



Records Management Training

Introduction to Records Management

September 30, 2010

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VITA Lead Records Officer



Course Outline

**Records Management
Rules & Regulations**

**Records Management
Terms & Concepts**

**Records Management
Roles & Responsibilities**

**Records Management
Life Cycle**



Records Management Life Cycle

**Create
Phase**

**Access
Phase**

**Maintain
Phase**

**Store
Phase**

**Dispose
Phase**

Life Cycle



Rules & Regulations



Rules & Regulations

- It's the Law
 - VPRA
 - FOIA
 - Evidence
- It's a Business Best Practice



Terms & Concepts

Terms & Concepts

Public Records or Records

- means recorded information that:
 - **documents a transaction or activity** by or with any public officer, agency or employee of an agency; and
 - is **produced, collected, received, or retained** in the process of **conforming to law** or in connection with the **transaction of public business**.
- The medium (i.e. paper, electronic, etc.) does not effect whether or not the document is a public record.
- The content determines whether or not the document is a public record.

Terms & Concepts

- Examples of Public Records
 - Agency Head or Director Correspondence
 - Financial records
 - Personnel files
 - Research files
 - Reports and applications
 - Policies and procedures
 - Publications
 - Websites

Terms & Concepts

- Non-Public Records
 - Non-Records are:
 - Reference materials
 - Administrative and personal correspondence
 - Personal materials
 - Stationery, blank forms, and publications for distribution
 - Copies of policy and procedure manuals
 - Copies of materials for distribution
 - Announcements

