Records Management

The Essentials

Kendra Whitaker Yates
Records Analyst Manager

Utah Division of Archives and Records Service

2017

Kendra Yates: Who I am and what I do

http://wersm.com/twitter-powers-up-dms-for-customer-service/

Me as a baby in a garbage can.

Q: What can a records analyst at the State Archives do for you?

A) Find retention schedules
B) Teach you how to inventory records
C) Answer questions about reformatting
D) Come to your agency to provide training
E) All of the above

Records Analysts at the State Archives: We Are Here for YOU!

*801-531-3863 *recordsmanagement@utah.gov

Q. What is your name and where do you work?

What is your records management role?

A) Appointed Records Officer
B) Chief Administrative Officer
C) Records manager
D) Support staff
E) None of the above

Q: How much experience do you have managing records?

A) Zero to 1 month
B) Less than 1 year
C) 1-4 years
D) 5-10 years
E) 10 + years

Q: Why are you taking this training?

A) Want to clean up records in the office, need to know where to begin
B) Need to know more about responding to GRAMA requests
C) Need to know more about managing records
D) Increase your credibility in the office or OTHER
E) Required to do so

What are you hoping to learn today?

Learning Objectives

- ✓ Why?
- ✓ Who?
- ✓ What?
- ✓ Where?
- ✓ When?
- ✓ How?

Why?

Q: What are the benefits to implementing a records management program?

- What are the risks if you don't?

Q: What would happen if you didn't know how to manage records or respond to GRAMA requests?

Q: What are the benefits to implementing a records management program?

- Increased efficiency
- Reduced cost
- Reduced risk
- Increased transparency
- Better documentation of agency and state history

= Business Case

Laws

PRMA – Public Records Management Act

- Utah Code 60A-12

GRAMA – Government Records Access and Management Act

- Utah Code 63G-2

Uniform Electronic Transactions Act

- Utah Code 46-4

- **Definitions**
- **Cautions**
- **Duties**

Who?

Q: Which of the following is NOT a Responsibility of Appointed Records Officers?

A) Establish records management program

B) Care, Maintenance, Preservation

C) Scheduling and Disposal

D) Classification and Designation

E) Providing access

Responsibilities of a CAO Include:

- Establish records management program
- Appoint records officer(s)
- Ensure that they certify annually

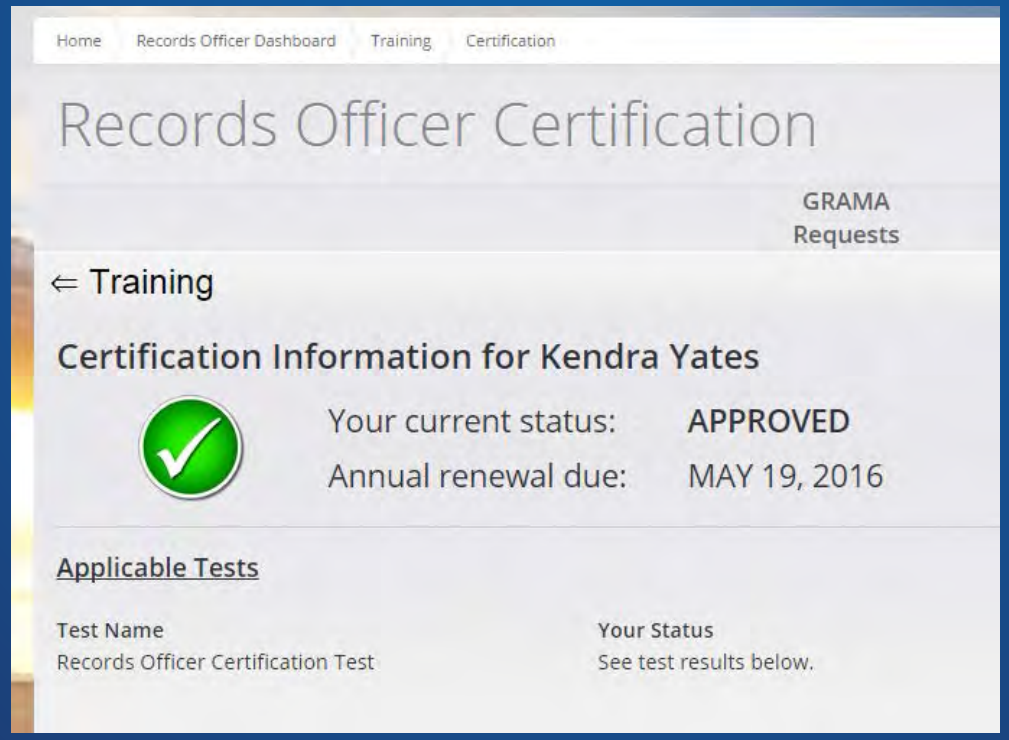
DAS

Responsibilities of a Records Officer may Include:

- Care and Maintenance
- Scheduling and Disposal
- Classification and Designation
- Providing access
- Preservation

Certifying annually

- Every records officer (almost)
- Utah Code 63G-2-108



There are two paths to certification

Records Access

- GRAMA
- Classifying records
- Responding to GRAMA requests appropriately

Records Management

- PRMA and GRAMA
- Understanding records
- Implementing retention schedules

You only need to take one test each year in order to certify.

What?

Q: What is the definition of a record, as defined in GRAMA?

A) A vinyl disc with etched grooves that holds music recordings.

B) To set down or register in some permanent form.

C) Information (in any reproducible form) prepared, owned, received, or retained by a governmental entity.

D) An account in writing preserving the memory or knowledge of facts or events.

E) A legally documented history of criminal activity

Record

63G-2-103

(22) (a) "Record" means a book, letter, document, paper, map, plan, photograph, film, card, tape, recording, electronic data, or other documentary material regardless of physical form or characteristics:

(i) that is prepared, owned, received, or retained by a governmental entity or political subdivision; and

(ii) where all of the information in the original is reproducible by photocopy or other mechanical or electronic means

What is *not* a record?

- Personal emails and documents that are not work-related
- Temporary drafts created for personal use
- Books contained in a library
- Junk mail or spam
- Computer programs

Analyzing and Assessing Your Records

- Social media
- Personal documents
- Temporary drafts
- Database systems

Your database is full of records…

https://www.pinterest.com/uolga/cenjoy-your~tea-timec/

It is your job to know what they are.

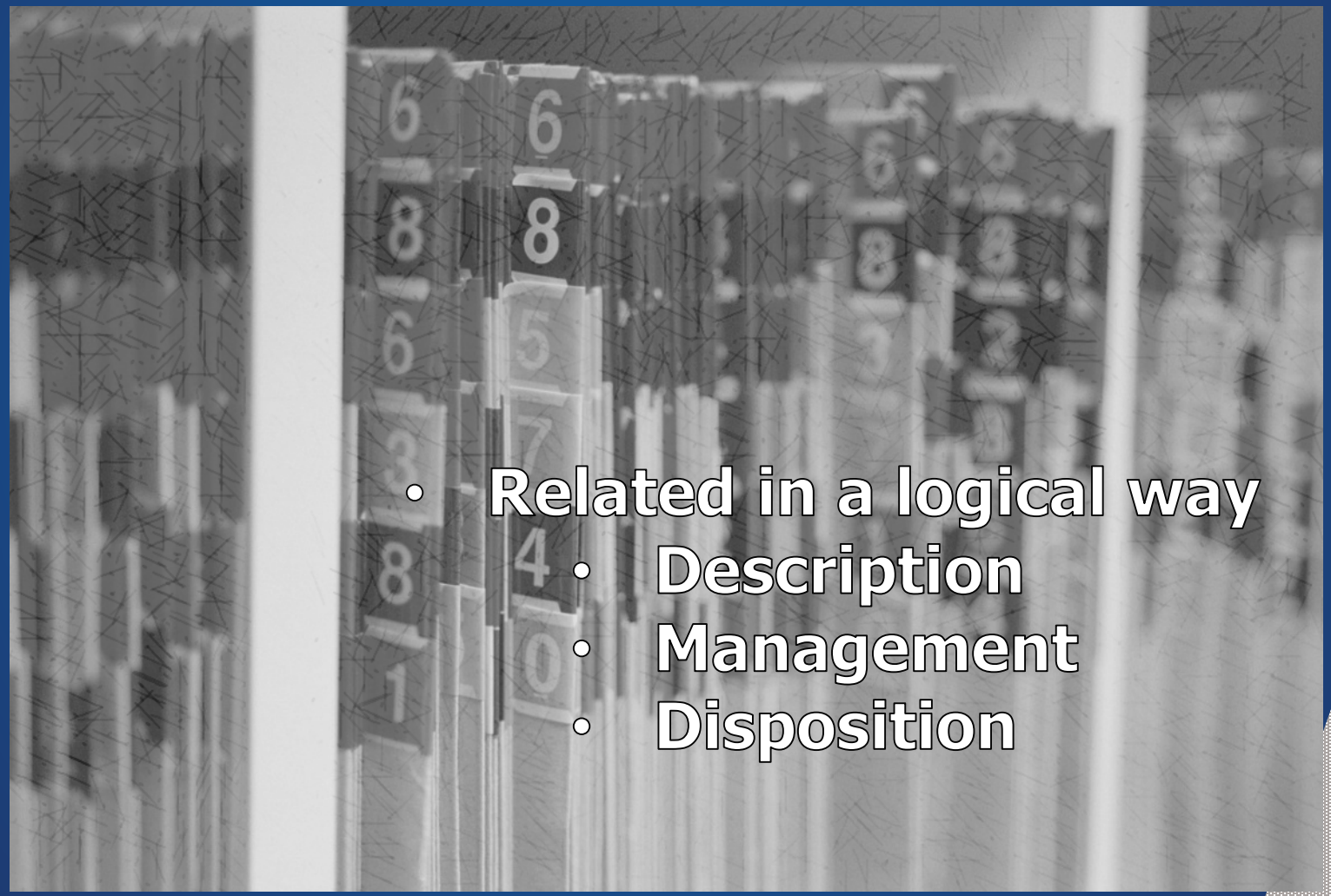
https://threatpost.com/slack-discloses-breach-of-its-user-profile-database-implements-2fa/111872/

Q: What is a record series, per GRAMA?

A) Number used to identify records
B) Sequence of music albums arranged by artist
C) Recordings of an entire season of a serial TV program
D) Retention schedule for records
E) None of the above

A Record Series is a Group of Records

A Record Series is a Group of Records



- Related in a logical way
  - Description
  - Management
  - Disposition

Creating Retention Schedules

63G-2-103

(23) “Schedule,” “scheduling,” and their derivative forms mean the process of specifying the length of time each record series should be retained by a governmental entity for administrative, legal, fiscal, or historical purposes and when each record series should be transferred to the state archives or destroyed.

Creating Retention Schedules

63G-2-103

(23) "Schedule," "scheduling," and their derivative forms mean the process of specifying the length of time each record series should be retained by a governmental entity for administrative, legal, fiscal, or historical purposes and when each record series should be transferred to the state archives or destroyed.

Q: True or False?

Retention schedules are suggestions of how long you have to keep something, but they are minimums. You can keep records as long as you want; you don't have to destroy them.

A) True

B) False

Mandated to Maintain & Destroy

Utah Code 63G- 2-604 – Retention and disposition of records.

(1) (a) . . . .each governmental entity shall file with the State Records Committee a proposed schedule for the retention and disposition of each type of material that is defined as a record under this chapter.

(b) After a retention schedule is reviewed and approved by the State Records Committee under 40 Subsection 63G-2-502(1)(b), the governmental entity **shall maintain and destroy** records in accordance with the retention schedule**.**

(c) If a governmental entity subject to the provisions of this section has not received an approved retention schedule for a specific type of material that is classified as a record under this chapter, the model retention schedule maintained by the state archivist shall govern the retention and destruction of that type of material.

Q: True or False?
Retention schedules only apply to paper records

A) True
B) False

Electronic Records are Records, too

- Uniform Electronic Transactions Act
- Utah Code 46-4-501

46-4-501. Creation and retention of electronic records…

(5) Each state governmental agency **shall**:

(a) Establish record retention schedules for any electronic records created or received in an electronic transaction according to the standards developed by the Division of Archives...and

(b) Obtain approval of those schedules from the State Records Committee as required by Subsection 63G-2-502(1)(b).

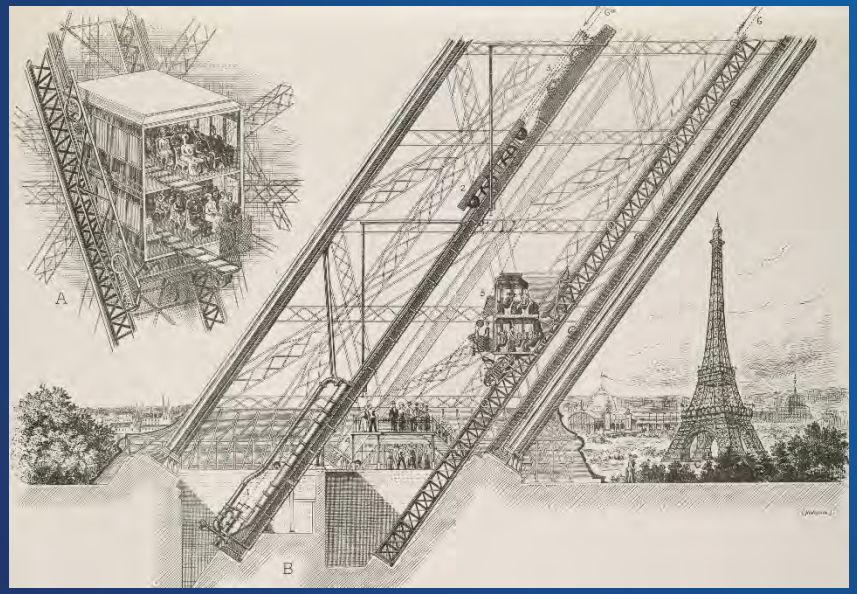
https://www.entrepreneur.com/article/252154

Appraising Records

- Administrative
- Fiscal
- Legal
- Historical

Assessing Value

Administrative Need = 20 years?



http://bigthink.com/1000-words/rise-of-the-eiffel-tower-1887-1889

Q: What does permanent mean?

A) Indefinitely
B) As long as possible
C) Forever
D) As long as I am here

Permanent does NOT mean ‘as long as I am here’

'We've got to get our clients to think of long-term investments.
By long-term, I mean until we retire.'

Permanent means forever

Permanent = forever. Never destroy, delete, lose.

Long-term retentions:

- 50 years after dissolution of the republic, then destroy
- 10,000 years, then destroy

Questions?

Take a break. Cleanse your palette

Where?

