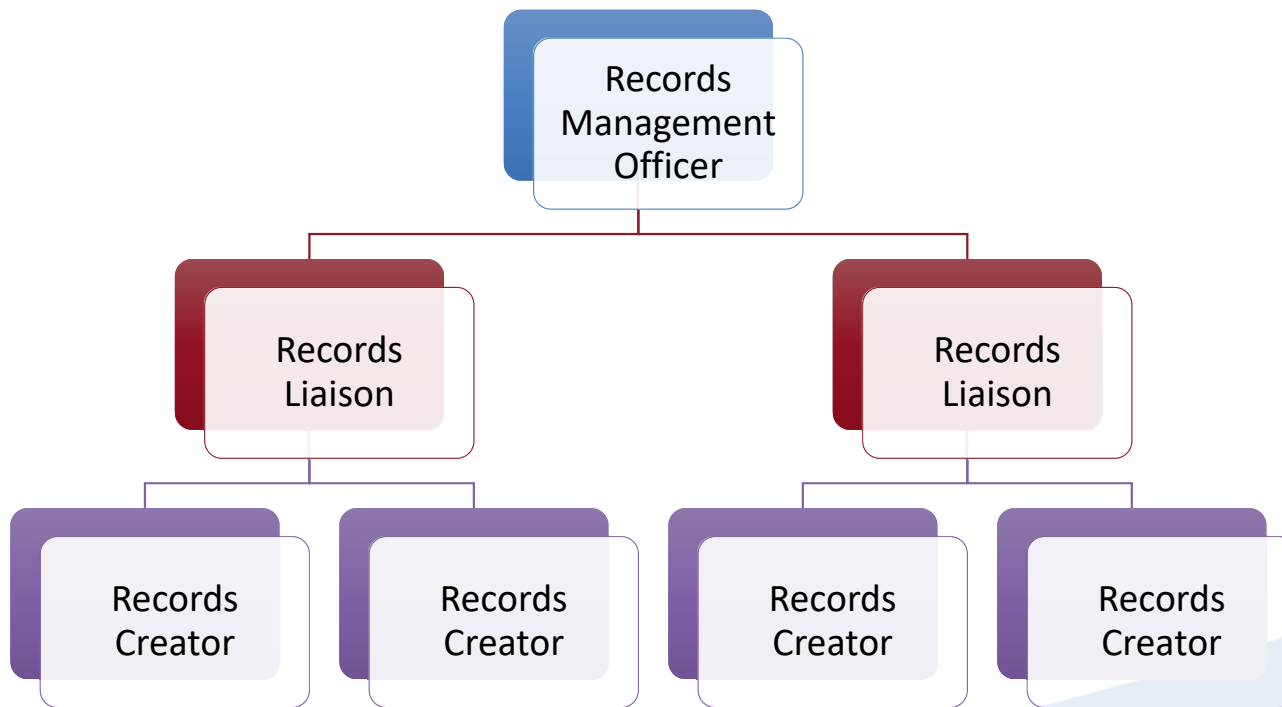


Meet Laws, Rules, Standards



Responsibilities Outlined in LGC, [Section 203.023](#)

There's No "I" in Records Management Team



HAS YOUR OFFICE FILED A RECORDS MANAGEMENT POLICY WITH TSLAC?



YES!



NO!



I DON'T KNOW!




```
... 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
obj("Selected" + str(modifier_ob.name))
mirror_ob.select = 0
= bpy.context.selected_objects
data.objects[one.name].select

print("please select exactly one object")

-- OPERATOR CLASSES -----

class MirrorX(bpy.types.Operator):
    """Mirror X mirror to the selected object.mirror_mirror_x"""
    bl_label = "Mirror X"
```

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



Electronic
Records
Standards and Procedures

B



LOCAL GOVERNMENT BULLETIN B
JULY 1998



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



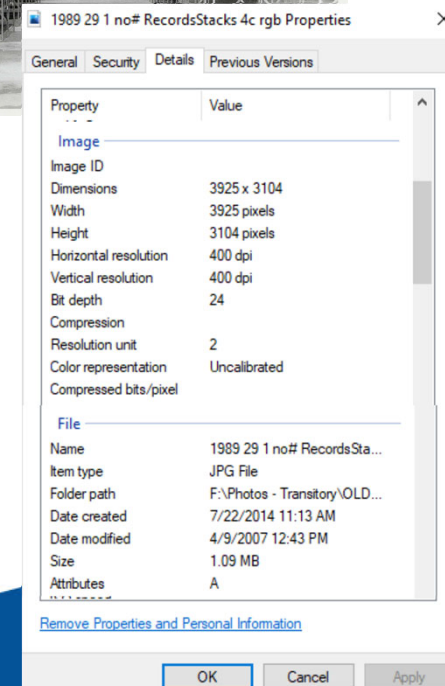
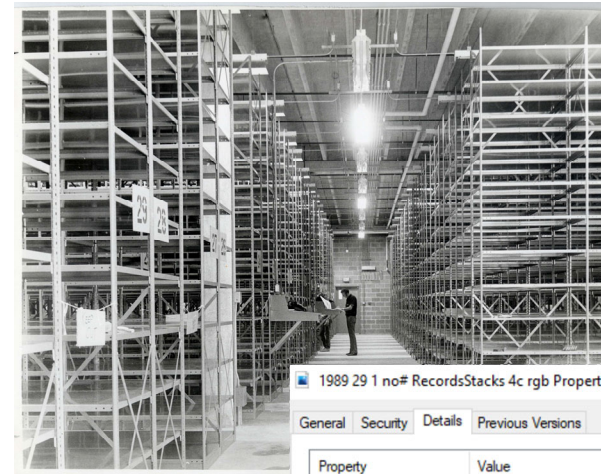
Digitized

- 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



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



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.

