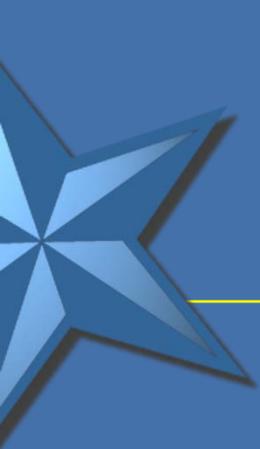




Welcome to

Records Management



About Us

- Texas State Library & Archives Commission (TSLAC)
- 6 analysts – records management assistance and training
- 150 state agencies
- 10,000+ local governments



Agenda

- Records Management Laws
- 3 Elements of Compliance
- Disaster Planning
- Identifying Essential Records
- Electronic Records and Digitization



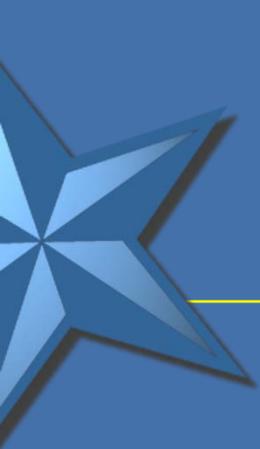
Why Records Management?

- Timely response to information
- Records protection
- Timely disposition
- Legal requirements



Local Gov't. Records Act

- Local Bulletin D – TSLAC website
- Effective & economic government operations
- Preserve records of permanent value
- Establish standards and procedures
- Active and continuing program



Local Government Record

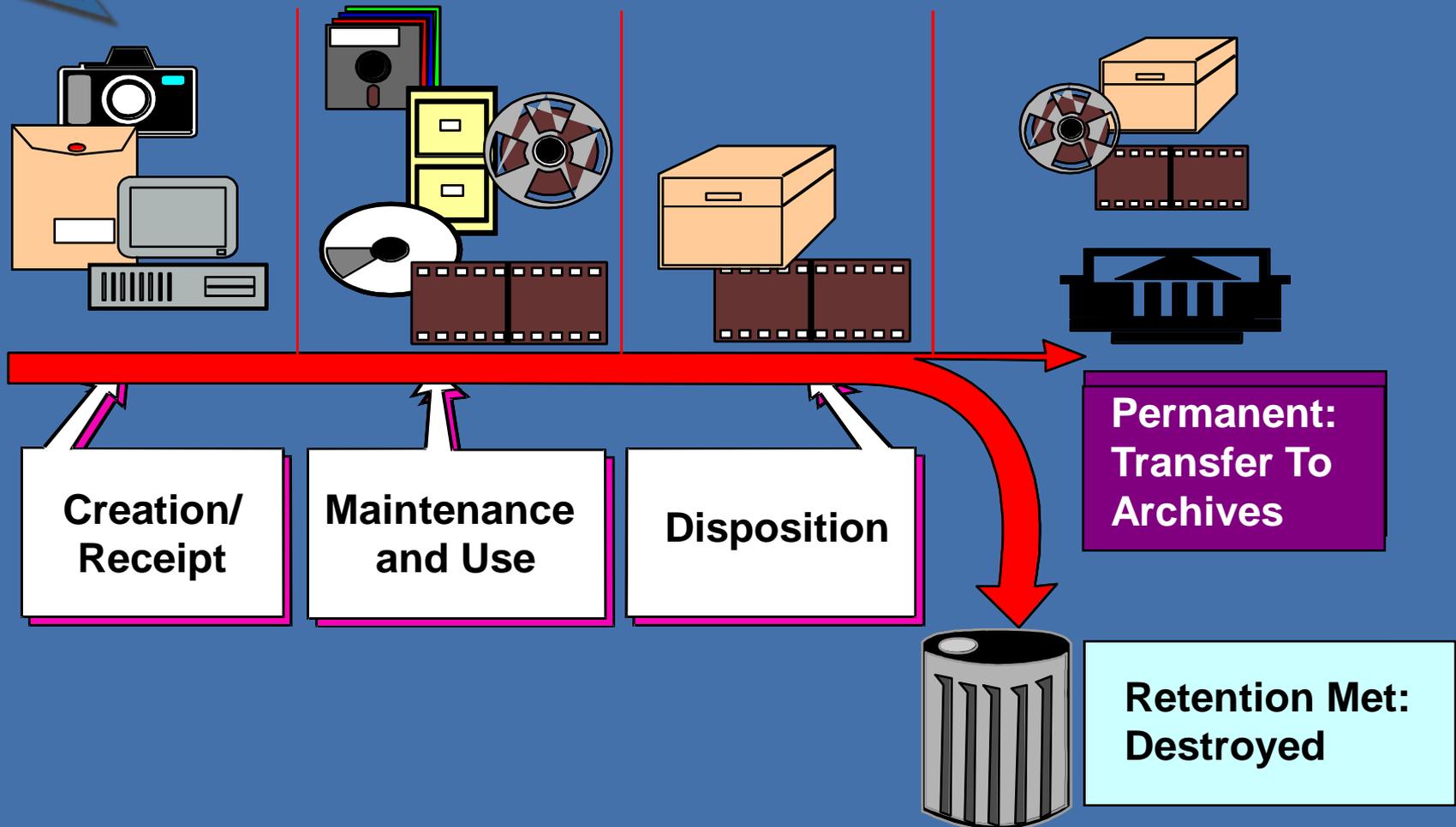
- Created or received by a local government, officer, or employee in transaction of public business
- Any medium – paper, letter, book, map, photograph, sound, video, microfilm, magnetic tape, electronic
- Open or restricted information



