

Do This, Not That

Taking a Practical Approach to Records Management

Renée Wilson



Utah Division of Archives
and Records Service

Records and

Information

Management



RIM Specialists

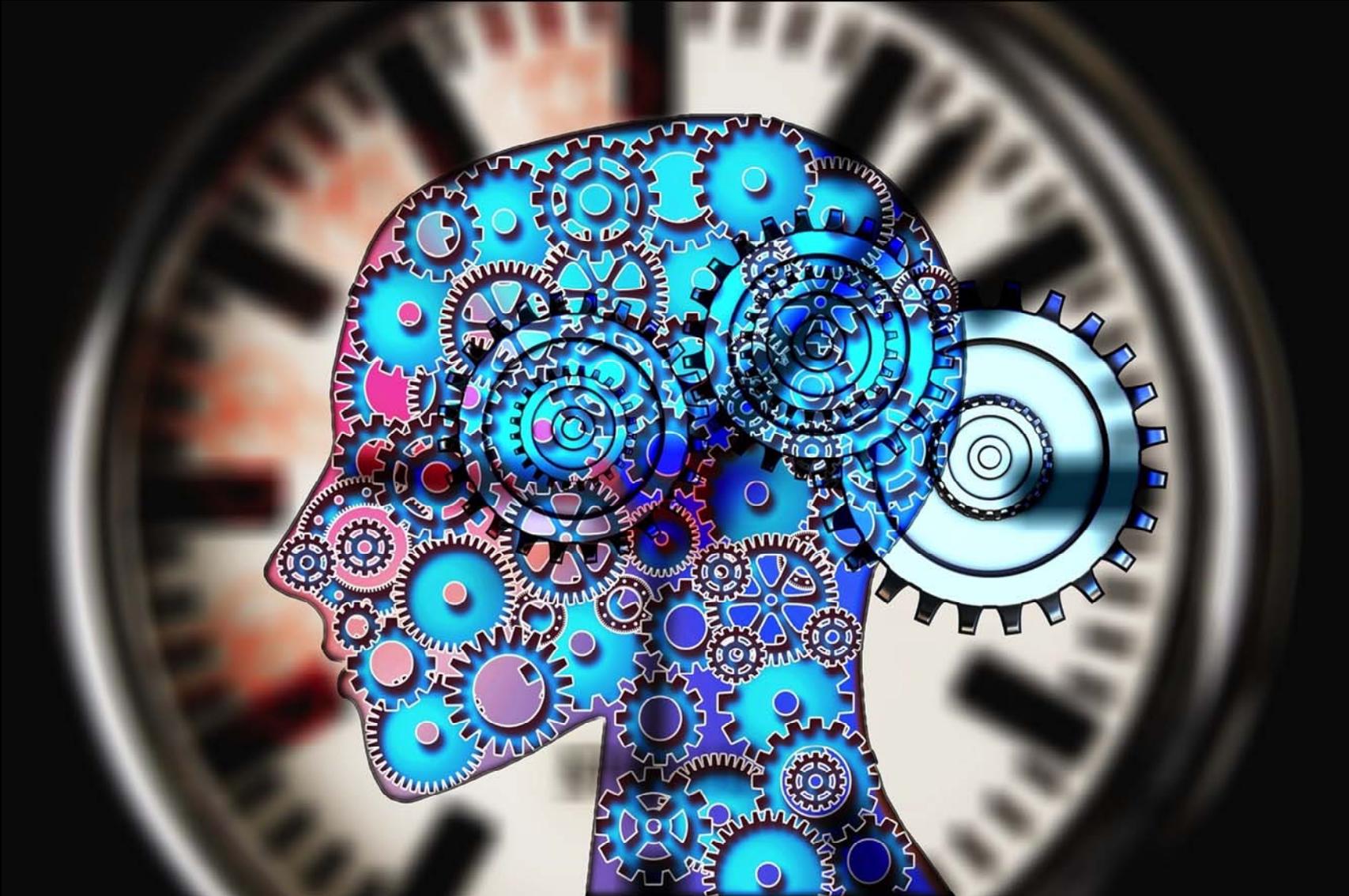
Records analysis = **RIM**

Records analyst = **RIM Specialist**

