



SLRM
STATE AND LOCAL
RECORDS
MANAGEMENT

Records Management Basics

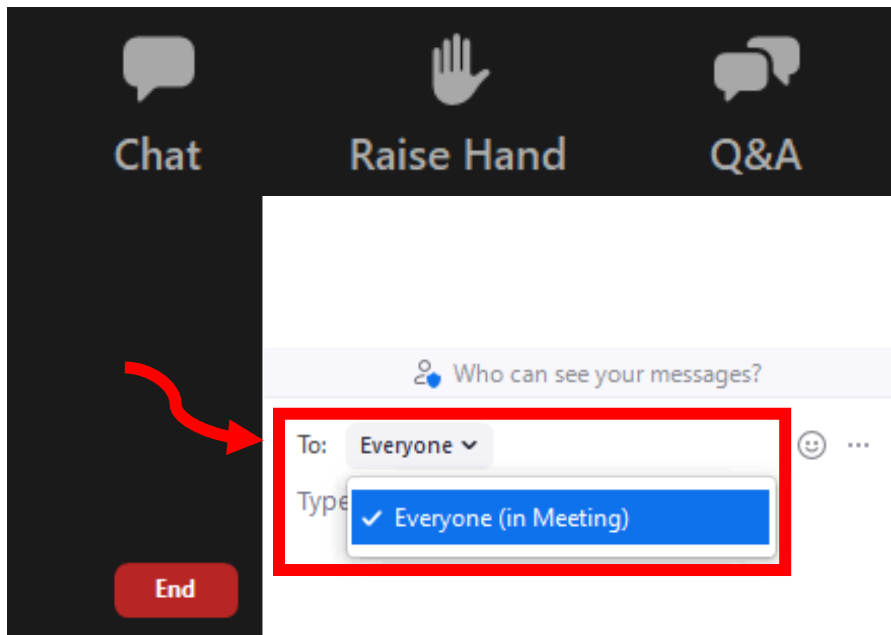
For state agencies and public universities in Texas

August 26, 2025



Orientation

In the chat, share where you're tuning in from!



Records Management Assistance (RMA) Unit



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www.tsl.texas.gov/slrm



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Records Management



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



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Learning Objectives



Fundamentals



Electronic Records
Maintenance



Disposition



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I. Fundamentals

The laws, rules, and definitions to know to effectively manage government records.



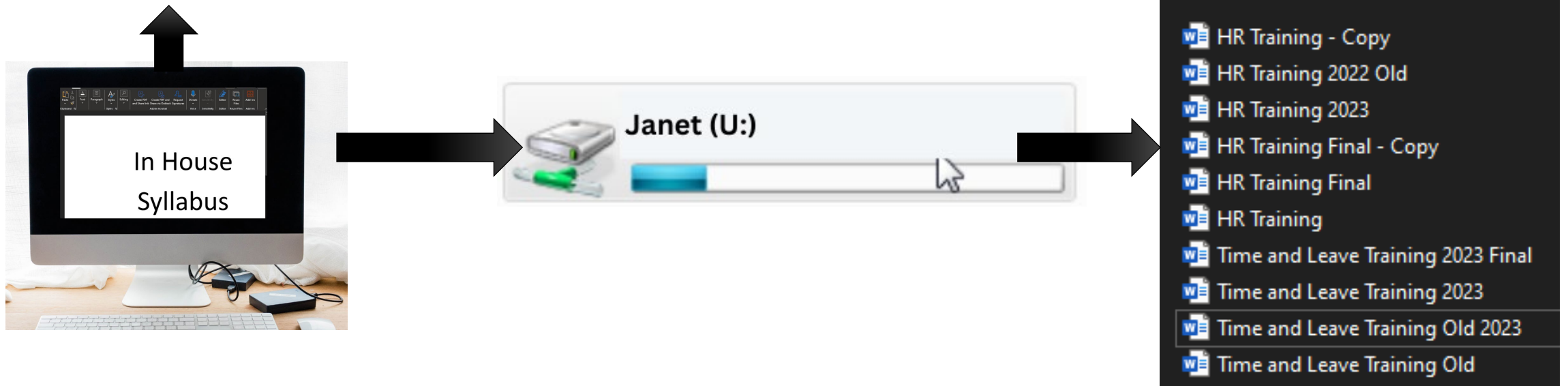
Meet Janet



- Hardworking!
- Takes initiative.
- Never trained on records management.

So, the story goes...

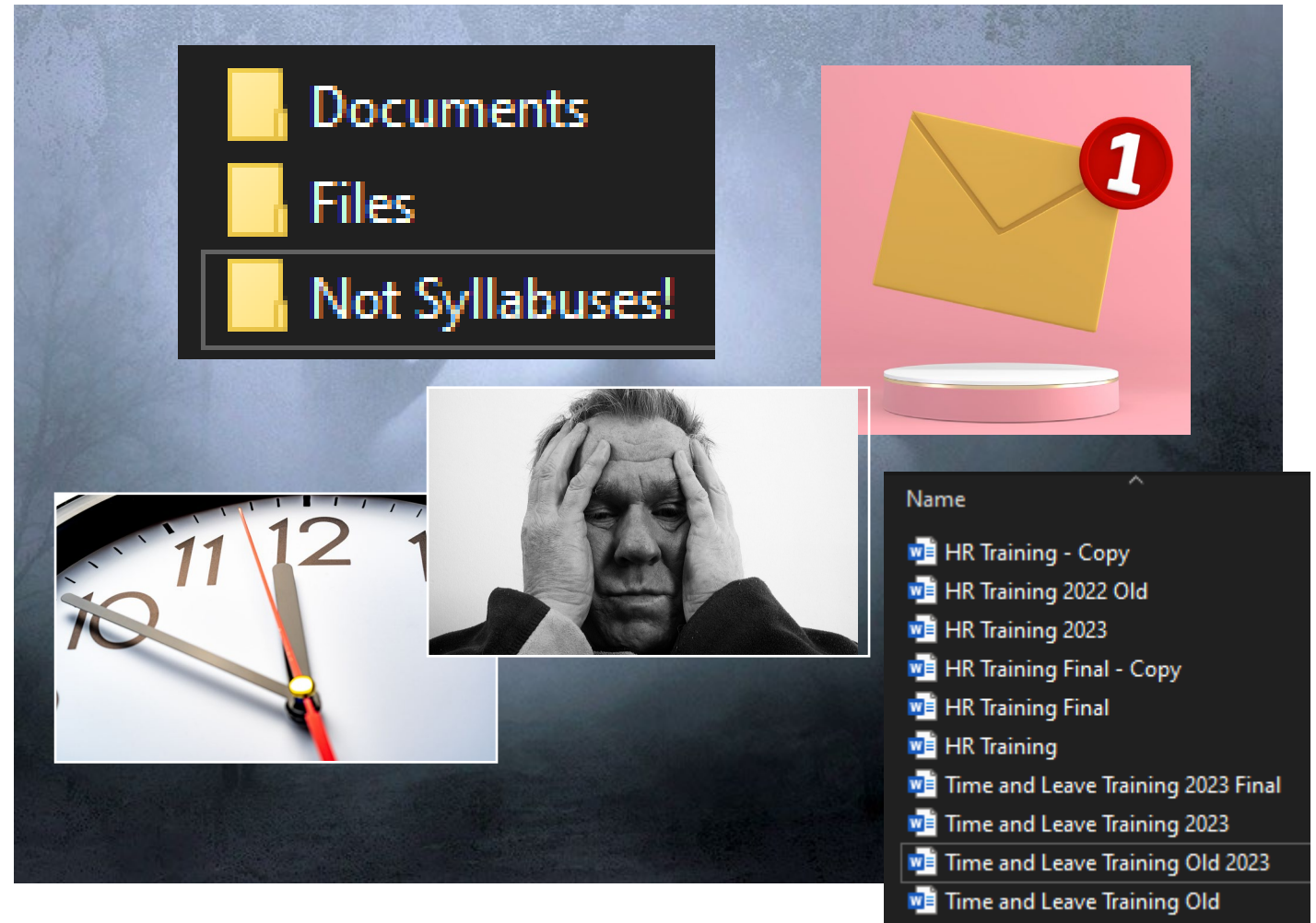
Item #	Title	Description	Retention Period
3.3.030	Internal Training Records	... E.g., training syllabuses... used in in-house training programs	Until superseded, expired, or discontinued + 2 years



Janet's New Adventure



Where are the records?



Three Pillars of Open Government

Public Information Act

(Gov. Code Chapter
552)

Open Meetings Act

(Gov. Code Chapter
551)

State Records Management Laws

(Gov. Code Chapter
441)

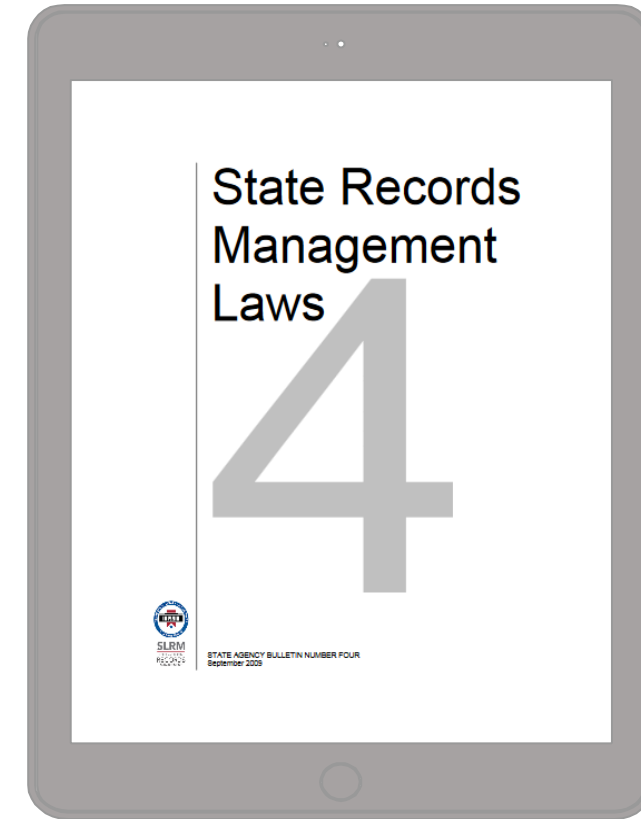


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Bulletin 4 – State Records Management Laws

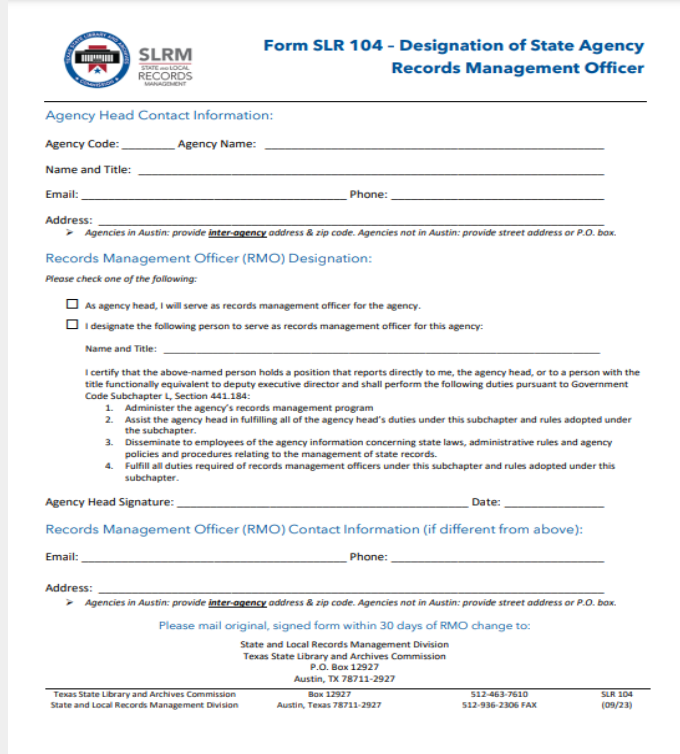
- Definitions
- Roles and responsibilities
 - TSLAC
 - State Records Administrator
 - State Archivist
 - State Agency
 - Agency Head
 - Records Management Officer

www.tsl.texas.gov/slrmpubs/bulletin4



Bulletin 4 – Records Management Officers (RMO)

- Role of Agency Head
- Role of RMO
- Form SLR 104



The image shows a tablet displaying Form SLR 104, titled "Form SLR 104 - Designation of State Agency Records Management Officer". The form includes sections for "Agency Head Contact Information", "Records Management Officer (RMO) Designation", and "Records Management Officer (RMO) Contact Information". It contains checkboxes for designating the agency head or another person as the RMO, and a list of duties for the RMO. The form is signed by the Agency Head and dated. The bottom of the form includes contact information for the Texas State Library and Archives Commission, State and Local Records Management Division, and the form number SLR 104 (09/23).

