



Virginia Information Technologies Agency

Records Management Training

Introduction to Records Management

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VITA Records Officer



Course Outline

**Records Management
Rules & Regulations**

**Records Management
Terms & Concepts**

**Records Management
Roles & Responsibilities**

**Records Management
Life Cycle**

We are here to understand

- Records Management (RM) rules and regulations:
 - The Virginia Public Records Act
 - What is a Public Record
 - What is not a Public Record
 - What are the benefits of a good RM program
 - Functions of a good RM program
 - Process of public Records Management in VA
 - RM program roles – who does what



We are here to understand

- Records Management terms & concepts:
 - Records Survey
 - Records Locator Inventory
 - Record Series
 - Record Retention and Disposition Schedules



We are here to understand

- Records Management roles & responsibilities:
 - Records Officer
 - Records Coordinator
 - Records Creator
 - Record Custodian

We are here to understand

- Records Management life cycle:
 - Life cycle of a Record
 - Managing Records throughout their life cycle
 - VITA Records Disaster Preparedness and Recovery Planning

**Create
Phase**

**Access
Phase**

**Maintain
Phase**

**Store
Phase**

**Dispose
Phase**

Life Cycle



Rules & Regulations



Rules & Regulations

- It's the law
 - 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



Rules & Regulations

- It's a business best practice
 - Minimizes litigation risks
 - Ensures federal, state, regulatory compliance
 - Safeguards vital information
 - Ensures the VITA's ability to continue business
 - Supports decision making



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.
 - the recorded information is a public record, if it is **produced, collected, received, or retained** in the process of **conforming to law** or in connection with the **transaction of public business**.
 - The medium, paper, electronic, etc. does not effect whether or not the record is a public record.

Code of Virginia § 42.1-77

Terms & Concepts

- Examples of Public Records
 - Financial records
 - Contracts, budget material reports, etc.
 - Personnel files
 - Job Description, Self Evaluation, Work Plan, etc.
 - Research files
 - Reports and applications
 - Policies and procedures
 - Publications
 - Web Sites

Terms & Concepts

- Non-Public Records
 - Non-Records are:
 - Reference materials
 - Administrative and personal correspondence
 - Personal materials (errand list, bills, photographs, etc.)
 - Stationery, blank forms, and publications for distribution
 - Copies of policy and procedure manuals
 - Copies of materials for distribution (if you are not the original distributor)
 - Announcements (meeting times, holiday schedules, events, Listserv messages, etc.)

Terms & Concepts

- Essential (Vital) Public Records
 - Based on the Continuity of Operations Plan (COOP), the vital records requirements are:
 - records **essential** to the **operation** of VITA and/or **resumption of operations** following a disaster;
 - preserved, classified, arranged, and indexed; and
 - may include, but are not limited to:
 - Financial
 - Staffing
 - Emergency procedures

Terms & Concepts

- Approved schedules
 - Schedules are documents that contain the information about public records created or in some cases received by VITA.
- Specific schedules
 - VITA uses its own, approved specific schedule that covers aerial records unique to ISP/VGIN/GIS.



Terms & Concepts



RECORDS RETENTION AND DISPOSITION SCHEDULE GENERAL SCHEDULE NO. 101 ADMINISTRATIVE RECORDS ALL STATE AGENCIES

EFFECTIVE SCHEDULE DATE: May 18, 2000

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RECORDS SERIES TITLE AND DESCRIPTION