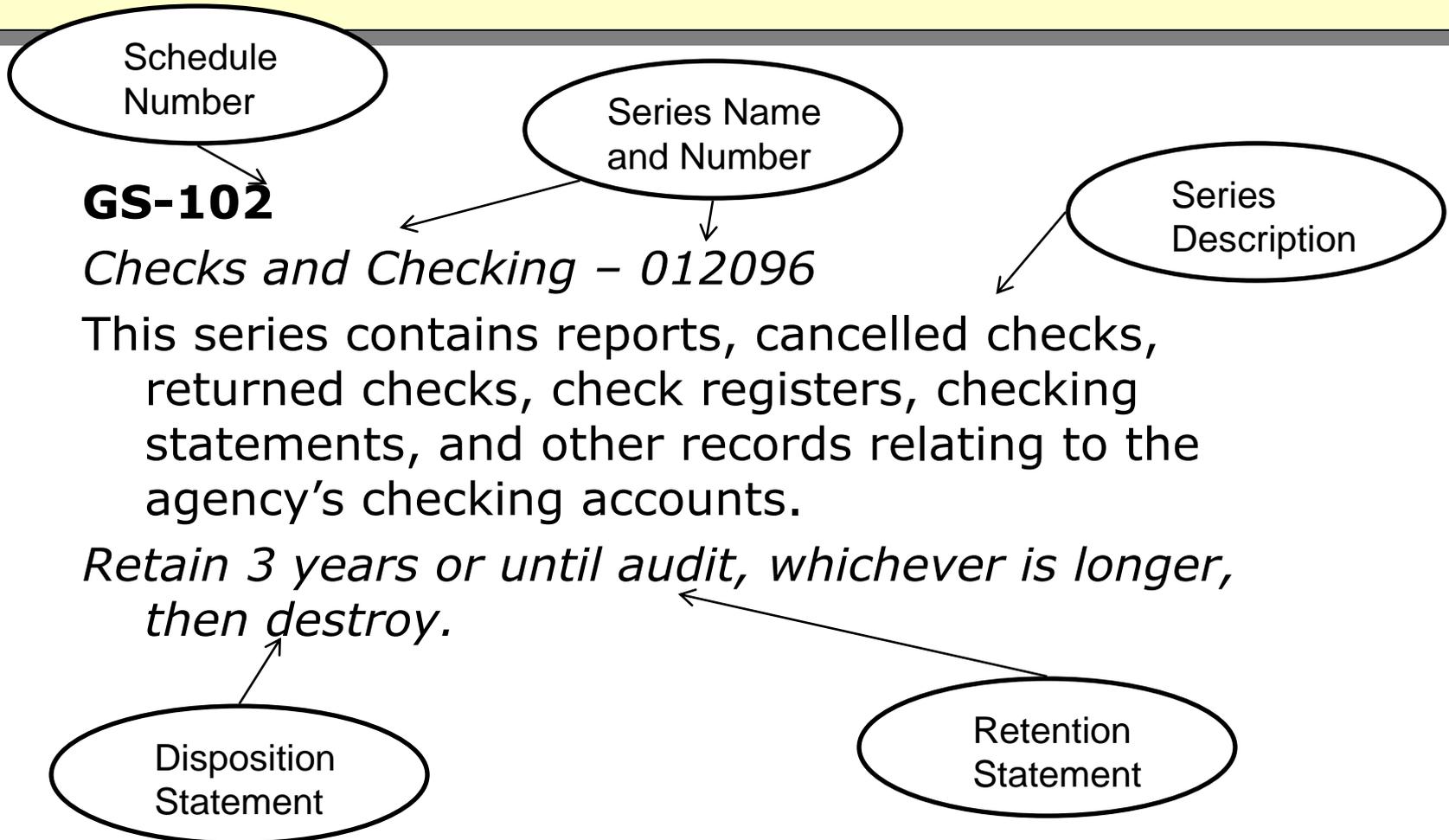
Terms & Concepts

- Vital Records:
 - Records immediately necessary to begin recovery of business after a disaster or essential to protecting the rights and interests of the organization, its employees, and the citizens of the commonwealth
- Essential Public Records:
 - Public records that are required for the recovery and reconstruction of any agency to enable it to resume its core operation and functions and to protect the rights and interests of persons.

Terms & Concepts

- Approved Retention & Disposition Schedules
 - Library of Virginia–approved timetable stating the length of time a record must be kept and its required disposition. Also called a general schedule (GS), a retention schedule and an approved schedule.
- Agency Specific Schedules
 - Retention and disposition schedule that applies to a particular agency.

Terms & Concepts



Terms & Concepts

- Approved Retention & Disposition Schedule
 - Ensures that files are not prematurely destroyed, but are not kept past their usefulness.
 - Identifies records retention for records that can be moved off-site.
 - Assists with making reformatting decisions.

Terms & Concepts

- Approved Retention & Disposition Schedule (cont.)
 - **Please note**, records not destroyed according to their retention schedule are subject to discovery during litigation, investigations, and Freedom of Information Act (FOIA) requests.
- ***If you have it, you must produce it!***



Terms & Concepts

- General Schedule 113 Information Technology

- Information Technology Assistance Records (000148)
- Network Diagrams (000148)
- Project Documentation Files (Refer to series 100355, "Project Documentation Files")
- Software License and Copyright Provisions Records (000150)
- System Access Records (000151)
- System Documentation Records (000152)
- System Maintenance Records: Hardware Repair or Services (000153)
- System Maintenance Records: Records Backups (000154)
- Web Management and Operations Records: Structure (000155)
- Web Pages and Related Scripts: Duplicate Records (000156)

Terms & Concepts

- Records Survey (LVA form RM-19):
 - Identifies Records
 - Quantifies Records
 - Relates Records to:
 - Existing Schedules
 - Specific Agency Schedule.

Terms & Concepts

- Records Survey (LVA form RM-19):
 - A data collection tool.
 - **Not** a folder-by-folder
 - **Not** document-by-document individual item inventory
 - Identifies series (i.e. categories) of records

Terms & Concepts

- Examples of a Records Survey

GENERAL SCHEDULE NO. 101 (General)

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	RETENTION AND DISPOSITION
<p><u>Correspondence/Subject Files: Department or Division Heads - Historically Significant</u> This series consists of incoming and outgoing letters, memoranda, faxes, notes and their attachments of a historically significant nature not listed on an agency specific schedule, in any physical format including, but not limited to, paper and e-mail.</p>	100313	Retain permanently.

GENERAL SCHEDULE NO. 102 (Fiscal)

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	RETENTION AND DISPOSITION
<p><u>Accounts Payable</u> This series consists of geo-reference data and metadata to facilitate the management, manipulation, analysis, modeling, representation, and special analysis of complex problems regarding planning and managing of resources.</p>	000323	Retain parcel, boundary, zoning, and aerial photo layers, with accompanying data sets permanently.

Terms & Concepts

- Example of a Records Survey

GENERAL SCHEDULE NO. 136-001 (VITA Agency Specific Schedule)

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	RETENTION AND DISPOSITION
<u>Accounts Payable</u> This series consists of geo-reference data and metadata to facilitate the management, manipulation, analysis, modeling, representation, and special analysis of complex problems regarding planning and managing of resources	000323	Retain parcel, boundary, zoning, and aerial photo layers, with accompanying data sets permanently.



