



CITY OF SHAVANO PARK
900 Saddletree Court
Shavano Park, TX 78231

CITY POLICY NO. 7

SUBJECT: Records Management Policy

December 21, 2015

1. References.

- a) Texas State Records Retention Schedule
<https://www.tsl.texas.gov/slr/recordspubs/rrs4.html>
- b) Texas Local Government Act
<http://www.statutes.legis.state.tx.us/SOTWDocs/LG/htm/LG.201.htm>
- c) City of Shavano Park Code (CoSP) of Ordinances Chapter 2, Article V, Records Management

2. Purpose / Scope. This policy shall provide for procedures for the organization, maintenance and disposition, and destruction consistent with the requirements of the Texas Local Government Records Act and as amended in the future. This policy shall apply to all municipal records and be followed by all City employees, elected officials and contractors.

3. Introduction. This Policy has been prepared to assist each department in preparing departmental records as part of the City of Shavano Park Records Management Program as outlined and governed by the State of Texas Local Government Records Act and City of Shavano Park Code of Ordinances Chapter 2, Article V, Records Management.

Included in this Policy are guidelines necessary for accomplishing each step of a Records Management Program for the City of Shavano Park. With the initial phase of inventory through the storage, retrieval and destruction of records, this policy will be a guide in assisting in the establishment, implementation and maintenance of Shavano Park's Records Management Program.

4. Overview. IAW CoSP Code, Sec. 2-148, the Records Management Officer and the Records Management Committee shall develop a records management plan for the City for submission to the City Council. While the City follows the Records Management Schedule, there is a need to establish procedures to reduce the costs and improve the efficiency of recordkeeping, protect the essential records of the City and to properly preserve historical records of the City.

5. Designation and duties of Records Management Officer.

City Secretary and the successive holders of said office shall be the Records Management Officer of the City of Shavano Park as per City of Shavano Park Code of Ordinances, Section 2-146 through 2-149. The point of contact for this policy is the City Secretary, at 210.493.3478 x240.

6. Records Liaison Officers. IAW Sec. 2-151, each Department will designate a Records Liaison Officer who will be responsible to:

- a) Conduct or supervise the conduct of inventories of the records of the department in preparation for the development of records control schedules;
- b) In cooperation with the Records Management Officer, coordinate and implement the policies and procedures of the records management program in their departments; and
- c) Disseminate information to department staff concerning the records management program.

7. Policy. The City of Shavano Park, as per City of Shavano Park Code of Ordinances, Section 2-146 through 2-149 is required to comply with the requirements of the Texas Local Government Records Act and accepted records management practices as well as to follow the records retention schedule established by the Texas State Library and Archives Commission. This policy establishes staff procedures for compliance.

8. Records Retention Schedules.

The Records Management Officer, or his or her designee, shall administer and enforce the State of Texas Records Retention Schedules (Texas RRS) as prepared by the Texas State Library and Archives Commission and other federal, state, and accrediting/regulating requirements, rules, and standards.

9. Procedures.

a) Paper. Twice a year (January and July), the Records Management Officer will direct the review and organization of existing files coordinating with department heads and department liaison officers. Directors and Record Liaison Officers will review and collect excess records that require storage or destruction in accordance with the mandatory retention period outlined in the records retention schedule.

Once identified and collected, the paper records will be assembled in a common area under supervision of the Records Management Officer. The City is contracted with a Records Management Company who will assist in the inventory, identification and verification of retention periods, cataloging, labeling, packaging, and inventorying. Those records that are ready to be stored are then relocated to the City's storage site (also a contracted company).

Those records identified for destruction will be removed and destroyed by the Records Management Company and a certificate of destruction provided to the Records Management Officer.

The Records Management Company maintains a library of identifying each record and scheduled retention / destruction date. When records maintained at the off-site location are required, the department's Record Liaison Officer will request to the Records Management Officer that the records be retrieved for use. The record storage site will deliver the required records to the City.

At same time, the City identifies those records located at the storage site and recalls those that are scheduled for destruction IAW the records retention schedule. Once these records are assembled,

the Records Management Company, the Records Management Officer, and the Records Liaison Officer from each department will review each record and confirm that they meet the criteria for destruction. Those confirmed as scheduled to be destroyed are identified and destroyed by the Records Management Company. A certificate of destruction is provided to the Records Management Officer for record.

b) Electronic records. Electronic records may include electronic mail (email), files, websites, electronic publications, or any other machine readable format. Each year in January, the Records Management Officer will direct the deletion of all electronic records from the fifth year and previous.

- i. Email. The Information Systems Manager will coordinate to remove all records from the City's Server and will publish the date that historic emails not required to be retained will be deleted. Emails required to be maintained or those of historic significance may be filed in an employee's personal folders. Employees will remove emails from their archives folders IAW the established date. Records Liaison Officers will assist employees as required and will verify that required records will be deleted.
- ii. Files. The Information Systems Manager will publish the date that historic files not required to be retained will be deleted. Files required to be maintained or those of historic significance may be retained in an employee's personal folders. Employees will remove all other files from their computer or server folders IAW the established date. Records Liaison Officers will assist employees as required and will verify that required records will be deleted.

c) Audio recordings means any medium on which audio (and solely audio) is recorded. Audio recordings are retained ninety (90) days after approval of minutes by governing body (audio records of open meetings for which written minutes are prepared). The Records Management Officer will delete audio recordings that fulfill the retention period during the first week of each month.

d) Visual recordings means any medium on which video is recorded. Visual recordings are retained two years after approval of minutes by governing body (visual records of open meetings for which written minutes are prepared). The Records Management Officer will delete video records that fulfill the retention period during the first week of each month.

e) Social Media applications may create public records. Any content created or received using a social media application may be considered records and retention is based on content and function. Under the direction of the Records Management Officer, the Information Systems Manager will remove social media records IAW the records retention schedule on a periodic basis.