SERIES NUMBER SCHEDULED RETENTION AND DISPOSITION

<u>Correspondence/Subject Files - Boards Mandated by the Code of Virginia or the Virginia Administrative Code - Chairpersons</u> Documents incoming and outgoing letters, memoranda, faxes, notes and their attachments, in any physical format including, but not limited to, paper and e-mail.	100557	Retain in agency 5 years, then transfer records to the Archives, Library of Virginia for permanent retention. Archives may purge records in accordance with standard archival practices.
<u>Correspondence/Subject Files - Other Boards/Commissions/Conferences Committees - Chairpersons</u> Documents incoming and outgoing letters, memoranda, faxes, notes and their attachments, in any physical format including, but not limited to, paper and e-mail.	100558	Retain 3 years, then destroy.
<u>Correspondence/Subject Files - Board Members - Except Chairpersons</u> Documents incoming and outgoing letters, memoranda, faxes, notes and their attachments, in any physical format including, but not limited to, paper and e-mail.	100559	Retain 3 years, then destroy. Disposal reporting on <i>Certificate of Records Destruction</i> (RM-3 form) not required.
<u>Correspondence/Subject Files - Department or Division Heads - Historically Significant</u> Documents 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.	100313	Retain permanently.
<u>Correspondence/Subject Files - Department or Division Heads - Other Correspondence</u> Documents incoming and outgoing letters, memoranda, faxes, notes and their attachments, not listed on an agency specific schedule, in any physical format including, but not limited to, paper and e-mail.	012017	Retain 3 years, then destroy.