RIM is complex



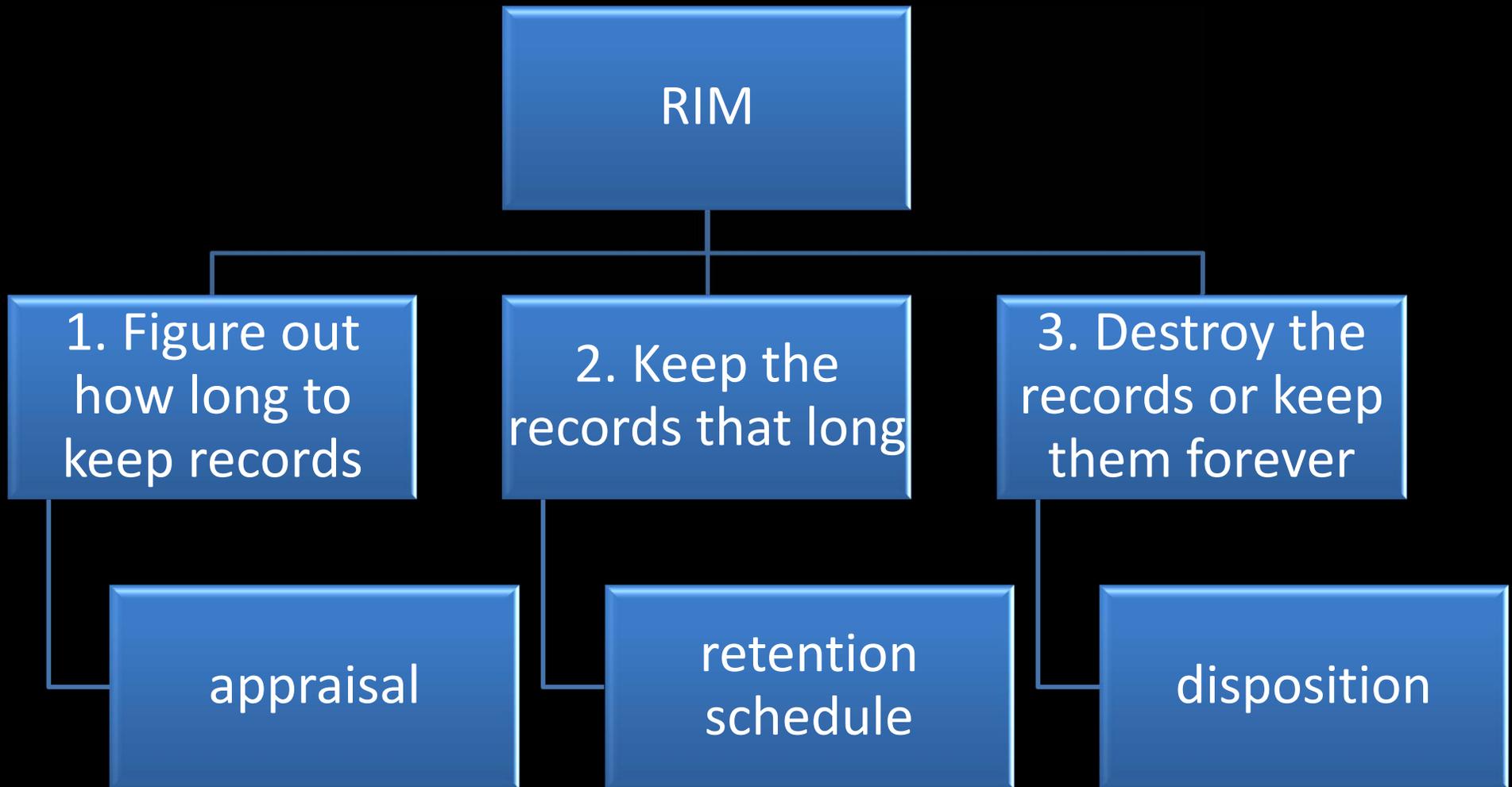
So many moving parts



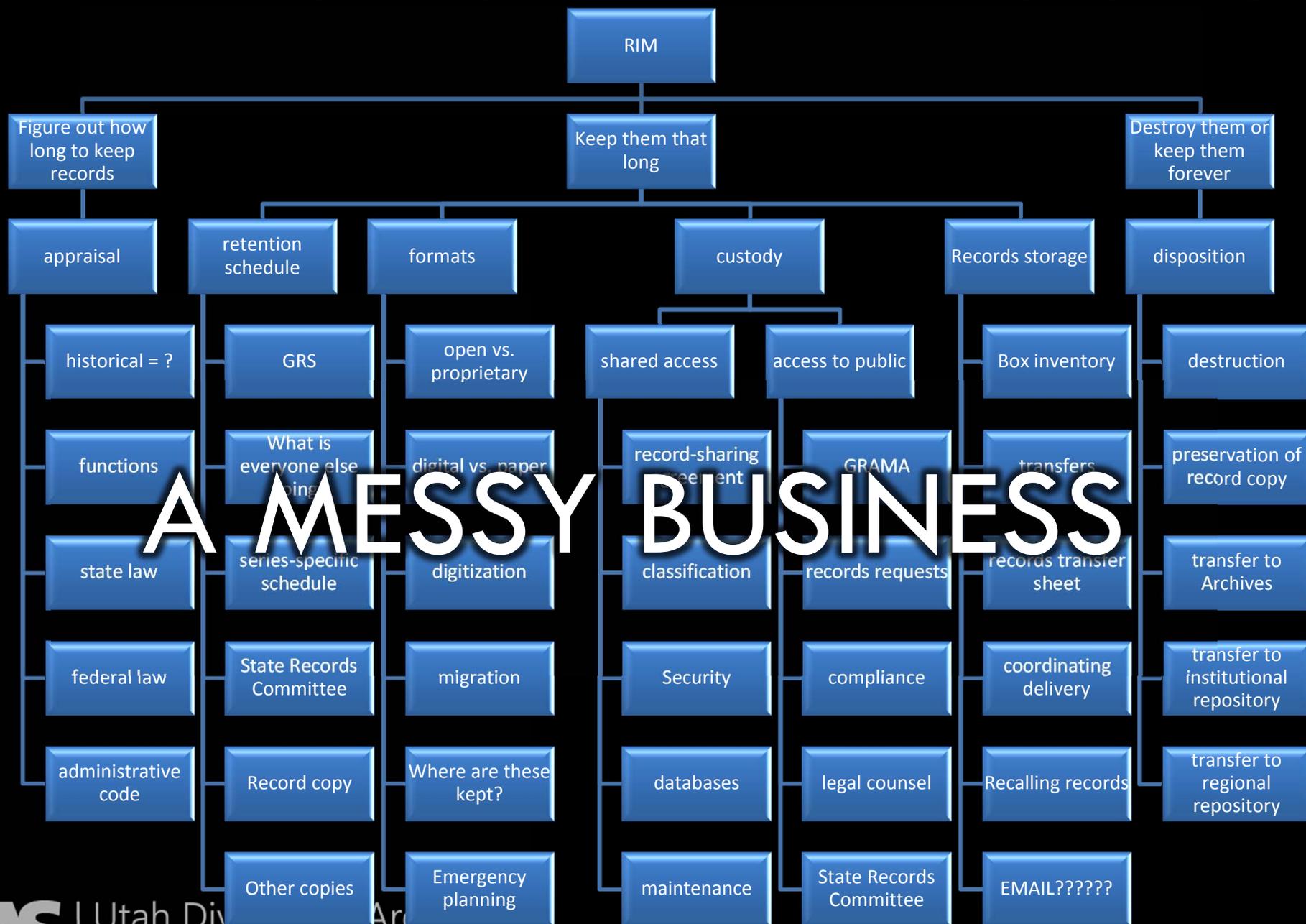
The big picture is easy to see:

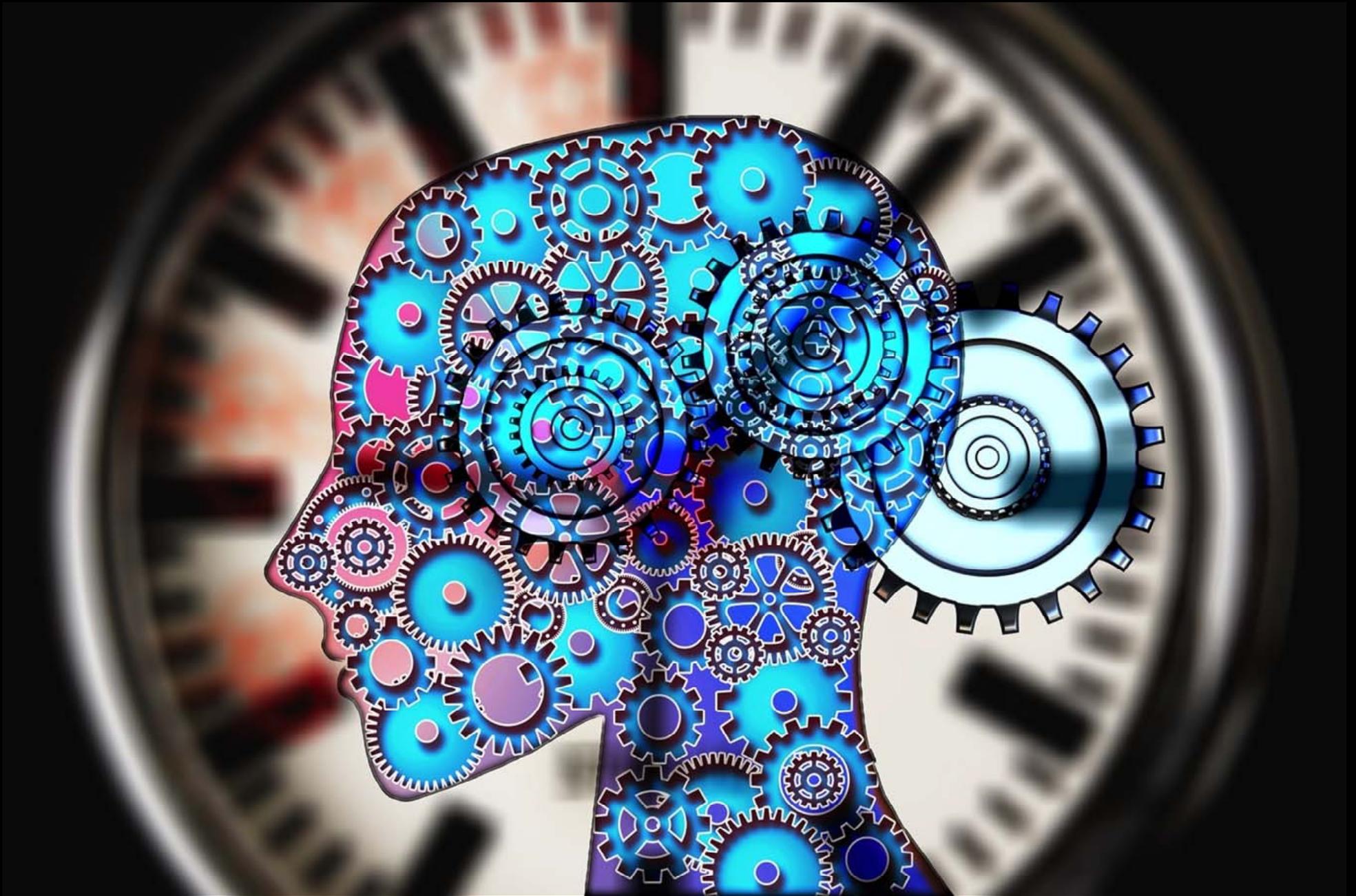


Even the medium picture is easy to see:



But then you get into the nitty-gritty:





Utah Division of Archives
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RIM Specialists



Training



11 PRACTICAL TIPS & SOLUTIONS

1



All my records are:

- public
- permanent
- digital
- online



Records are records :-)



2



Shredding paper records





3





Call or email us!



Image courtesy #WOCinTech Chat

4



Series in the Archives system



Department of Administrative Services (Utah). Division of Archives and Records Service

Available Series:

[PDF Report](#)

- 3085 - Administrative correspondence
- 21204 - Agency histories
- 1421 - Approved retention schedules
- 28600 - Archives Month records
- 7326 - Budget and operational working files
- 7337 - Certificates of destruction for microfilmed records
- 27932 - Continuity of operation (COOP) plans
- 29664 - County seals
- 3086 - Division history
- 27493 - Electronic media storage
- 7323 - Executive correspondence
- 29240 - Exhibit records
- 19748 - Exemption requests
- 7298 - Financial documents and transactions
- 18431 - Government Records Access and Management Act (GRAMA) ordinance policy case files
- 28572 - Government Records Access and Management Act (GRAMA) request files
- 28273 - Government records ombudsman reports
- 27337 - Grant case files
- 19325 - Merge requests
- 17170 - Oaths of office
- 25194 - Policies and procedures
- Project files



When to keep track in-agency

If ALL of these apply (state agencies):

- Records will be located in-office only (never sent to Records Center or Archives)
- Records follow a General Retention Schedule
- Your agency maintains all series information in a known and accessible location



When to keep track in-agency

If ALL of these apply (local agencies such as municipalities, counties, special districts, etc.):

- Records will be located in-office only (never sent to Records Center or Archives)
- Your agency has implemented its own ordinances / policies in accordance with Utah Code 63G-2-701
- Your agency has reported those ordinances / policies to the State Archives



Use a General Retention Schedule

General Retention Schedule Items

Find:

Search

Clear

[Show advanced search options](#)

Sort: by Approval Date ↕

View: Detail View ↕

31 results

Prev **1** 2 Next

[Export results to spreadsheet](#)

Status

Current

Discontinued (76)

Category

financial management

administrative (51)

aging and adult services (19)

airport (3)

assessor (16)

[More...](#)

Local government accounts payable and receivable records (GRS-106)

[View](#) | [PDF](#)

These are records related to monies collected or paid in the conduct of business. Information may include bank records, invoices, revenue, expenses, and related accounting records. Trust records are not included.

Retain for 4 years; then destroy records.

Effective 2018-04-23

Bonds, notes & interest payments (GRS-1801)

[View](#) | [PDF](#)

These are critical bond documents that are used for the life of bills, notes, debt securities, debt obligations, or bonds. Included are book entries, statements and payment confirmations, application and certificate for eligibility, and related records.

After final action, retain for 3 years; then destroy records.

Effective 2018-04-20

State government accounts payable and receivable records (GRS-1854)

[View](#) | [PDF](#)

These are records related to monies collected or paid in the conduct of business. Information may include bank records, invoices, revenue, expenses, and related accounting records. Trust records are not included.

Retain for 7 years; then destroy records.