Understanding functions and resulting records

Governmental entities exist to carry out the public's business

Beverly Hills City Council Meeting, undated

http://www.beverlyhills.org/search/website/?Q=government%20council%20meetings%20default

Understanding functions and resulting records

Governmental entities exist to carry out the public's business

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http://www.beverlyhills.org/search/website/?Q=government%20council%20meetings%20default

Understanding functions

Common Administrative Functions

- Human Resources
- Budgeting
- Policy creation
- Accounts Payable and Receivable

Unique Business Functions

- Mosquito abatement
- Safety inspection
- Medicaid eligibility screening
- Oversee horse races
- Facilitate economic development in the state

http://www.retailassociationservices.com/safety-news/safety-tip-of-the-week-2/

Functions found in statute or ordinances

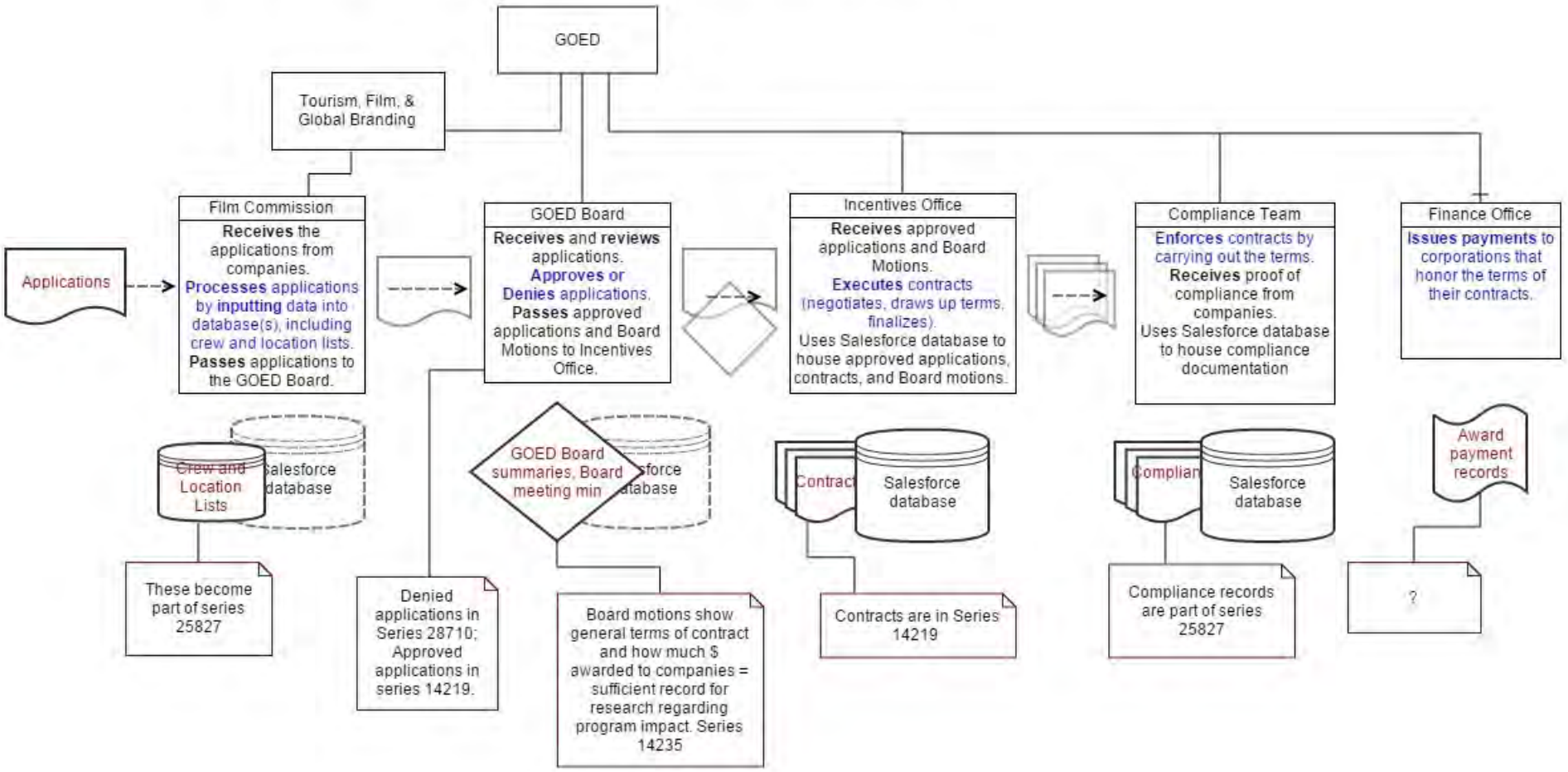
- Governor's Office of Economic Development (GOED) example:

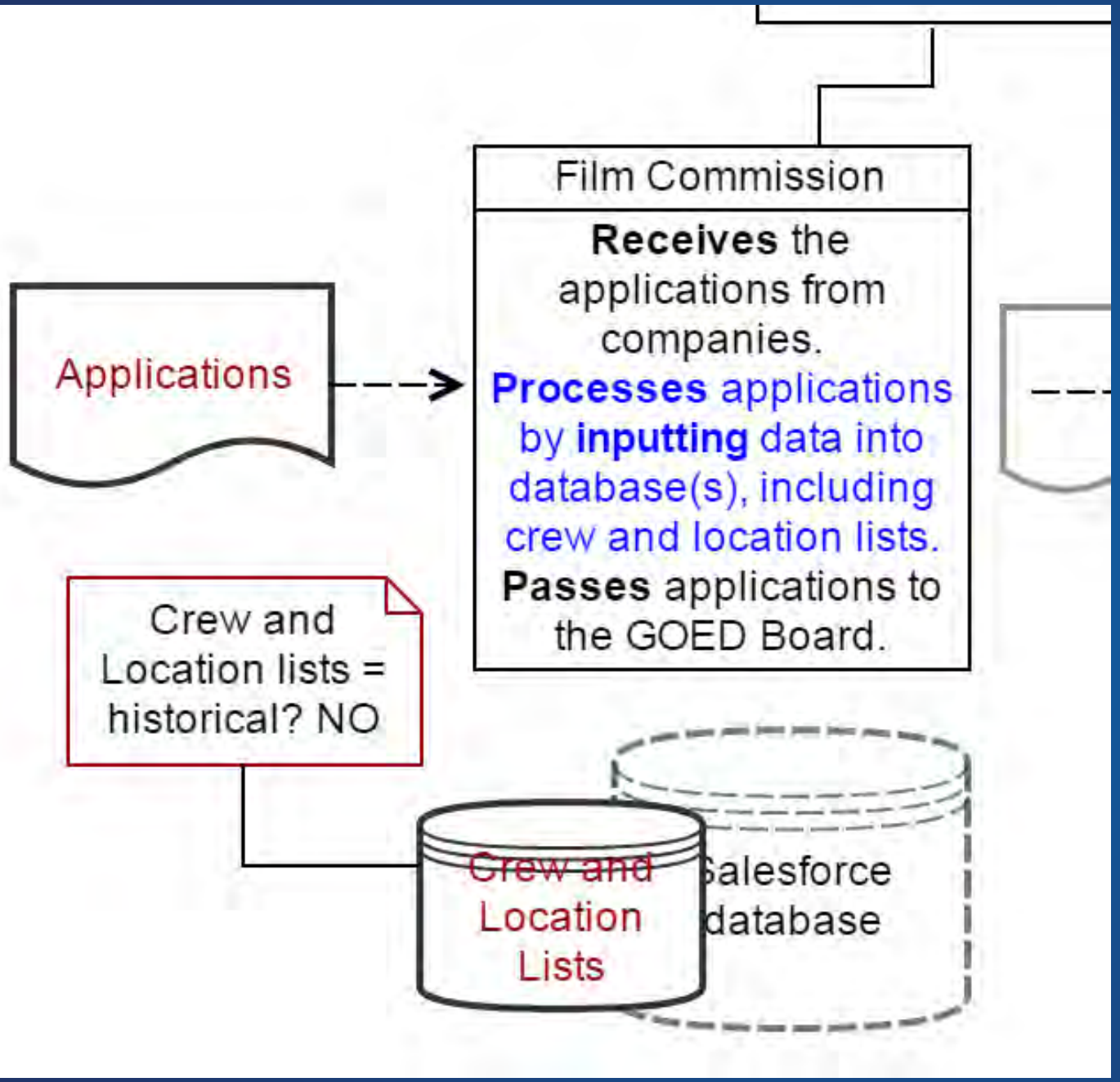
Utah
Code

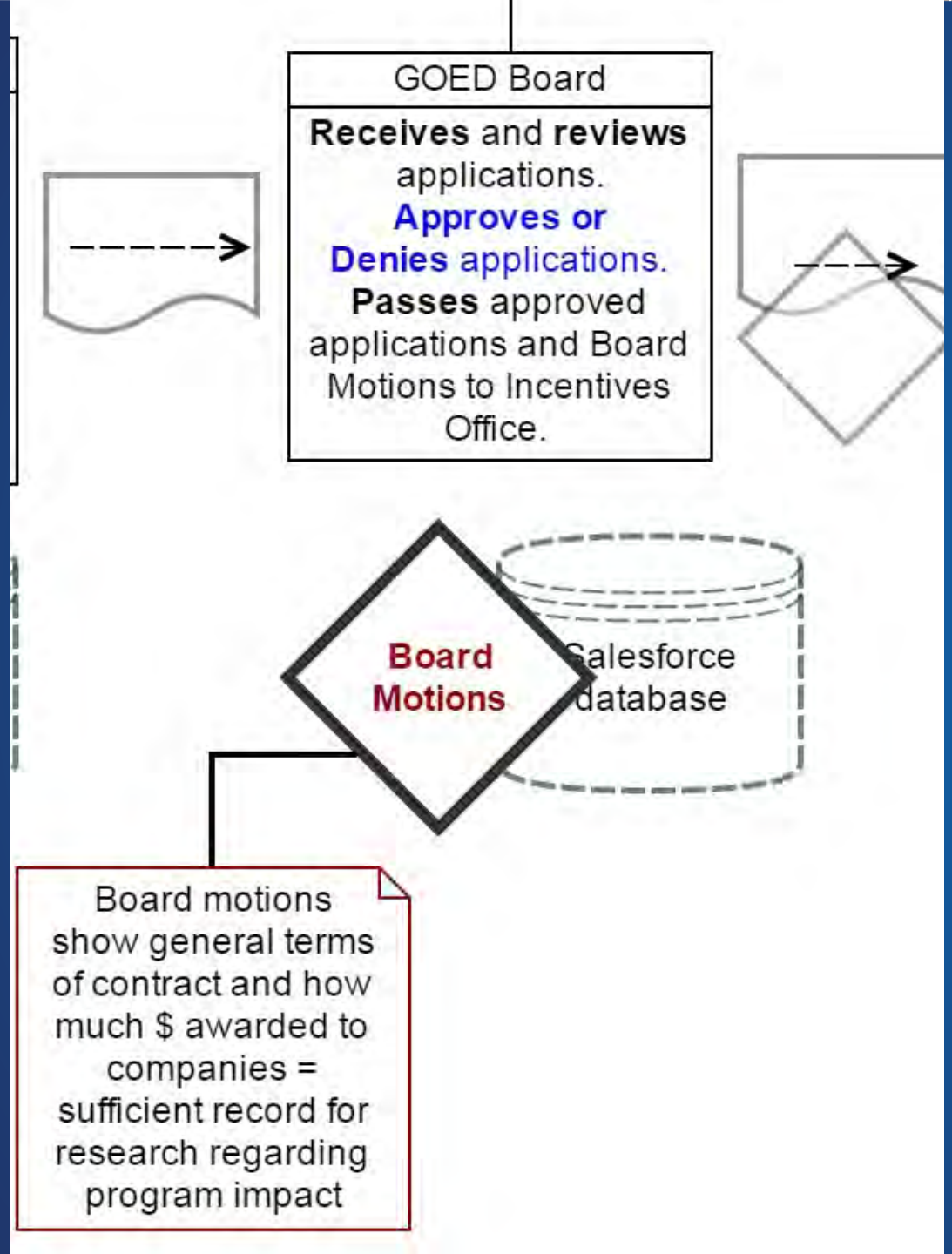
Title 63N	Governor's Office of Economic Development
Chapter 8	Motion Picture Incentives

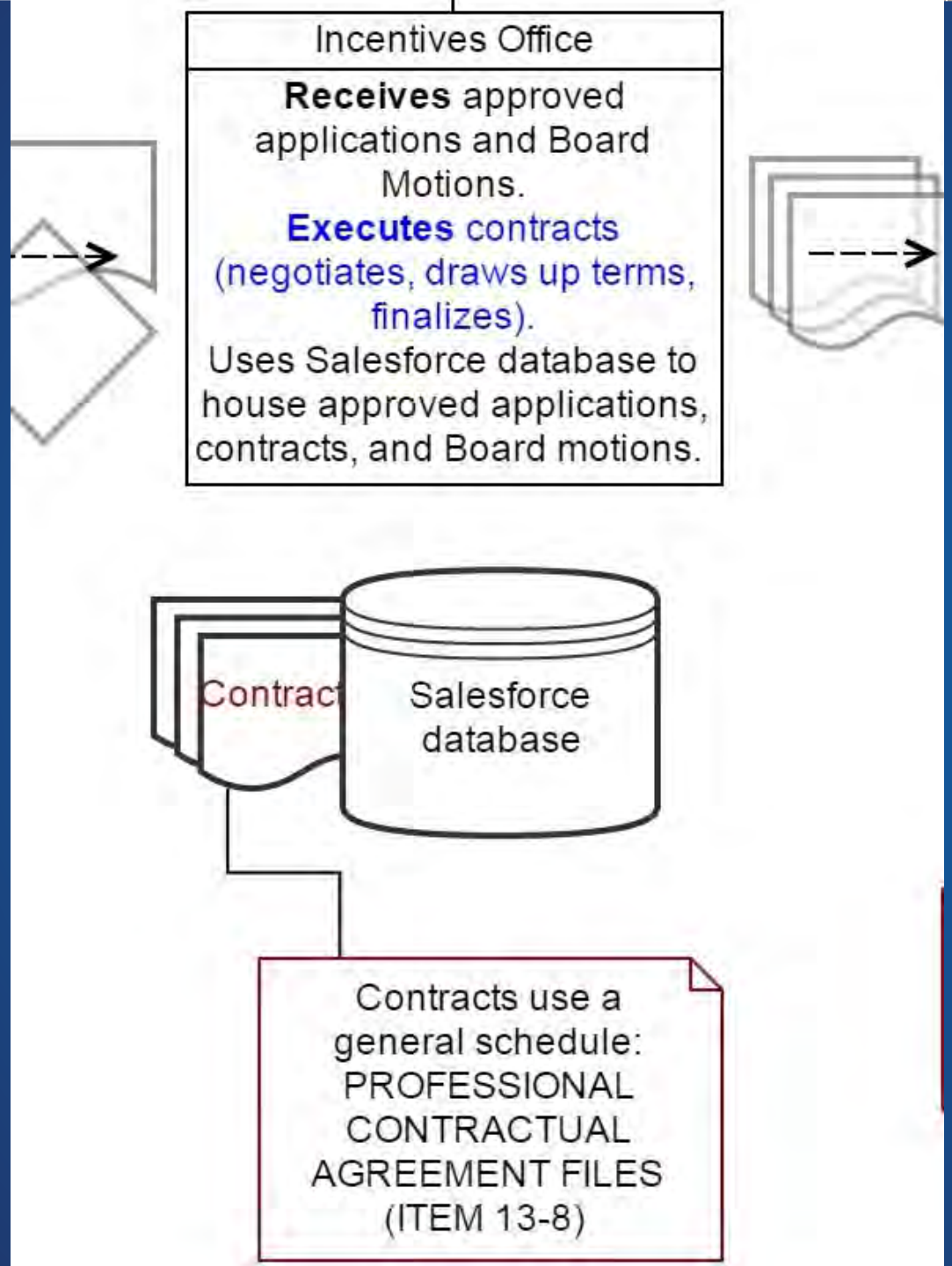
63N-8-104. Motion picture incentives -- Standards to qualify for an incentive -- Limitations -- Content of agreement between office and motion picture company or digital media company.