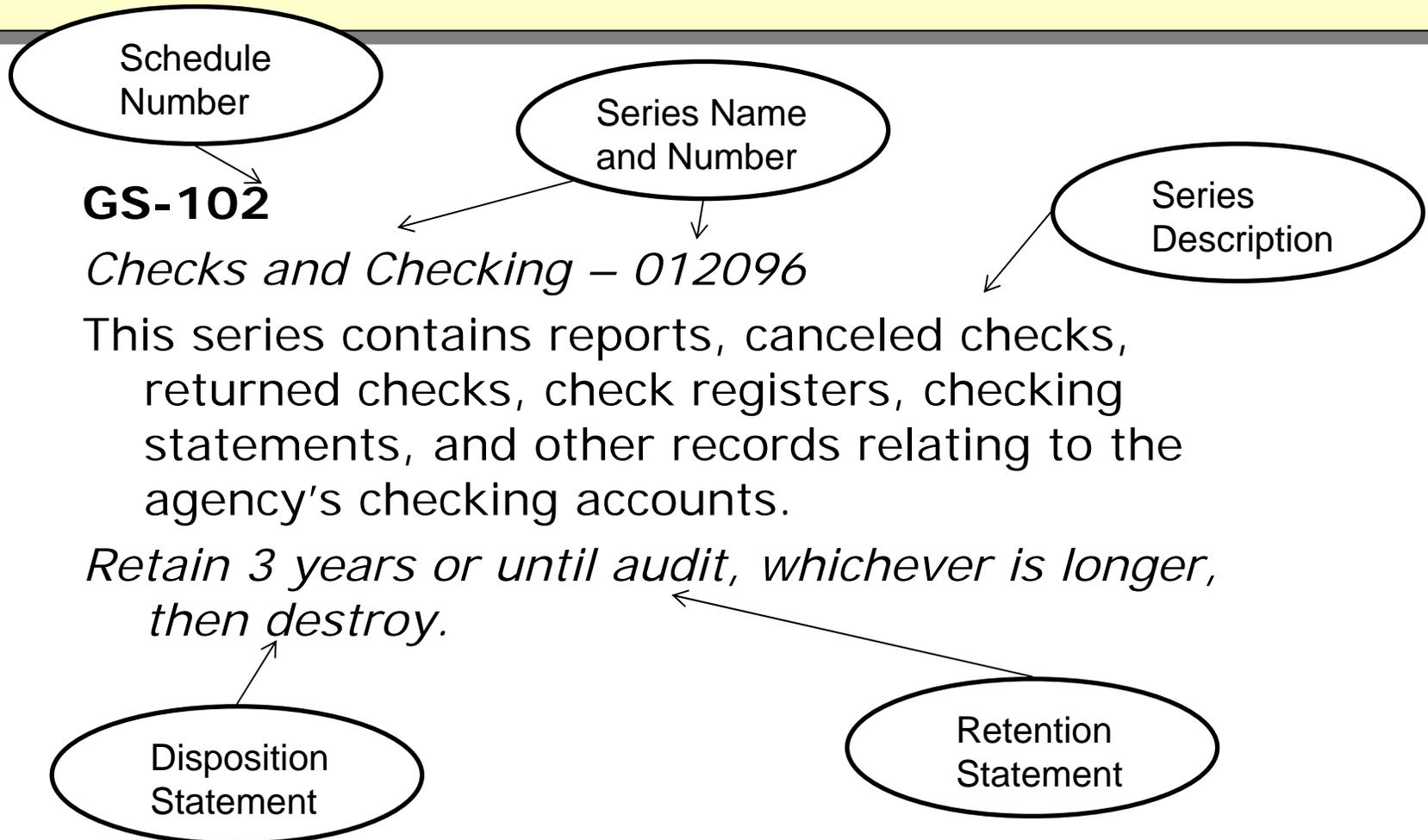
Terms & Concepts

- Approved 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 Schedule (cont)
 - Please note, records that are 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



Terms & Concepts

- Records survey
 - The purpose of the records survey is to identify and quantify all records categories created and maintained by your VITA division in order to relate them to existing records retention and disposition schedule, or if necessary to create a specific records retention and disposition schedule.
 - Example: fiscal records category: general schedule 102, Accounts Payable Series 012082, “Retain 3 years or until audit, whichever is longer, then destroy.”)



Terms & Concepts

Records series

- A group of identical or related records that are normally filed together and document a particular function, transaction, or activity.
 - Examples include correspondence, time sheets, contracts, fiscal vouchers, project files and minutes.
- Almost all VITA records series are contained in a records schedule available on the Library of Virginia state agency site.

Terms & Concepts

- Records series (cont)
 - VITA ISP has an agency specific schedule covering aerial photography and digital images.
 - All records series have:
 - A tile
 - A six digit number that identifies that series
 - A description of what documents / forms / images, etc. make up the series.
 - A retention statement, i.e. how long does the series need to be kept and how it must be destroyed (trash, shredding, etc.).

Terms & Concepts

- Retention
 - The retention identifies how long a record must be kept:
 - according to law (state, local and federal); and
 - based upon business need.
 - States the method of destruction for:
 - paper records -shredding, recycling, trash; and
 - electronic records –deletion or wiping.

Terms & Concepts

- Survey (RM-19)
 - A records survey identifies all records series, regardless of format, function, and extent of use.
 - It is a data collection tool.
 - It is **not** a folder-by-folder or document-by-document individual item inventory (i.e. RM-20 Records Locator Inventory);
 - it is an examination of types or groups of records referred to as a records series.
 - For example, records series include correspondence, time sheets, contracts, ordinances, fiscal vouchers, project files, and minutes.

Terms & Concepts

- Records Locator Inventory (RM-20 Form)
 - Identifies and quantifies all records created and maintained by your Division.
 - The survey identifies the
 - type of records maintained,
 - applicable schedule and records series numbers,
 - storage location,
 - date range of records,
 - record format; and
 - record volume.
 - All records, including those maintained off-site in a records center or commercial warehouse need to be inventoried.



Roles & Responsibilities

Roles & Responsibilities

- Roles & Responsibilities
 - Records Officers are individuals designated to:
 - monitor and control the creation, use, storage, transfer and destruction of records.
 - Records Officers
 - serve as a liaison to LVA for the purposes of implementing and overseeing a records management program;
 - implement agency-wide policies, systems, standards, and procedures; and
 - monitor agency compliance with the Code of Virginia, LVA standards and other applicable laws.



Roles & Responsibilities

- Roles & Responsibilities
 - Records Officers:
 - designate other members of the RM program;
 - prepare VITA specific records schedules in conjunction with LVA and submit to LVA for approval;
 - authorize the transfer and destruction of records; and
 - ensure compliance with the *Code* and LVA retentions and disposition schedules.



Roles & Responsibilities

- Roles & Responsibilities
 - The Lead Records Officer, in addition to the above roles and responsibilities:
 - directs the development, review and update of the VITA records management policy, procedures, program;
 - organizes and analyzes the annual records survey; and
 - facilitates periodic Records Officer meetings and employee training.

Roles & Responsibilities

- Roles & Responsibilities
 - Records Coordinators:
 - Are individuals in an agency or locality who support the Records Officer in implementing a records management program.
 - Records Creators (aka Owners):
 - means the person or office initially creating a record;
 - are the supervisors in the agency having physical possession and control of records; and
 - ensure compliance with federal, state and agency records requirements.