Form SLR 104 - Designation of State Agency Records Management Officer

Agency Head Contact Information:

Agency Code: _____ Agency Name: _____

Name and Title: _____

Email: _____ Phone: _____

Address: _____

➤ Agencies in Austin: provide inter-agency address & zip code. Agencies not in Austin: provide street address or P.O. box.

Records Management Officer (RMO) Designation:

Please check one of the following:

☐ As agency head, I will serve as records management officer for the agency.

☐ I designate the following person to serve as records management officer for this agency:

Name and Title: _____

I certify that the above-named person holds a position that reports directly to me, the agency head, or to a person with the title functionally equivalent to deputy executive director and shall perform the following duties pursuant to Government Code Subchapter 1, Section 441.184:

1. Administer the agency's records management program
2. Assist the agency head in fulfilling all of the agency head's duties under this subchapter and rules adopted under the subchapter.
3. Disseminate to employees of the agency information concerning state laws, administrative rules and agency policies and procedures relating to the management of state records.
4. Fulfill all duties required of records management officers under this subchapter and rules adopted under this subchapter.

Agency Head Signature: _____ Date: _____

Records Management Officer (RMO) Contact Information (if different from above):

Email: _____ Phone: _____

Address: _____

➤ Agencies in Austin: provide inter-agency address & zip code. Agencies not in Austin: provide street address or P.O. box.

Please mail original, signed form within 30 days of RMO change to:

State and Local Records Management Division
Texas State Library and Archives Commission
P.O. Box 12927
Austin, TX 78711-2927

Texas State Library and Archives Commission
State and Local Records Management Division
Box 12927
Austin, Texas 78711-2927

512-463-7610
512-936-2306 FAX

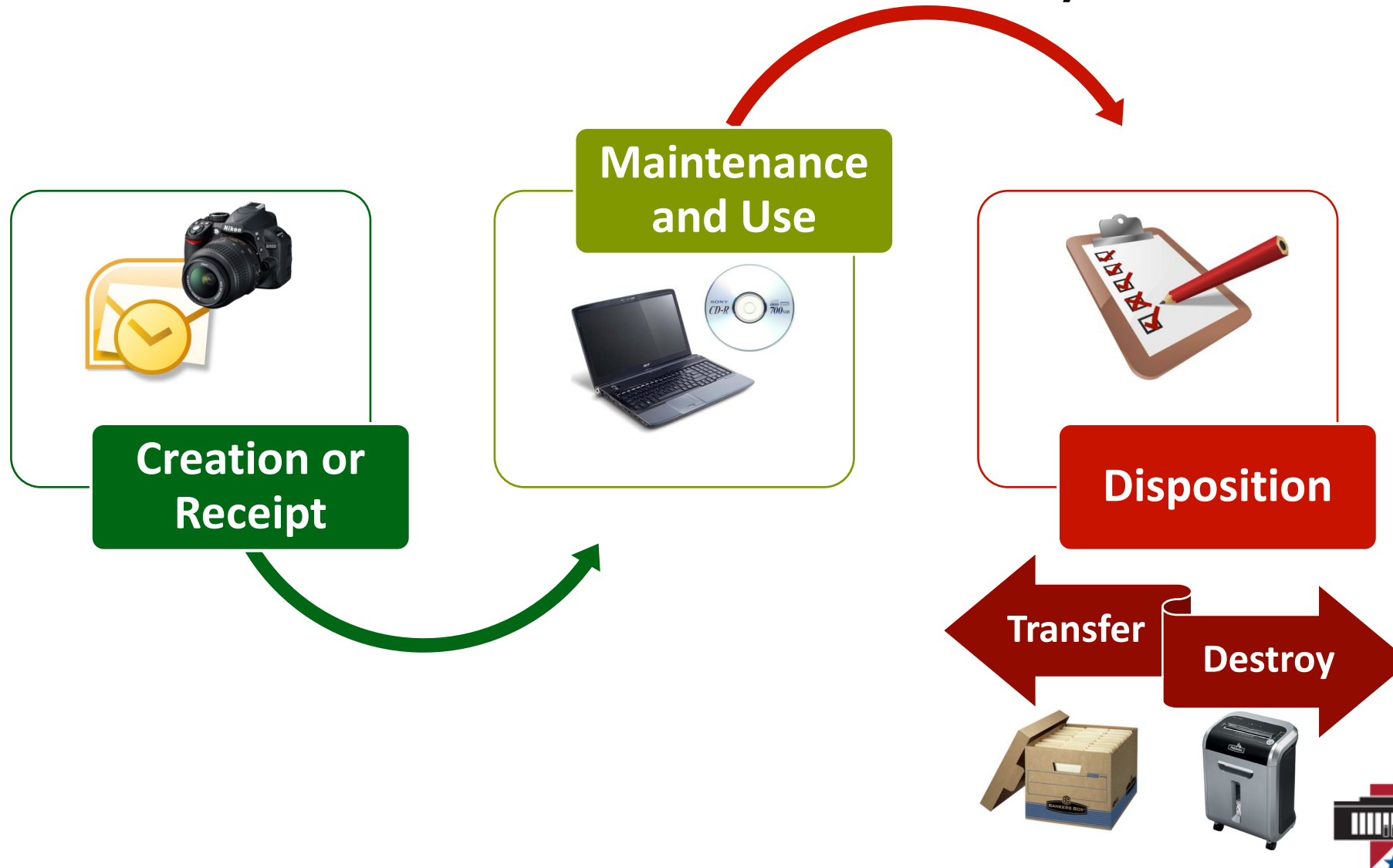
SLR 104
(09/23)

What is Records Management?

“The application of management techniques to the **creation, use, maintenance, retention, preservation, and destruction** of state records for the purpose of improving the efficiency of recordkeeping, ensuring access to public information under Chapter 552, and reducing costs.”

- Gov. Code §441.180

The Records Life-Cycle



Records Management

BENEFITS

- Legal requirement and protection
- Workflow efficiency
- Cost reduction
- Protection of essential records
- Positive Perception

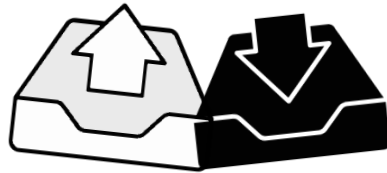
CONSEQUENCES

- Potential criminal penalties
- Longer retrieval times
- Ongoing obligation to protect records



A State Record Is:

- Recorded information in any medium;
- Created or received by or on behalf of a state agency or an elected state official;
- Documenting activities in the conduct of the state business or use of public resources.



Gov. Code §441.180



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A State Record Is NOT:



Convenience
Copies



Blank Forms and
Stocks of
Publications



Library or
Museum
Materials



Legislative
Records

Gov. Code §441.180(11)

An Electronic State Record:

- Meets the definition of a state record
- Machine-readable
 - Maintained in electronic format for computer processing
 - Including the product of computer processing of the information
- **Two types:**
 - Born digital – original record was always electronic
 - Digitized – original record was analog and then made electronic.

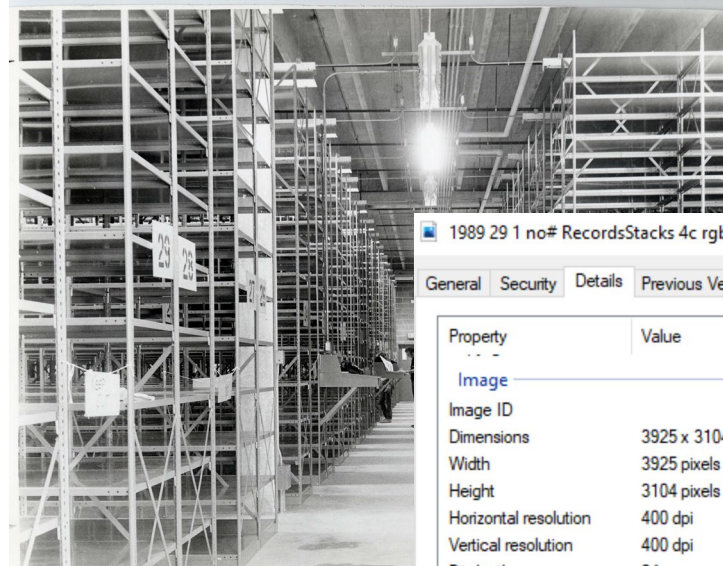


010101110110
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13 TAC §6.92 (4)

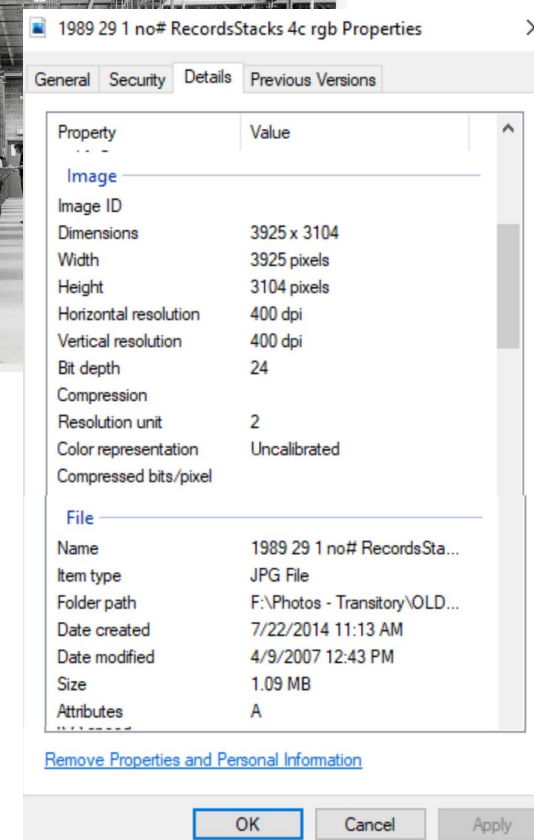
Metadata Is:

- Data about data
- Part of the electronic record
 - Information about the e-record
 - Stays with record
- Created by systems or people



The data

Data about the data

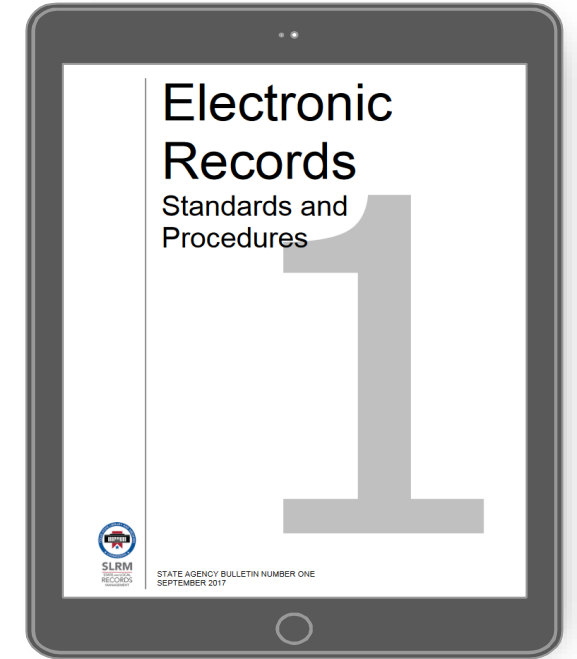


Electronic Records Laws and Rules

Texas Administrative Code – Sections 6.91-6.98
(Bulletin 1: Electronic Records Standards and Procedures)

- Definitions
- Minimum requirements for all e-records.
- Additional requirements for archival, permanent and vital e-records.
- Guidelines now available

www.tsl.texas.gov/slrmpubs/bulletin1



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.