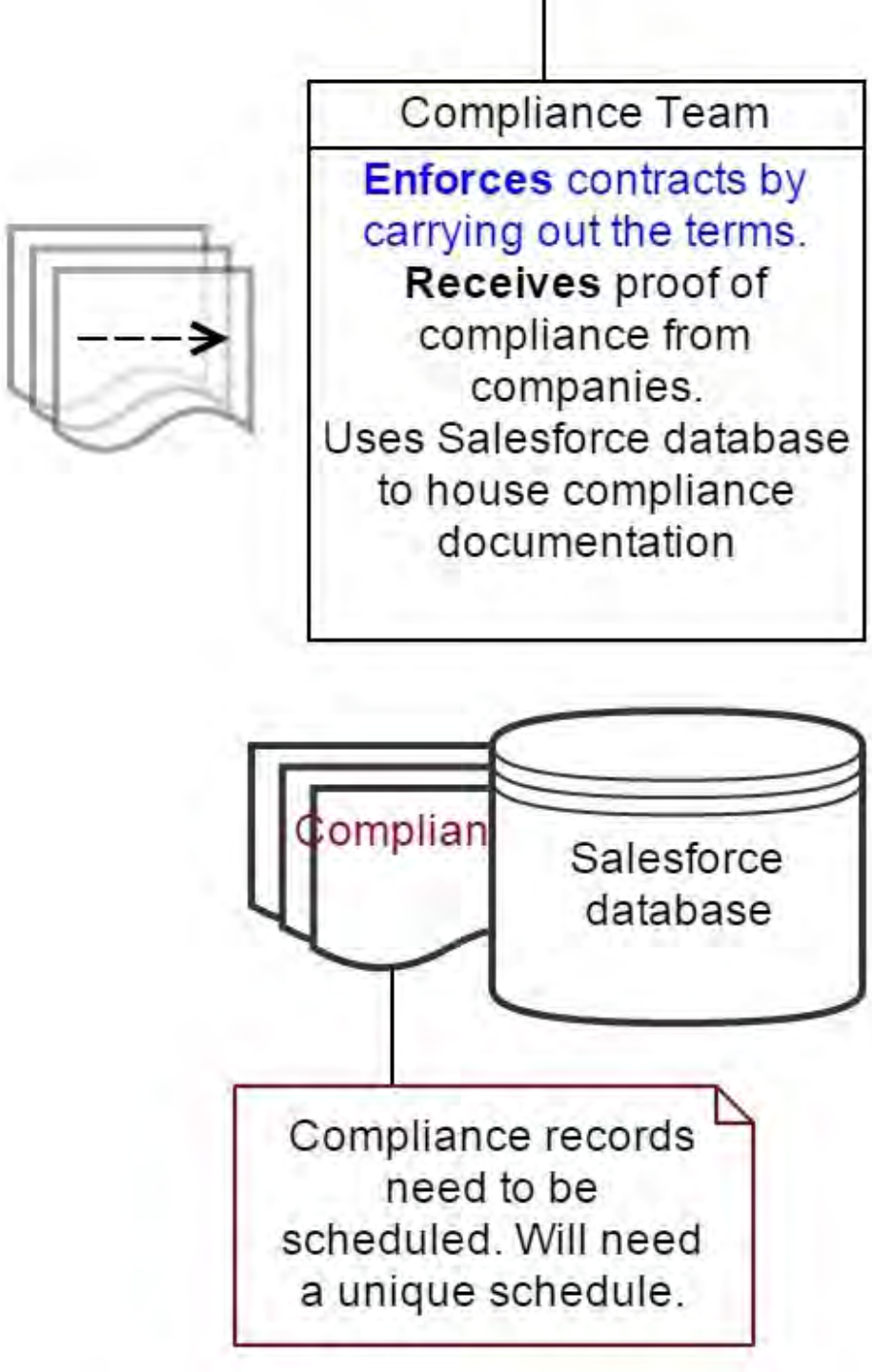
MOTION PICTURE INCENTIVE PROGRAM function flowchart

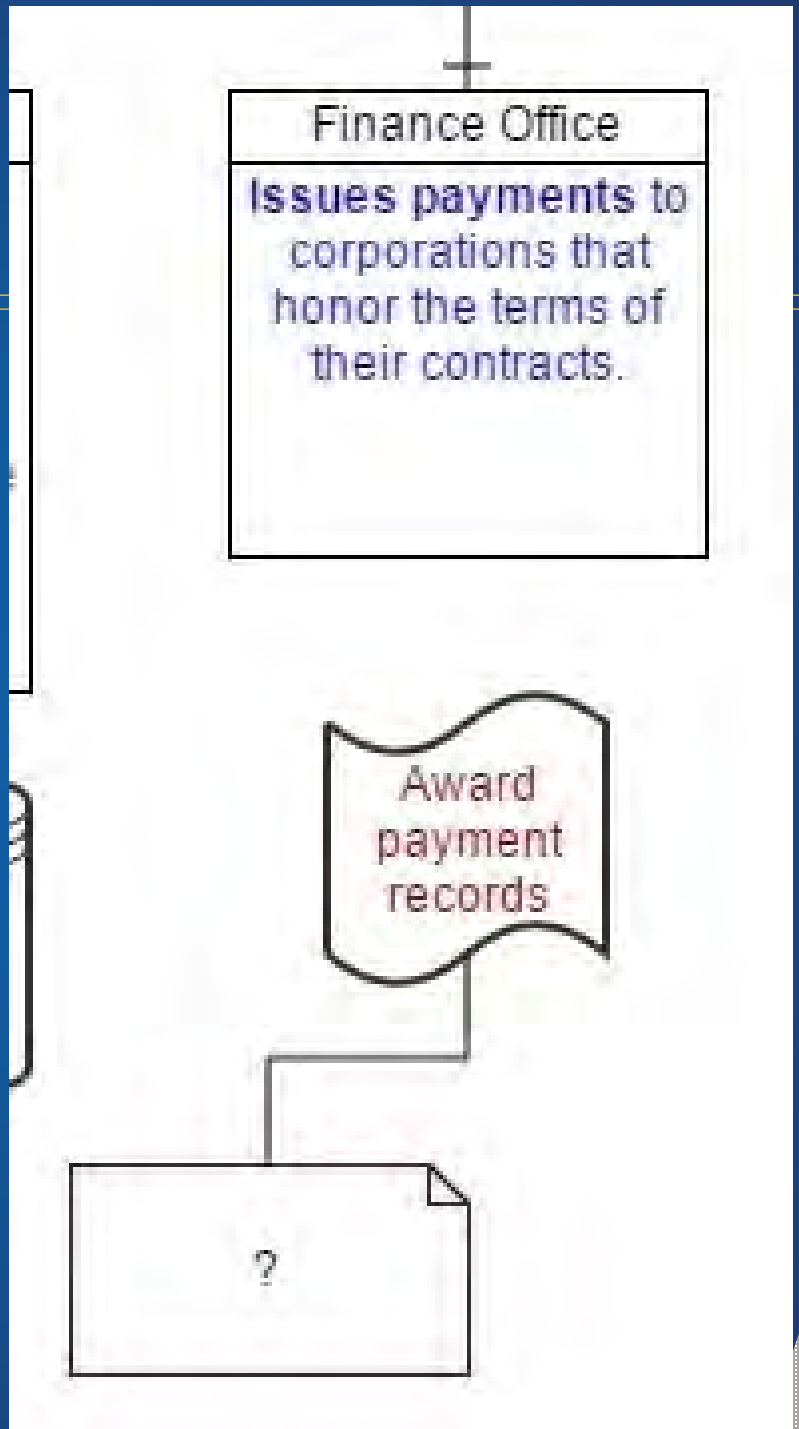



Film Commission
Receives the applications from companies.
Processes applications by inputting data into database(s), including crew and location lists.
Passes applications to the GOED Board.
Applications
Crew and Location lists = historical? NO
Crew and Location Lists
Salesforce database

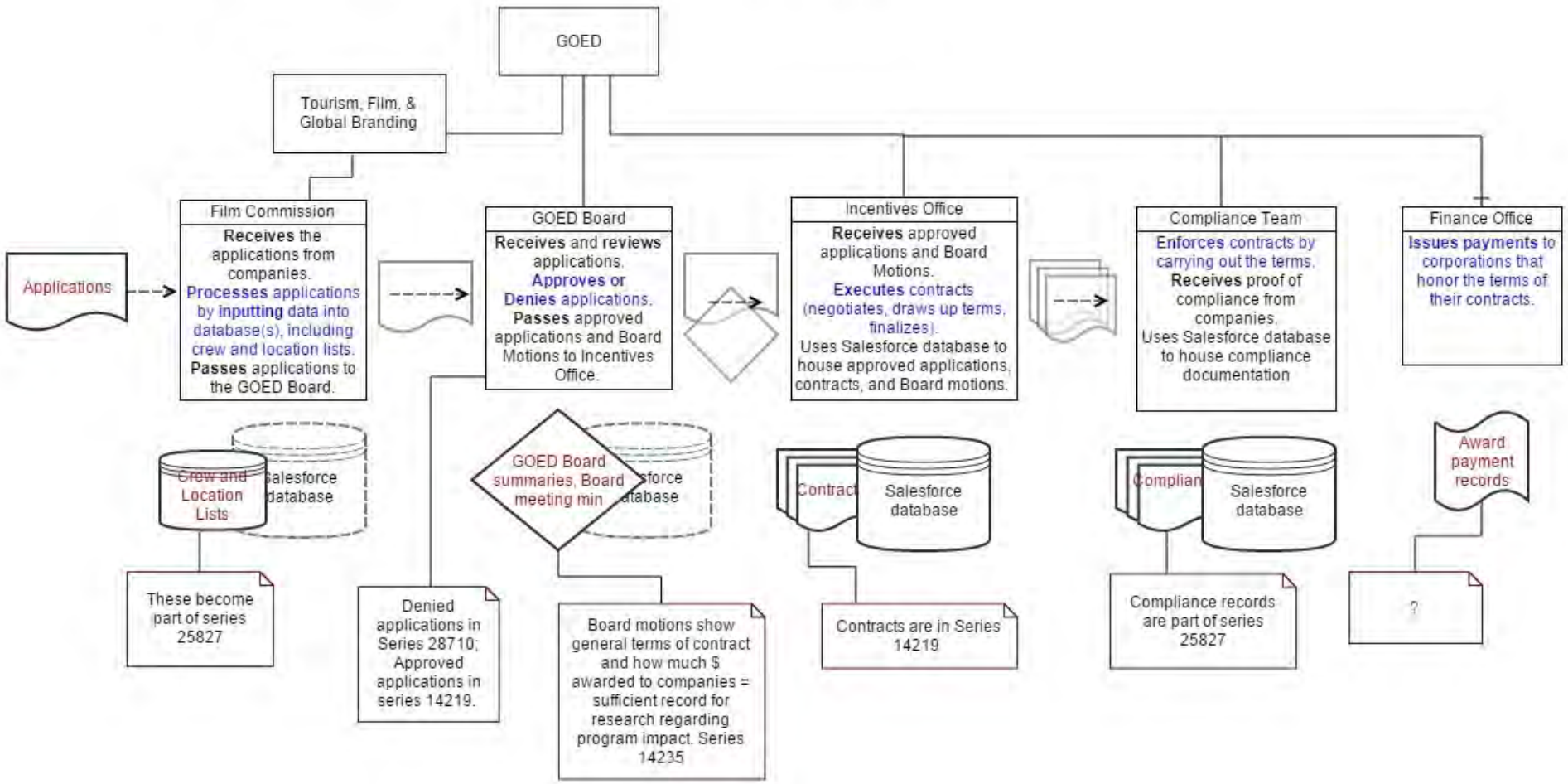

GOED Board
Receives and reviews applications.
Approves or Denies applications.
Passes approved applications and Board Motions to Incentives Office.
Board Motions
Salesforce database
Board motions show general terms of contract and how much $ awarded to companies = sufficient record for research regarding program impact


Incentives Office
Receives approved applications and Board Motions.
Executes contracts (negotiates, draws up terms, finalizes).
Uses Salesforce database to house approved applications, contracts, and Board motions.
Contract
Salesforce database
Contracts use a general schedule: PROFESSIONAL CONTRACTUAL AGREEMENT FILES (ITEM 13-8)


Compliance Team
Enforces contracts by carrying out the terms.
Receives proof of compliance from companies.
Uses Salesforce database to house compliance documentation
Complian
Salesforce database
Compliance records need to be scheduled. Will need a unique schedule.


Finance Office
Issues payments to corporations that honor the terms of their contracts.
Award payment records
?

MOTION PICTURE INCENTIVE PROGRAM function flowchart



Activity: Diagram Your Agency Function

Analyzing your functions and records

http://motherboard.vice.com/read/primitive-asinine-what-real-doctors-think-of-electronic-medical-records

DAS

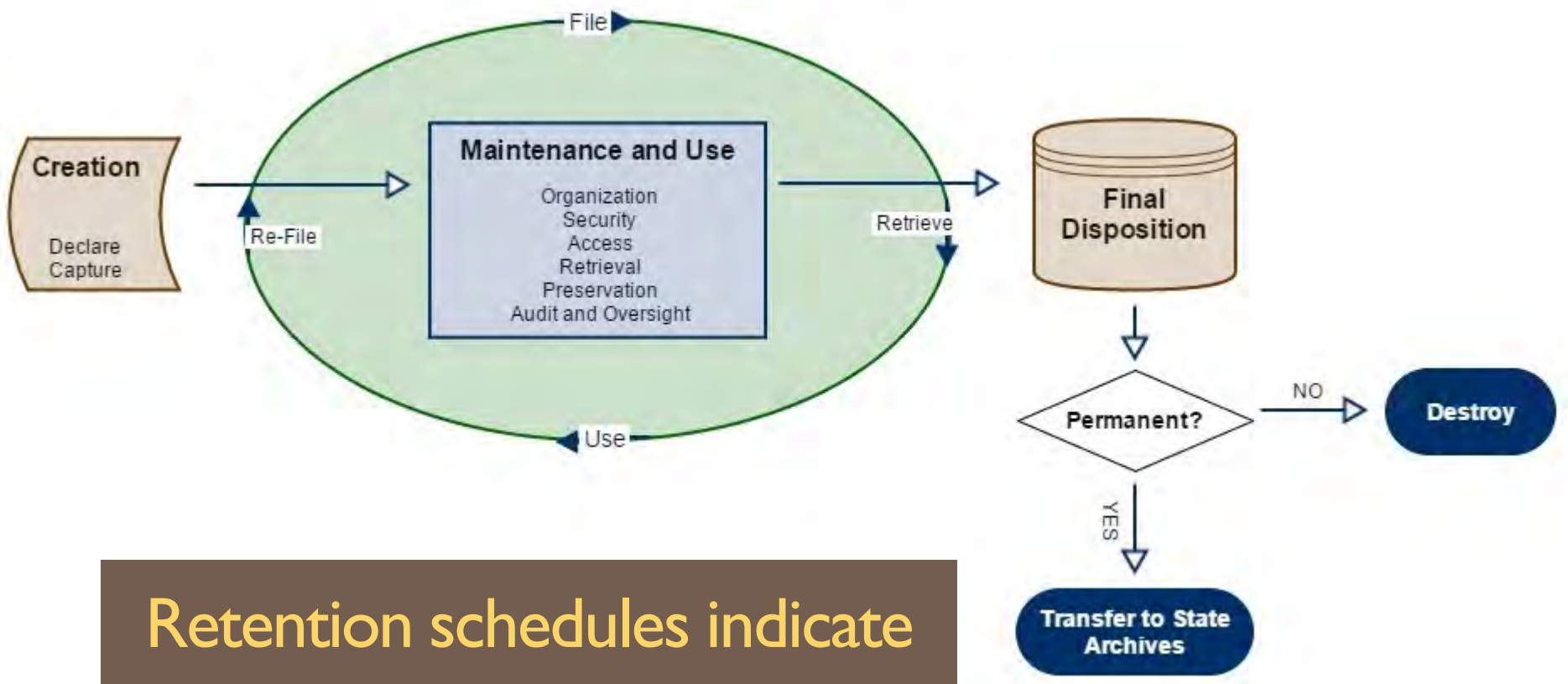
When?