Roles & Responsibilities

- Roles & Responsibilities
 - Records Custodians are responsible for:
 - the management of all records created in their specific organizational units.
 - The Records Custodians shall:
 - preserve records in accordance with the General Schedules established by LVA and the authorized agency records retention and disposition schedules.
 - eliminate obsolete records in accordance with the appropriate retention and disposal schedule.



Roles & Responsibilities

VITA RACI Matrix										
Process Activities for VITA Records Management	Creator of Records	Records Coordinator	Directorate Records Officer	Lead Records Officer	SMO	CAM	CS&RM	COMMS	ITI&ES	F&A
1.) Create Records	R/A	I	I	I						
2. a) Publish Records (non-Web pages, e.g. Word, PDF)	R/A	I	I	I				C		
2. b) Publish Records (Web pages in HTML)	R/A	I	I	I				R/A	R ¹	
3.) Coordinate Records Management	C	R	R/A	I	I	I	I	I	I	I
4) Records Forms and surveys for VITA Records	R	R	A	A						
5) Records Schedule Implementation	C	R	R/A	A						
6) Records Storage	R	A	A	A	I	I	I	I	I	I
7.) Records Archiving	R	A	A	A	I	I	I	I	I	I
8) Records Destruction	R	A	A	A	I	I	I	I	I	I

Source: VITA Records Management Policy & Procedures v 2 03/11/2009



Break

Record Life Cycle

Records Management

**Create
Phase**

**Access
Phase**

**Maintain
Phase**

**Store
Phase**

**Dispose
Phase**

Life Cycle

Record Life Cycle

- The Life Cycle is:
 - both a journey through which a record travels on its way from birth (creation) to heaven (archives), hell (destruction) or purgatory (review); and
 - a means of defining the record itself.