Terms & Concepts

- Records Locator Inventory (LVA form RM-20) identifies individual records by
 - Document Name
 - Document Location



Roles & Responsibilities

Roles & Responsibilities

- Records Creator:
 - The records creator or author of a document is the person, office or designated position responsible for its creation or issuance.
- Records Custodian
 - The records custodian maintains the physical storage and protection of records.



Roles & Responsibilities

- Records Officers:
 - Implement and oversee the VITA records management program in their Directorate
- Records Coordinators:
 - The individuals in an agency who supports the Records Officer in implementing a records management program.

Roles & Responsibilities

- Lead Records Officer:
 - In addition to Records Officer duties;
 - Serves as a liaison to LVA;
 - Oversees the VITA Records Program;
 - Directs the development, review and update of the VITA records management policy, procedures, program;
 - Organizes and analyzes the annual records survey;
 - Organizes and analyzes periodic records inventories;
 - Facilitates periodic Records Officer meeting; and
 - Provides quarterly employee training.



Record Life Cycle



Record Life Cycle

Records Management

**Create
Phase**

**Access
Phase**

**Maintain
Phase**

**Store
Phase**

**Dispose
Phase**

Life Cycle

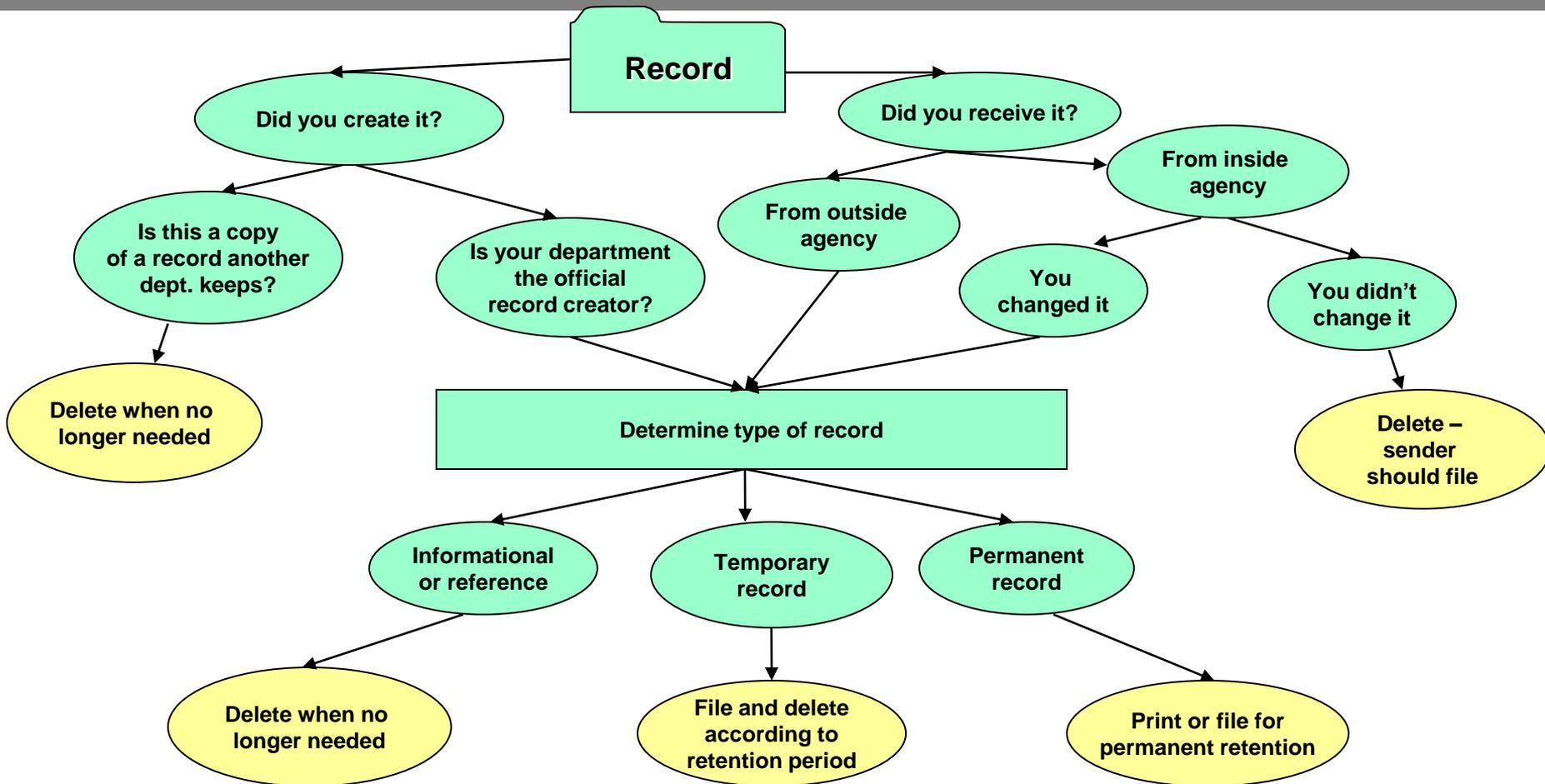
Record Life Cycle

- The during a records life cycle it is on of these conditions:
 - Active – Used regularly and frequently in day to day work of the organization. Generally will be referred to at least once a month
 - Semi-active – Not in use as frequently as current records, but are needed for legal or operational reasons to be retained. Required for compliance with procedural / statutory / financial requirements.
 - Inactive – Records no longer required for the work of the organization will be destroyed or, if identified as having a long term historical, cultural or educational significance, retained.



Create Phase

Create Phase



Create Phase

- Begins at the point in time when a public record is first created.
- The record creator:
 - Identifies and documents any specific legislative or administrative requirements to create particular official records.
 - Reviews business processes to ensure that all official records that are required to be created, are created.

Create Phase

- Begins at the point in time when a public record is first created.
- The record creator:
 - Is responsible for the management of all records created in their specific organizational units



Access, Maintain & Store Phases

Access Phase

- Provide access to records in accordance with:
 - Virginia Public Records Act (VPRA)
 - *Code of Virginia* 42.1-76
 - Virginia Freedom of Information Act (FOIA)
 - *Code of Virginia* § 2.2-3700
 - Copies of Originals as Evidence
 - *Code of Virginia* § 8.01-391
- Ensure records are accessible for the length of time cited in applicable records retention and disposition schedule.

Maintain Phase