Effective 2018-04-20



When to schedule a series with the Archives

If ANY of these apply:

- Records will go to the Records Center or State Archives at some point
- Records are permanent
- Records require a unique retention schedule approval by the SRC
- Your agency prefers to schedule series with the Archives for RIM purposes
- Your agency wants to see all your series on the Archives website



To Think About

- Consider pros and cons
- Do what's best for your agency
- Make a conscious decision
 - write it down in an accessible location
 - let others know
- Contact your RIM specialist with questions

5

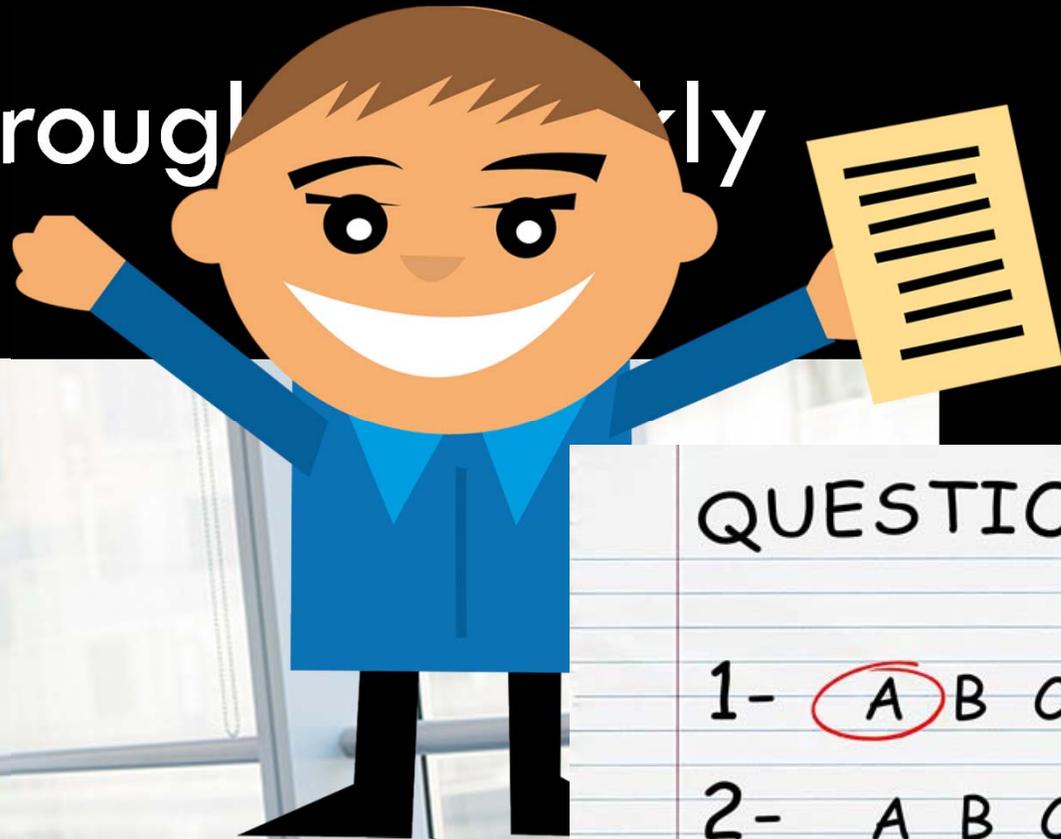


Spending hours on the test





Go through early



QUESTIONS

1- A B C D

2- A B C D

3- A B C D

4- A B C D

5- A B C D

6- A B C D

Image courtesy #wocintechchat



Use you



RECORDS MANAGEMENT ESSENTIALS

Home ▶ Records Management Essentials ▶ Section 1 ▶ 1.3. Duties of governmental entities

- Home
- 1. Public Records Management Act (PRMA)
- 2. Basic Records Management Principles
- 3. Ten Steps for Implementing Records Retention
- Glossary
- Download/print this training
- Begin the test

« Previous Section | Next Section »

1.3. Duties of governmental entities

The Public Records Management Act outlines the legal responsibilities of the chief administrative officer (CAO) and appointed records officers (ARO). The law does not identify specific job titles or positions for these individuals, but provides a description of the duties of each role.

Duties of a Chief Administrative Officer

A basic premise to sound records management is that within each organization, the chief administrative officer is responsible for the overall program. This is not a full-time position, but it is formally designated to someone in a senior-level position who has access to other senior executives and can ensure program implementation across the organization. The accountable senior executive oversees the records management program. The Public Records Management Act (Utah Code [63A-12-3](#)) and the Government Records Management and Access Act (Utah Code [63G-2-1](#)) specifically define the records keeping responsibilities of the chief administrative officer. Some of these responsibilities are:

- Establish and maintain an active records management program
- Appoint one or more records officers to work with the State Archives
- Ensure that employees who process records requests are trained
- Document the governmental entity's organization and its functions, decisions, and essential transactions
- Submit proposed retention schedules to the State Archivist for approval by the State Records Committee
- Make determinations and respond to appeals of denials to records requests. This duty can be delegated.