Appraising the Value of Records

https://www.entrepreneur.com/article/252154

- Administrative
- Fiscal
- Legal
- Historical

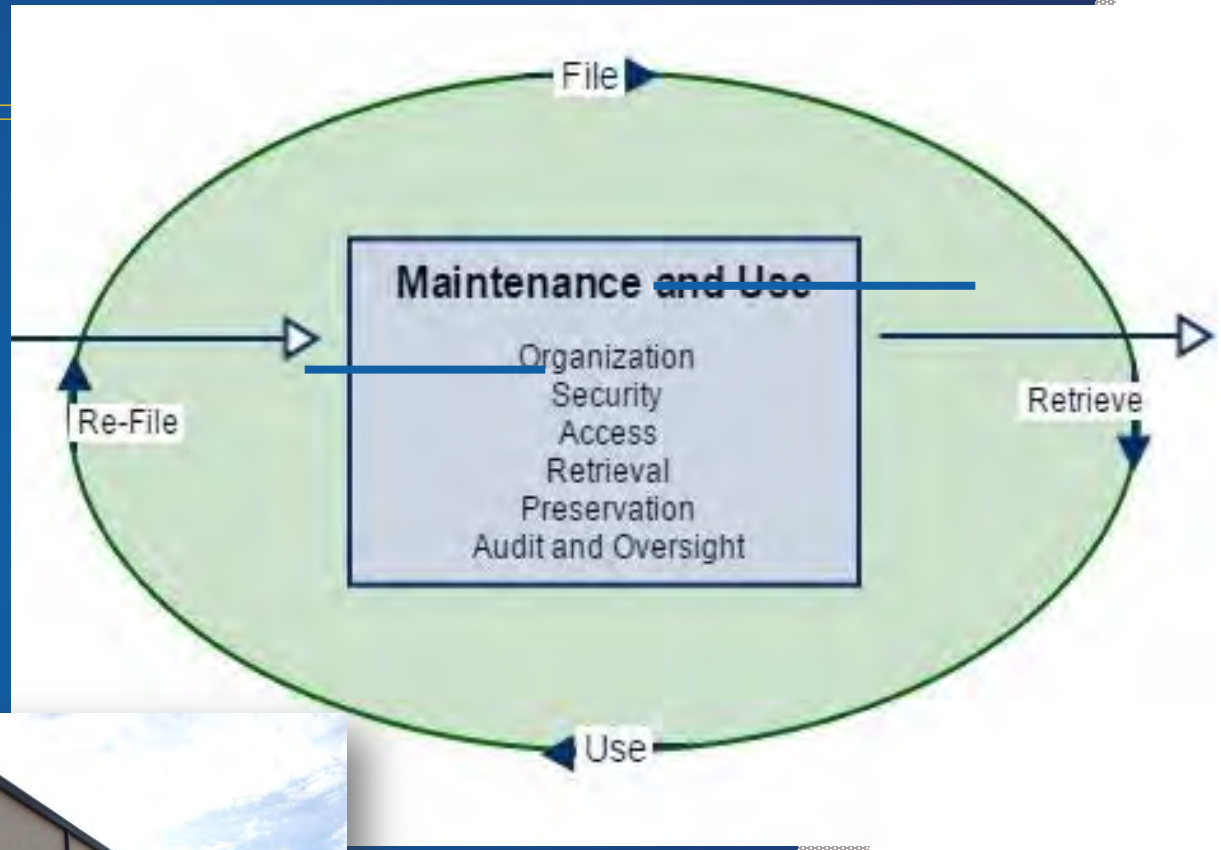
Records have a lifecycle



Retention schedules indicate when records should move through each phase

Retention period in retention schedule

- Time period records maintained **in agency custody**
- Based on:
  - Frequency of use
  - Appraised value
  - Statutes or rules



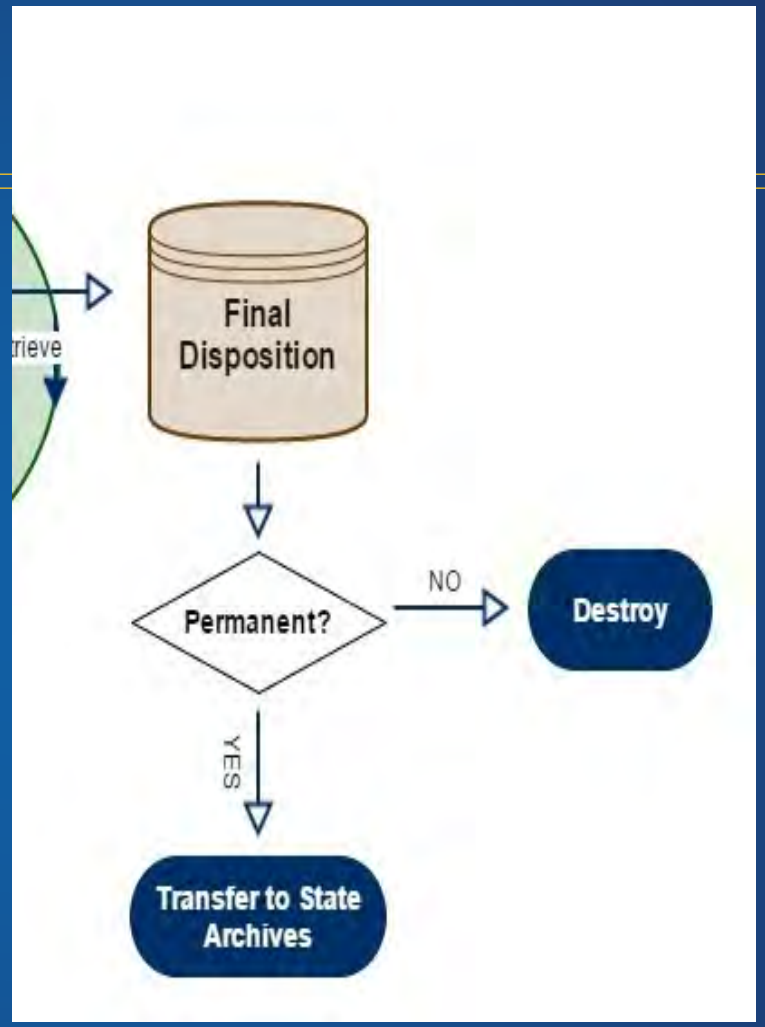
Disposition

- Destroy

  or

- Permanent

(Transfer to the State Archives)



Transfer to State Archives

- Historical value
  - Organization's history
  - Research interest
  - Intrinsic value
    - Age
    - Content
    - Unique features

- State Archives takes custody
  - Preservation
  - Access via Research Center in Salt Lake City

Records are property of the State

caution

Do **not** intentionally

- destroy
- mutilate
- damage
- dispose of

Contrary to a properly adopted retention schedule

Q: What is a record copy of a record?

A) Duplicate copy of a record
B) The one that must follow the retention schedule
C) Original record
D) The one that must be kept permanently

Which is the record copy?

Which is the record copy?

reference

backup

Record Copy

- LEGALLY MANDATED maintained according to schedule

access

audit

Q: Is it okay for agencies to shred the paper copy of the record after they scan it?

A) Yes
B) No
C) Maybe so

http://papershreddernews.com/common-issues-with-paper-shredders/

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http://papershreddernews.com/common-issues-with-paper-shredders/

Evolving Media

http://desktoppub.about.com/od/glossary/g/bondpaper.htm

http://www.hard-teching.com/media-conversion/

http://teachmiddleeast.lib.uchicago.edu/historical-perspectives/the-question-of-identity/before-islam-mesopotamia/image-resource-bank/

http://www.pny.com/lego-usb-flash-drive

http://hifiengine.com/manual_library/ferrograph.shtml

training.kkinet.com

Factors to Consider

- The Law (63A-12-105)
  - Record copy?

Which is the record copy?

Your agency:

- ✓Chooses
- ✓Commits
- ✓Manages all copies
- ✓Preserves
- ✓Disposes

Other types of copies

Security

- Temporary Backup
- Usually at alternate location

Access

- Convenience
- Protect the record copy

Preservation

- Permanent Backup
- Alternate location

DAS

http://desktoppub.about.com/od/glossary/g/bondpaper.htm

http://www.pny.com/lego-usb-flash-drive

Choose media with the function of the copy in mind

http://hifiengine.com/manual_library/ferrograph.shtml

training.kkinet.com

Electronic record satisfies the law

- Uniform Electronic Transactions Act

46-4-301. Retention of electronic records -- Originals.
(1) If a law requires that a record be retained, the requirement is satisfied by retaining an electronic record of the information in the record that:
(a) **accurately reflects the information** set forth in the record after it was first generated in its final form as an electronic record or otherwise; and
(b) **remains accessible** for later reference.

* "...Unless a law enacted after May 1, 2000, specifically prohibits the use of an electronic record for the specified purpose."

Which has the Fullest Information?

Your recent 4im | State of Utah M | rm-self-assess | Saba: SC Resou | State of Utah - | axaem.archives | paper - Google

https://mail.google.com/mail/u/0/?ui=2&ik=cc808d617b&view=pt&search=inbox&th=1577645992d96c45&siml=1577645992d96c45

Kendra Yates <kendrayates@utah.gov>

Your recent 4imprint sample request

1 message

Susan Teting <SusanT@4imprint.com> Thu, Sep 29, 2016 at 8:07 AM
To: kendrayates@utah.gov

Dear Kendra,

I wanted to send a quick note to make sure you have received the samples you requested and to see if there are any questions I can help answer. If you'd like to see a quote, need additional information or would like to take a look at some other samples, just let me know. I'd love to help! If for some reason your package hasn't arrived, let me know and I'll check into that as well.

I am here to help you in any way that I can. Just call us toll-free at 1-877-446-7746, or simply hit reply if you need anything.
Remember, you always get the lowest price and on-time shipment with 4imprint guaranteed!

Thanks,

Susie

Susie Tetting
101 Commerce Street
Oshkosh, WI 54901
Toll Free Phone# 1-877-446-7746

12749547

This email was sent to: kendrayates@utah.gov

Email: To print or not to print, that is the question.

Which has the Fullest Information?

Your recent 4im | State of Utah M | rm-self-assess | Saba: SC Resou | State of Utah - | axaem.archives | paper - Google

https://mail.google.com/mail/u/0/?ui=2 ... 8d617b&view=pt&search=inbox&th=1577645 ... 5&siml=1577645992d96c45

Kendra Yates <kendrayates@utah.gov>

Your recent 4imprint sample r

1 message

Susan Teting <SusanT@4imprint.com> Thu, Sep 29, 2016 at 8:07 AM
To: kendrayates@utah.gov

Dear Kendra,

I wanted to send a quick note to make sure you have received ... I can help answer. If you'd like to see a quote, need additional information or would like to take a look at some other samples, ju ... ckage hasn't arrived, let me know and I'll check into that as well.

I am here to help you in any way that I can. Just call us toll-free at 1-... ing.
Remember, you always get the lowest price and on-time shipment wit

Thanks,

Susie

Susie Tetting
101 Commerce Street
Oshkosh, WI 54901
Toll Free Phone# 1-877-446-7746

12749547

This email was sent to: kendrayates@utah.gov

A Printed email is missing essential metadata

- PDF of the email does not contain all of the associated metadata (i.e., IP addresses)
- Not considered a legitimate version of the record
  - This was established by case law in 1996 when the Supreme Court ruled on Armstrong vs. Executive Office of the President
- Export the emails into EML file format and retain them according to schedule

DAS

Factors to Consider

- The Law
- Liability and Risk Management

Liability and Risk Management: Finding a Balance

Lunch atop a Skyscraper, 1932 photo by Charles C. Ebbets

How important are the records?

Are they subject to audit?

Are they historical?

Are they essential for operating?

Can we migrate the data successfully?

$$$

How stable is my database?

Lunch atop a Skyscraper, 1932 photo by Charles C. Ebbets

Factors to Consider

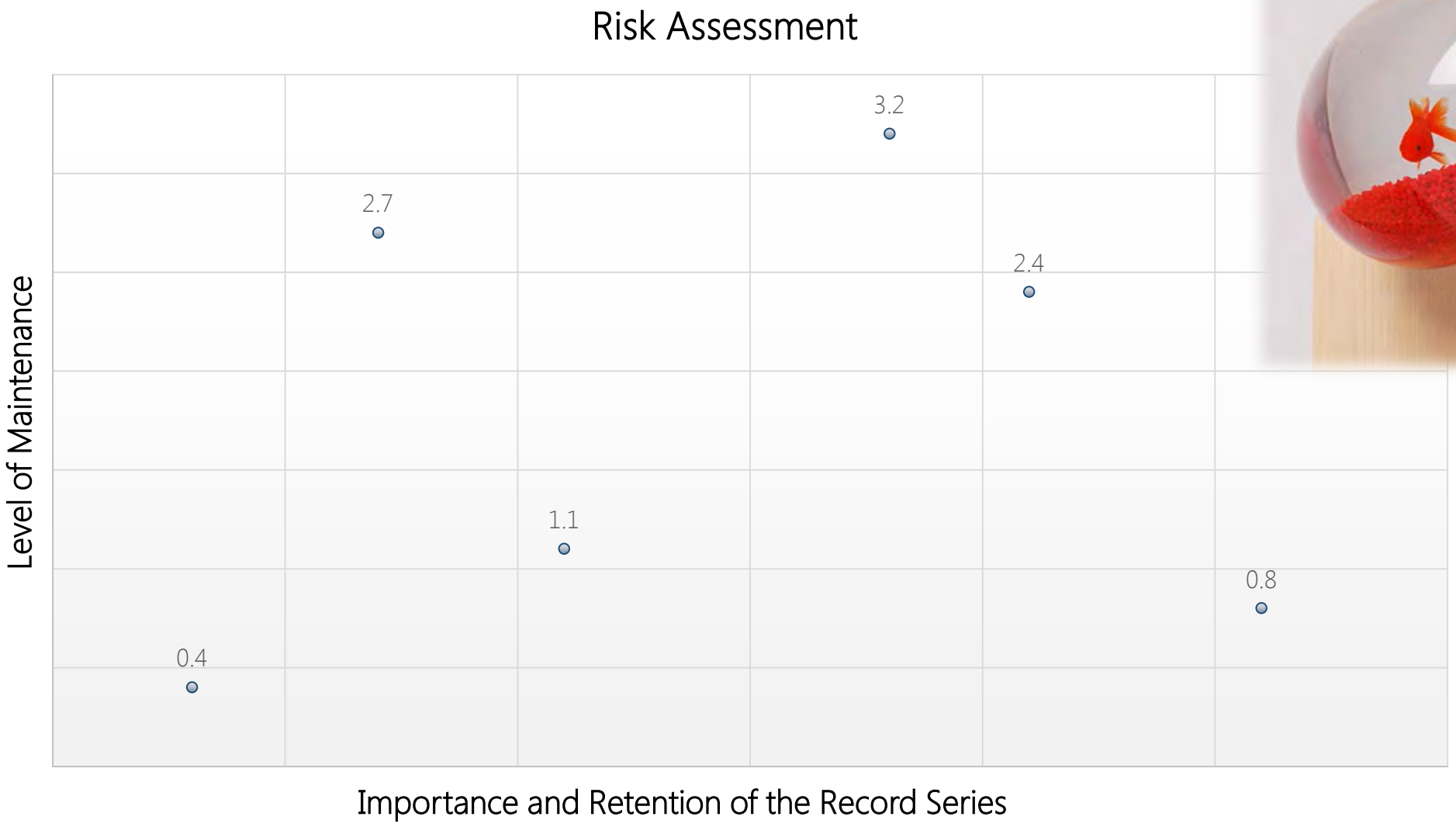
- The Law
- Liability and Risk Management
- Length of Retention

Length of Retention ≥ 10 years?

http://thegadgetflow.com/portfolio/bubble-tank-psalt-design/

Data Migration: **Transferring or converting data from one technology to another in order to keep it accessible and preserve its essential characteristics (integrity) over time.**

Finding a balance



Factors to Consider

- The Law
- Liability and Risk Management
- Length of Retention
- Difficulty of Protecting the Record