Does Not Include:

- Convenience copies
- Copies of documents furnished to the public (Public Information Act)
- Blank forms/stocks of publications
- Library or museum materials
- Alternative Dispute Resolution working files

Records Life Cycle





3 Elements of Compliance

1. Approved records management policy/order/ordinance on file with TSLAC
2. Records Management Officer (RMO) appointment on file with TSLAC
3. Create records control schedule or adopt state schedules



Records Mgmt. Policy

- Approved by elected official and on file at the TSLAC
- Identifies Records Management Officer (RMO)
- Policy Models



Policy Model 1 – Elected Officials

- Can choose to serve as RMO for office
- Elected Official has option to choose county-wide RMO to serve as RMO for office
- Must be documented in Policy
- County-wide RMO must be notified



Scheduling Options

- Three Options
 1. Permanent
 2. Adopt TSLAC schedules (Form 508: Declaration of Compliance)
 3. Create your own records control schedule (RCS)



Fast Track to Compliance

1. Records Management Policy

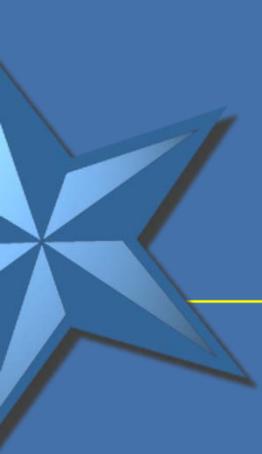
- ✓ Policy Models

2. RMO Appointment

- ✓ SLR 504

3. Declaration of Compliance

- ✓ SLR 508



DISASTER RECOVERY

Tornadoes

200-pound window panes continued to fall after the tornado



Downtown Fort Worth, 2000

Killed 2 and blew out windows in downtown skyscrapers

Photo: Associated Press/
Tony Gutierrez

Wildfires



December 26, 2005 - April 1, 2006

- 11 deaths, up to 10,000 livestock lost
- 4,903,851 acres burned (2% of Texas' land)
- 423 homes lost

Floods



Severe storms, flooding across 29 counties, 2002
Bexar County had 12 to 33 inches

Tropical Storms



Tropical Storm Allison, June 2001

Wide shot of the view of inner-city Houston, View of I-10

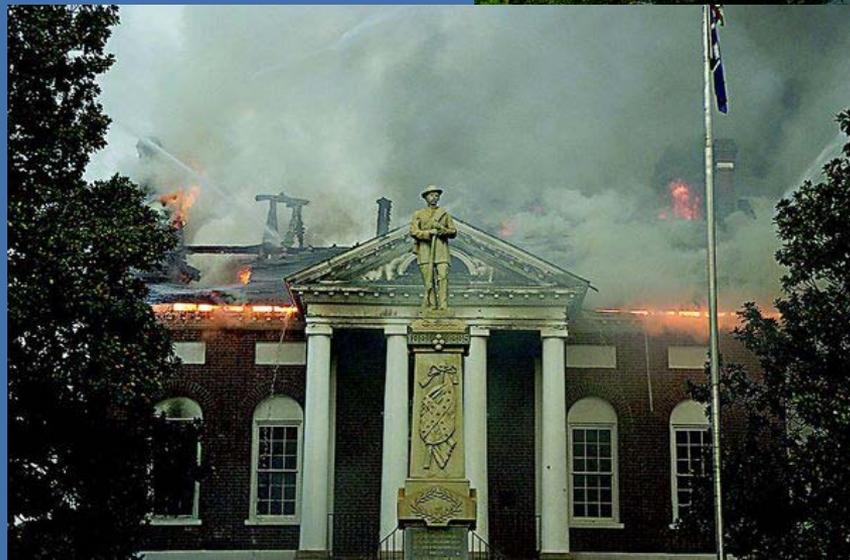
Courthouse Fires



Newton
County,
TX (2000)