13 TAC §6.1 (13)

Employment Applications

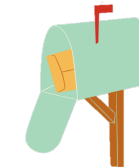
Application Form



Resume

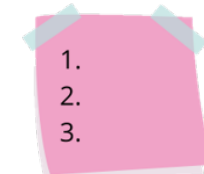


Cover Letter



Transcript

Letters of Reference



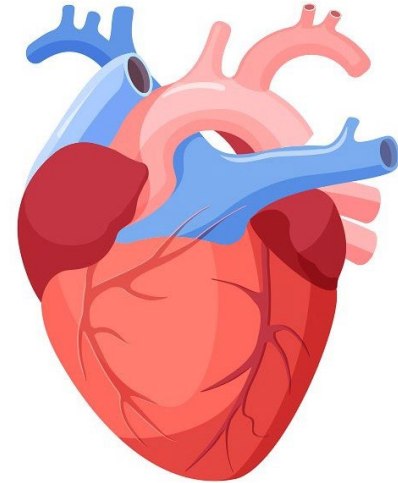
Not hired:
2 years
Hired:
AC + 5 years

Records Retention Schedule (RRS)

- Lists all records series maintained by the state agency with mandatory prescribed minimum retention periods.
- Retention schedules are media-neutral.

Benefits:

- Comply with state records management laws.
- Convey retention rules to all agency staff.
- Identify, secure, and protect vital records.



Texas State RRS and URRS

- Texas State Records Retention Schedule: Basis for general series found in state agencies/universities
 - Category 1: Administrative Records
 - Category 2: Information Technology Records
 - Category 3: Personnel Records
 - Category 4: Fiscal Records
 - Category 5: Support Services Records
- Texas State University Records Retention Schedule: Basis for common series found in public universities/institutes of higher education



Elements of a Records Retention Schedule



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of Asset
PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

1. Agency Code: 306		2. Agency Name: Texas State Library and Archives Commission									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. Retention Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1E.003	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			After Termination of Employment.		CONFIDENTIAL AND VITAL RECORD	29 CFR §1602.31
1E.004	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	FE	2						
8.061	1.1.074	Sunset Review Report and Documentation	Annual, sub-annual, or special studies on non-fiscal reports on agency's programs, services, or projects.	AC	12			AC = After the subsequent Sunset Review.	R		

Elements of a Records Retention Schedule

1. Agency Code: 306			2. Agency Name: Texas State Library and Archives Commission								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1E.003	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC= Termination of employment.		CONFIDENTIAL AND VITAL RECORD	29 CFR §1602.31
1E.004	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	FE	2						
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Common Retention Codes

[just a number]

- Add number to the date record is created/received

AC

- “After close”; see event trigger for specific record series definition

AV

- As long as administratively valuable (purpose served)

CE

- Calendar Year End, December 31st, in which record is created/received

FE

- Fiscal Year End: Aug. 31 <http://bit.ly/FYEcalc>

LA

- Life of asset

PM

- Permanent (never destroy)

US

- Until superseded (keep until replaced by an updated version)

Elements of a Records Retention Schedule

1. Agency Code: 306			2. Agency Name: Texas State Library and Archives Commission								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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8.061	1.1.074	Sunset Review Report and Documentation	Annual, sub-annual, or special studies on non-fiscal reports on agency's programs, services, or projects.	AC	12			AC= After the subsequent Sunset Review.	R		



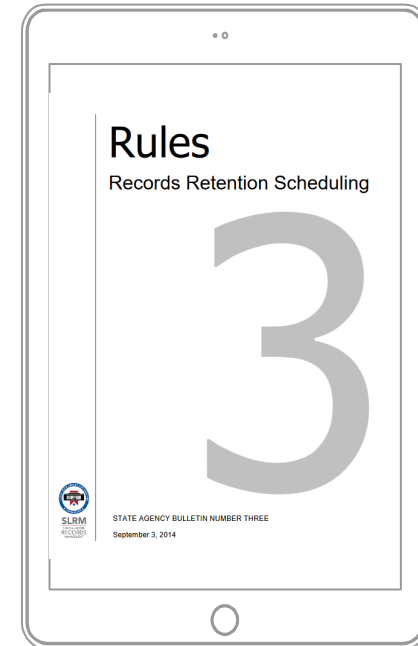
Recertification Timeline

Texas Administrative Code, Title 13, Chapter 6



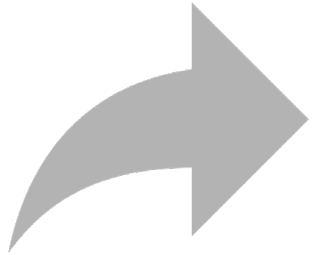
OTHER CONSIDERATIONS

- Absorb another agency? 1 year to recert then back to 5 years.
- These are just deadlines. Agencies and universities can recertify at any point in the 1 or 5-year period.
- Take on a new function between recerts? Submit an amendment.



***most state agencies and universities have reached this stage.**

Review Timeline



6 months from recert date	Receive a letter and an email from your analyst serving as a notification. Notification includes checklist and last approved retention schedule.
1 month from recert date	Receive reminder email from your analyst.
Schedule received by analyst	Analyst reviews schedule. If corrections are required, a memo is created noting where corrections are required.
Schedule is passed on to TSLAC archives	TSLAC's Archives and Information Services division review. If corrections are required another memo is created.
Schedule is given to Director and Librarian for signature	The final sign off. The date of signature is the date of acceptance. Once this occurs, the schedule is uploaded to Texlinx and TSLAC's website.



Retention Schedule Resources

- List of all State Agency retention schedules:
 - www.tsl.texas.gov/slrn/state/schedules
- Webinar: Schedule Recertification Process:
 - www.tsl.texas.gov/slrn/state/schedules/recertification

Home >

Certified State Agency Records Retention Schedules

Jump to:

- [A - C](#)
- [D - I](#)
- [L - P](#)
- [R - Z](#)

Related:

- [Texas State Agency Retention Schedule \(RRS\)](#)
- [Texas State University Records Retention Schedule \(URRS\)](#)

A records retention schedule is a document that identifies and describes a state agency's records and the lengths of time that each type of record (called a "record series") must be retained. Texas state agencies are required to submit their retention schedules to TSLAC on a timetable established by administrative rule. The rules governing retention scheduling are published as [State Agency Bulletin 3](#). If a record series does not appear on a certified records retention schedule, it may not be destroyed without obtaining special permission of TSLAC's executive director.

Agency	Approval Date	Date Amended	Next Recertification
Administrative Hearings (360)	2016-01-11	2017-01-03	2021-01
Affordable Housing Corporation (012)	2014-05-14		2019-05
Agriculture (551)	2019-02-04		2024-02
Alcoholic Beverage Commission (458)	2015-10-23	2016-07-29	2020-10
Anatomical Board (528)	2018-06-08		2023-06
Angelo State University (737)	2017-11-14		2022-11
Animal Health Commission (554)	2019-10-24		2024-10
Architectural Examiners (459)	2018-01-02	2020-06-29	2023-01



Knowledge Check: Records Analysis



#1 Document

Minutes of Records Management Department Staff Meeting

August 15, 2013

9:00 a.m.

Attendees:

Bob Evans

Erica Barleymore

Maria Cassavetes

Ray Houseman

Nina Pfeiffer

Martin Rister

Erin Walker

Eva Williams

Eva Williams will be learning the duties of Ray Houseman's position as Training Coordinator so that she may act as a backup for times when Ray is not here. She will also take minutes at the Status and Briefing meetings for the department that will occur every two weeks.

In August, the six-month performance appraisals will be done for the new analysts and status checks will be performed for the rest of the unit.

We need to have change management steps built in to projects to ensure manager/management approval before process, print or web changes are made. Any submission needs to be carefully checked before being published or printed. Everyone should be involved in the proofreading process, so please build in time for review.

ACTION ITEM: The person in charge of a project will set a deadline for review and Polly will then help calculate a timeline for proofing and printing.

The County and District Clerks Association conference will occur on Friday, November 6. Materials for the conference need to be approved by Polly LeBlume. Online registration will be handled by Chapel Creek County and



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Document #1

– Which Series?

RSIN	Record Series Title	Record Series Description	A	Retention Period	Remarks
1.1.058	Meetings, Agendas and Minutes of Open	Agendas and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Chapter 551, Government Code.	A	PM	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.
1.1.061	Meetings – Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.		AC+90 days	AC= Approval of the written minutes by the governing body. See caution comment at RSIN 1.1.058.
1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1	

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Minutes of Records Management Department Staff Meeting

August 15, 2013

9:00 a.m.

Attendees:

Bob Evans
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Nina Pfieffer
Martin Rister



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AND
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#2
Document

Texas State Library and Archives Commission

State and Local Records Management Division is pleased to present this

Certificate of Completion

to

State Agency Employee

Jane Doe

for participation in

Introduction to Records Management

Credit Hours: 3.50 February 14, 2013



Mark Smith
Director and Librarian
Texas State Library and Archives Commission



Craig A. Kelso
State Records Administrator
Texas State Library and Archives Commission

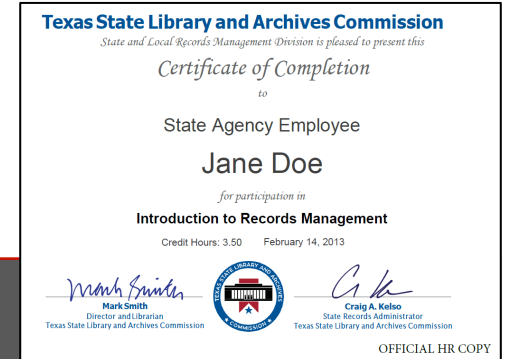
OFFICIAL HR COPY

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Document #2

– Which Series?

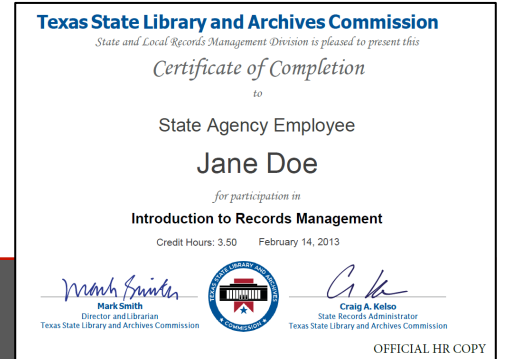


RSIN	Record Series Title	Record Series Description	A	Retention Period	Remarks
3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.		AC+5	AC= Termination of employment.
3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.		AC+5	AC= Termination of employment.
3.3.030	Internal Training Administration Records	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.		AC+2	AC = Close of training session, after training materials superseded, or termination of training program, as applicable. See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007 .



Document #2

– Which Series?



RSIN	Record Series Title	Record Series Description	A	Retention Period	Remarks
3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.		AC+5	AC= Termination of employment.
3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.		AC+5	AC= Termination of employment.
3.3.030	Internal Training Administration Records	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.		AC+2	AC = Close of training session, after training materials superseded, or termination of training program, as applicable. See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007 .



#3

22222		a Employee's social security number		OMB No. 1545-0008			
b Employer identification number (EIN)			1 Wages, tips, other compensation		2 Federal income tax withheld		
c Employer's name, address, and ZIP code			3 Social security wages		4 Social security tax withheld		
			5 Medicare wages and tips		6 Medicare tax withheld		
			7 Social security tips		8 Allocated tips		
d Control number			9 Verification code		10 Dependent care benefits		
e Employee's first name and initial Last name Suff.			11 Nonqualified plans		12a		
			13 Statutory employee Retirement plan Third-party sick pay ☐ ☐ ☐		12b		
			14 Other		12c		
					12d		
f Employee's address and ZIP code							
15 State	Employer's state ID number	16 State wages, tips, etc.	17 State income tax	18 Local wages, tips, etc.	19 Local income tax	20 Locality name	

Form **W-2** Wage and Tax Statement
Copy 1 — For State, City, or Local Tax Department

2017

Department of the Treasury—Internal Revenue Service

Document #3

– Which Series?

