



Continuing Education/Refresher Course

RECORDS MANAGEMENT

What we will discuss:

- Records Management 101
 - How to find retention schedules
 - How to use them
 - Examples
 - Does the format of a record matter?
- Managing Electronic Records
 - Storage options
 - Format options
 - Recopying
 - Media migration
 - Printing

Records Management 101






Wait a minute...

What's a retention schedule?




ALL ABOUT RETENTION SCHEDULES



✓ A retention schedule is a booklet that tells you how long you must keep certain documents.

✓ State law dictates that different kinds of governmental records must be kept for differing lengths of time.



✓ If you destroy a record ahead of time, it is a Class A misdemeanor and, under certain circumstances, a third degree felony (Penal Code, Section 37.10). Anyone destroying local government records without legal authorization may also be subject to criminal penalties and fines under the Public Information Act (Government Code, Chapter 552).

Ok, so where do I find the retention schedules?

You have four options:

- 1) <https://www.tsl.state.tx.us/slr/recordspubs/localretention.html>
- 2) http://www.cityoflaredo.com/City_Sec/Retention/RRIndex.html
- 3) Ask your RLO (Records Liaison Officer)
- 4) Ask the City Secretary's Office for help

Wait a minute...what's a Records Liaison Officer?

Every city department has designated Records Liaison Officers

Here's the most updated list:

Records Retention	Designee(s)	Designee(s)2	Designee(s)3	Designee(s)4
Airport	Alicia Ortegon	Elsy Borgstedte	Lucy Sanchez	Cynthia Concannon
Bridge	Ana L. Caballero	Luis Flores	Dora Hernandez	
Building	Sandra Escamilla	Andres Castañeda	Edna Costilla	
Budget	Laura Powell			
City Attorney	Cynthia L. Ruiz			
City Manager	Ruth Silva			
City Secretary	Gustavo Guevara, Jr.	Amy Sanchez	Angela Cardenas	
CD	Diana Fullerton	Athena Cortez	Marcela Ochoa	
CVB	Monica Andrade			
Employee Health	Zaida Gonzalez			
Engineering	Angelita C. Ramos			
Environmental	Fernando Sotelo	Lucky Roncinske	Rosa Tijerina	
Finance/Accounts	Paty Gutierrez	Jorge Jolly	San Juanita Garcia	Jesus Esparza
Payable/Payroll	Soraya Garza	Adriana Peña	Ma. Teresa Palacios	Jose Castillo
Fire	Evelyn Luciano	Brenda Perez	Tony Garibay	
Fleet	Ron Miller	Mark Ybarra		
Health	Erika Martinez	Veronica Maldonado	Ritha Rodriguez	Sylvia Solis
HR	Linda Teniente			
Internal Audit	Veronica Urbano			
IT & Telecom	Mimi Jacaman	Araceli Vasquez (CASS)	Jerry Leal	Linda Tays(311)
	Juan Ramos (311)			
Library	Angie Garza	Homero Vasquez-Garcia	Tony Ojeda (warehouse)	
Municipal Court	Andrea Sanchez			
Municipal Housing	Elia Chavarria			
Parks	Steve Jackson	Denise Sanchez	Maria O. Hinojosa	Violeta Medina
P&Z	Rosie Silva	Mary Ann Macias		
PD	Jose A. Resendez	Yabel Prado	Claudio Treviño	Belinda Moreno
	Claudia Cantu	Ricardo Gonzalez	Janie Mier	Gilberto Magana Jr.
Public Works	Clarissa Valadez	Heberto Ramirez		
Purchasing	Lety Saldaña	Mike Pescador	Horacio Lopez	
Risk Management	Celia Guerrero			
Solid Waste	Sandra Martinez	Monica A. Flores	Araceli Torres	
Tax	Adan Guajardo			
Traffic/Parking	Oscar Gomez, Jr.	Belinda Rivera	Cynthia Herrera	
Transit	Rosa Hilda Villarreal	Rose Martinez	Oscar Gomez	
Utilities	Gloria Leal	Karla Robles	Antonio Mora	Patty Soto
	Wenceslao Barberena	Irma Sanchez	Jerry Garza	Araceli Thatcher
	Diana Reyna			

So I found the schedules.

Which ones apply to me, and how do I use them?

Here's a list of schedules by department:

GR	All employees
PS	Police, Fire
PW	Airport, Bridge, Building, CD, Engineering, Public Works, Library, Parks, P&Z, Traffic, Transit, Solid Waste, Environmental, Utilities
UT	Environmental, Solid Waste, Utilities
HR	Health, Employee Wellness, Risk Management
TX	Tax
LC	Municipal Court, City Attorney

GR – General Records

Effective July 4, 2012

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Example #1

You work for the Convention and Visitors Bureau, and Mayor Salinas has proclaimed it Tourism Week in Laredo. For how long do you keep the proclamation?