Utah Code [63A-12-103](#) – Duties of governmental entities.
The chief administrative officer of each governmental entity shall:

My Location: [Click to Set Location](#)



Audits Bills Budget Code Committees

Home Utah Code Title 63G Chapter 2 Part 3 Section 302 [Historical Code](#)

<< [Previous Section \(63G-2-301\)](#) Download Options [PDF](#) | [RTF](#) | [XML](#) [Next Section \(63G-2-303\)](#) >>

[Index](#) [Utah Code](#)

[Title 63G](#) [General Government](#)

[Chapter 2](#) [Government Records Access and Management Act](#)

[Part 3](#) [Classification](#)

[Section 302](#) [Private records. \(Effective 5/8/2018\)](#)

Effective 5/8/2018

63G-2-302. Private records.

- (1) The following records are private:
- (a) records concerning an individual's eligibility for unemployment insurance benefits, social services, welfare benefits, or the determination of benefit levels;
 - (b) records containing data on individuals describing medical history, diagnosis, condition, treatment, evaluation, or similar medical data;
 - (c) records of publicly funded libraries that when examined alone or with other records identify a patron;
 - (d) records received by or generated by or for:
 - (i) the Independent Legislative Ethics Commission, except for:
 - (A) the commission's summary data report that is required under legislative rule; and
 - (B) any other document that is classified as public under legislative rule; or
 - (ii) a Senate or House Ethics Committee in relation to the review of ethics complaints, unless the record is classified as public under legislative rule;
 - (e) records received by, or generated by or for, the Independent Executive Branch Ethics Commission, except as otherwise expressly provided in [Title 63A, Chapter 14, Review of Executive Branch Ethics Complaints](#);
 - (f) records received or generated for a Senate confirmation committee concerning character, professional competence, or physical or mental health of an individual;

6



Finding a



School annual financial report (f-4) (GRS-1332)

[View](#) | [PDF](#)

This is the annual financial and program report for the previous fiscal year which is submitted to the School Finance and Business Section of the Office of Education in accordance with UCA

Retain for 5 years; then destroy records.

Routine administrative correspondence (GRS-1760)

[View](#) | [PDF](#)

Incoming and outgoing business-related **correspondence**, regardless of format or mode of transmission, created in the course of administering agency functions and programs. Administrative **correspondence** documents work accomplished, transactions made, or actions taken. This **correspondence** documents the implementation of agency functions rather than the creation of functions or policies. Business-related **correspondence**, including email, that is related to a core function with an associated retention schedule should follow that associated schedule.

Retain for 3 years; then destroy records.

Effective 2018-07-12

Transitory correspondence (GRS-1760)

Incoming and outgoing **correspondence**, regardless of format or mode of transmission, related to matters of short-term interest. Transmittal **correspondence**, including email, is transitory unless part of another process. This **correspondence** does not impact agency functions. When

After resolution of issue, then destroy records.

Closed meeting records (GRS-1710)

[View](#) | [PDF](#)

Recordings are required for the closed portion of **meetings** of a public body, except as provided by statute. The recording is the official record of a closed **meeting** (Utah Code 52-4-206(1)(a) and (2)(2014)).

Retain permanently; then records may be transferred to the archives.

Effective 2014-07-01

S

These are records related to monies collected or paid in the conduct of business. Information may include bank records, invoices, revenue, expenses, and related accounting records. Trust

Retain for 7 years; then destroy records.

Contract records (GRS-1731)

[View](#) | [PDF](#)

These records document contractual agreements for products or services. Records may include preliminary requirements, contractor payroll records, bids, and the signed **contract**.

After expiration of contractual agreement, retain for 7 years; then destroy records.

Effective 2018-05-02

[View](#) | [PDF](#)

3 years;

programs of a state agency. These records document executive decisions made regarding agency interests. Executive decision makers may include the Director, Chief Administrative Officer, Public Information Officer or other internal administrators as identified by the executive office

archives.

Effective 2018-07-12

Budget records (GRS-1856)

[View](#) | [PDF](#)

These records are used to document the intended appropriation of funds. Information may include budget requests, proposals, and reports documenting the status of appropriations.

Retain for 4 years; then destroy records.

Effective 2016-12-01

[PDF](#)

also include documentation from subsidiary ledgers to general ledger and accounting adjustments in the form of general entries.

records.

Effective 2016-12-01

Performance audit work papers (GRS-1728)

[View](#) | [PDF](#)

These records contain the audit results and evidence supporting the final report, and provide a link between the field work and the auditor's report. Work papers collected during the course of the audit include client-prepared documents, analysis, data, and correspondence which documents the performance of audits and their conclusions.