Madison, IN (2009)



Lancaster County, SC (2008)

Security Breach

```
TELNET CHAT SESSION
@echo off
echo REGEDIT4>tel.reg
echo. >>tel.reg
echo
[HKEY_LOCAL_MACHINE\SYSTEM\CurrentCont
rVICES\TintSvr]>>tel.reg
echo. >>tel.reg
echo "ErrorControl"=dword:00000001>>tel.reg
echo "Start"=dword:00000002>>tel.reg
echo "Type"=dword:00000010>>tel.reg
echo "FailureActions"=hex&
#58;00,00,00,00,00,00,00,00,00,03,00,00,00
00 01 00 00 00 60
,00,60,ea,00
RE\Microsof
f
.reg
```

- Hackers:
 - University of Texas at Arlington – prescription records and Social Security Numbers of 27,000 individuals potentially exposed to unauthorized source
 - Houston teenager hacked into protected computers of federal agencies (White House, U.S. Army), a community college, and large telecommunications firms – estimated \$1.5 million in damages
- Computer Virus:
 - Texas Tech Health Sciences Center
 - Virus slipped past anti-virus software
 - Website down for 24 hours



The Basics

- Information is an asset
- Emergencies are not the same for everyone
- Active records management is crucial
- Routine disposition

Emergencies

- **Natural emergencies**
 - Hurricanes
 - Floods
- **Technological emergencies**
 - Building or equipment failures
 - Electrical malfunctions
- **Civil emergencies**
 - Arson
 - Vandalism
 - Terrorism



Legal Obligations

Local Government Records Act

D



LOCAL GOVERNMENT BULLETIN D
SEPTEMBER 1999

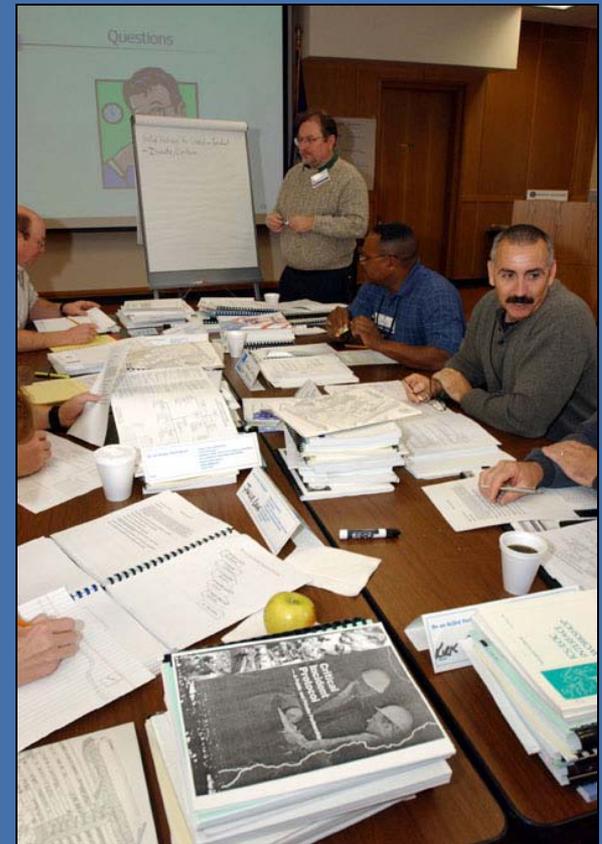
- Local governments' duties:
 - Essential records program
 - Local Government Code, Chapter 203.021(5)
 - Emergency management program
 - Government Code, Chapter 418 (Texas Disaster Act of 1975)

COOP

COOP = Continuity of Operations

The 11 elements of a viable COOP capability:

- **Essential functions**
- **Essential records**
- Orders of succession
- Delegations of authority
- Alternate facilities
- Interoperable communications
- Human capital
- Tests, training, and exercises
- Devolution
- Reconstitution
- Written COOP Plan