RSIN	Record Series Title	Record Series Description	A	Retention Period	Remarks
3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.		4	40 TAC 815.106(i).
3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.		AC+4	AC= Tax due date, date the claim is filed, or date tax is paid, whichever is later. 26 CFR 31.6001 - 1(e)(2).
3.2.006	Wage Rate Tables	Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers.		2	29 CFR 516.6(a)(2).

Document #3

Which Series?



RSIN	Record Series
3.2.002	Employee E
3.2.003	Federal Tax
3.2.006	Wage Rate

22222		a Employee's social security number		OMB No. 1545-0008							
b Employer identification number (EIN)				1 Wages, tips, other compensation		2 Federal income tax withheld					
c Employer's name, address, and ZIP code				3 Social security wages		4 Social security tax withheld					
				5 Medicare wages and tips		6 Medicare tax withheld					
				7 Social security tips		8 Allocated tips					
d Control number				9 Verification code		10 Dependent care benefits					
e Employee's first name and initial		Last name		Suff.		11 Nonqualified plans		12a			
						13 Statutory employee Retirement plan Third-party sick pay		12b			
						14 Other		12c			
								12d			
f Employee's address and ZIP code											
15 State Employer's state ID number		16 State wages, tips, etc.		17 State income tax		18 Local wages, tips, etc.		19 Local income tax		20 Locality name	

Form **W-2** Wage and Tax Statement
Copy 1—For State, City, or Local Tax Department

2017

Department of the Treasury—Internal Revenue Service

6(i).
ate, date the claim is filed, paid, whichever is later. 1 - 1(e)(2).
a)(2).



II. Electronic Maintenance

Special retention considerations for email, social media, and more.



Search and Find

- This is Greg →
- Construction contracts must be kept for life of asset + 10 years.



What risks do you foresee with Greg's email setup?
Fulfilling his boss's request?

Managing Email Records

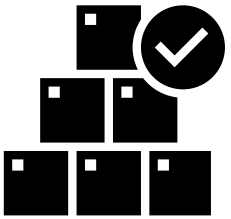
- Email is a *format*, not a type of record
 - No record series called “paper” or “email”
- Determine retention by the *content* of the email
 - Same criteria as paper records.
- Includes any government records sent from personal devices or accounts.



Webinar Series: Email Records

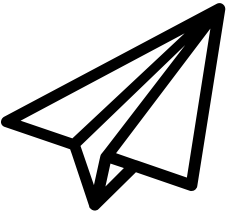
www.tsl.texas.gov/slrn/webinars/email-series

Custodianship: Who has the record copy?



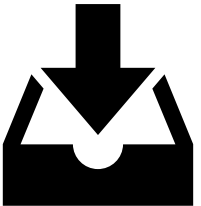
The custodian is:

- 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.

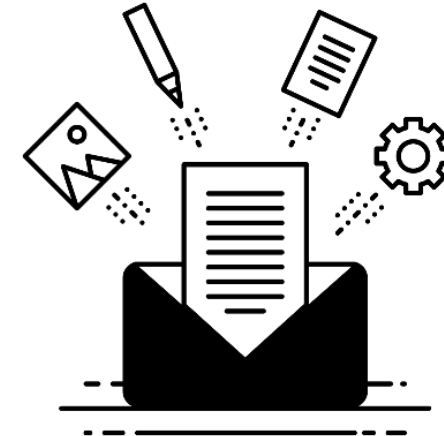
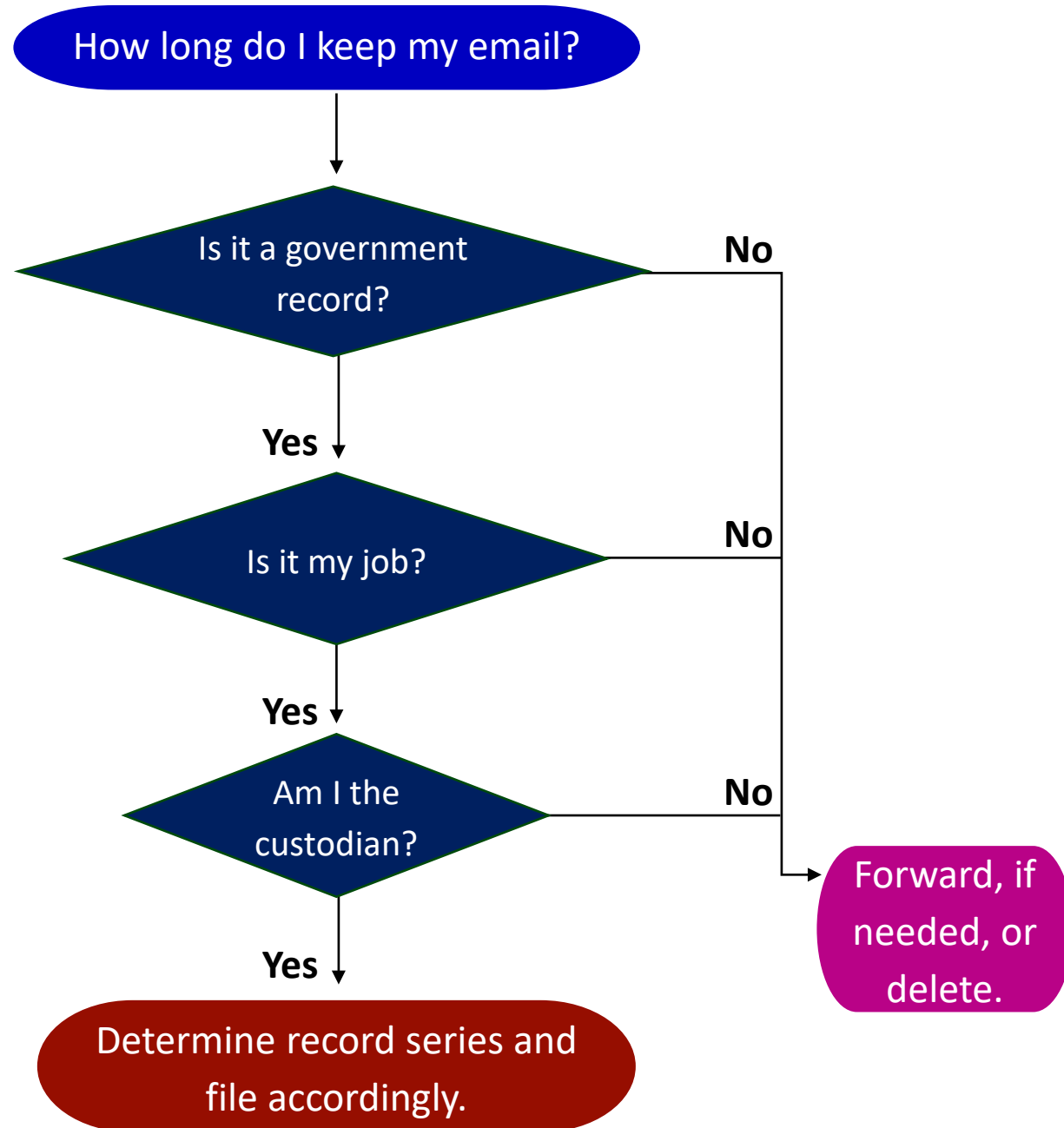


The recipient may also need to keep a copy if:

- The email requires the recipient to take an action
- The email documents an action taken by the recipient



3-Step Drill



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.

3-step drill flow-chart:
<http://bit.ly/3-stepEmail>

OK, but seriously...
how long do I keep my emails?

1. Think about your **job functions**.
 - What types of emails do you send or receive?
2. Identify the record series that apply to **you**.
 - Avg. fewer than 10 record series that apply



Common Series for Email

Correspondence – 1.1.007

- Administrative – 4 years (may require archival review)
- General – 2 years

Complaint Records – 1.1.006

- Final disposition of the complaint + 2 years

Public Information Act Requests – 1.1.020, 1.1.021

- Non-excepted: Date request fulfilled + 1 year
- Excepted: AC = Date of notification that records are excepted + 2 years

Time Off and/or Sick Leave Requests – 3.4.007

- Fiscal year end + 3 Years

Transitory Information

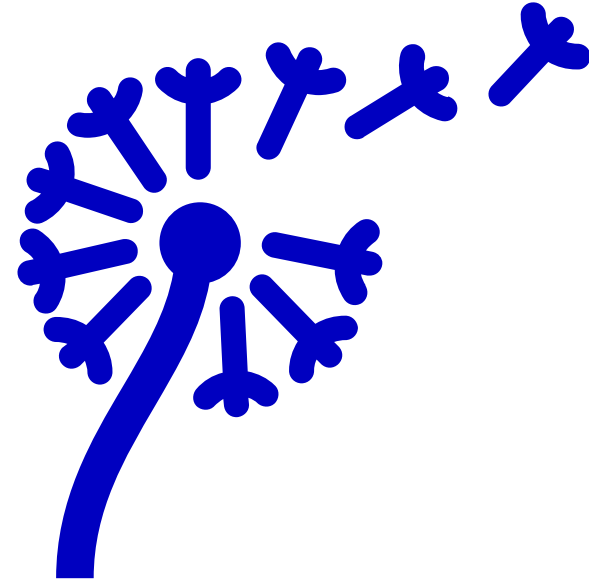
1.1.057

What?

- Government record of temporary usefulness
- Not *essential* to:
 - Documenting business
 - Fulfilling statutory obligations
- Not regularly filed in your office's recordkeeping system

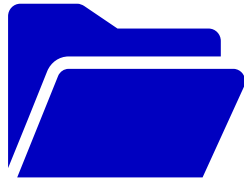
Examples

- Only transmitting a document ("see attached")
- Internal meeting notice
- Outlook meeting reminder
- Voicemail message
- Password reset email
- Etc.



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Retention-Conscious Email Folders



Public Information Requests
(1.1.020)



2019



2018



Dawson, Jay
2018-02-05



Smith, John
2018-01-15



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General Correspondence – 2 years

- 2018
- 2019

Public Information Act Requests

- Non-exempted or withdrawn – Ful./Wd. +1 year
 - 2018
 - 2018-02-05 Dawson, Jay
 - 2018-01-15 Smith, John
- Exempted – Notice sent +2 years
 - 2019

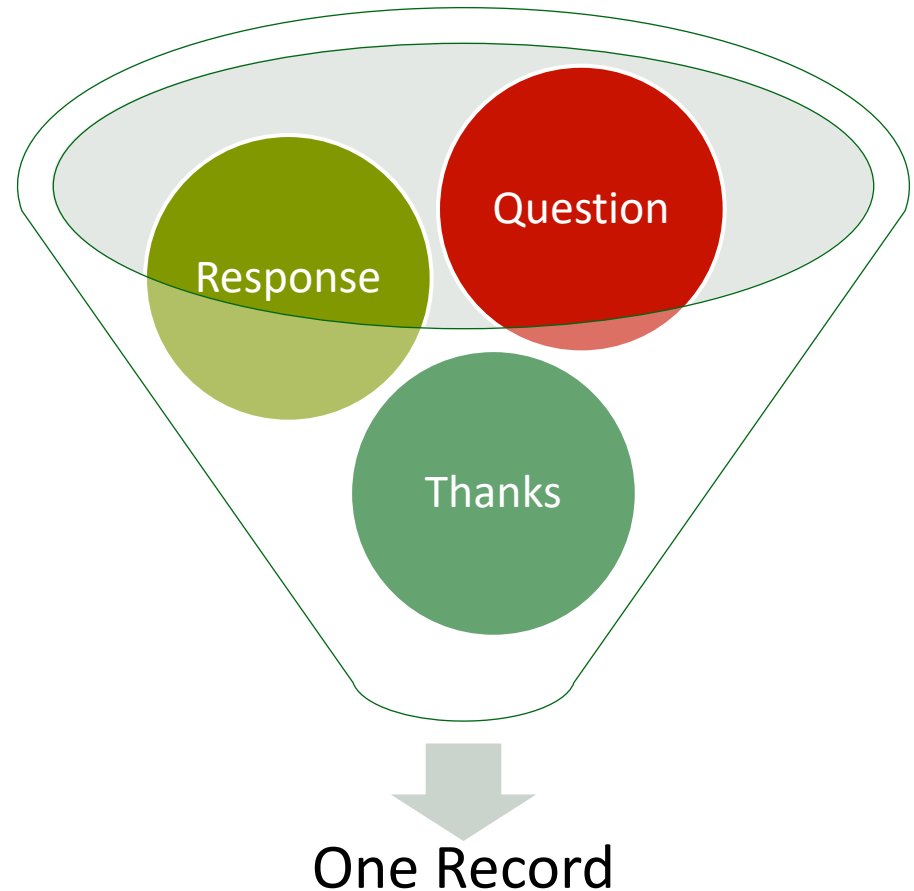
Reference

Transitory – AV

Retention Conscious Email File Plan Example

Keep the Chain

- Maintain the full conversation in one chain or thread to **retain the full correspondence in one file.**
- Outlook:
 - “Conversation Clean Up” tool



Managing Email *Can* Become an Easier Task

Take Small Steps

Don't aim to clean out your inbox all in one day.