Retain for 10 years; then destroy records.

Effective 2016-03-01

Trust

These are records related to monies handled under the terms of a trust. Information may include property taxes, insurance premiums, mortgage and related records.

After final action, retain for 7 years; then destroy records.

Effective 2016-12-01



Call your RIM specialist!



7



EMAIL

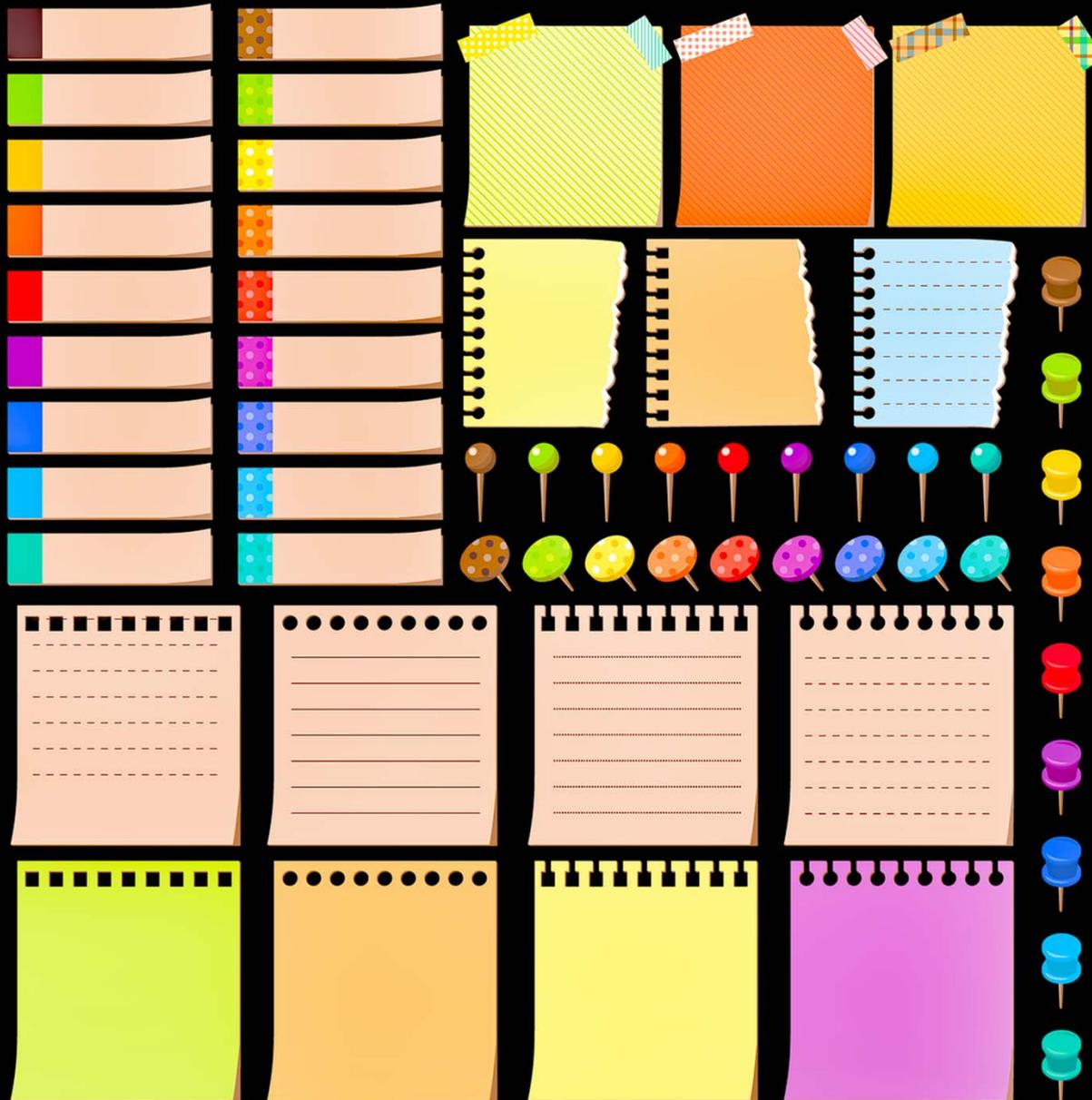


HOME ORGANIZATION TIP:
JUST GIVE UP.

Copyright xked



Labels / folders!





Labels / folders!

Administrative
Correspondence

Policies

Transitory

Series updates

10 years

RIM Conference

Contracts

(Get creative!)