DAS

Must be protected

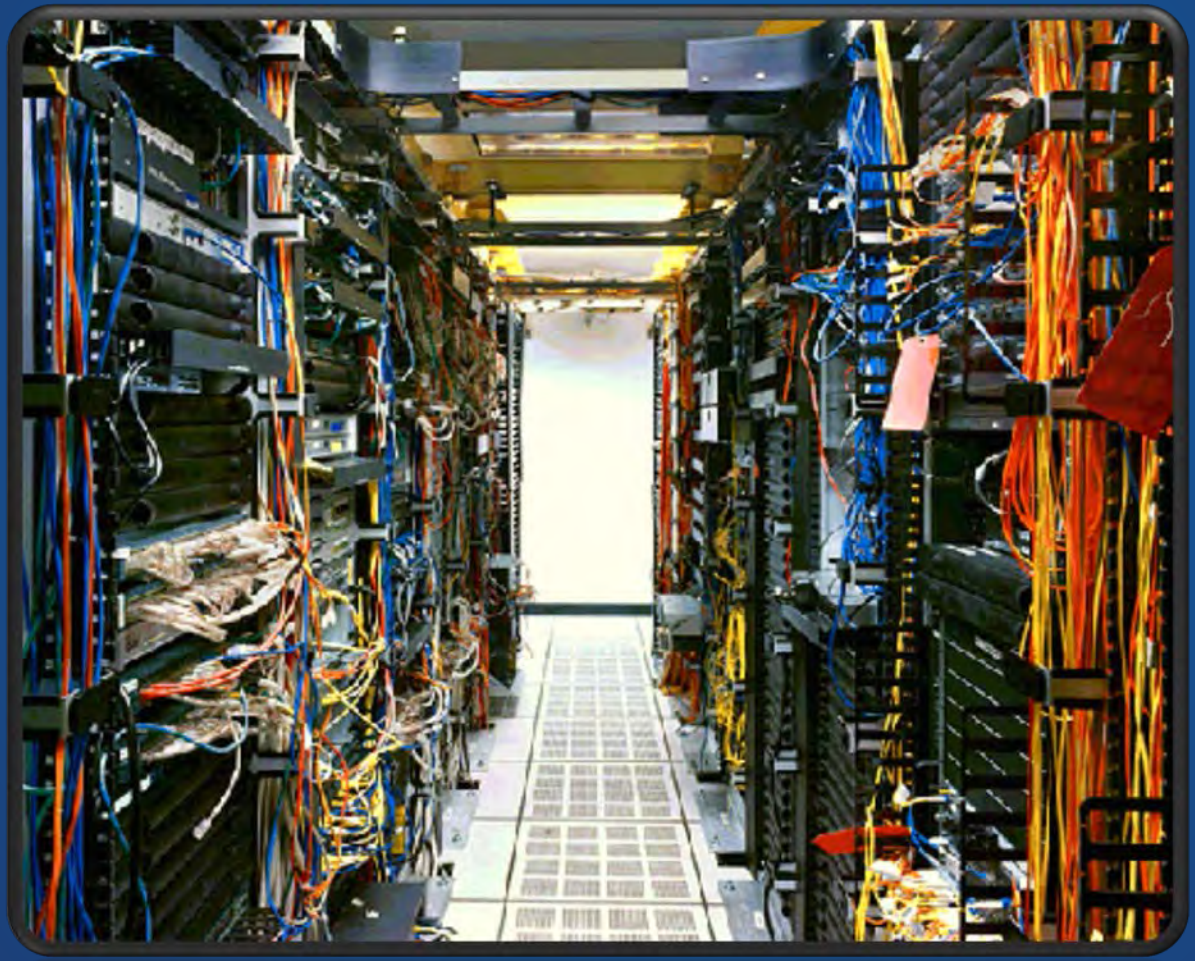
- Security protocols, approved administrators and users
- System checks and error-checking utilities
- Disaster preparedness measures
- Backups stored in multiple locations at least 50 miles off-site
- Migration of data

https://antmanaras.wordpress.com/2012/09/25/hsts-http-strict-transport-security/

Factors to Consider

- The Law
- Liability and Risk Management
- Length of Retention
- Difficulty of Protecting the Record
- Cost

Cost



http://wikibon.org/blog/inside-ten-of-the-worlds-largest-data-centers/

http://all-free-download.com/free-vector/vector-weight-balance-scale.html

The State Archives wants to know if your agency decides to go paperless

Group Discussion:

Q: What are the most difficult records to manage?

Q: What is the hardest part of managing records?

Questions?

Take a break. Cleanse your palette

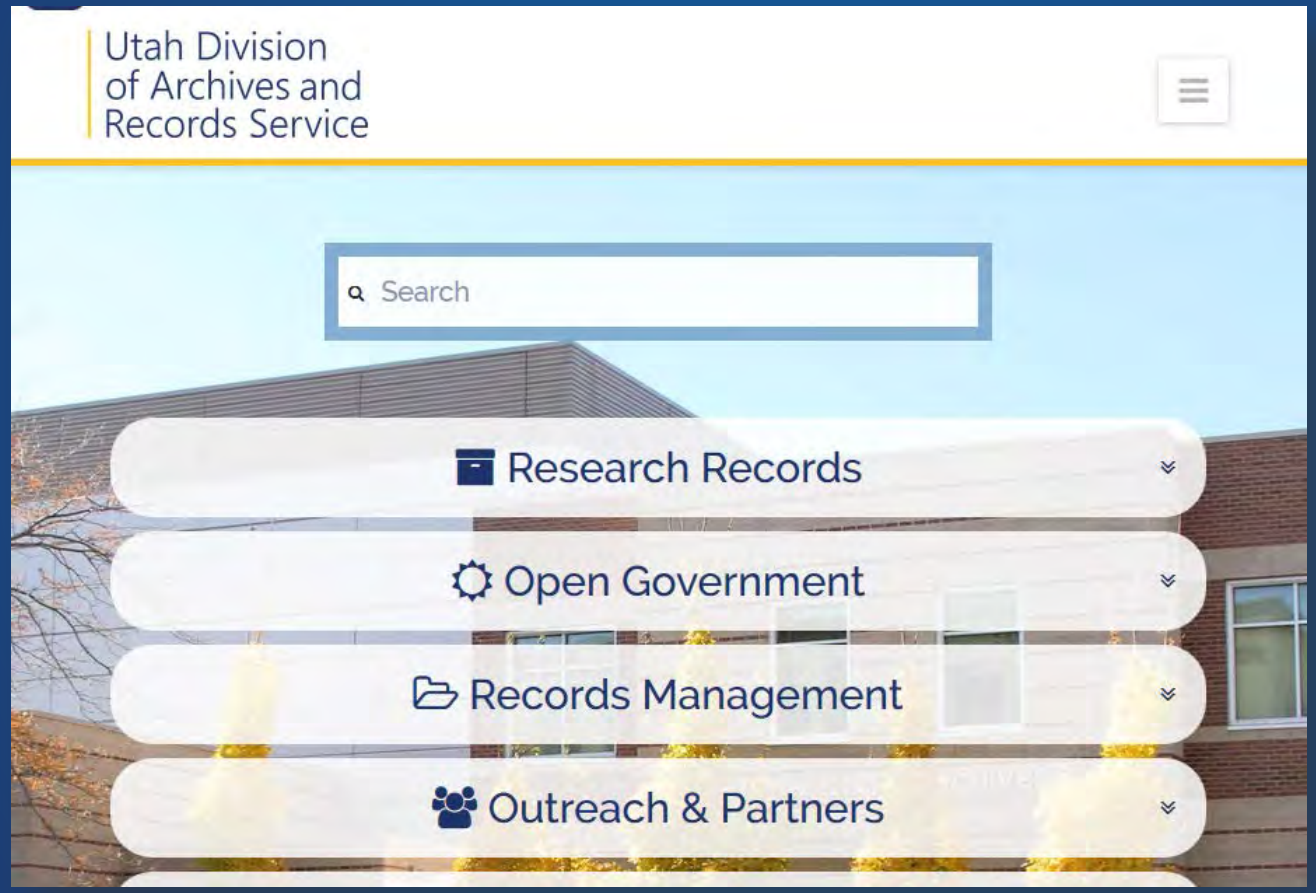
How?

10 Steps for Implementing Retention Schedules

http://www.licc.org.uk/imagine-church/signposts/three-practical-steps/

1. Find your retention schedules
2. Understand your retention schedules
3. Inventory your records
4. Get staff feedback
5. Establish plans
6. Update your retention schedules
7. Assign and train staff members
8. Organize your records
9. Transfer records as necessary
10. Destroy records as necessary

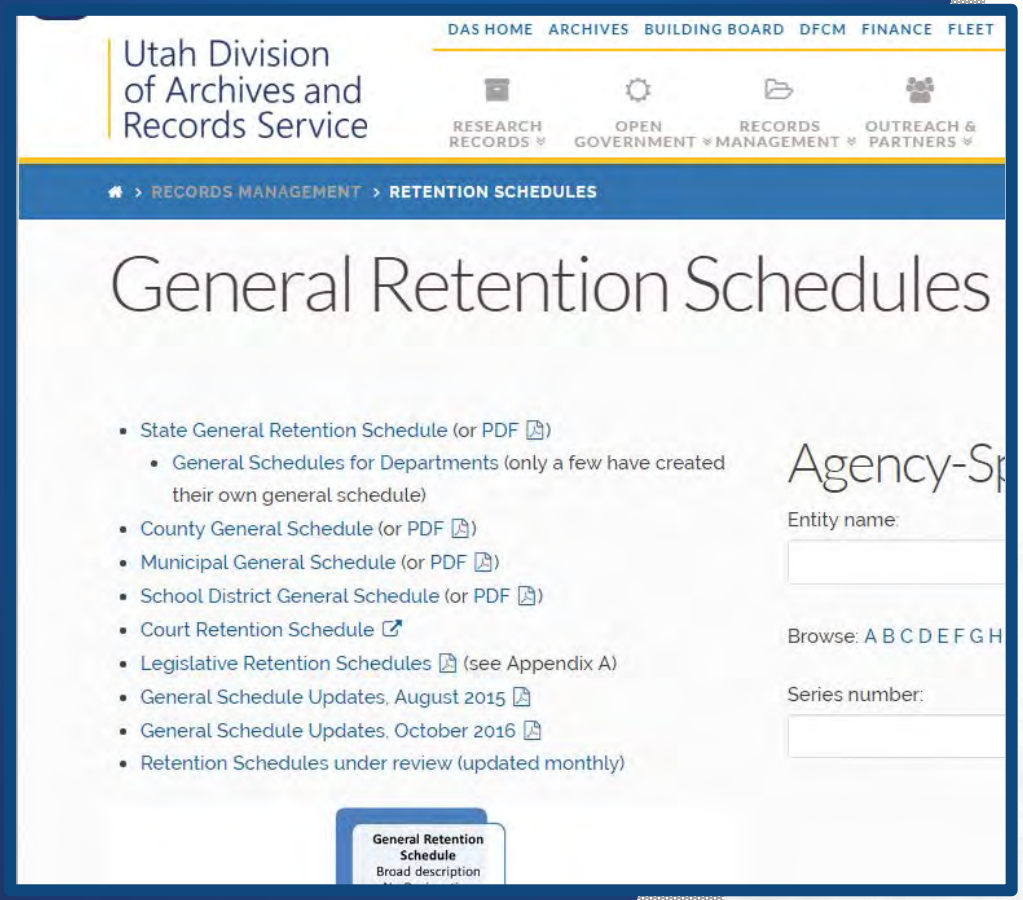
What are the two primary types of retention schedules?



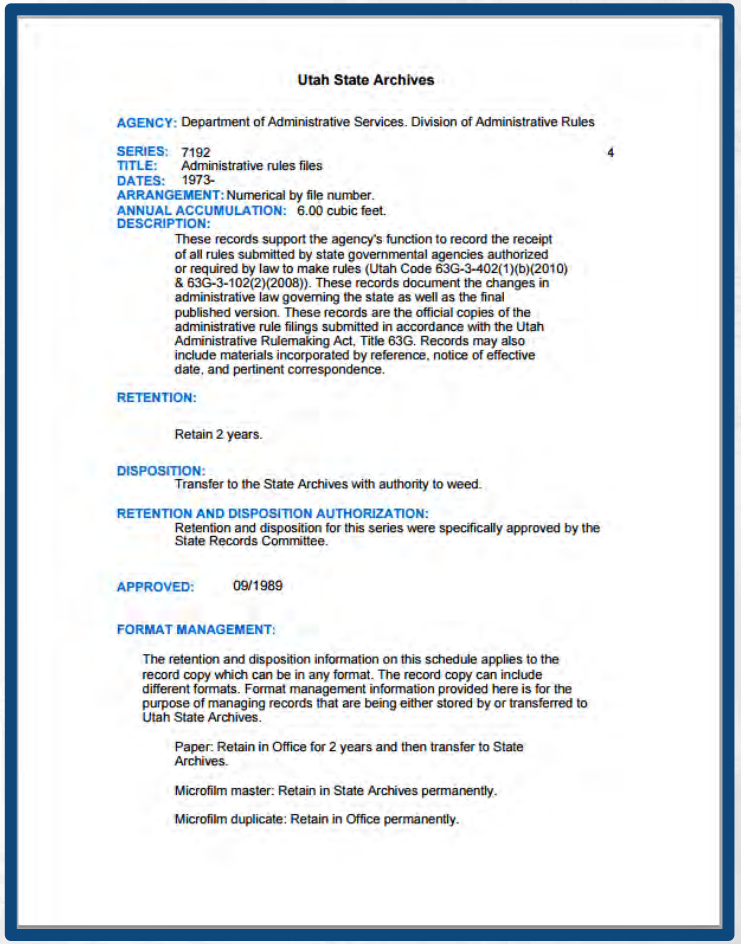
Archives.utah.gov

Retention Schedule Types

- General Retention Schedule



- Series-specific Retention Schedule



Utah State Archives

AGENCY: Department of Administrative Services. Division of Administrative Rules

SERIES: 7192 4
TITLE: Administrative rules files
DATES: 1973-
ARRANGEMENT: Numerical by file number.
ANNUAL ACCUMULATION: 6.00 cubic feet.
DESCRIPTION:
These records support the agency's function to record the receipt of all rules submitted by state governmental agencies authorized or required by law to make rules (Utah Code 63G-3-402(1)(b)(2010) & 63G-3-102(2)(2008)). These records document the changes in administrative law governing the state as well as the final published version. These records are the official copies of the administrative rule filings submitted in accordance with the Utah Administrative Rulemaking Act, Title 63G. Records may also include materials incorporated by reference, notice of effective date, and pertinent correspondence.

RETENTION:

Retain 2 years.

DISPOSITION:
Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:
Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1989

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Archives.

Microfilm master: Retain in State Archives permanently.

Microfilm duplicate: Retain in Office permanently.

When do you need a series-specific schedule?

- Not depicted on any GRS
- Retention period different than the GRS
- Tracked by state:
  - Stored at the State Records Center
  - Reformatted by Microphotography section
  - Preserved at the State Archives
- Internal records management purposes (e.g. classification, file plan, etc.) [OPTIONAL]

Approval Authority for Retention Schedules

State Records Committee
(SRC)

Approval Authority for Retention Schedules

State Records Committee (SRC)

OPEN MEETING MINUTES AND PUBLIC MATERIALS (ITEM 1-59)

Approved minutes of an open meeting are the official record of the meeting of a public body. Contained in or with the minutes shall be the substance of all matters proposed, discussed or decided and votes taken (Utah Code 52-4-203(2014)). This includes the agenda, notices, and any public materials distributed at the meeting.

RETENTION

Permanent. May be transferred to the State Archives.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/14)

Date on which the State Records Committee approved the schedule

OPEN MEETING RECORDINGS (ITEM 1-65)

Audio or video recordings document what transpired in open meetings of public bodies and are the official record of the meeting until the meeting minutes are approved (Utah Code 52-4-203(2014)).

RETENTION

Retain 3 years after official written minutes are approved and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/2014)

- Once a schedule has been approved, it is considered active, and supersedes all previous versions of that schedule.

- Records being managed according to these schedules must align with the current general schedule description and retention, regardless of their creation date.