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1000-05	ORDINANCES, ORDERS, RESOLUTIONS (including those that have been repealed, revoked, or amended).		PERMANENT.	
*GR1000-06	PETITIONS	Petitions from the public to the governing body or subsidiary boards or commissions of a local government.	Final action on the petition + 2 years.	Retention Notes: a) Does not include petitions noted elsewhere in this or other commission schedules or any petition presented to a commissioners court that state law requires a county clerk to record. See Local Schedule CC (Records of County Clerks). b) "Final action" includes a decision to take no further action on a petition.
GR1000-07	PROCLAMATIONS		2 years.	
*GR1000-08	SPEECHES, PAPERS AND PRESENTATIONS	Notes or text of speeches, papers, presentations or reports delivered in conjunction with government work by elected officials.	End of term in office or termination of service in that position.	Retention Note: Review before disposal; some records may merit PERMANENT retention for historical reasons.

Example #2


You are the Payroll Assistant or Supervisor for your department, and you receive a written Dr.'s excuse for an employee who was absent for five days due to illness. How long do you keep the document?

*GR1050-54b	LEAVE RECORDS	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), and other types of authorized leave, and supporting documentation.	FE + 5 years for school districts; FE + 3 years for other governments.	By regulation – 29 CFR 825.500.
*GR1050-54c	LEAVE RECORDS	Leave or hours-to-date registers.	FE + 5 years for school districts; FE + 3 years for other governments.	



Example #3

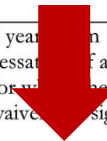
You work for the Utilities department and you have records of violations of the drought contingency ordinance. How long do you keep them?

*UT5025-09	SANITARY SURVEYS	Surveys, studies, reports, summaries, or communications examining the overall sanitary condition of water and wastewater systems.	10 years.	By regulation - 30 TAC 290.46(f)(3)(E)(iii).
UT5025-10	TAP AND HOOK-UP LOGS	Logs, log sheets, or comparable documents providing a record of water or sewer tap and hook-up permits issued showing location, date of installation, and similar data.	PERM  ENT.	
*UT5025-11	VIOLATION REPORTS	Reports, correspondence, and similar records relating to actions taken to correct violations of federal, state, or local primary drinking water regulations; or of other water or wastewater-related laws, ordinances, or regulations.	3 years after last action taken with respect to the particular violation.	By regulation - 30 TAC 290.46(f)(3)(B)(i).
UT5025-12	WATER AND WASTEWATER PERMIT FILES			

Example #4

You work for the Parks Department and you have boxes of swimming pool water quality test and analysis reports. When can you throw them away?

Record Number	Record Title	Record Description	Retention Period	Remarks
*PW5525-03	PROGRAM FILES	Records relating to sports, recreational, or cultural activities and programs sponsored by a local government, including activity schedules, programs, rosters, status sheets, scorebooks, rules and regulations, activity planning records, and all other similar records not noted elsewhere in this part.	2 years.	Retention Note: Review before disposal; some records in this group may merit PERMANENT retention for historical reasons.
PW5525-04	RESERVATION AND REGISTRATION RECORDS			
PW5525-04a	RESERVATION AND REGISTRATION RECORDS	Logs or similar records documenting the reservation of park and recreational facilities.	2 years.	
PW5525-04b	RESERVATION AND REGISTRATION RECORDS	Applications for reserved use of park and recreational facilities not requiring a permit under local ordinance or policy.	2 years.	Retention Note: For reserved or special use of park or recreational facilities requiring a permit under local ordinance or policy see item number GR1000-36 in Local Schedule GR.
*PW5525-04c	RESERVATION AND REGISTRATION RECORDS	Waivers of liability/parental consents.	3 years from cessation of activity for which the waiver was signed.	Retention Note: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See item number GR1000-20 in Local Schedule GR.
PW5525-05	SWIMMING POOL REPORTS	Swimming pool water quality test and analysis reports.	3 years.	
PW5525-06	VISITOR LOGS	Guest books, registers, logs, or similar records of visitors to museums, historical sites, and other facilities owned or operated by a local government.	2 years.	



Example #5

You work for the Health Department and you have a file drawer full of immunization record and consent forms for adult patients. When can you clean out the drawer?