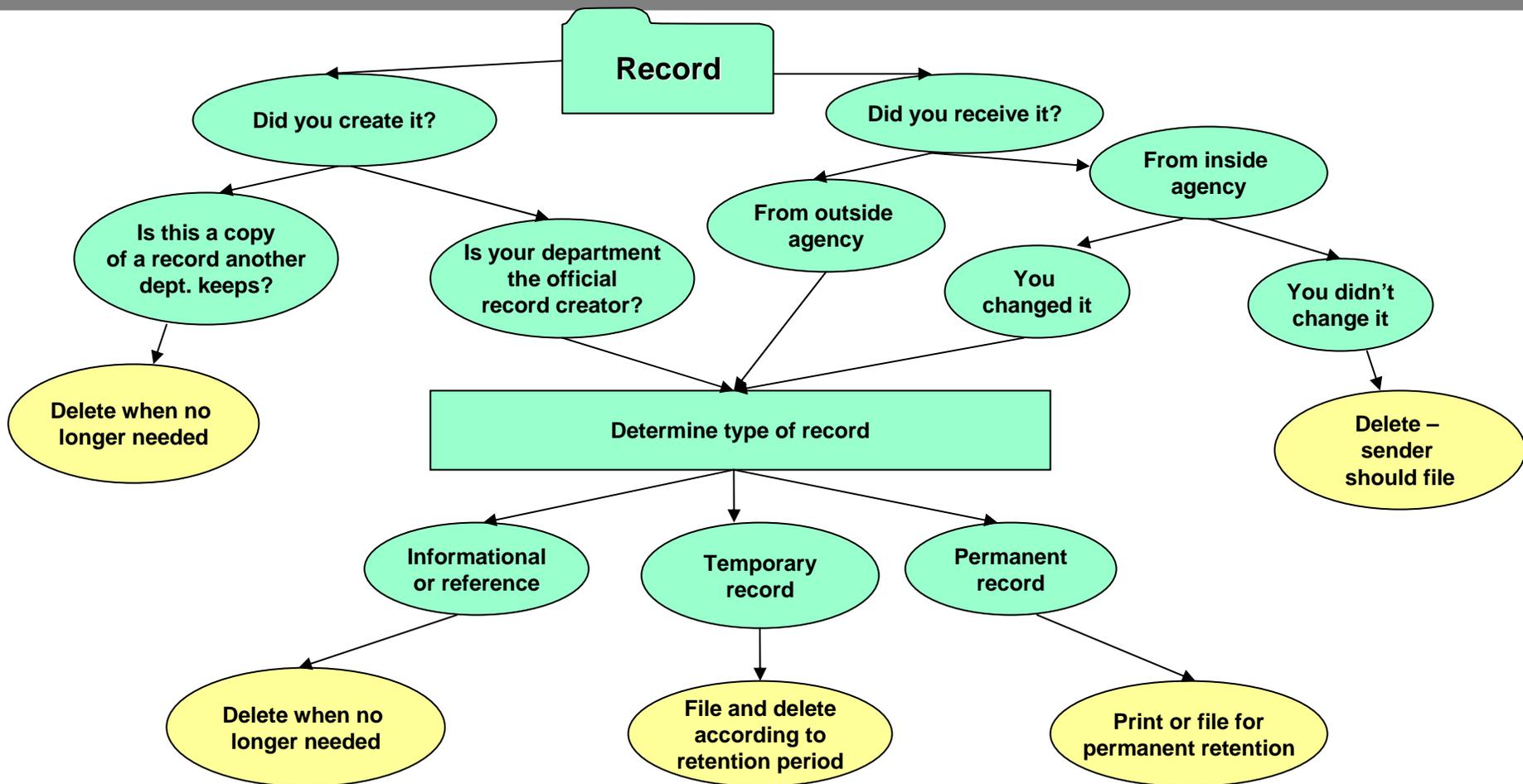
Record Life Cycle

- The Records Life Cycle:
 - First developed by Phillip Coolidge Brooks and Emmett J. Leahy of US National Archives in the late 1930's, and first appeared in print in Brooks' article *The Selection of Records for Preservation* American Archivist, October 1940.

Record Life Cycle

- In simple form:
 - 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 Transitory – 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.
 - All other records - 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

- 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 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 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.
 - 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.