Need Feedback from Stakeholders

Records Keepers – Utah State Archives

State & Local Government Records Service

About | Meet the Authors | Online Records Officer Certification FAQ

New County Petition General Schedule

June 9, 2016 rebekkahshaw Leave a comment Edit

No schedules will be presented to the State Records Committee today, but we anticipate the previously posted financial schedules and the following two county schedules will be presented July 7th.

We are updating county schedule 14-32, but the retention will not change. We also propose adding a new schedule for the signature sheets related to petitions. If you have input or questions regarding these schedules, please contact Rebekkah Shaw at rshaw@utah.gov or 801-531-3851.

Petition Signature Records

These records are petition signature sheets signed by individuals wishing to add a candidate or initiatives to the election ballot. Signatures are verified to determine whether petitioners are

- Email
- Website
- Blog
- In-person

You!

Recordskeepers.blog

http://www.eliooowners.com/threads/if-you-dont-believe.5792/page-14

Process for Creating a Series-specific Retention Schedule

Gov. Agency

- Submits proposed Retention Schedule
- Answers questions about records
- CAO signs finished proposed schedule

State Archives

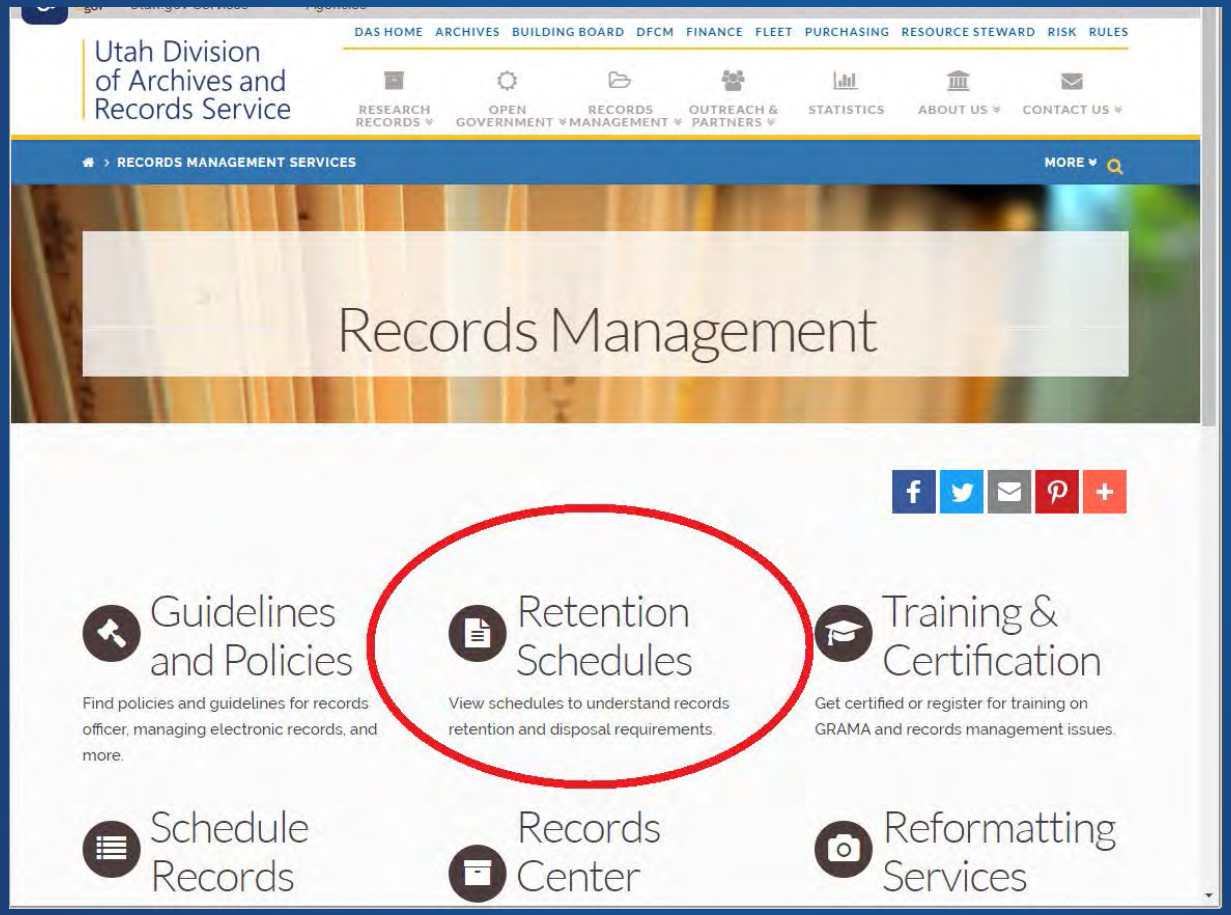
- Reviews and revises
- Asks questions
- Posts proposed schedule online
- Submits schedule to SRC for approval

State Records Committee

- Reviews proposed retention schedule
- Discusses schedule at open meeting
- Approves, tables, or denies schedule

DAS

Using Retention Schedules
Step 1: Find them



Archives.utah.gov

Using Retention Schedules
Step 1: Find them

Utah Division of Archives and Records Service

DAS HOME ARCHIVES BUILDING BOARD DFCM FINANCE FLEET PURCHASING RESOURCE STEWARD RISK RULES

RESEARCH RECORDS OPEN GOVERNMENT RECORDS MANAGEMENT OUTREACH & PARTNERS STATISTICS ABOUT US CONTACT US

RECORDS MANAGEMENT > RETENTION SCHEDULES MORE

General Retention Schedules

- State General Retention Schedule (or PDF)
  - General Schedules for Departments (only a few have created their own general schedule)
- County General Schedule (or PDF)
- Municipal General Schedule (or PDF)
- School District General Schedule (or PDF)
- Court Retention Schedule
- Legislative Retention Schedules (see Appendix A)
- General Schedule Updates, August 2015
- General Schedule Updates, October 2016
- Retention Schedules under review (updated monthly)

General Retention Schedule
Broad description

Agency-Specific Schedules

Entity name:

Search

Browse: A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

Series number:

Search

Archives.utah.gov

Using Retention Schedules
Step 2: Understand them

General Retention Schedules

Open Meeting Minutes and Public Materials (SG 1-59)

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Permanent. May be transferred to the State Archives.

(Approved 07/2014)

Open Meeting Recordings (SG 1-65)

Audio or video recordings document what transpired in open meetings of public bodies and are the official record of the meeting until the meeting minutes are approved (Utah Code 52-4-203(2014)).

Retention

Retain 3 years after official written minutes are approved and then destroy.

(Approved 07/2014)

Series-specific Retention Schedules

Utah State Archives

AGENCY: Department of Administrative Services. Division of Administrative Rules

SERIES: 7192 4
TITLE: Administrative rules files
DATES: 1973-
ARRANGEMENT: Numerical by file number.
ANNUAL ACCUMULATION: 6.00 cubic feet.
DESCRIPTION:
These records support the agency's function to record the receipt of all rules submitted by state governmental agencies authorized or required by law to make rules (Utah Code 63G-3-402(1)(b)(2010) & 63G-3-102(2)(2008)). These records document the changes in administrative law governing the state as well as the final published version. These records are the official copies of the administrative rule filings submitted in accordance with the Utah Administrative Rulemaking Act, Title 63G. Records may also include materials incorporated by reference, notice of effective date, and pertinent correspondence.

RETENTION:

Retain 2 years.

DISPOSITION:
Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:
Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1989

Open Meeting Minutes and Public Materials (SG 1-59)

Approved minutes of an open meeting are the official record of the meeting of a public body. Contained in or with the minutes shall be the substance of all matters proposed, discussed or decided and votes taken (Utah Code 52-4-203(2014)). This includes the agenda, notices, and any public materials distributed at the meeting.

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(Approved 07/2014)

Descriptions

Open Meeting Minutes and Public Materials (SG 1-59)

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(Approved 07/2014)

Notice the very different retention and disposition for these very similar records.

Series-specific Retention Schedules

HTML version on web page

AGENCY: Department of Administrative Services. Division of Administrative Rules

SERIES: 7192
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RETENTION

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DISPOSITION

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1989

PDF version

Utah State Archives

AGENCY: Department of Administrative Services. Division of Administrative Rules

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RETENTION:

Retain 2 years.

DISPOSITION:
Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:
Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1989

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Archives.

Microfilm master: Retain in State Archives permanently.

Microfilm duplicate: Retain in Office permanently.

Series-specific Retention Schedules

Series number

AGENCY: Department of Administrative Services. Division of Administrative Rules

SERIES: 7192 4
TITLE: Administrative rules files
DATES: 1973-

- Unique identifier
- Important for tracking

Title

SERIES: 7192 4
TITLE: Administrative rules files
DATES: 1973-
ARRANGEMENT: Numerical by file number

- No jargon
- No acronyms

Multiple Objectives of Retention Schedules

- Legal authority for records retention
- Practical management of records
  - Agency records managers
  - State Archives' staff
- Inform the public
- Promote government transparency

Series-specific Retention Schedules

Description

ANNUAL ACCUMULATION: 6.00 cubic feet.

DESCRIPTION:

These records support the agency's function to record the receipt of all rules submitted by state governmental agencies authorized or required by law to make rules (Utah Code 63G-3-402(1)(b)(2010) & 63G-3-102(2)(2008)). These records document the changes in administrative law governing the state as well as the final published version. These records are the official copies of the administrative rule filings submitted in accordance with the Utah Administrative Rulemaking Act, Title 63G. Records may also include materials incorporated by reference, notice of effective date, and pertinent correspondence.

- Understandable for general public
- Tells us:
  - Government functions
  - How records are used
  - Information contained

Series-specific Retention Schedules

Series Dates

TITLE: Administrative rules files
DATES: 1973-
ARRANGEMENT: Numerical by file number.
ANNUAL ACCUMULATION: 6.00 cubic feet

- All years they were created
- Closed with a period **if:**
  - No longer created
  - Managed in a different series

Appraisal

APPRAISAL:

Administrative Historical Legal
This disposition is based on the historical value of the records. Administrative Rules have the force and effect of law when implemented and are frequently used to determine how statutes are implemented by the agencies responsible for administering regulatory programs.

- Assigning Value
  - Administrative, Fiscal, Legal, or Historical
- Used to determine retention and disposition

DAS

Series-specific Retention Schedules

Retention

RETENTION:

Retain 2 years.

- Time in agency custody
- On-site or off-site

Disposition

DISPOSITION:
Transfer to the State Archives with authority to weed.

- What happens after retentio
- Destroy or Transfer to Archives

Authorization Information

DISPOSITION:
Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:
Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1989

FORMAT MANAGEMENT:

- Using GRS or approved by SRC?
- Date of authorization

Training on Retention Schedules

- June 29 in SLC
- August 3 in SLC
- August 24 in Logan
- September 19 in Moab
- October 17 in SLC
- November 14 in St. George
- December 12 in SLC

Register: openrecords.utah.gov
archives.utah.gov

DAS

Step 3: Inventory your agency's records

- Map out your business processes
- Search all possible locations
- Enlist help
- Write it all down

Series Title	Associated Function	Retention	Disposition (Permanent?)	GRAMA designation	Location	Format(s)

Step 4: Get staff feedback

- Distribute retention schedules
- Ask questions about their processes
- Note discrepancies
- Determine what needs to be updated

http://www.cxcompany.com/nl/blog/feedback-from-customers

Step 5: Establish plans

- Reformatting
- Data migration
- Records storage
  - Paper
  - Computer data files

Step 5: Establish plans

- Reformatting
- Data migration
- Records storage
  - Paper
  - Computer data files

Migration Plan Includes:

- what will be migrated
- where the record content and metadata are
- what people and tools will be used to migrate the data
- how risks to the data will be managed during the process

Step 5: Establish plans

- Reformatting
- Data migration
- Records storage
  - Paper
  - Computer data files

Off-site Storage Facility Standards

- Secure, stable conditions:
  - Meets fire code
  - Not on a flood plain
  - No water leaks
  - No pest infestations
  - Anti-intrusion alarm system
  - Environmental controls

http://cool.conservation-us.org/byorg/abbey/an/an21/an21-8/an21-802.html

Step 5: Establish plans

- Reformatting
- Data migration
- Records storage
  - Paper
  - Computer data files

Q: Which of the following is NOT a reliable long-term data storage medium?

A) Flash drive/USB drive/Thumb drive
B) Magnetic tape
C) Solid state drive
D) Cloud storage

Data Storage: Offline Options

ARCHIVE AND RECORDS MANAGEMENT

FISCAL YEAR 2014 ARCHIVE MEDIA TRADE STUDY

Drive	Design criteria	Capacity	Media cost	Drive compatibility	Transfer rate	Drive cost	Vendor analyses	Scenario cost
T10000D	8.2	10.0	7.9	8.0	9.1	7.4	4.8	7.5
HP LTO6	7.0	2.9	10.0	8.0	5.8	10.0	7.3	10.0
IBM TS1140	10.0	4.8	4.0	10.0	10.0	8.5	10.0	7.2

Conclusions and Recommendations for USGS Offline Archiving Requirements

Data Storage: Cloud Computing

http://www.computerweekly.com/news/2240235007/NetApp-Hybrid-cloud-storage-is-a-big-deal-flash-is-not

Vendor Contract Points

- Protection
- Security and Auditing
- Down time/service restoration—redundancy?
- Proprietary programming codes?
- Legal Discovery and GRAMA Compliance
- Authenticity and Integrity
  - $$$ for running checksums?
- Etcetera

http://systemsandsoftware.com/5-safety-concerns-with-cloud-data-storage-answered/

Questions?

Take a break. Cleanse your palette

Step 6: Update your retention schedules

- Via a records analyst at the State Archives
- Complete online forms
- Work with analyst to clarify

Archives.utah.gov

Step 7: Assign and train staff members

- Determine who will
  - Track each copy, especially the record copy
  - Monitor retention
  - Destroy and document
- They need to understand the roles that they play in the management of your agency's records
- Keep instructions simple and clear

DAS

Step 8: Organize your records

- Free up over half of your office and computer space!