Leave Records – GR1050-54b

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



3-Step Drill

**1. Is this a
record?**

**2. Is this related
to my job?**

**3. Am I the
custodian?**

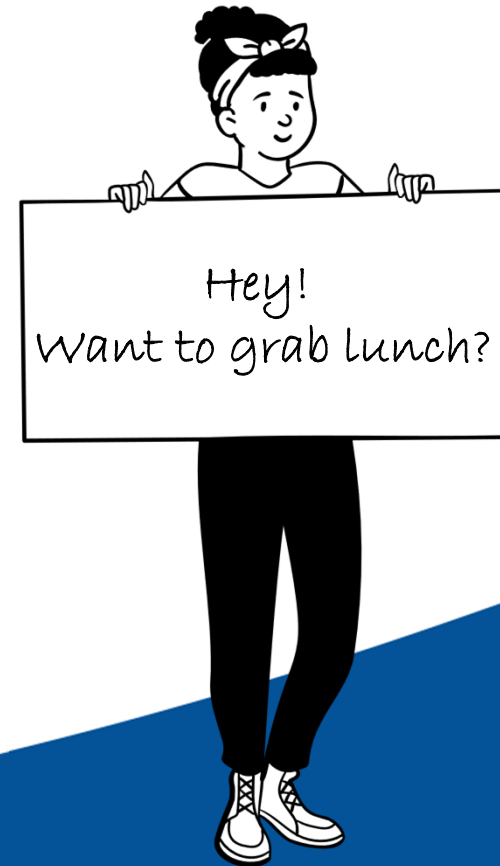


Step 1: Is the email a record?

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.

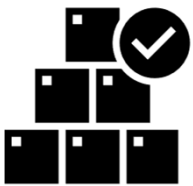


Yes

Proceed to next step

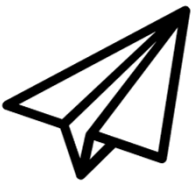


Custodianship: Who has the record copy?



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.

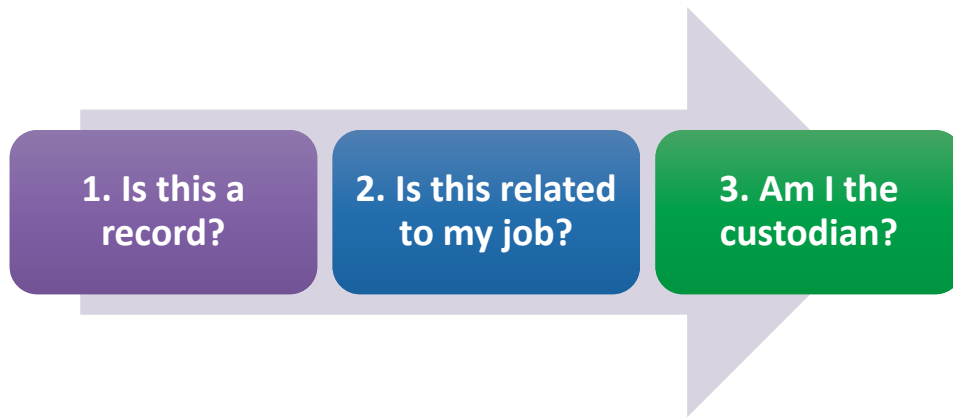


The recipient may also need to keep a copy if:

- 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.