- Maintain a directorate and/or division records file systems to:
 - meet business and administrative operational needs;
 - ensure records are properly maintained, protected and accessible for the length of time cited in applicable records retention and disposition schedule;
 - facilitate recordkeeping; and
 - facilitate in the record's disposition.

Store Phase

- Store records in appropriate conditions to ensure their ongoing accessibility:
 - on appropriate media (paper, film, electronic, etc.);
 - based on business needs, preservation requirements, and costs; and
 - with appropriate procedures to deter, identify and respond to incidents.

Store Phase

Storage Decision Guide

If	And	And	Then
You have records you would like to store	You have located the records on your records retention schedule	The records have at least one year left on their retention	Prepare an RM-17. (See Form & instructions on LVA Web site)
You have prepared the RM-17			Order the required number of boxes through your Records Coordinator
You have prepared the RM-17	You have submitted the form to your Records Coordinator	The Records Coordinator has approved the form	The Records Coordinator will complete the form with box numbers and bar code number
If the Records Coordinator has approved the form and returned it with the additional entries			Obtain the required box bar codes from your Records Coordinator
You have obtained the bar codes			Apply them to your boxes
You have bar coded your boxes			Create an index of the contents in each box using the VITA Records Storage Box Index form on the VITA web RM page



Dispose Phase

Dispose Phase

- Dispose of records according to:
 - Virginia Public Records Act (VPRA)
 - Code of Virginia § 42.1-76
- Based on the appropriate
 - Business need;
 - LVA retention and disposition schedule
- Using the prescribed method of destruction for:
 - paper records -shredding, recycling, trash; and
 - electronic records –deletion or wiping.

Dispose Phase - Records Disposal Decision Guide

Disposition/Destruction Decision Guide Records stored at Your Location

If	And	And	Then
You have records you would like to dispose of	You have located the records on your records retention schedule for the retention period and disposal method	The records have met or exceeded their retention period	Check to make sure the records are not subject to litigation, audit, or otherwise not eligible for destruction
If you have checked to make sure the records are not subject to litigation, audit, or otherwise not eligible for destruction	The records are not under any special activity	The records are stored at your location	Prepare an RM-3 (see LVA Instructions)
You have prepared the RM-3			Submit the form to your Records Coordinator
If you have submitted the form to your Records Coordinator	The Records Coordinator has validated the form and obtained the approvals of your Records Manager and of your Records Officer	You have been notified the RM-3 was approved	Destroy the records based on the retention schedule requirements and complete RM-3 process.