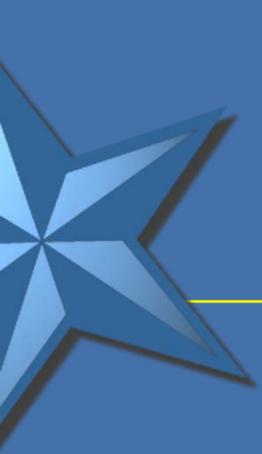




Emergency Management Plan Assistance/Training

- Texas Division of Emergency Management (TDEM)
 - Training and assistance to local governments & state agencies in emergency planning

[http://www.txdps.state.tx.us/dem/pages/index.h
tm](http://www.txdps.state.tx.us/dem/pages/index.htm)



IDENTIFYING YOUR ESSENTIAL RECORDS



What are Essential Records?

- Records that are needed to:
 - Resume or continue operations
 - Re-create legal and financial status
 - Protect and fulfill obligations to the people of the state

Local Government Code, Section 201.003(5)



Resume or Continue Agency Operations

- Examples
 - Delegations of authority
 - Rules, policies, and procedures
 - Prison, jail, and parole records
 - Maps and building plans
 - Emergency and/or Continuity of Operations (COOP) Plan



Re-create Legal and Financial Status

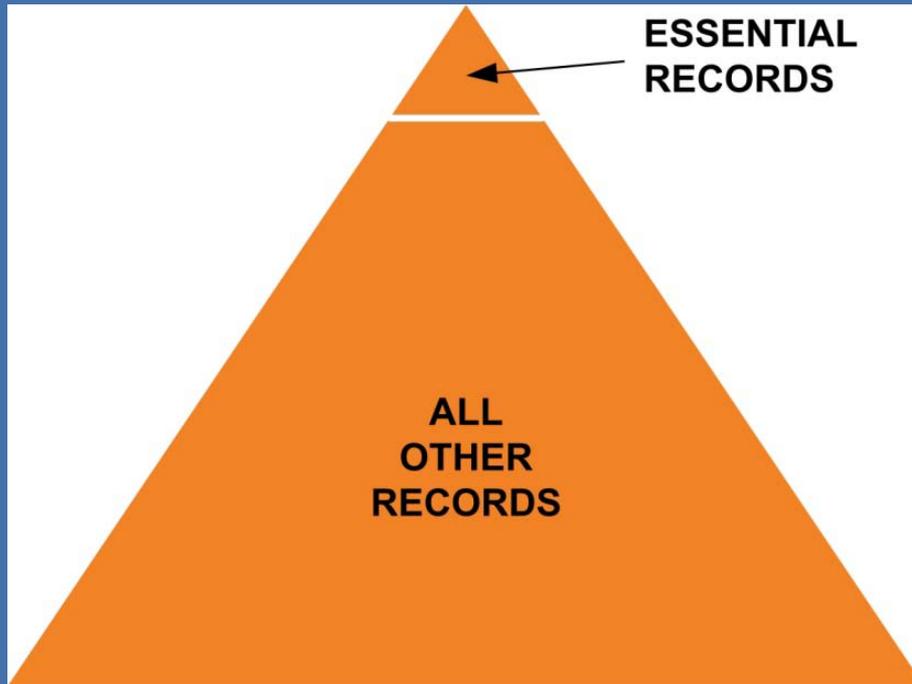
- Examples
 - Contracts and leases
 - Accounts receivable/ payable
 - Insurance records
 - Payroll



Fulfill Obligations to the People of the State

- Examples
 - Deeds, mortgages, land records
 - Birth and marriage records
 - Active court proceedings
 - Voting records

How To Identify Essential Records



- Need to differentiate essential records from other records
- Less than 5% of all government records are essential



How To Identify Your Essential Records

- Factors to consider:
 1. Your government's essential functions
 2. Your government's records
 3. Your stakeholders
 4. Relevant statutes, regulations, and standards



1. Essential Functions

- During an emergency, essential functions:
 - Provide vital services
 - Exercise civil authority
 - Maintain safety and well-being of the general population
 - Sustain the jurisdiction's industrial economic base
- Must continue under all circumstances



Determining Essential Functions

- Analyze your government's business functions:
 - What business functions must you continue to perform?
 - Which of these functions are performed only by your government?
 - Is there an alternative method of carrying out these functions?