Devote 5-10 minutes a day

If possible, designate specific times to check and manage emails.

Make it habitual!

“Clean as you go”. Be consistent and stick with it.



Managing Social Media Records

Social Media



Government Records,
Public Information



Records Retention
Rules, PIA Requests

- Social media is a **format**, not a type of record
- Determine retention by **content**
- Social Media Strategy

Webinar: Managing Social Media Records:
www.tsl.texas.gov/slrn/webinars/socialmedia

Common Record Series: Social Media

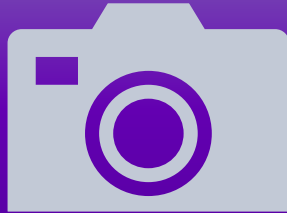
Record Number	Record Title	Record Description	Retention Period	Remarks
1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2 Years	Archival Code: R
1.1.006	Complaint and Feedback Records	Complaints and other unsolicited feedback received by an agency from the public concerning the agency and records pertaining to the resolution of complaints.	Resolution or dismissal of complaint + 2 years.	CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of RSIN 1.1.048.
1.1.008	Correspondence – General	Non-administrative incoming/outgoing and internal correspondence, in any media, including electronic communication, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	2 Years	CAUTION: This records series and should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule.



Strategies for Capture



Manual Capture
(i.e., screenshots)



Capture Software/App



Service-Level Agreement



Automated Web Archiving
Software

2019 PIA Amendment: “Temporary Custodian”

Definition of Temporary Custodian:

- Past or present government officer or employee
- Created/received government records on their personal device

Temporary Custodians Must:

A. Forward or transfer to the governmental body

OR:

B. Preserve in original form on their privately owned device



Government Records on Personal Devices



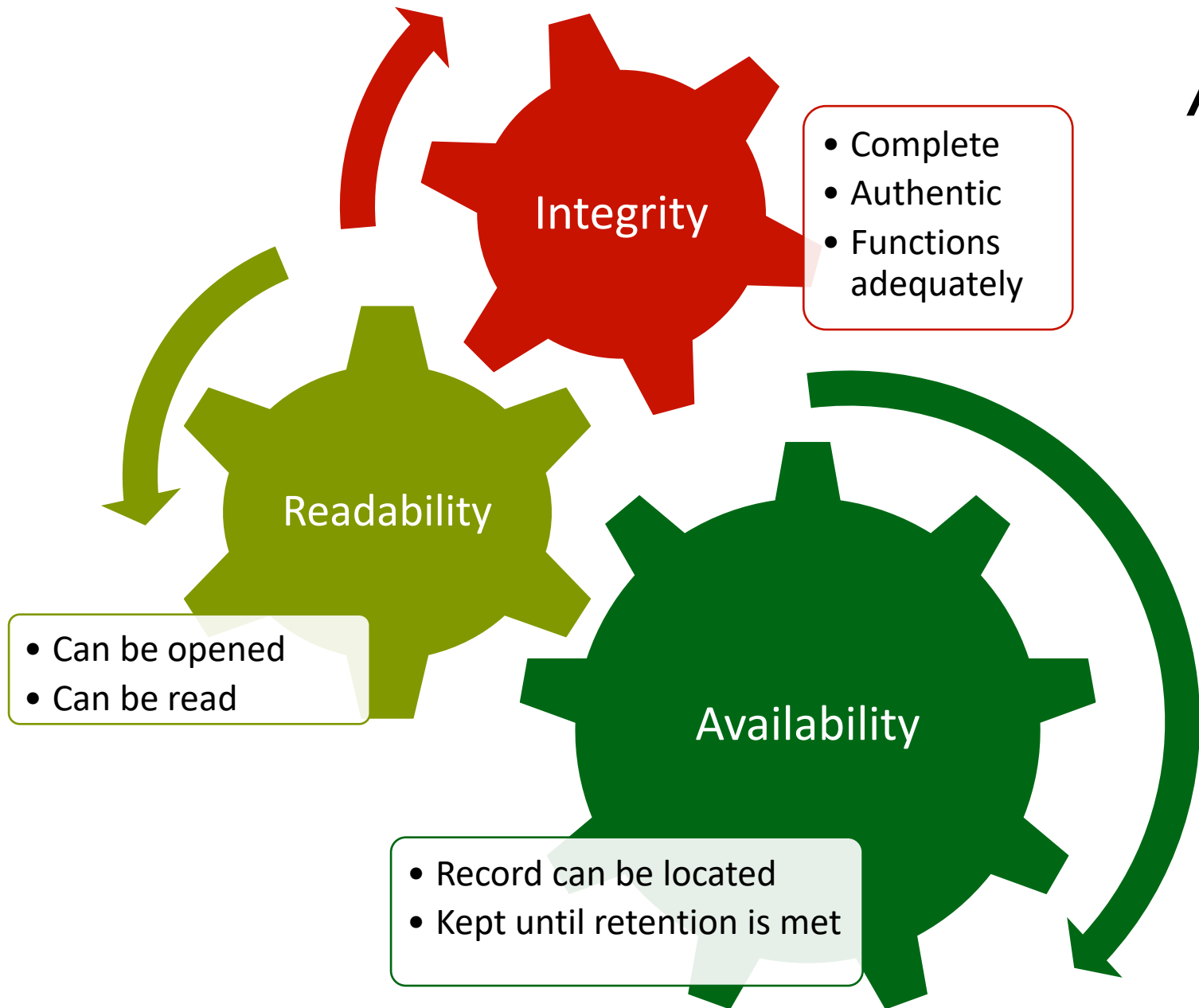
Use alternative communication

Use separate device for work and personal

Have a capture policy

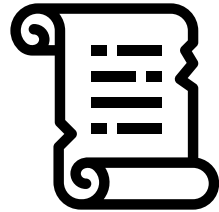
- Manual: Screenshots, forward to work email
- Use third party capture software

Access Goals

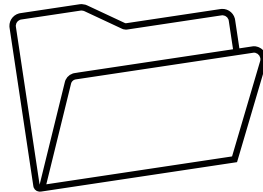


Availability

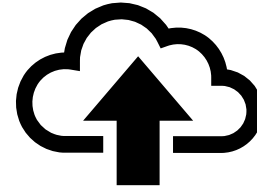
- **LOCKSS (“Lots of Copies Keeps Stuff Safe”)**
 - Data redundancy – 2-3 backup copies
- **3-2-1 Backup Rule**
 - 3 copies, in 2 different formats, 1 in an alternate location



Paper Copy
(At Office)



Shared Drive
(Hosted Locally)



Off-Site
Cloud Storage

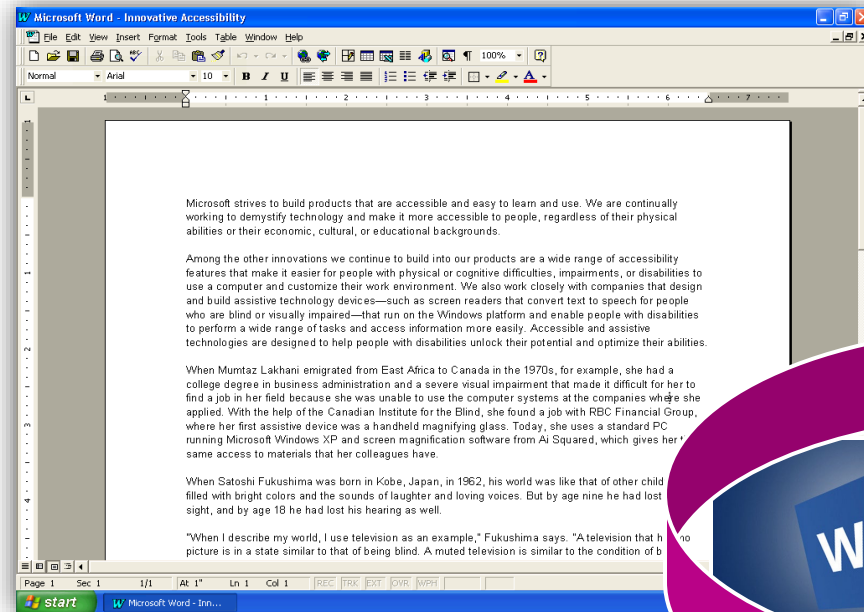


Access Strategies for Readability and Integrity

- Backward Compatibility
- Computer Museum
- Recopying
- Media Conversion
- Format Migration

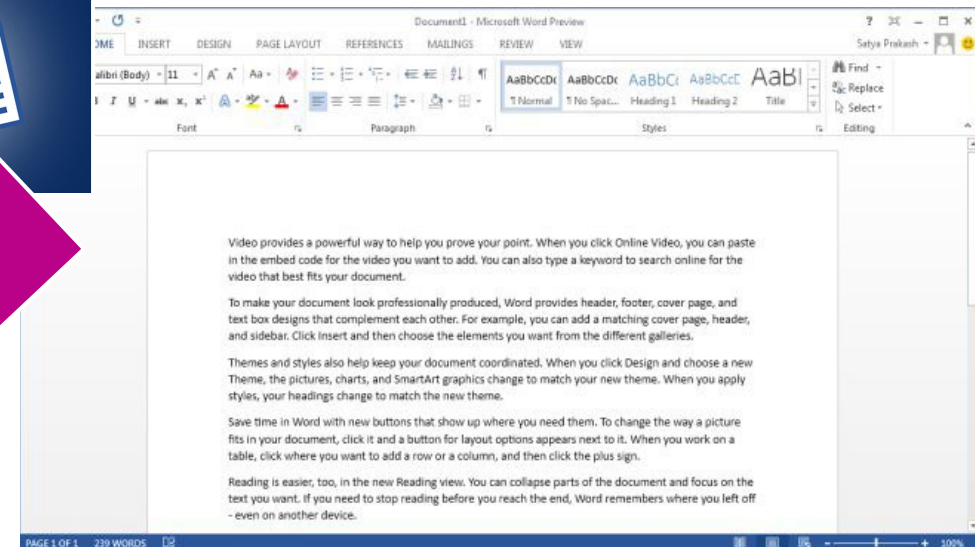


Backward Compatibility



Original document was created in Word 97

Same document can be opened, viewed, and edited in the newest version



Strategy: Backward Compatibility

The **ideal method** of providing long-term access to electronic records.



Strategy: Computer Museum

Preserve computing environment required to retrieve and read electronic record.