Separate Records from Non-records

- Reference materials
- Shared record maintained only by the other governmental entity
- Temporary drafts only for personal use
- Personal records and correspondence

http://www.purchasefamilymag.com/reducing-paper-consumption/

Activity: Practice organizing records

Organize Your Records

- Sort into record series
- Separate record copies from other copies
- Clean up shared drives
- Keep records for a business process together

http://www.rd.com/home/cleaning-organizing/personal-organizers-secrets-free/

Step 9: Transfer records as necessary

Utah State Records Center

- Inactive records
- Secure, free off-site storage
- Custody held by government agency
- Agency may request records

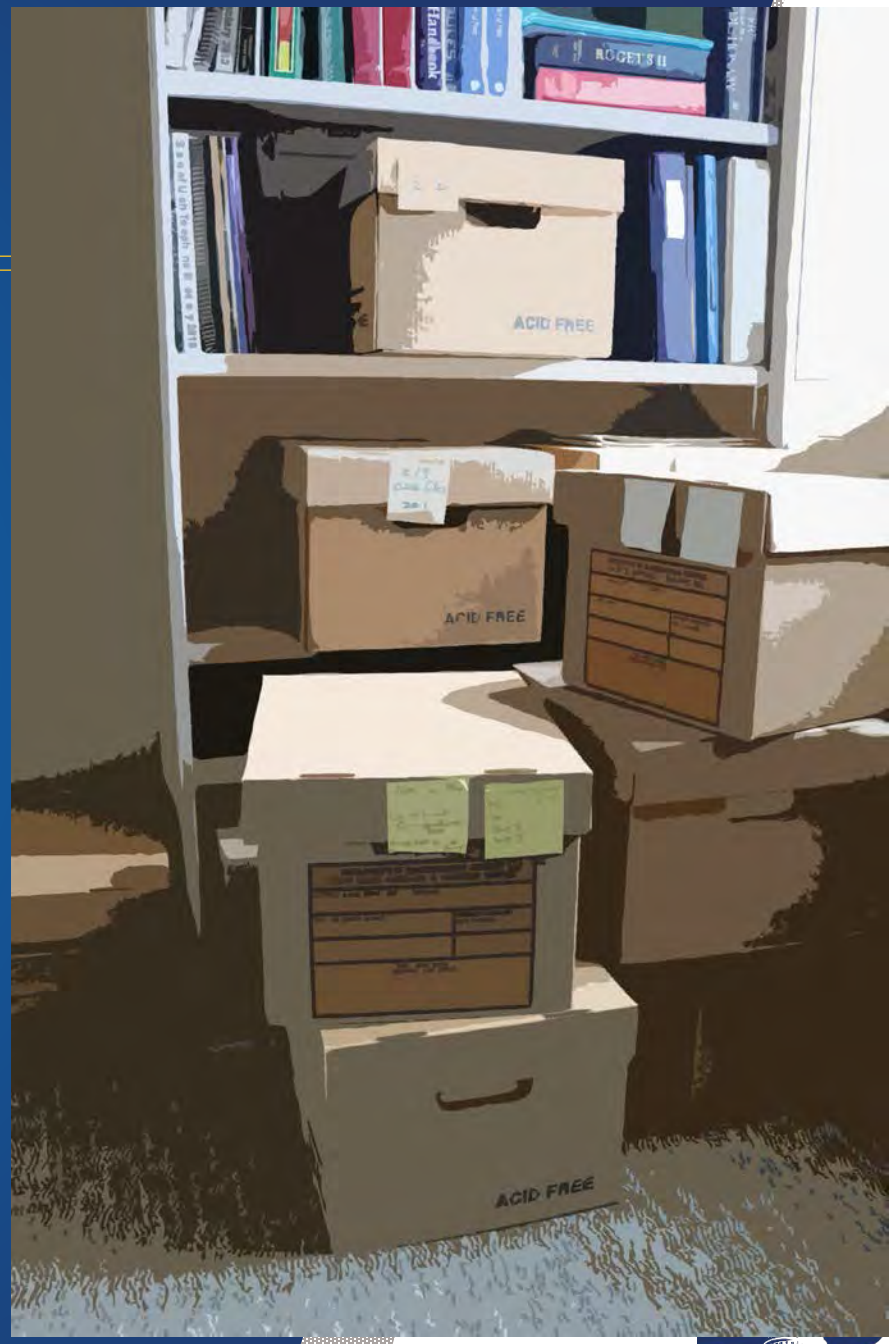
Utah State Archives

Utah State Archives

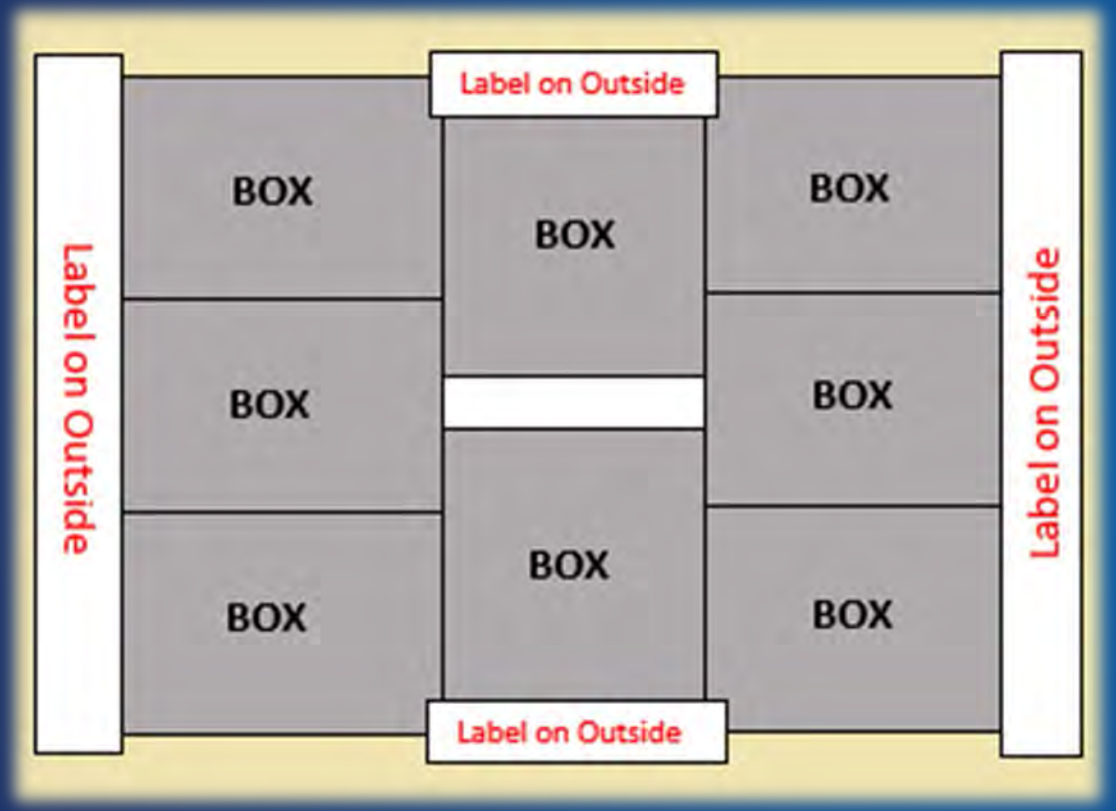
- Repository for historical records
- Custody held by State Archives
- Access via the Research Center or online

Procedure for Transferring Records

1. Identify record series number
   *May need to schedule the records, which takes time
2. Purchase boxes from Office Depot
3. Prepare and Arrange records
4. Label boxes



Procedure for Transferring Records (cont.)

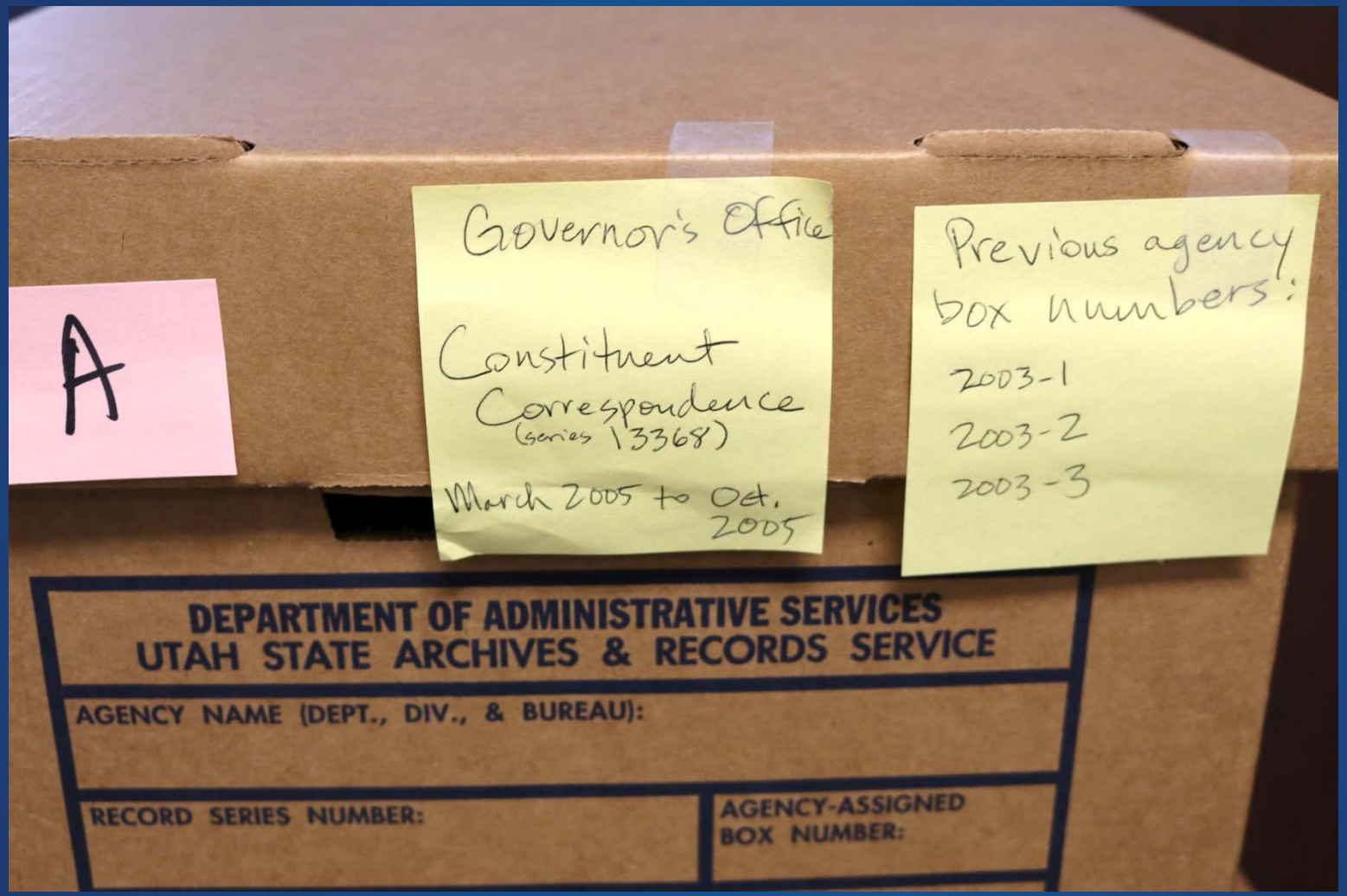


8 boxes per layer

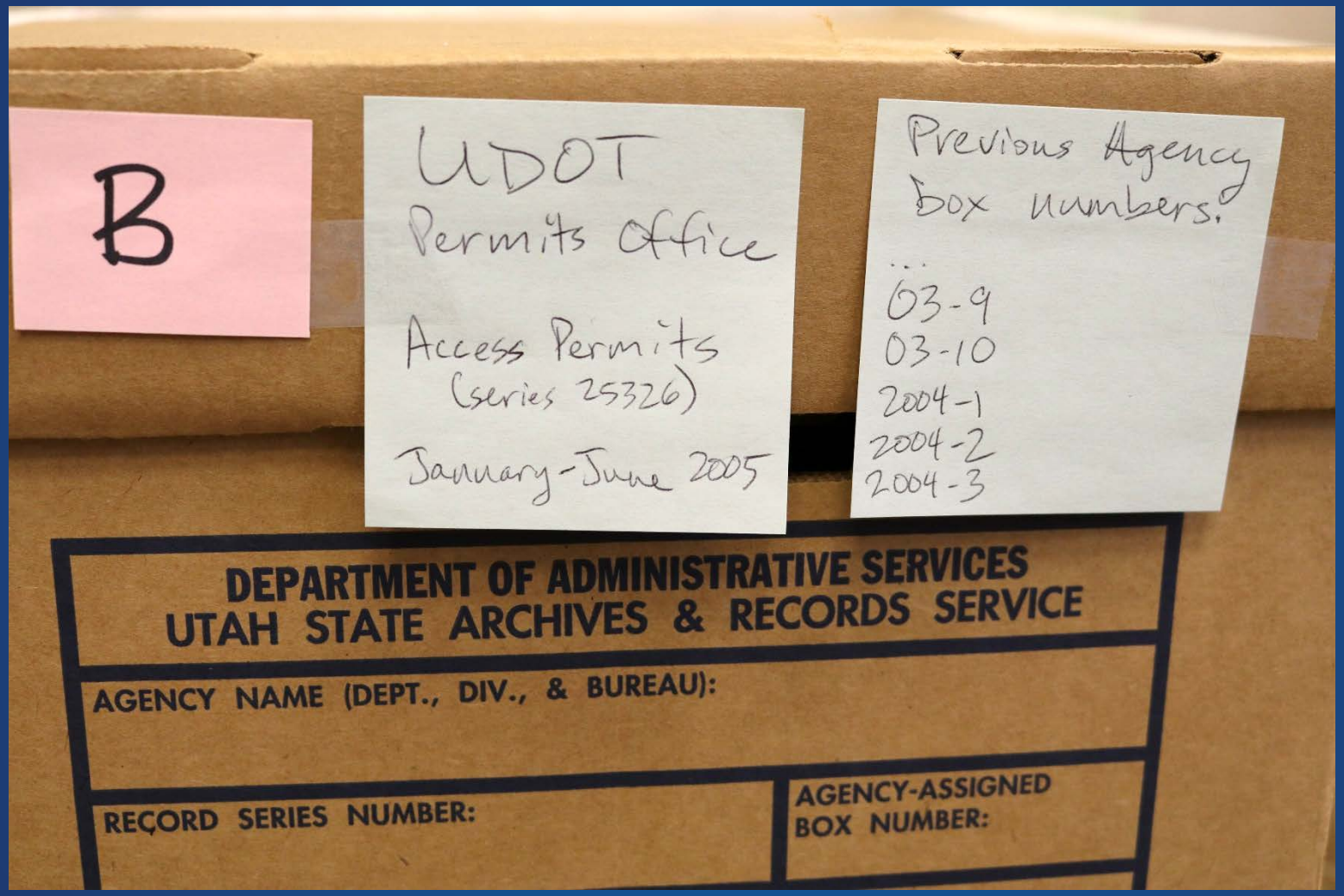
5. Inventory records
6. Submit Record Transfer Sheet (RTS)
7. Arrange boxes
8. Arrange delivery