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



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



Transfer of Permanent Records

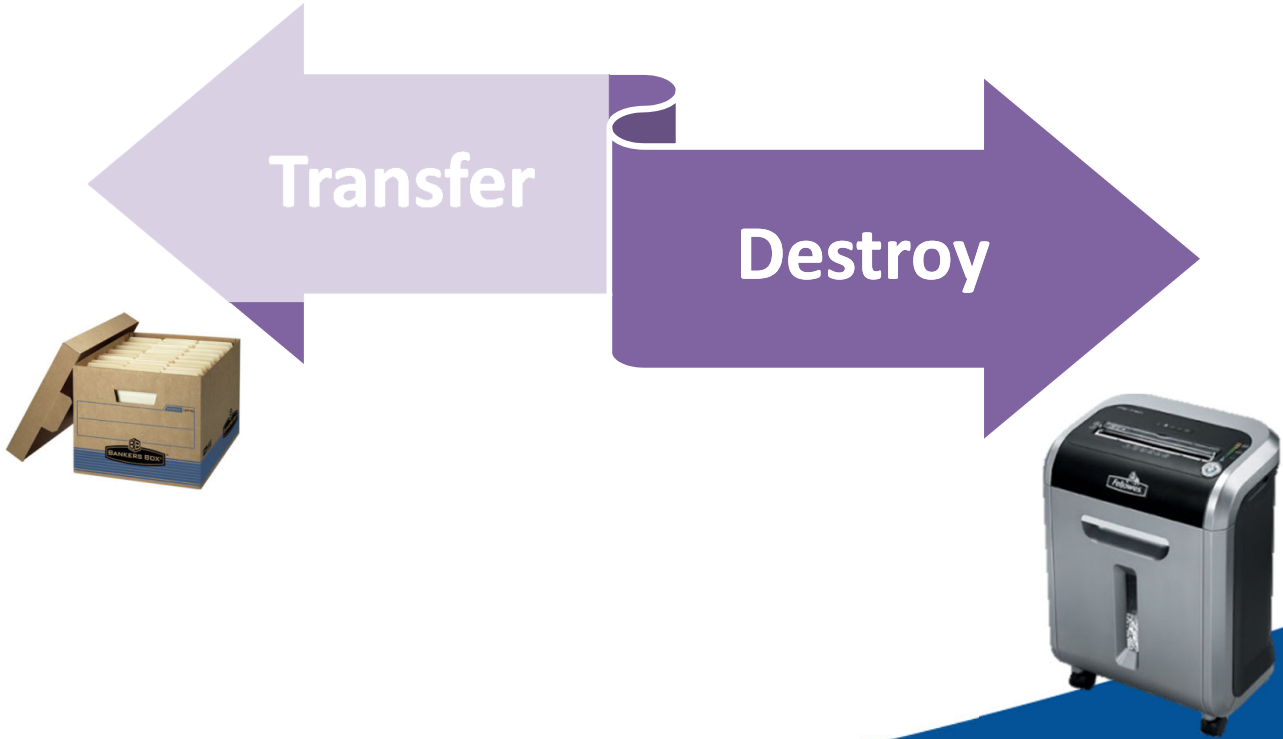
- Only to other *public* institutions
- Documented approval from RMO
- Documented approval from TSLAC
- Change of ownership
 - Physical & Legal



Local Gov. Code §203.049



Types of Disposition



Confidential
Records



Burning



Shredding



Pulping

Open
Records



Recycle



Landfill

Approved
Destruction
Methods



Confidential Electronic Records

Hard Drives

- Reformat
- Overwrite 3x

Solid State Drives Flash Drives

- Specialty software

See Bulletin B:

<https://www.tsl.texas.gov/slr/pubs/bulletinb>

Magnetic Tape

- Degauss

All Media

- Physically destroy



Destruction of Microfilm

Microfilming
Standards and
Procedures

A

- Specific destruction instructions in Bulletin A
- Ensure protection of sensitive or confidential information



LOCAL GOVERNMENT
JUNE 1996



Before Destroying Records

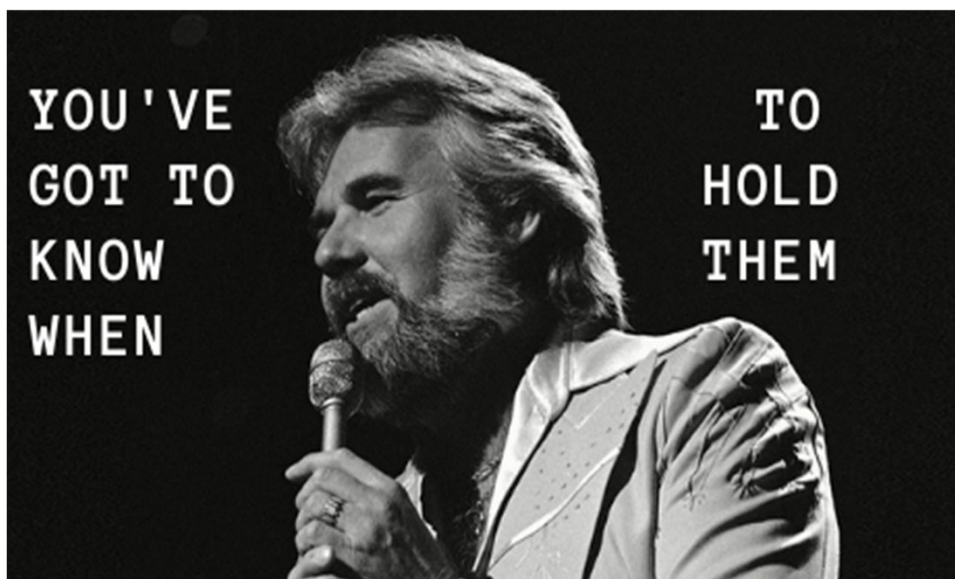
- Has the record met the retention period?
- Are there any copies?
- Did I receive internal approval?
- Do I have a disposition log?
- Is there a destruction hold?



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/slrn/blog/

SUBSCRIBE
TO FRIENDSHIP

- 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