Dispose Phase – RM-17 Records Transfer

Commonwealth of Virginia
THE LIBRARY OF VIRGINIA
Archival and Records Management Services Division
800 East Broad Street, Richmond, VA 23219-8000
(804) 692-3600

RECORDS TRANSFER LIST AND RECEIPT

(Form RM-17 Oct 2007)

Accession/Transfer Number _____
SEE INSTRUCTION SHEET FOR MORE DETAILS

1. Agency / Locality / Other Entity Virginia Information Technologies Agency		2. Agency / Locality Code 136		3. Department Name ITIES - ISP/VGIN Division VITA_RM17_Archive_VITA- VGIN_090713_08Film_Box_2006.001- 2006.010(pg1 of2)	
4. Agency / Locality Contact Eric Perkins				5. Telephone Number and Extension 804-416-6191	
7. Record Pickup Address Room, Building, Street, City, and Zip Code VITA CESC 11751 Meadowville Lane Chester, VA 23836				8. Billing Address VITA 11751 Meadowville Lane Chester, VA 23836	
9. Records Transfer to/for: Please check one <input checked="" type="checkbox"/> Archives <input type="checkbox"/> State Records Center (SRC) <input type="checkbox"/> Imaging services branch <input type="checkbox"/> Other				10. Restrictions to Use or Access for Archival Transfers <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, explain and provide code citation:	
11. Media Format Please check one <input type="checkbox"/> CD/DVD <input type="checkbox"/> Fiche <input type="checkbox"/> Paper <input type="checkbox"/> Electronic <input checked="" type="checkbox"/> Microfilm <input type="checkbox"/> Other				12. Special Notes	
13. Schedule Number GS136-001		14. Series Number 000323		15. Records Series Title Geographic Information Systems (GIS): Core Data	
16. Agency Box Number	17. SRC Bar Code Number No barcodes for archival transfer	18. Contents Beginning to end		19. Date Range Beginning to end	20. Accession Number Leave blank
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VGIN-(VITA-ITIES-ISP)-2006.002		VGIN VBMP Film - Roll #060303-5, 060303-6, 060303-7, 060303-44		2006	
VGIN-(VITA-ITIES-ISP)-2006.003		VGIN VBMP Film - Roll #060303-28, 060303-29, 060303-30, 060303-31		2006	
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VGIN-(VITA-ITIES-ISP)-		VGIN VBMP Film - Roll #060303-56, 060303-57, 060303-58, 060303-59		2006	
21. Agency / Locality Records Officer Print and sign name Virginia Information Technologies Agency/Eric B. Perkins, Records Officer Transfer Received By <i>M. Stone</i>				22. Date of Authorization 07-13-2009	Page 2 of 2
				Date Received <i>7/23/09</i>	