Record Number	Record Title	Record Description	Retention Period	Remarks
*HR4775-01	COMMUNICABLE DISEASE SURVEILLANCE FORMS	Copies of surveillance forms completed by Texas Department of State Health Services personnel and maintained by local health authorities.	7 years past date last encounter occurred or until patient reaches 21 st birthday, whichever later.	
*HR4775-02	DENTAL RECORDS AND REFERRALS		5 years.	By regulation - 22 TAC 108.8(b) for minimum retention required for dental records maintained by dentist. Retention Note: Because of the use of these records for identification purposes, the Texas Department of Public Safety recommends dental records be maintained a minimum of 10 years.
HR4775-03	IMMUNIZATION RECORD AND CONSENT FORMS			
HR4775-03a	IMMUNIZATION RECORD AND CONSENT FORMS	Adults.	10 years following end of calendar year in which consent form was signed.	
*HR4775-03b	IMMUNIZATION RECORD AND CONSENT FORMS	Persons under the age of 18.	21 st birthday or 10 years following end of calendar year in which consent form was signed, whichever later.	

Ok, ok, I get it. I can look this stuff up now.

But what about if I don't want to throw anything away? Can I just SCAN everything instead?


Now for the next part of our webinar...

MANAGING ELECTRONIC RECORDS




Managing Electronic Records





✓ The first thing you should know is that there are NO rules about in what kind of format a record has to exist, as long as you can access it!

✓ What that means is that if it's met its retention period, go ahead and chuck it - scanning is not destroying, it's just changing the format of the record.



✓ If you have file drawers and boxes of records that you must keep but that you no longer have the space for, here is where scanning can come into play.

Storage Options for Electronic Records


- PDF
 - Txt
 - Jpeg
 - Png
 - Wav
 - mkv
- To the left are listed the best formats to use for different types of files
 - You don't want to save important records using file extensions that only certain programs can read; then you risk being unable to open them later

Recopying and media migration


- Data should be recopied to new media periodically
- You can use the same medium, like from an old CD to a new CD
- CD's should be recopied at least every 10 years
- Media migration is moving data off of obsolete storage media
- Then you convert the data into preservation file formats

A few more tips...

- The best storage option is a network server that gets backed up regularly
- It's also good to save very important records in more than one digital location
- For example, you could have a USB drive, an external hard drive, or cloud storage
- IT is not responsible for your records retention – make sure to make a backup!
- When storage media becomes obsolete, make sure to move your files onto new media (i.e., from floppy disks to a CD or a USB)



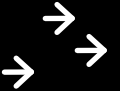
And then there's always good
'ol print...

- That's your other option. If your records started out as digital but you prefer to free up digital space, you can always print the records and save them as paper documents.
 - Once again, it does not matter what format you preserve the record in – just make sure it is preserved for its full retention period!
- 




Reminders: E-mail retention

What about my e-mails? How long do I keep those?



Use this link to access the Power Point and/or the webinar for e-mail retention:

http://www.laredotexas.gov/City_Sec/Retention/RRIndex.html



Also, you can guide yourself by this flyer that was sent out a few years ago..

YOUR E-MAIL: HOW LONG TO KEEP IT

- Your e-mails are records that may fall into many categories.
- However, *most* of your e-mails will probably fall into one of these two:

Schedule GR1000-26a: CORRESPONDENCE, INTERNAL MEMORANDA, AND SUBJECT FILES

Administrative - Formulation, planning, implementation, modification, or redefinition of programs, services or projects and the administrative regulations, policies and procedures that govern them.

Example: You send an e-mail outlining the City's new travel policy.

Keep for:



years minimum

Schedule GR1000-26b: CORRESPONDENCE, INTERNAL MEMORANDA, AND SUBJECT FILES

General -
Regular and routine operation of policies, programs, services, or projects.

Example: You send an e-mail telling Payroll Assistants to make final edits to the pay period that just concluded.

Keep for:



years minimum

- See www.tsl.state.tx.us/slr/recordspubs/localretention.html for a complete schedule of TSLAC record categories.
- If your e-mail is *directly related* to any category, you must keep it for the time listed on its TSLAC record schedule. For instance:

Suppose you work for Community Development and you send an e-mail to a federal agency including reports and studies for a grant for which the city is applying. In this case, this schedule would apply:

Schedule GR1025-08c: GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS

Reports, planning memoranda, studies, correspondence, and similar records created for and used in the development of successful grant proposals.

Keep for:



years minimum

Suppose you work for the Health Department and you send an e-mail outlining the development of a sanitary inspection program for the new public hospital. In this case, this schedule would apply:

Schedule HR4750-06: PLANNING RECORDS

Reports, studies, analyses, projections, and other planning documents relating to the development of local health, sanitary inspection, and environmental quality programs and public hospitals.

Keep for:



years minimum

- These rules apply to your **SENT** e-mails; for **RECEIVED** e-mails, if you must take action based on the message or you need the message for documentation, keep it for the same length of time as if you had sent it yourself. (Example: Your director asks you to work overtime: General, keep 2 years)

Questions: Contact Amy Sánchez @ 791-7399 or e-mail asanchez4@ci.laredo.tx.us



And so...

**THAT'S ALL,
FOLKS!**





Questions on records retention? Contact us!

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