- Hardware
- Software
- Operating systems
- Disk drives
- Documentation



Strategy: Computer Museum

BENEFITS:

- Source document unchanged = lower risk of data loss
- No up-front costs
- For obsolete, proprietary, homegrown software: might be best (only) option

CHALLENGES:

- Technical expertise needed
- Potentially costly to service old equipment / pay programmer



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Strategy: Recopying

Copy the data to new media periodically; also called ‘refreshing’

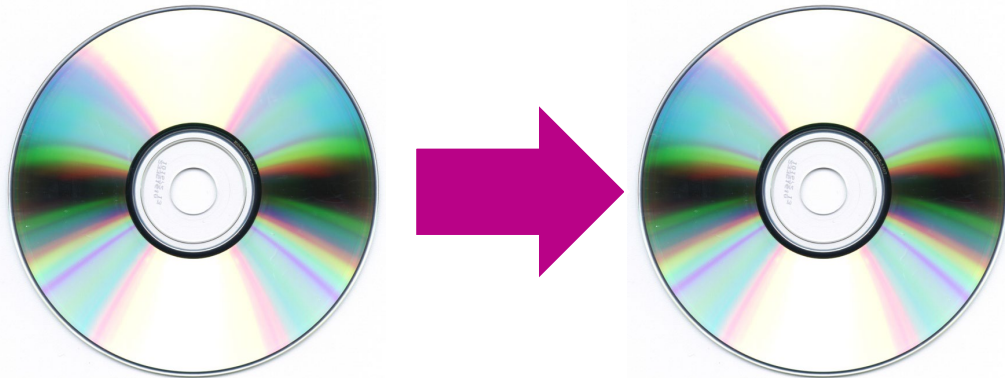
- Same medium, from (e.g.) an old CD to a new CD



Strategy: Recopying

BENEFITS:

- Source document unchanged: lower risk of data loss
- Relatively low-cost
- Relatively easy

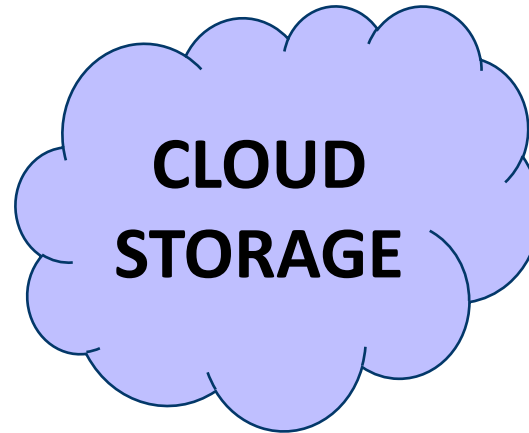
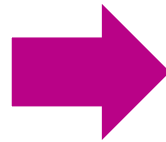
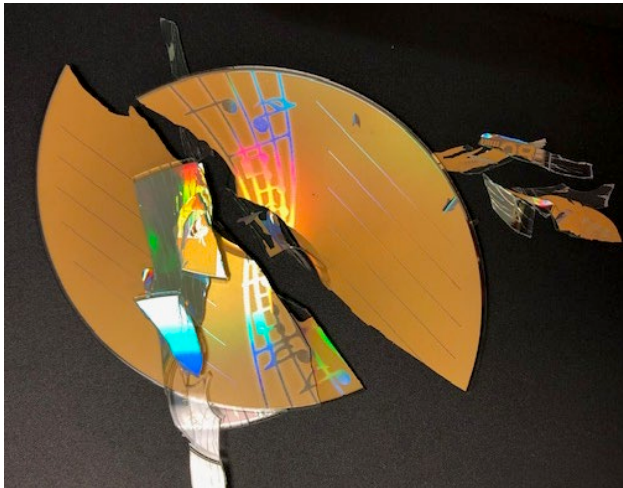


CHALLENGES:

- Not as safe as regularly backed-up network storage
- Small risk of data loss in recopying process
- Doesn't protect against storage media obsolescence
- Doesn't protect against file format obsolescence

Strategy: Media Conversion

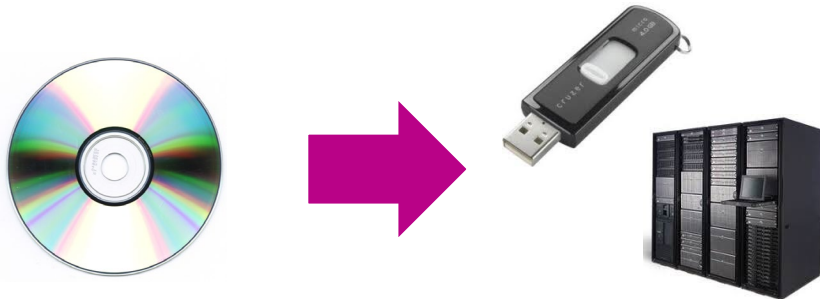
Move data off obsolete storage media



Strategy: Media Conversion

BENEFITS:

- Source document unchanged: lower risk of data loss
- Relatively low-cost
- Relatively easy
- **Protects against storage media obsolescence**



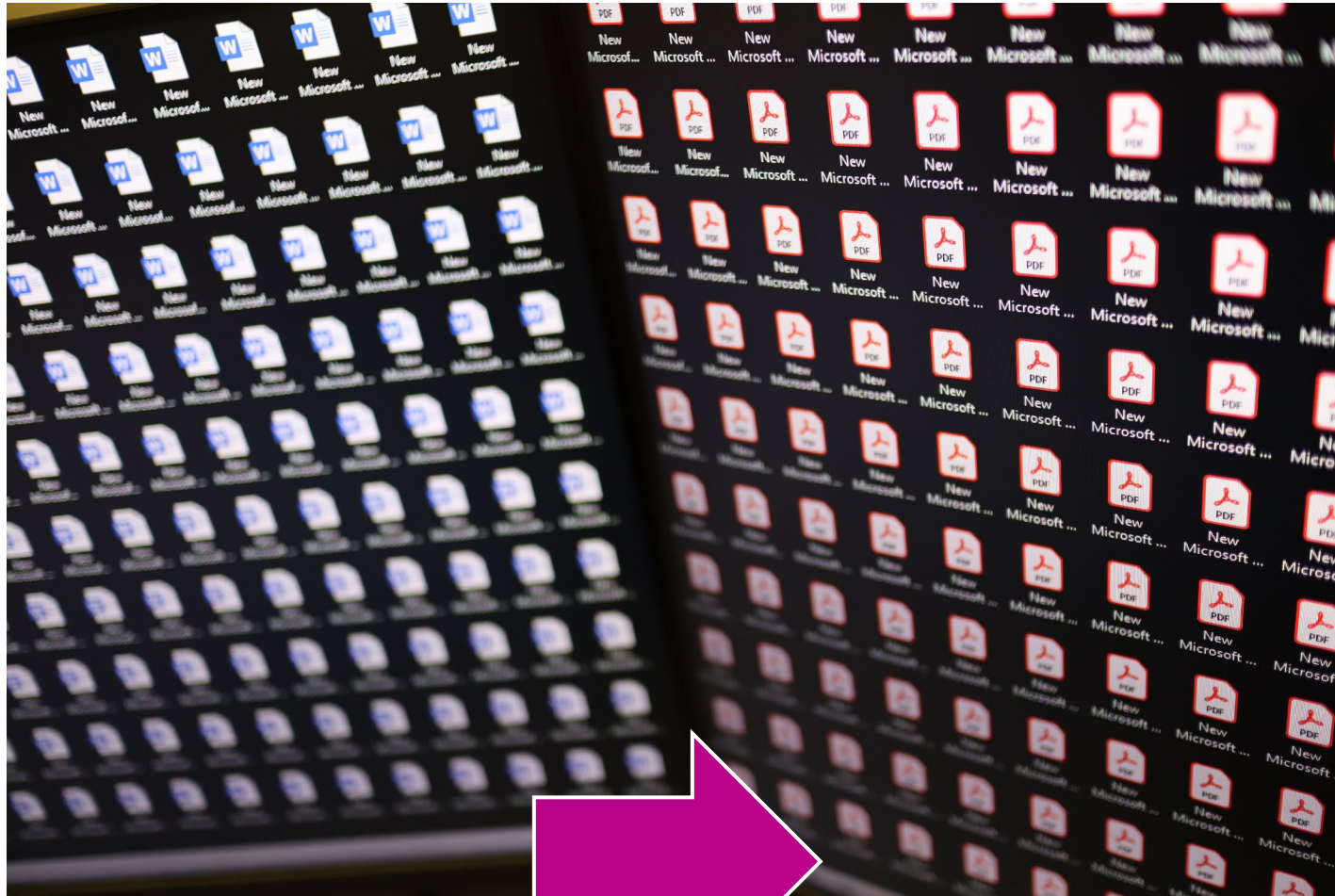
CHALLENGES:

- Not as safe as regularly backed-up network storage
- Small risk of data loss in recopying process
- **Doesn't protect against file format obsolescence**

Strategy: Format Migration



Microsoft
Word (.doc)



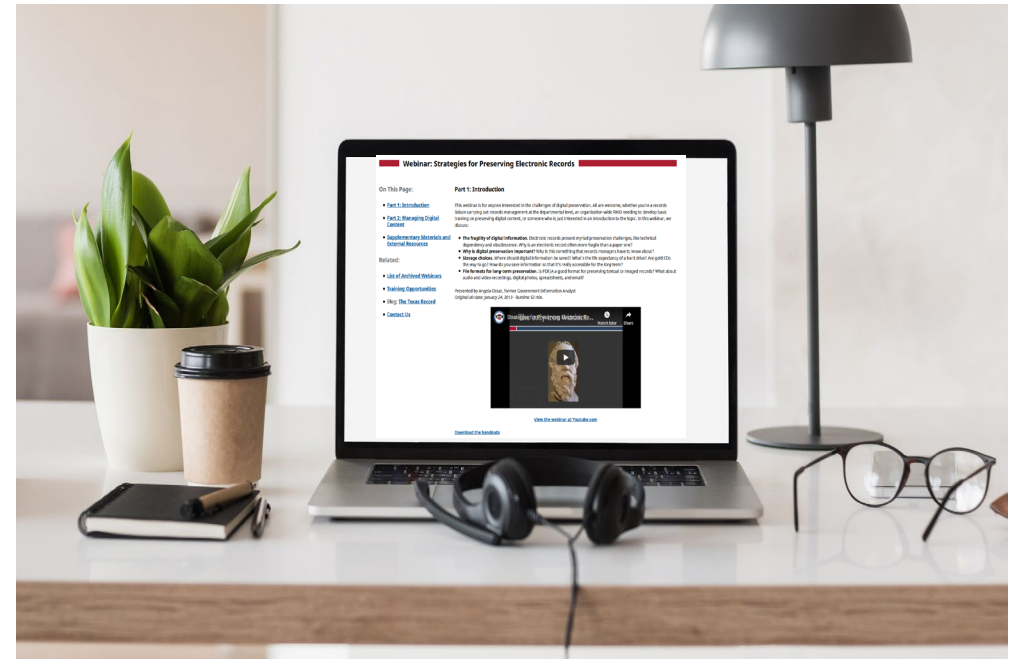
PDF/A:
PDF Archival
(.pdf)

Strategy: Format Migration

- **File formats matter!**
 - The file format you choose will affect your long-term records management abilities
 - Choose a preservation format for records with 10+ years retention
- **Sustainability of Digital Formats** – Library of Congress
 - www.loc.gov/preservation/digital/formats/
- **File formats in the Texas Digital Archive**
 - <https://tsl.access.preservica.com/tda/about-file-formats/>

Further Learning

- Recommended Webinars:
 - Strategies for Preserving Electronic Records
 - Storage and Preservation of Paper Records





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)

Is Paper the Solution?

What issues do you see with Greg's current dilemma?