archives.utah.gov/recordsmanagement/transferring-records.html

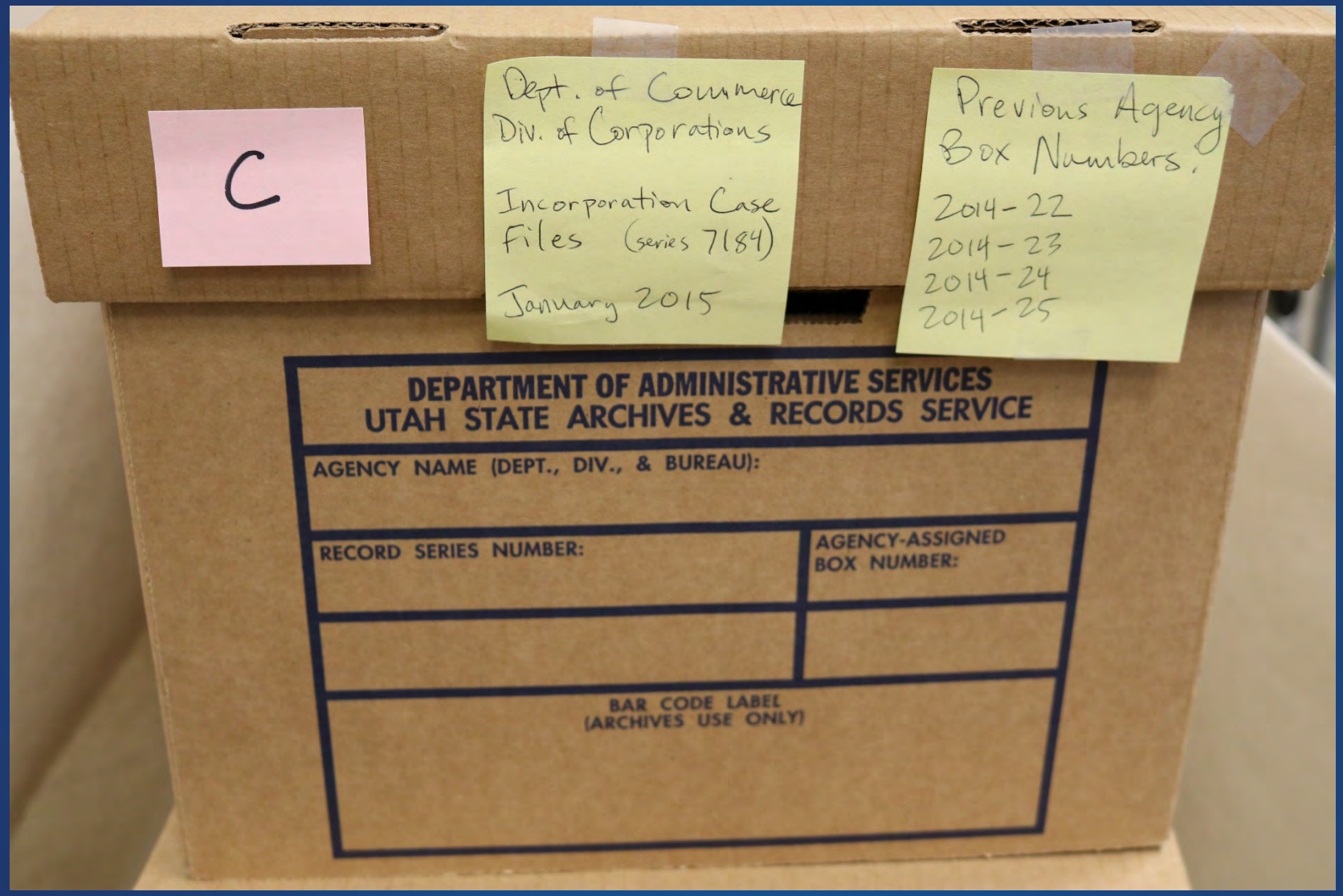
Activity: Label boxes



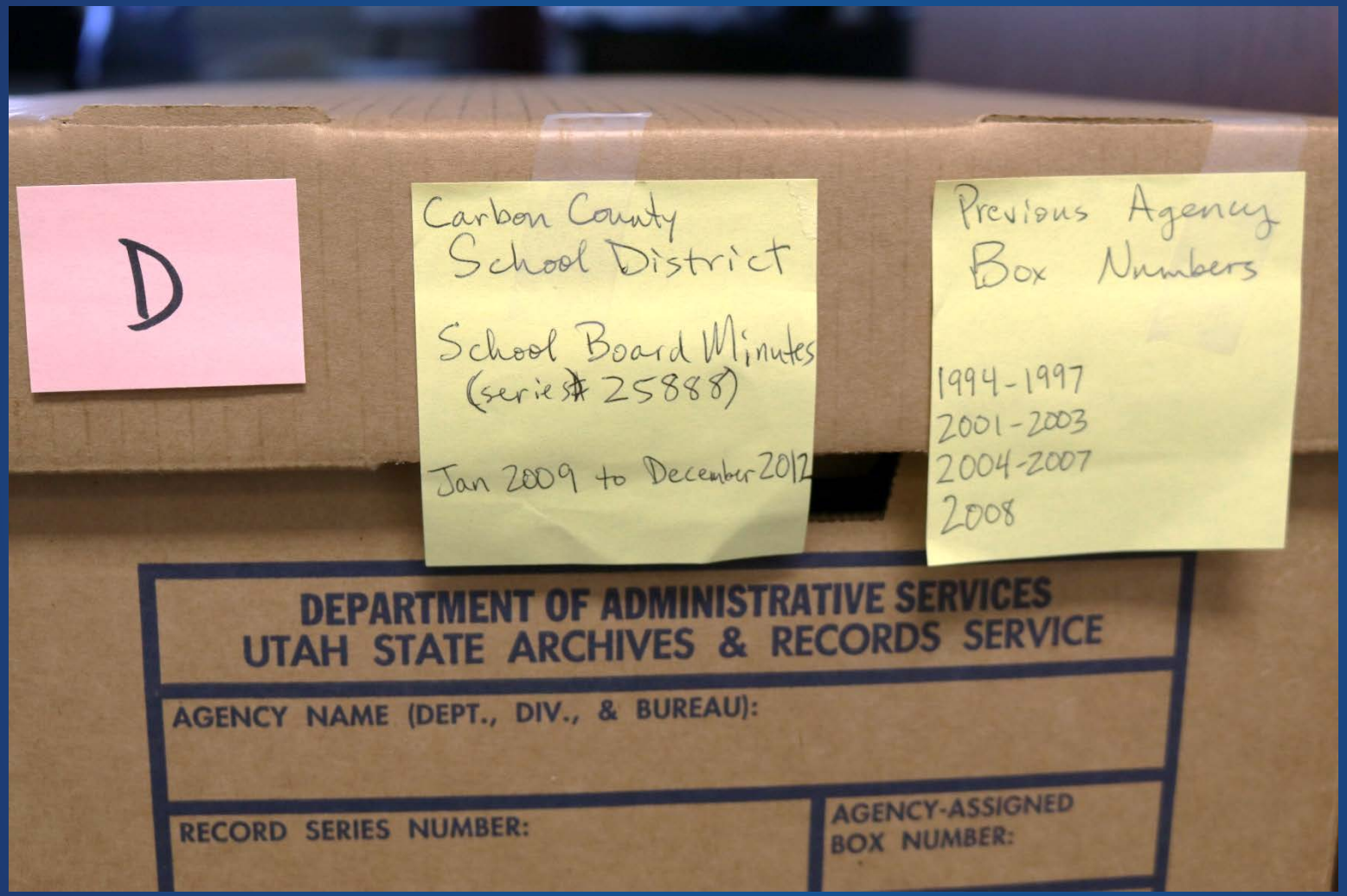
Box A: How would you label this box?



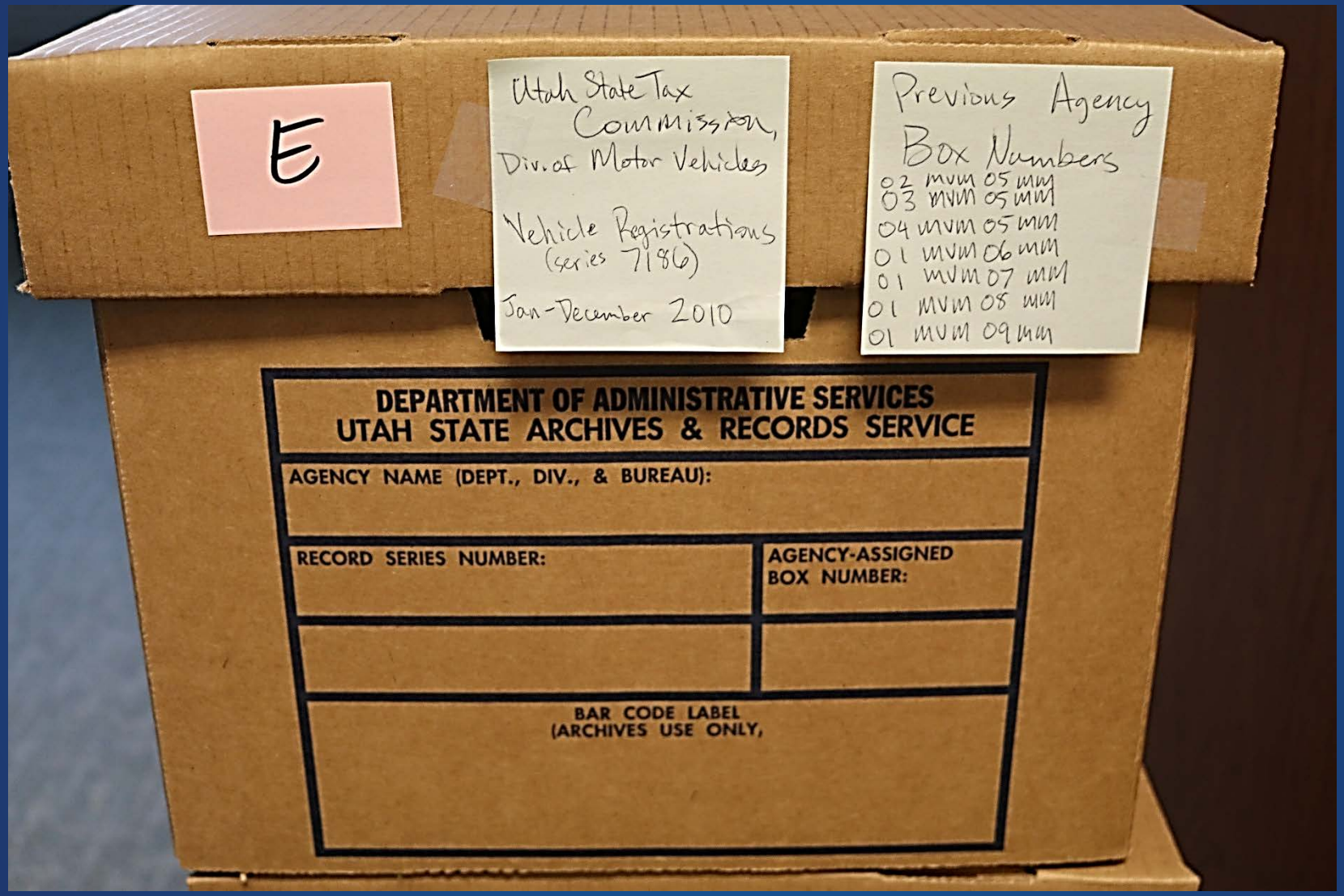
Box B: How would you label this box?



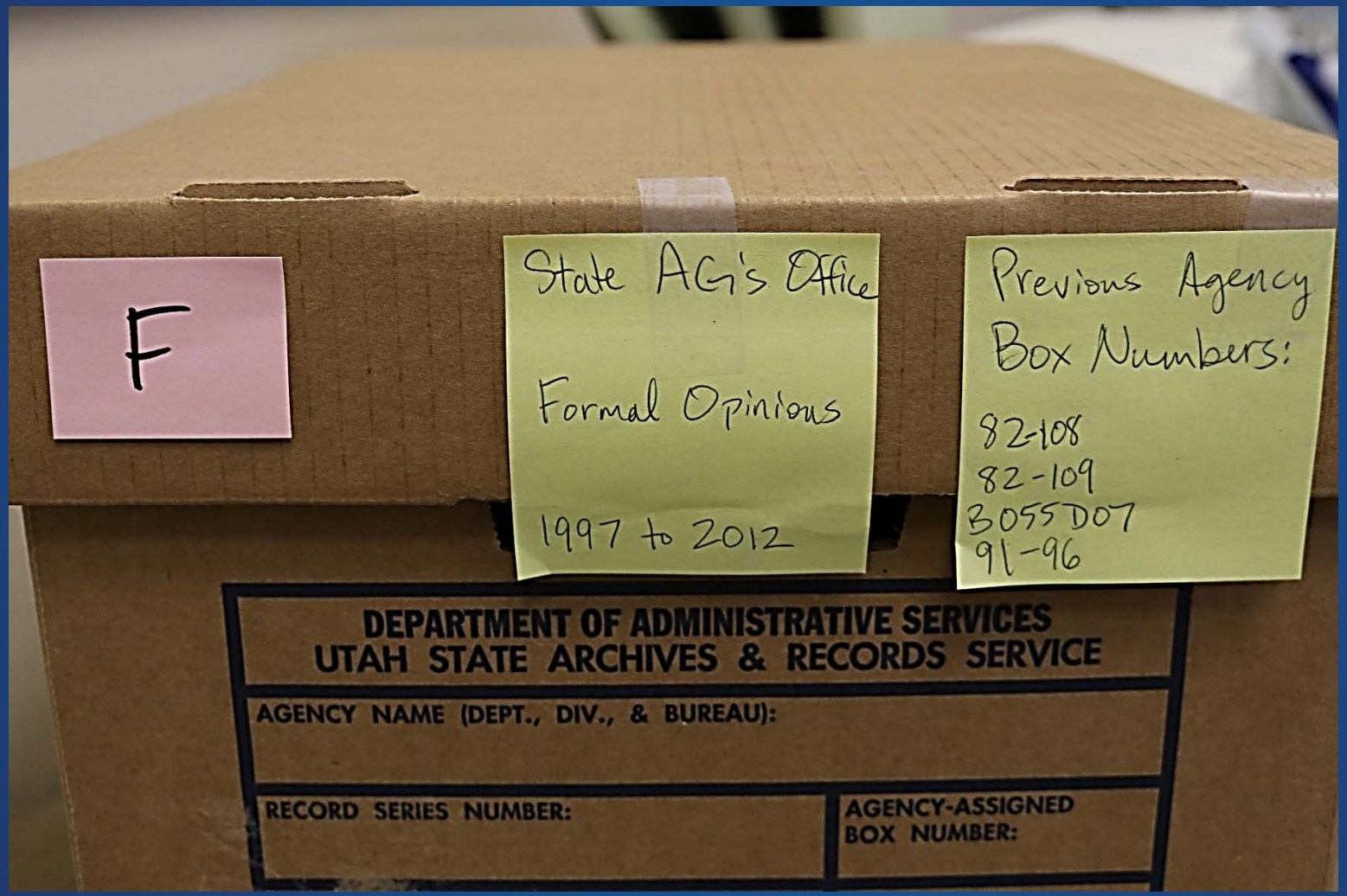
Box C: How would you label this box?



Box D: How would you label this box?



Box E: How would you label this box?



Box F: How would you label this box?

Step 10: Destroy records as necessary

- Retentions are not just a minimum
- All copies of a record should be destroyed at the same time as the record copy (or before)—regardless of format

Q: Having a chicken farm shred sensitive records is an appropriate destruction plan. True or False?

A) True
B) False

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Long-Term Care Home Hired Chicken Farm to Shred Sensitive Records

Sep 23, 2015

A Canadian long-term care company is in hot water over its plan to let a chicken farm shred sensitive health documents.

A chicken farm should not be used to dispose of sensitive health documents, said Ron Kruzeniski, Saskatchewan's privacy and information commissioner, as he announced he was cancelling the agreement, according to media sources.

CBC News reported that the privacy office had been investigating Spruce Manor Special Care Home in Dalmeny after some of the residents' health cards ended up in a recycling bin.

The investigation revealed that the home had signed a contract with an undisclosed chicken farm to destroy its confidential records. In the agreement, the farm said it would "agree to accept full responsibility to maintain the security and confidentiality of all documents" received from Spruce Manor Special Care Home, CBC News said.

That's "unacceptable," Kruzeniski said in his report. He noted that the agreement does not specify how the chicken farm planned to "maintain the security and confidentiality" of the personal health information it received.

"I recommend that Spruce Manor Special Care Home no longer use [a] chicken farm to destroy records in spite of the former administrator asserting he had no problems/concerns with the use of the chicken farm," Kruzeniski said in the report.

Having a chicken farm shred sensitive records is NOT an appropriate destruction plan

A Canadian long-term care company is in hot water over its plan to let a chicken farm shred sensitive health documents.

A chicken farm should not be used to dispose of sensitive health documents, said Ron Kruzeniski, Saskatchewan's privacy and information commissioner, as he announced he was cancelling the agreement, according to media sources.

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http://www.arma.org/r1/news/newswire/2015/09/23/long-term-care-home-hired-chicken-farm-to-shred-sensitive-records

DAS

Appropriate Destruction of Records

- Shredding or burning
  - reputable company
- So information CANNOT be pieced back together or recovered
- State Records Center will destroy, with your authorization, at no cost to you

DAS

Tips for managing destruction:

- Establish a routine
- Assign responsibilities clearly
- Document the following in a destruction log:
  - Authorizing retention schedule
  - Date of destruction
  - Person who disposed of them

Disposition is delayed if records are:

- Ongoing investigation
- Required for possible litigation
- Litigation hold
- Pending GRAMA request
- Being used in an audit

What can we do to make your job less painful?

http://www.strangefunkidz.com/content/item/137535.html

Contact your records analyst with questions

*801-531-3863 *recordsmanagement@utah.gov

Contact your records analyst with questions

Renée Wilson – 801-531-3842, reneewilson@utah.gov

- State agencies (with a few exceptions)

Temporarily Unassigned

- Local agencies, law enforcement, Dept of Health

Rebekkah Shaw – 801-531-3851, rshaw@utah.gov

- Education agencies (school districts, charter schools, colleges, e
- General retention schedules

Kendra Yates – 801-531-3866, kendrayates@utah.gov

- Elected state agencies, courts, legislature

DAS

https://en.wikipedia.org/wiki/File:Red_mangrove-everglades_natl_park.jpg

Thank you!