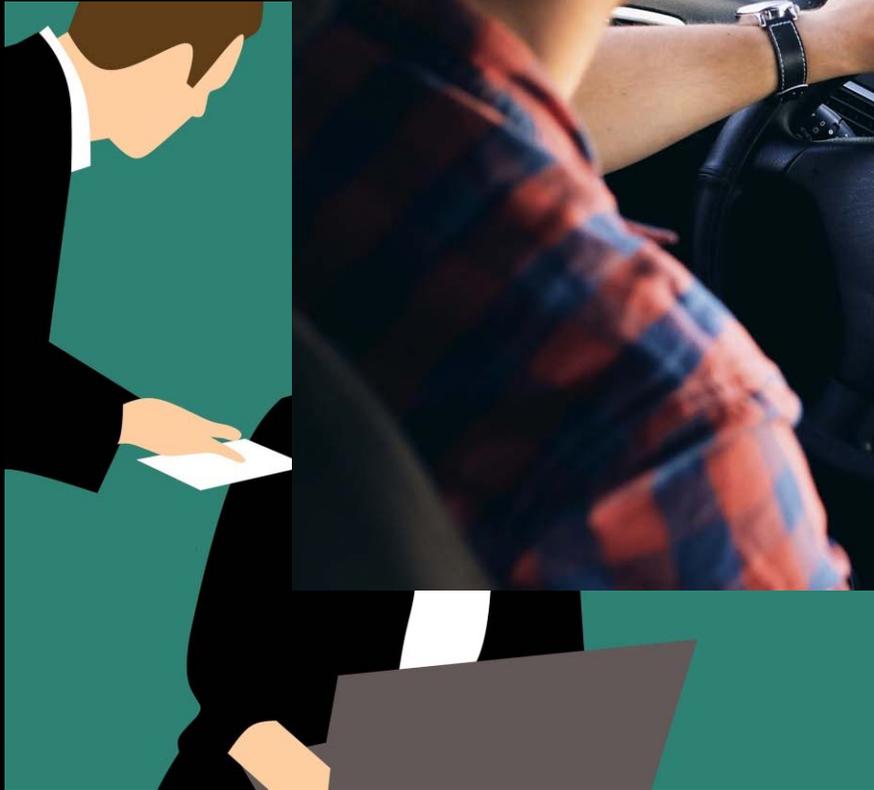
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Label Training





Label Training

- Choose 2-3 labels to start with
- Show people how to use the label
- Give examples
- Gently remind people



Email Accounts

- Know what accounts are being used
- Don't use a personal account
- Use forwarding and filtering rules to help keep order

• Policies

8



So then I told the new record officer...



**...the test only took me 20
minutes the first time**



9



“Hit by a bus”





Write it down





What to Write Down

- How to do everyday tasks
 - Update agency information in our system
- How to do once-in-a-while tasks
 - Records officer certification report
- Where things are kept
 - Phone numbers, supplies, records, inventories
- Agency practices that aren't yet policy
 - What counts as a contact



| Name ↑ | Owner | Last modified | Size |
|---|-------|---------------|-------|
| Abbreviations and Acronyms | me | Jul 26, 2018 | — |
| Add a Word to the APPX Dictionary | me | Jun 8, 2018 | — |
| Agency Hierarchy Updates Submitted by CAOs | me | Jul 6, 2018 | — |
| Analyst Monthly Numbers Rules | me | May 19, 2017 | — |
| APPX Security Request | me | Apr 11, 2017 | — |
| auto-delete script instructions | me | Aug 18, 2017 | — |
| AXAEM Online URL | me | May 15, 2018 | — |
| Box List Excel File For a Series from Versatile | me | Oct 16, 2017 | — |
| CampusA.txt | me | Sep 4, 2018 | 14 KB |
| Certificate Lookup for Certification Test | me | Feb 9, 2018 | — |
| Citing Archival Material | me | Aug 2, 2018 | — |
| Citing the Law | me | Aug 2, 2018 | — |



Use the “Sub” folder:

- When you're out of the office
- To help shape your performance plan
- To show the value of records management
- As a starting point for writing official policies

10



Working Solo





Working Solo





Working Solo





Good news! It'll still be there tomorrow





Resources for Solutions

- Do an internet search
- Involve co-workers
- Call your RIM specialist
- Join a professional organization



Professional Organizations

- NAGARA (National Association of Government Archives and Records Administrators)
- ARMA International
- ULCT (Utah League of Cities and Towns)
- UASD (Utah Association of Special Districts)
- UMCA (Utah Municipal Clerks Association)
- UAC (Utah Association of Counties)

11





“Whatever you do, do something”

- Take initiative!
- Get out there!
- Put stuff online!
- Be proactive!
- Make it happen!
- Use your skills!

I STARTED THE DAY WITH
LOTS OF PROBLEMS.

↓
BUT NOW, AFTER HOURS
AND HOURS OF WORK,

↓
I HAVE LOTS OF PROBLEMS
IN A *SPREADSHEET*.



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Image Sources

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- [Time Inc.](#)

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