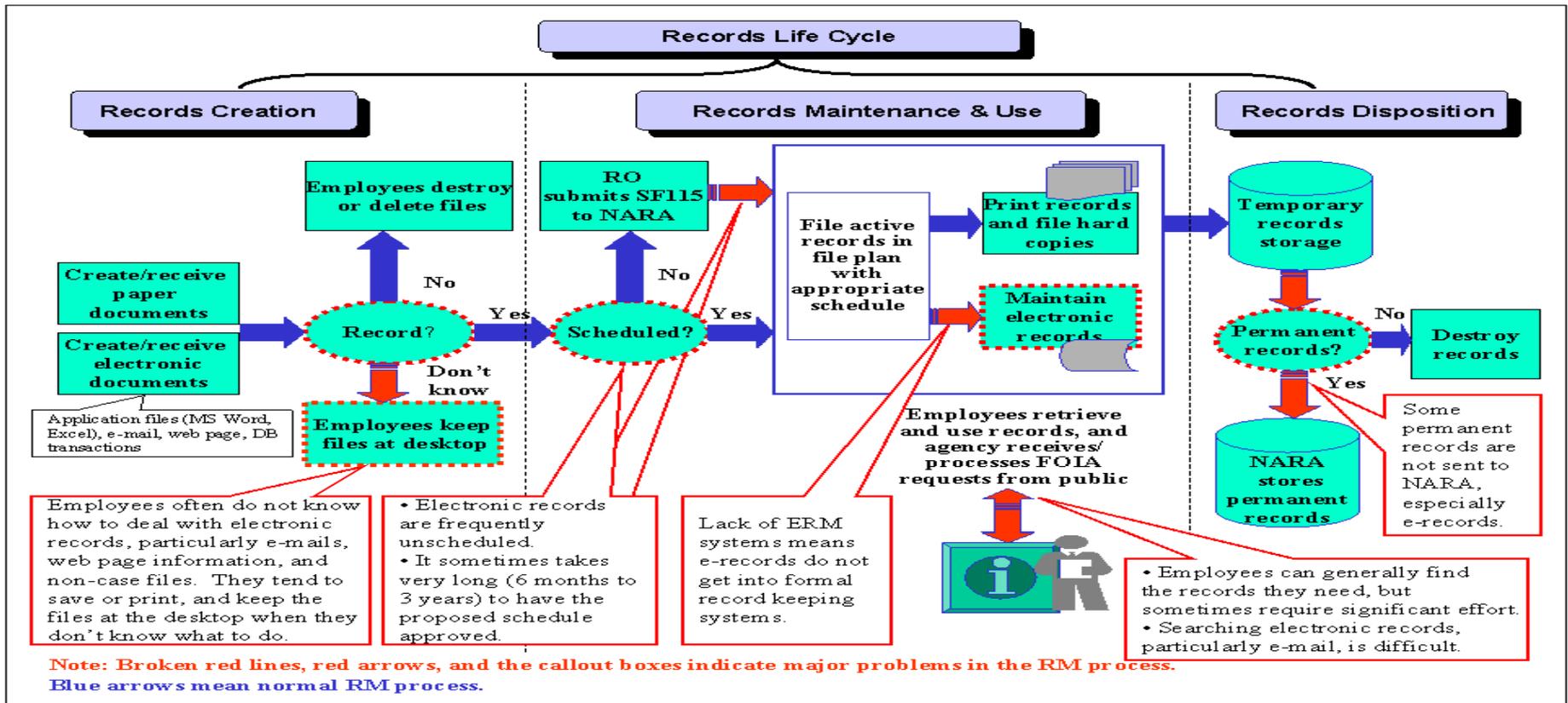


Related Topics

Related Topics - Email

- Email is a format, not a record series.
 - Asking how to file an email is the same as asking how to file a piece of paper.
 - The content determines the disposition.
 - Email should not be stored within the VITA Outlook application
 - For guidance, please see:
 - *LVA E-Mail Management Guidelines*:
<http://www.lva.virginia.gov/agencies/records/electronic/email-management-guidelines.pdf>
 - *VITA E-Mail Archiving Step-by-Step Guide*:
<https://vashare.virginia.gov/sites/vita/GS/SMS/PPRAT/RM/Records%20Management%20Docs/VITA%20E-mail%20Archiving.pdf>

Related Topics – Records Life Cycle and Major Problem Areas



Source: NARA: <http://www.archives.gov/records-mgmt/initiatives/fig4-1.html>



Key Concepts

Key Concepts

- Public Record:
 - determined by its **content** not its format.
- Non-Public Records:
 - copies, personal items, and reference materials
- RM-3 Form.
- Records Transfer (RM-17):
 - Library of Virginia form used to request transfer of records to the Library of Virginia and acknowledge receipt of records after transfer is completed.

Key Concepts

- Records Survey (RM-19):
 - identifies all records series, regardless of format.
- A Records Locator Inventory (RM-20):
 - identifies, quantifies locates all records.
- Record Retention and Disposition Schedules:
 - Library of Virginia approved timetable stating the length of time a record must be kept and its required disposition.
- Record Series:
 - a group of identical or related records.
- Life Cycle Phases of a Record:
 - Create, Access, Maintain, Store and Dispose

Key Concepts

- Records Officers:
 - Required by the *Code of Virginia* to monitor and control the creation, use, storage, transfer and destruction of records, develop and implement the VITA records program.
- Records Coordinators:
 - Assists the Records Officer in implementing a records management program
- Records Creator:
 - The person or office initially creating a record, have physical possession and control of records ensure compliance at the individual record level.
- Records Custodian:
 - The supervisors in the agency having physical possession and control of records.



Questions?