An Introduction to Records Management

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Head of Records Management
Texas A&M University Libraries
Basics of 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.

- The term includes:
  - The development of records retention schedules
  - The management of filing and information retrieval systems
  - The adequate protection of state records that are vital, archival, or confidential
  - The economical and space-effective storage of inactive records
  - Control over the creation and distribution of forms, reports, and correspondence
  - Maintenance of public information in a manner to facilitate access [by all stakeholders]
What exactly is a Record?

• Any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency that documents activities in the conduct of state business or use of public resources.

Preservation and Management of State Records and Other Historical Resources
Government Code, Chapter 441, Subchapter L
Section 441.180.
Characteristics of a Record

• Authenticity
  – Record is what it says it is

• Reliability
  – Record is a full and accurate representation of the business transaction

• Integrity
  – Record is complete, unaltered, and protected from unauthorized access and alteration

• Usability
  – Record can be located, retrieved, and used
Life Cycle of a Record

- Birth: New Business Transaction
- Active Period: Application Use, Retention Planning
- Semi Active Period: File Maintenance, File Storage
- Inactive Period: Maintenance, File Storage
- End of Retention Schedule
- Secured Document Destruction, Shredding and Recycling
Records Management at A&M
Records Management at A&M

- Surveying records within a department
- Provide secure records storage, destruction, and information retrieval
- Authorize the destruction of eligible state records
- Maintain Records Retention Schedule
- Records Retention Research
- Offer Instructional Classes
<table>
<thead>
<tr>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Record Series Title</th>
<th>Retention Period</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.014</td>
<td>03.106.10</td>
<td>Employment Selection Records – Hired</td>
<td>AC+5</td>
<td>AC=Termination of Employment</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Includes notes of interviews with candidates; audio and videotapes of job interviews; background check consent forms and previous injury checks; pre-employment physical examinations; polygraph examination results; and all other records that document the selection process. See 3.1.026 for security clearances on hired applicants.</td>
<td></td>
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<tr>
<td>03.106.20</td>
<td></td>
<td>Employment Selection Records – Not Hired</td>
<td>5</td>
<td>CAUTION: Does not include criminal history checks. See item number 3.1.026</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Includes notes of interviews with candidates; audio and videotapes of job interviews; background check consent forms and previous injury checks; pre-employment physical examinations; polygraph examination results; and all other records that document the selection process.</td>
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<tr>
<td>3.1.018</td>
<td>03.107.10</td>
<td>Grievance Records – Records relating to the review of employee grievances against personnel policies, working conditions, etc.</td>
<td>AC+5</td>
<td>AC=Termination of Employment</td>
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<td></td>
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<td>CAUTION: Does not include formal complaints filed by an employee with the Equal Employment Opportunity Commission. See Item Number 1.1.048</td>
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<tr>
<td>3.1.019</td>
<td>03.108.10</td>
<td>Performance Appraisals</td>
<td>AC+5</td>
<td>AC=Termination of Employment. See Agency item number 03.108.20 for Faculty performance evaluations.</td>
</tr>
</tbody>
</table>

Retention Codes:
AC = After Closed, Terminated, Completed, Expired, Settled
AV = Administrative Value
CE = Calendar Year End
FE = Fiscal Year End
LA = Life of Asset
MO = Months
PM = Permanent
US = Until Superseded

Archival Codes:
I = Transfer to university archives
O = Review by university archives
Storage & Destruction Forms

![Records Destruction Form](image)

- **Department**: [Enter Department Name]
- **Total # of Boxes**: [Enter Total Number]
- **Date**: [Enter Date]
- **Office Address**: [Enter Address]
- **Telephone**: [Enter Telephone]

<table>
<thead>
<tr>
<th>User Box #</th>
<th>RM-Box #</th>
<th>Statutory Schedule</th>
<th>Agency Item #</th>
<th>Description of box contents with first and last folder listed separately</th>
<th>Inclusive Dates</th>
<th>Records Center Use</th>
<th>Source</th>
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**CAUTION**: A state record may not be destroyed if any litigation, claim, investigation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of the retention period. The record must be retained until completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later. Section 441.1875, Texas Government Code. Any record subject to federal audit must be retained until the expiration of the audit period or the period specified in the TAMUS Records Retention Schedule, whichever is later.

- **Request for Records Center Destruction**: I request that the records accompanying this form be destroyed by the University Records Center.
- **Request for Departmental Destruction**: I certify that these OFFICIAL RECORDS are past the retention period specified by the TAMUS Records Retention Schedule and that all audit and administrative requirements have been satisfied.

**Required Approval**

<table>
<thead>
<tr>
<th>Records Coordinator</th>
<th>Date</th>
<th>Department Head</th>
<th>Date</th>
<th>Pickup or Delivery By</th>
<th>Date</th>
<th>University Records Management</th>
<th>Date</th>
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</table>

**Departmental Destruction**

<table>
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<tr>
<th>Destruction Method</th>
<th>Date</th>
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<tr>
<td>Shredding</td>
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<td>Destructive</td>
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<td>Opt-Out Vendor</td>
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<tr>
<td>Electronic</td>
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</table>

**Note**: Please read the instructions on page 3 concerning Departmental Records Destruction.

Cushing Memorial Library & Archives

Texas A&M University—University Records Management
http://library.tamu.edu/records
Records Storage

- Determine what records you have
- Pack in 1.2 cu. ft. boxes
- Fill out the Records Storage Form
- Call to make a pickup appointment
- Label with a unique box number (e.g. ENG-2012-01)
Records Destruction

- 3 varieties of destruction:
  - Records Center Destruction
    - Records
    - Convenience Copies
  - Departmental Destruction
  - Post-Retention Destruction Authorization
Other Resources

- Principles of Records Management (Quarterly, through EOD)

- Fundamentals of Managing Departmental Records (TrainTraq #2111143)
Texas A&M University Records Management

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http://library.tamu.edu/records