Related Topics

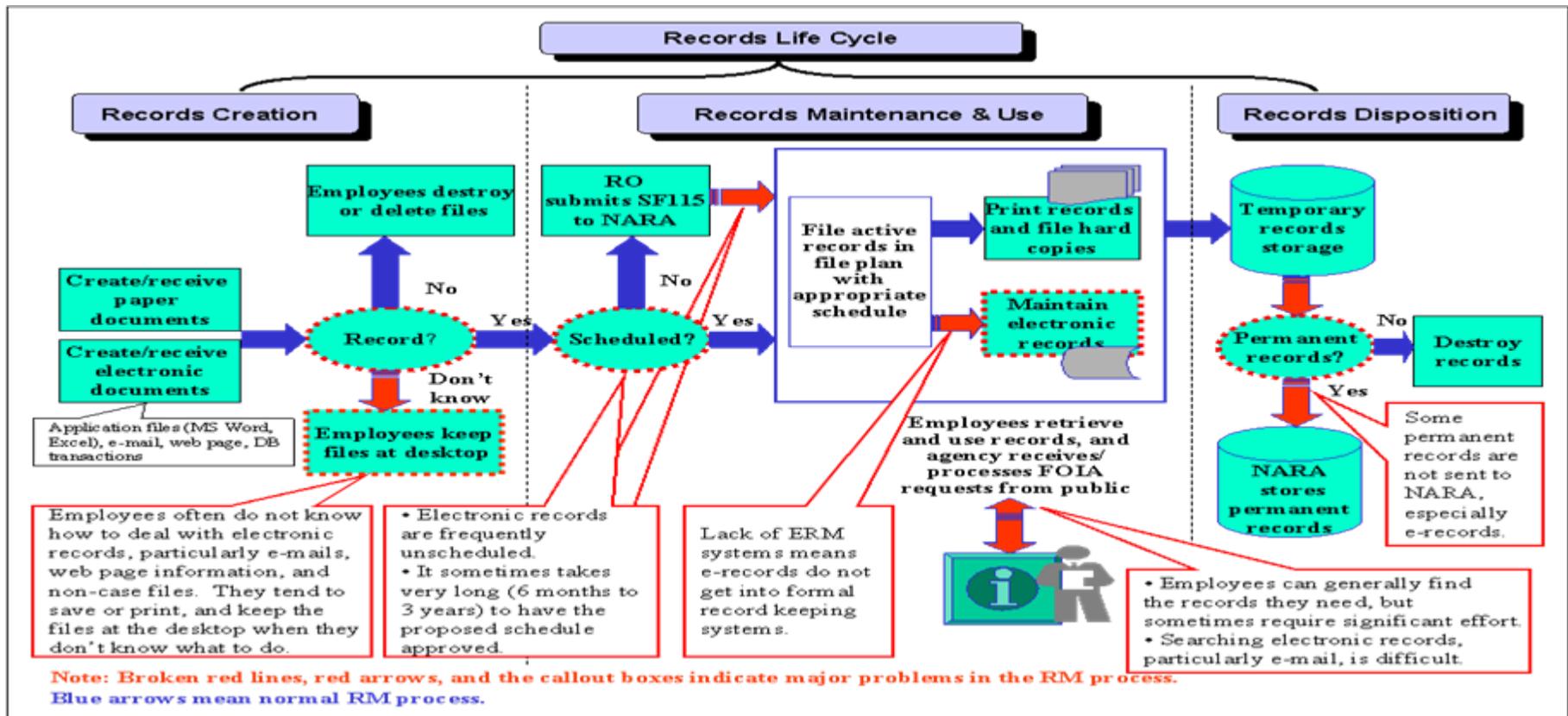
Related Topics – E-mail

- E-mail is a format, not a record series.
 - Asking how to file an E-mail is the same as asking how to file a piece of paper.
 - The content determines the disposition.
 - 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/PPRA/T/RM/Records%20Management%20Docs/VITA%20E-mail%20Archiving.pdf>

Related Topics – E-mail

- E-mail should not be stored within the VITA Outlook application
 - To save E-mail outside of the system:
 - Create personal folders (or .pst files) that are stored outside of your mailbox (but can be viewed using your email client).
 - Store on a secure shared network server, not a local hard drive.
 - Store, access, and manage email messages and other electronic records in an Enterprise Content Management System (ECM).
 - As an alternative, print emails and maintain them in a manual system.

Related Topics – Records Life Cycle and Major Problem Areas



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

What we learned

- A public record is determined by its **content**.
It's a public record if:
 - It documents a transaction or activity by or with any public officer, agency or employee of an agency.
 - It is produced, collected, received, or retained in the process of conforming to law or in connection with the transaction of public business.
 - The medium, paper, electronic, etc. does not effect whether or not the record is a public record.

What we learned

- It's not a public record if:
 - Reference materials.
 - Administrative and personal correspondence.
 - Personal materials (errand list, bills, photographs, etc.).
 - Stationery, blank forms, and publications for distribution.
 - Copies of policy and procedure manuals.
 - Copies of materials for distribution (if you are not the original distributor).
 - Announcements (meeting times, holiday schedules, events, Listserv messages, etc.).

What we learned

- A Records Survey (RM-19):
 - Identifies all records series, regardless of format, It is a data collection tool not a folder-by-folder or document-by-document individual item inventory
- A Records Locator Inventory (RM-20)
 - Identifies and quantifies all records created and maintained by your Division. The survey identifies the
 - type of records maintained,
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 - date range of records,
 - record format, and
 - record volume.

What we learned

- Record Series:
 - is a group of identical or related records, i.e. fiscal vouchers, project files, and minutes.
- Record Retention and Disposition Schedules:
 - schedules are documents that contain the information about public records created or in some cases received by VITA.
- Life Cycle Phases of a Record:
 - create, access, maintain, store and dispose.

What we learned

- Records Officers
 - monitor and control the creation, use, storage, transfer and destruction of records, develop and implement the VITA records program.
- Records Coordinators
 - support the Records Officer in implementing a records management program.
- Records Creator
 - means 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?