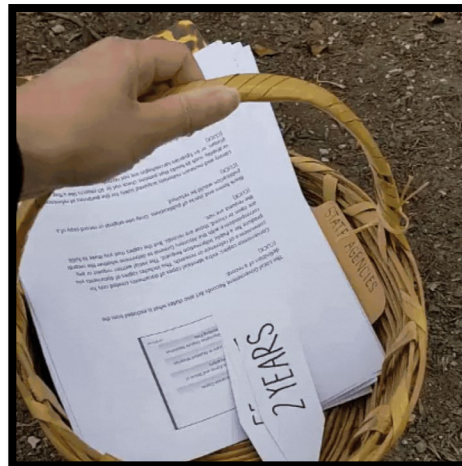
Benefits of Disposition

PROMOTES

- Cost savings
- Faster information retrieval
- Use of space
- Legal protection

PREVENTS

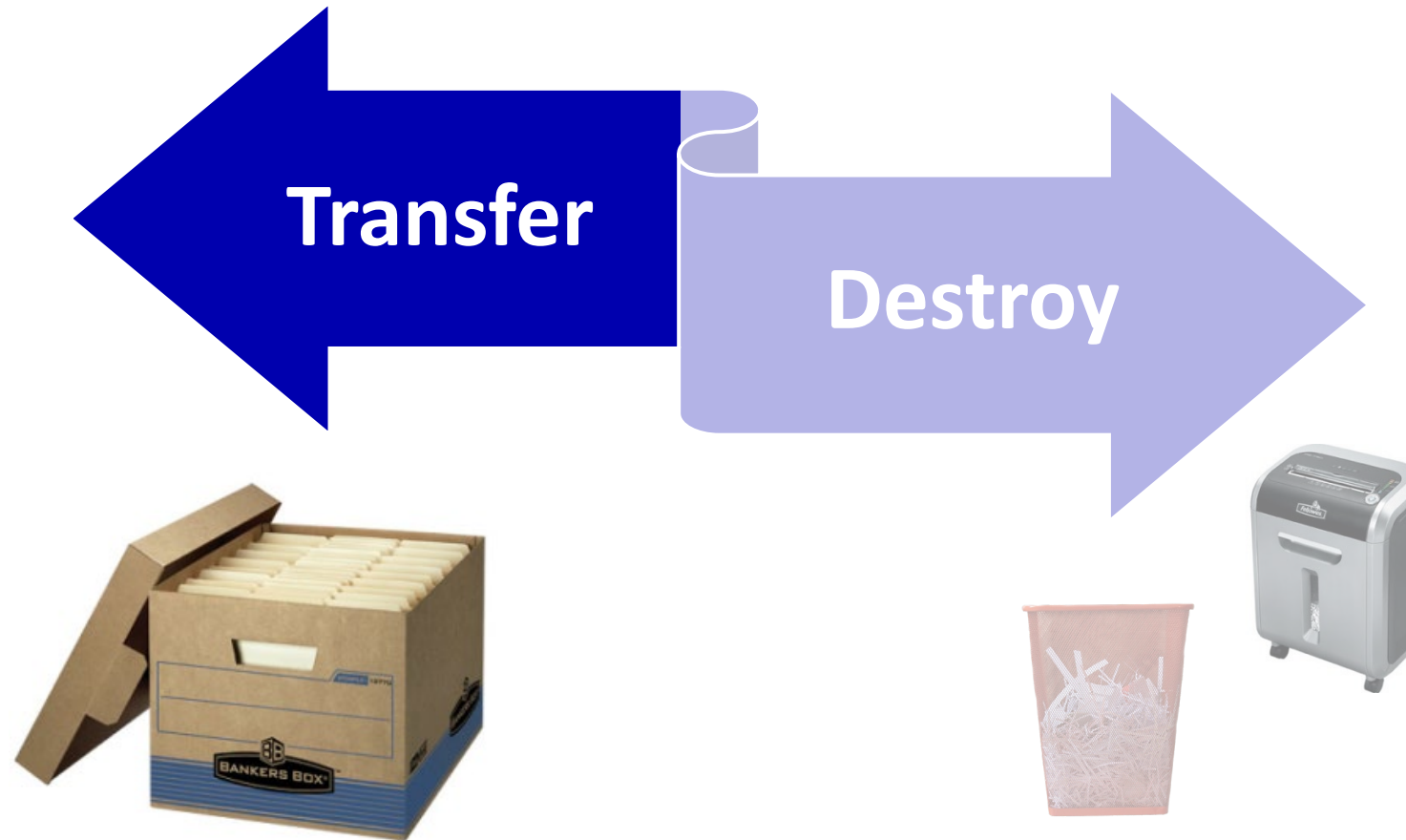
- Information overload
- Human error
- Negative perception from the public



When to Dispose



Transferring to Archives

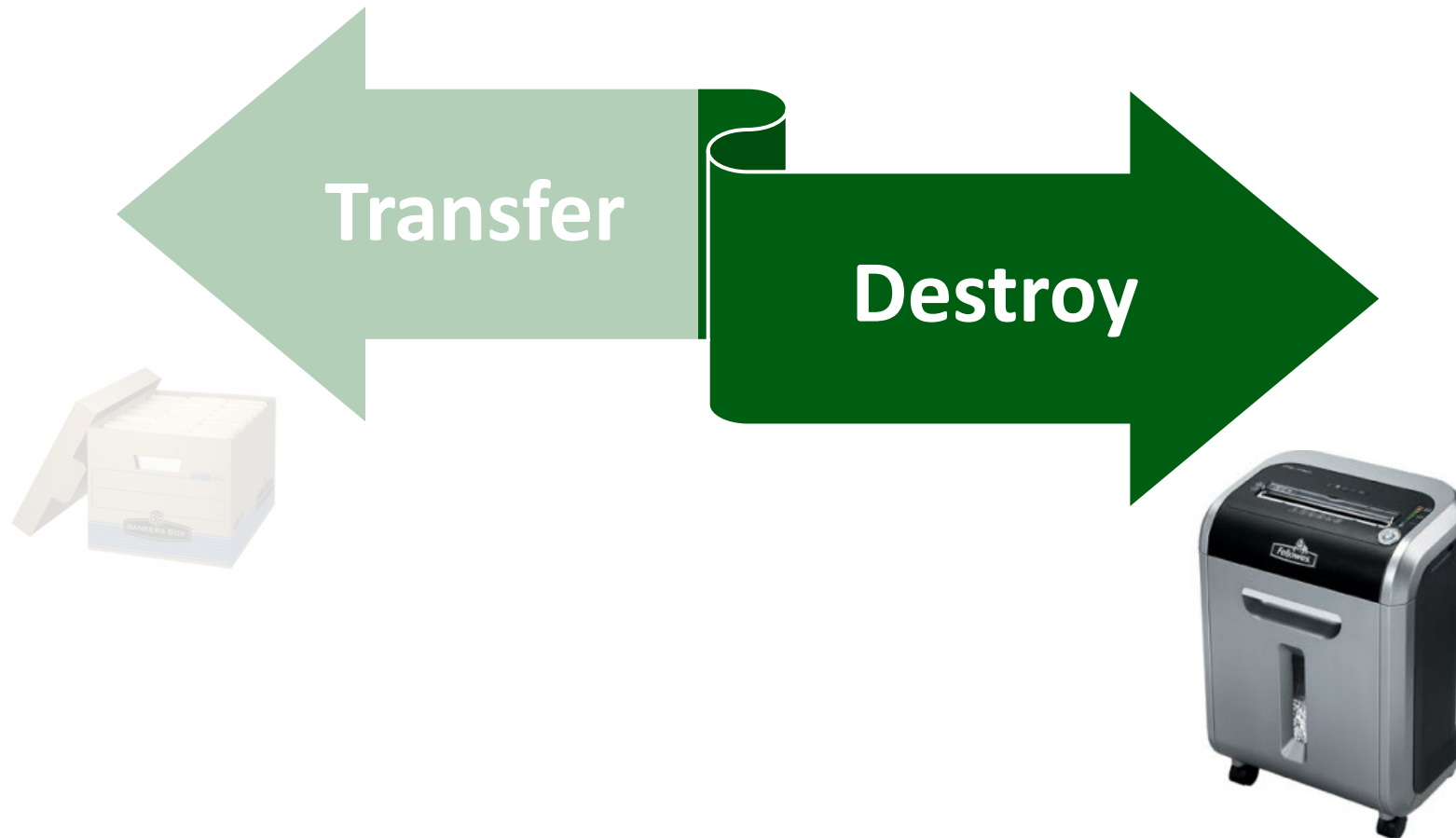


Transferring to Archives

- Follow procedures under direction of agency RMO
- Paper
 - Texas State Library and Archives 'stacks'
 - State Records Center
 - Onsite or offsite storage procured by your agency
- Electronic
 - Websites: TRAIL (www.tsl.texas.gov/trail/index.html)
 - Everything Else: Texas Digital Archive
 - (<https://tsl.access.preservica.com/>)
 - Archival Transfer and Review Rules: (www.tsl.texas.gov/slrn/blog/2024/04/new-rules-for-archival-transfer-and-review/)



Destruction of Records



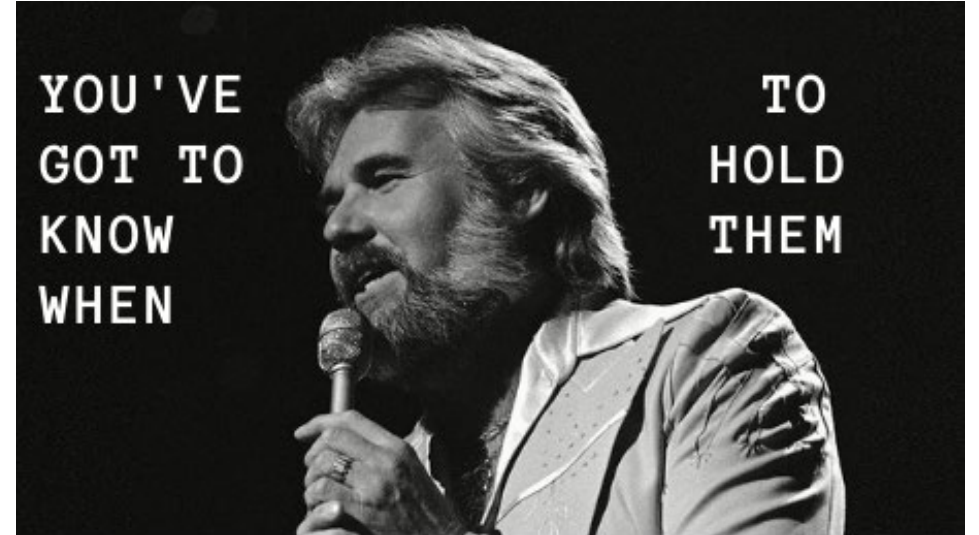
Before Destroying Records

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



Types of Destruction Holds

- Litigation
- Public Information Request
- Audit
- Claim
- Negotiation



Destruction Methods

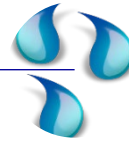
Confidential
Records



Burning



Shredding



Pulping

Open Records



Recycle



Landfill



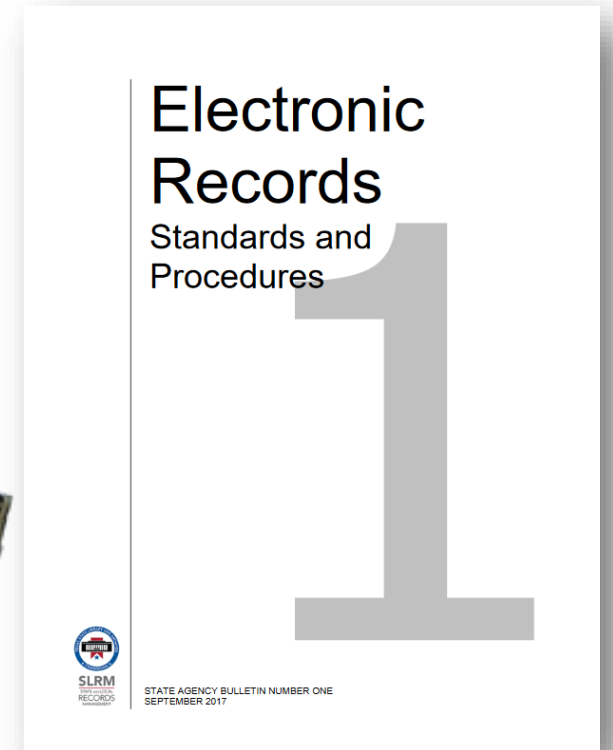
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ARCHIVES COMMISSION

Destruction of Electronic Records

- Reformat (enlist IT)
- Overwrite three times
- Degauss (neutralize magnetic field)
- Physically destroy
 - Shred
 - Pulverize
 - Drill holes