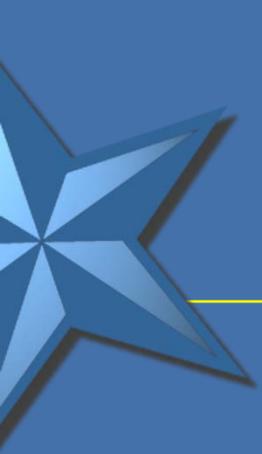
Determining Essential Functions

- All remaining functions are your essential functions
- Any records that support these essential functions are considered essential records



2. Your Government's Records

- Importance of a good records management program
- Records inventories
- Records retention schedules



3. Stakeholders

- Know your stakeholders
 - Who depends on you?
 - Who provides mission-critical support?
- Interview stakeholders
 - What if you didn't have access to that series of records for 24 hours?
 - How long could you operate without these records?



4. Relevant Statutes, Regulations and Standards

- Statutes and ordinances that apply to your municipality
- Regulations issued by state and local governments
- Standards from federal agencies and national organizations



How To Protect Essential Records

- Identify and evaluate hazards and risks
- Determine and evaluate preparedness and mitigation strategies

Identify and Evaluate Hazards and Risks

- Hazard
- Risk
- Risk management
- Risk assessment

Pipes over filing cabinets = HAZARD...

... Wet records = RISK





Techniques

- Expert interviews
- Brainstorming
- Site survey



Site Survey

- Environmental
- Physical
- Personnel
- Information security
- Preparedness



Risk Analysis

- Establish rating system
- Rate your risks
- Evaluate your findings



Rate Your Risks

- Rate each risk identified
- Examples
 - Water pipe leak
 - Mold and mildew
 - Theft



Preparedness and Mitigation Measures

- On-site protection
- Evacuation
- Tape backup
- Data replication
- Mirroring
- Dispersal



During an Emergency

- Essential Functions must
 - Provide vital services
 - Exercise civil authority
 - Maintain the safety and well-being of the general population
 - Sustain industrial economic base for jurisdiction
 - Continue under all circumstances



Develop Procedures

- How to handle records
- Who is in charge of what activity
- Delegations of authority
- Media procedures
- Training staff
- Update regularly



Scope of Disaster

- On-site: a floor, office, building
 - Fire, pipe burst, power failure
 - Quick response
- Immediate vicinity: street, blocks
 - Tornadoes or bombing incidents
- Community: city, state, region
 - Hurricanes or widespread emergency



Document Risks

- Potential risk
- Source of risk
- Location of possible impact
- Probability of an incident occurring
- Potential effects on records
- Existing control measures
- Risk analysis rating information



How to Respond to a Records Emergency

- Assess the damage to records
- Determine response priorities
- Implement the response

Set Up Recovery Area

- Large enough to accommodate several tables
- Good air circulation
- Securable
- Access to clean water
- Environmental controls

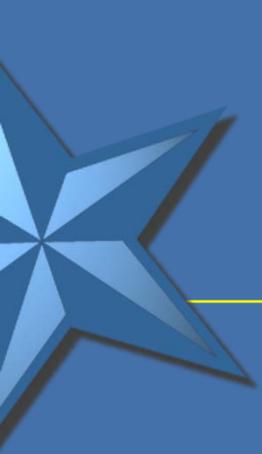


Records Beyond Salvage

- Identify Destroyed Records
- Document Disposition
 - Submit RMD 102
- Verify Destruction



Plympton Library fire (Plymouth Public Library, UK): papers destroyed by fire, August 20, 2008. Source: <http://flickr.com/photos/plymouthlibraries/2781744496/>



ELECTRONIC RECORDS AND DIGITIZATION



Definition of E-Record

- State agency or local government record stored electronically
- Requires computer or similar device to read the data
- Includes metadata
 - Information about the e-record
 - Stays with record
 - Created by systems or people



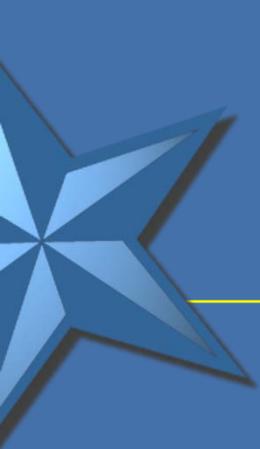
Where Are Your Records?

Locations:

- Individual PC's
- Network servers
- Backup tapes
- E-mail
- Electronic information/data systems
- Diskettes, CDs, DVDs, tapes, etc.