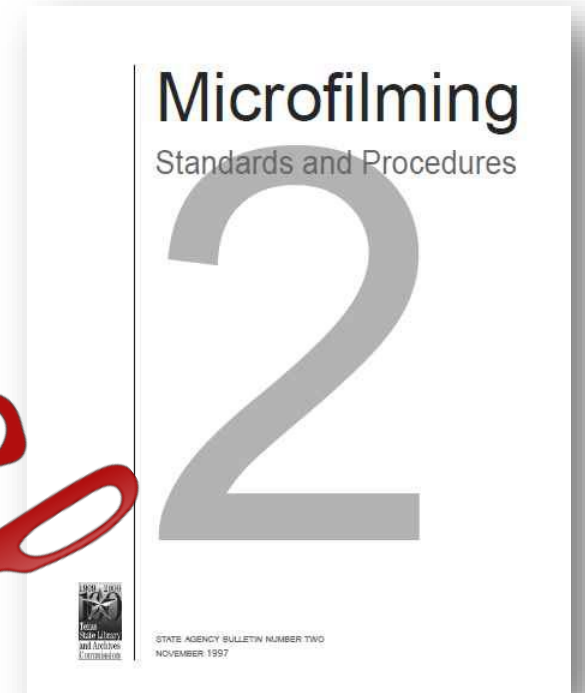
www.tsl.texas.gov/slrmpubs/bulletin1



Destruction of Microform

- Ensure protection of sensitive or confidential information
- Specific destruction instructions
- Judge's order to expunge records includes any microform

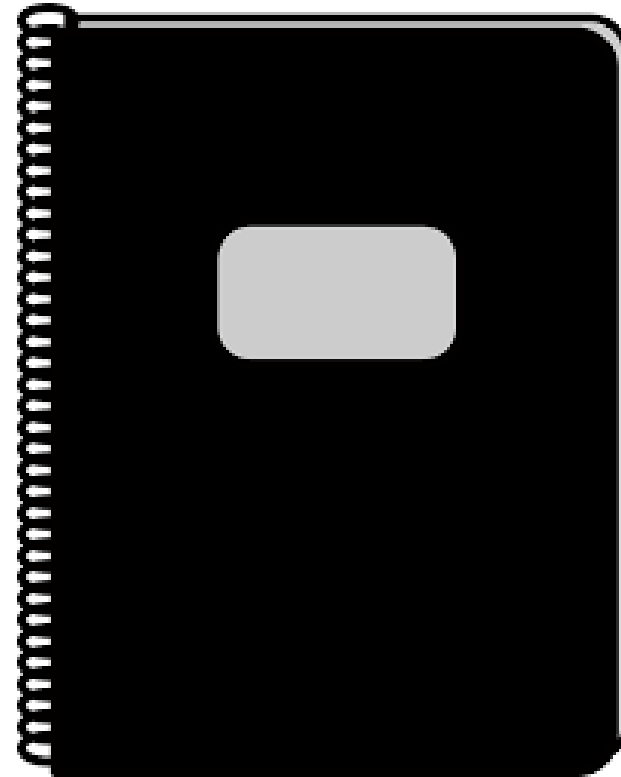
www.tsl.texas.gov/slrmpubs/bulletin2



Elements of a Disposition Log

- Record series title
- Dates of record
- Date of disposal
- Volume of records disposed
- Disposal method
- Approval signatures

<https://bit.ly/dispolog>



13 TAC §6.8 (b)(3)



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Designating a “Record Copy”

- Only *one* official/original/record copy
 - Format, location and custody up to you
 - Ensure disposal of ‘convenience copies’ when the official/original record retention is met



TSLAC’s Official Record Copy article:

<https://www.tsl.texas.gov/slrmblog/2023/07/official-record-copy/>

Frequently Asked Question

Can we destroy a paper record after it has been scanned?



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Yes, *but*...



- Bulletin 1 Rules apply
 - Adequate technical documentation
 - Descriptive metadata
 - Backups maintained for disaster recovery
- Extra rules for Permanent, Archival, and Vital records

TSLAC Recommends:

- Short-term records:
 - Wait ~6 months before shredding paper source document.
- Long-term/permanent/historical/vital records:
 - Retain the source document as long as possible.



Further Learning

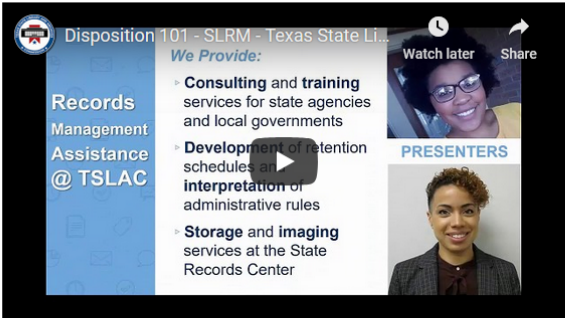
Webinar: Disposition 101

Related:

- [List of Archived Webinars](#)
- [Training Opportunities](#)
- Blog: [The Texas Record](#)
- [Contact Us](#)

This webinar is for state agency and local government personnel who would like to find out about the laws, rules and best practice guidelines related to the disposition of records. Disposition 101 serves as an introduction or a refresher for those who are new to records management or those who have more experience with this topic, and it can be used as a resource to conduct in-house training as well.

Presented by Joslyn Ceasar and Maria Freed, Government Information Analysts
Published: June 25, 2020 - Runtime 35 min.



[View the webinar at Youtube.com](#)

[Download the presentation handouts](#) (PDF)

[Certificate of completion](#) (PDF) - (Download to your PC, then fill in your name and date completed)

Supplemental materials:

- [Records Disposition Log](#) (template)
- [Documentation for Premature Loss or Destruction of Records](#) (template)
- [RMD 103: Records Inventory Worksheet](#) (template for state agencies but could be adapted for local governments)

www.tsl.texas.gov/slrn/webinars/disposition101



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Knowledge Check: Disposition



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Document #1

RSIN	Record Series Title	Record Series Description	A	Retention Period	Remarks
1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1	

Minutes of Records Management Department Staff Meeting

August 15, 2013

7:00 a.m.

August 15, 2014

Attendees:

Bob Evans

Erica Barleymore

Maria Cassavetes

Ray Houseman

Nina Pfeiffer

Martin Rister

Erin Walker

Eva Williams

Eva Williams will be learning the duties of Ray Houseman's position as Training Coordinator so that she may act as a backup for times when Ray is not here. She will also take minutes at the Status and Briefing meetings for the department that will occur every two weeks.

In August, the six-month performance appraisals will be done for the new analysts and status checks will be performed for the rest of the unit.



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Document #2

RSIN	Record Series Title	Record Series Description	A	Retention Period	Remarks
3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.		AC+5	AC= Termination of employment.

N/A: Can't Destroy (Yet)

Texas State Library and Archives Commission
State and Local Records Management Division is pleased to present this

Certificate of Completion

State Agency Employee
Jane Doe

for participation in
Introduction to Records Management
Credit Hours: 3.50 February 14, 2013


Mark Smith
Director and Librarian
Texas State Library and Archives Commission




Craig A. Kelso
State Records Administrator
Texas State Library and Archives Commission

OFFICIAL HR COPY

Document #3

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.		AC+4	AC= Tax due date, date the claim is filed, or date tax is paid, whichever is later.
22222	a Employee's social security number	OMB No. 1545-0008			

b Employer identification number (EIN)		1 Wages, tips, other compensation	2 Federal income tax withheld		
c Employer's name, address, and ZIP code		3 Social security wages	4 Social security tax withheld		
		5 Medicare wages and tips	6 Medicare tax withheld		
d Control number		7 Social security tips	8 Allocated tips		
		9 Voluntary contribution code	10 Dependent care benefits		
e Employee's first name and initial Last name		11 Qualified plans	12a		
		12b	12c		
f Employee's address and ZIP code		12d	12e		
		12f	12g		
15 State Employer's state ID number	16 State wages, tips, etc.	17 State income tax	18 Local wages, tips, etc.	19 Local income tax	20 Locality name

N/A: Whenever

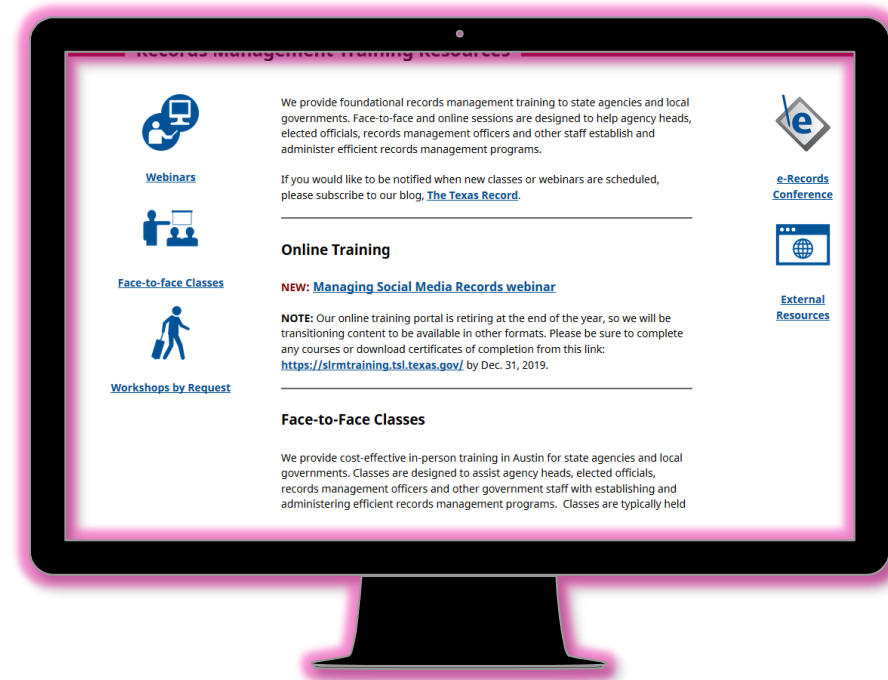
2017



Further Training

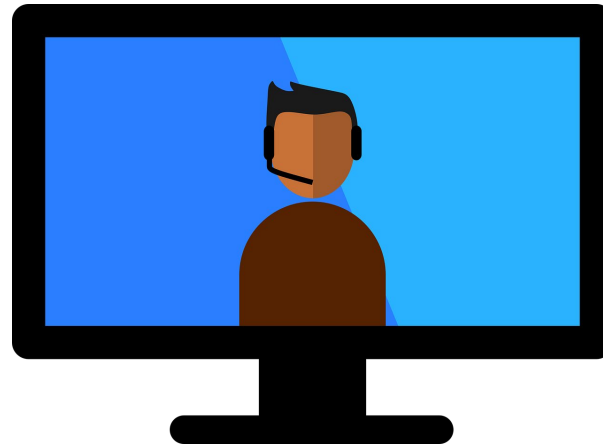
www.tsl.texas.gov/slrtraining

- Webinars
- Conferences
- Regional workshops
- Guidance library



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 Texas Record Blog

www.tsl.texas.gov/slrmblog/

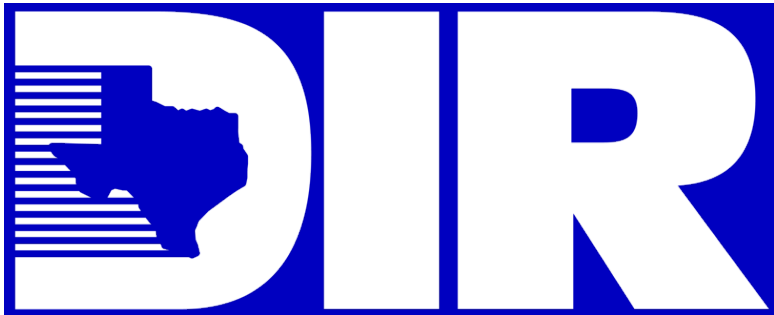
Subscribe to get:

- Announcements
- Notices of upcoming training
- New services
- FAQs and Answers



Data Management Officer

- Requirement for Agencies with more than 150 full-time employees
- Designate Full Time-Employee as the Data Management Officer (DMO)
- Govt. Code 2054.137
 - Identify where data is housed.
 - Determine how data will be governed.
- TSLAC Recommends DMO and RMO at the same table.
- DMO required to Identify status to Department of Information Resources



Questions?

Find the analyst assigned to your agency:

www.tsl.texas.gov/slrinfo/state/agencylist

Call:

(512) 463-7610

Email:

slrminfo@tsl.texas.gov

Class Page:

www.tsl.texas.gov/slrinfo/classes/rmb-state