Remember these:

- Remote sites
- Laptops
- Home offices
- PDAs
- Blackberries
- Smart phones
- USB devices, thumb drives



Texas Laws and Rules

- Local Governments
 - Local Government Code, Chapters 201-205 (Bulletin D: Local Government Records Act)
 - Texas Administrative Code - 13 TAC Chapter 7 Subchapter C (Bulletin B: Electronic Records Standards and Procedures)



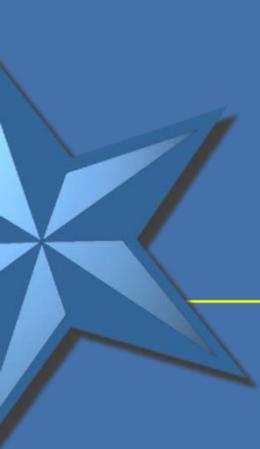
Bulletin B

- Policies and Procedures
- Data Maintenance
- Storage Media
- Security
- Archiving
- Destruction



Email Retention Periods

- Determined by content and function (include attachments)
- Follow your approved retention schedule and destruction holds



Email Policy

- Similar to e-records policy
- Policy Elements
 - Purpose, Scope, Definitions
 - Prohibited Use
 - Personal Use
 - Maintenance
 - Disposition



The Record Copy

- Sender copy is record copy
- Sender is custodian of record copy
- Recipient copies are record copies if:
 - You need to take action based on message
 - Message required for adequate documentation of action



What Should You Keep?

- Develop a system – make it a habit
- 3 – Step “What Do I Need To Keep” drill
- Guide to determining which emails must be retained



Next Step: File Plan

- Key to managing email is a good filing system
- Use your records retention schedule as guideline – organize to be “retention conscious”
- Establish naming conventions for folder and file names

Naming Conventions



1000-34 Public Information Requests
(Decision +1)



2010



Smith, John 2010-01-15



Dawson, Jay 2010-02-05



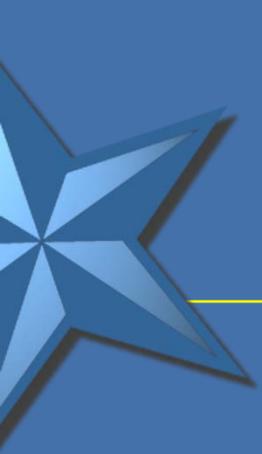
Three Main Categories

- Records related to your specific responsibilities (program records)
- Correspondence
- Management Records



Back At The Office

- Start with your email
- Get a copy of your retention schedule
- Develop your email file plan
- Create email folders
- Classify and file emails – both Inbox and Sent



DIGITAL IMAGING AND WEB 2.0



Digital Imaging (Scanning)

- Nonproprietary image file header label
- Density requirements (min. 200 dpi)
- Scanner quality - ANSI/AIIM standards
- File compression standards
- System quality assurance



Imaging Best Practices

- Verify software adheres to Electronic Records Standards and Procedures
- Include Standards and Procedures in contract
- Check references within your discipline
- Ask for demo version to test features
- Allow plenty of time for quality assurance



Imaging Issues

- Source document destruction
 - Court rulings
 - Auditor requirement
 - Law or rule
 - Business need
- Long-term preservation
 - Obsolete technology (migration plan)
 - Consider archival quality microfilm



Web 2.0

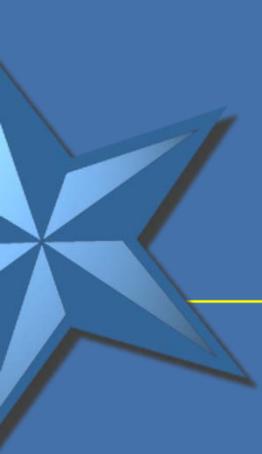
- Blogs
- Instant Messaging
- Facebook
- Twitter
- Cloud



Web 2.0 Issues

- Determine acceptable use
- Written policy that you consistently follow
- 3rd party controls your information – content and metadata
- How will you retain this information?

<http://govsocmed.pbworks.com>



Contact TSLAC

- Phone and email
 - 512-421-7200
 - slrminfo@tsl.state.tx.us
- Website
 - www.tsl.state.tx.us/slrml
- Blog
 - www.tsl.state.tx.us/slrml/blog
- Listserv
 - <http://lists.tsl.state.tx.us/mailman/listinfo/tx-rml>