10. Destruction of Records.

Records Management Officer shall ensure the records retention schedule requirements have been met before records are destroyed in a manner that preserves confidentiality and maintains records. Exception to the destruction of records as per the Texas Records Retention Schedule if an open records request is pending on the record, the subject matter of the record is pertinent to a pending lawsuit, or if there is a request in writing to the Records Management that the records be retained for an additional period.

Appendix 1 – Introduction to the Requirements of the Texas Local Government Code
Appendix 2 – Overview of Records Management Program

Appendix 1 – Introduction to the Requirements of the Texas Local Government Code

RECORDS MANAGEMENT

INTRODUCTION TO THE REQUIREMENTS OF THE TEXAS LOCAL GOVERNMENT CODE

STATISTICS REFLECTING THE COST OF RETENTION

A properly implemented records retention schedule resulting from an inventory of records will usually indicate that one-third of the records in your office can be destroyed immediately; another third can go to semi-active storage in a records center; and the remaining third of your truly active records will take less time to service and cost less to store in space and equipment.

30% of paperwork is useless and could be eliminated.

37% of photocopies made are unnecessary.

85% of records filed are never referred to again.

95% of references are to records less than three years old.

The cost of maintaining a cubic foot of records in a records center is about 7% of the cost of maintaining those same records in your office.

The annual cost of owning and operating a standard four-drawer filing cabinet, using one clerk per twelve four-drawer cabinets, is approximately \$822.00.

The cost of filing is about \$8.22 per inch.

Between 1% and 5% of all records are misfiled.

A typical office worker can waste up to 2 hours a day looking for misplaced paperwork. That is 62 days a year!

The average office doubles its volume of records every five years.

From Spring, 1990 edition of The Local Record

DEFINITION:

“Local Government Record” means any document, paper, letter, book, map photography, sound or video recording, microfilm, magnetic tape, electronic medium, or other information recording medium, regardless of physical form, or characteristic and regardless of whether public access to it is open or restricted under the laws of the state, created or received by a local government or any of its officers or employees pursuant to law, including an ordinance, or in the transaction of public business.

A RECORDS MANAGEMENT PROGRAM

It is the control of records (information) from creation to disposition.

It means you know what records you have, why you have them, where they are, and how long you have to maintain them.

It provides the means for a systematic analysis of information processes.

It is implemented through records identification and records retention and disposition schedules.

WHY DO WE NEED A RECORDS MANAGEMENT PROGRAM?

Texas state law requires records management program implementation.

Texas state law prohibits the unauthorized destruction of municipal records.

Texas state law requires records control schedules filed with the Texas State Library Commission on or before 1995.

Information is an asset which should be managed as are other assets on the basis of sound business practice.

Saves time and money.

Protects a municipality in Court.

STATUTORY REQUIREMENTS RELATED TO RECORDS MANAGEMENT

Texas Open Records Act

Texas Penal Code

Texas Local Government Records Act

Records Inventory

Records Control Schedules

Microfilm

Electronic Records

FOUR STAGES OF THE LIFE CYCLE OF A RECORD

Creation of record

Use of record

Active

Inactive

Maintenance

Disposition

Disposition through destruction

Disposition archival record (means permanent preservation)

VALUE OF A RECORD

Administrative or Operational

Audit

Legal

Historical

RECORD VALUE DEFINED

Transitory

Short term

Medium term

Long term

Permanent

ELECTRONIC RECORDS INCLUDE

- Input
- Output
- Data
 - Master File
 - Processing File
- Documentation
 - Hardware
 - Software
 - Mainframe
 - Microcomputer
- Text Messages and Voice Mail (Cell Phone/Smart Phone)

ACCESSIBILITY TO ELECTRONIC RECORDS REQUIRES

- Hardware
- Software
- Documentation
- Data
- Backup
- Security
- Maintenance and Storage of Data

PENALTIES FOR UNAUTHORIZED DESTRUCTION OF LOCAL GOVERNMENT RECORDS

Class A misdemeanor (Carries a fine not to exceed \$4,000 or confinement in jail for a term not to exceed one year or both)

Texas Local Government Code, Chapters 201-205

Texas Open Records Act

Texas Penal Code

3rd Degree Felony (In some cases, destruction of records may be a felony.) (Prison for any term of not more than 10 years or less than 2 years)

Texas Penal Code

Appendix 2 – Overview of Records Management Program

OVERVIEW OF RECORDS MANAGEMENT PROGRAM

Since the formation of Shavano Park, records and information have been compiled to track its development, plan for future growth, and document its political and professional atmosphere. The very nature of the organization is to serve the citizens of Shavano Park which requires the control and maintenance of a tremendous amount of information.

City of Shavano Park Ordinance 124-1990 established initial procedures for the retention and disposition of records adopted by the City Council on June 18, 1990 and codified as Article V of the City of Shavano Park Code of Ordinances. Article V has been updated by Ordinance No. 124.1 adopted by City Council on November 1, 1994 as required by the provisions of the Texas Local Government Records Act, designating the City Secretary as the Records Management Officer of the City of Shavano Park with duties and responsibilities as indicated in the legislation.; Ordinance No. 100-02-11 1 adopted by City Council on May 17, 2011; Ordinance No. 300-07-12 adopted by City Council on September 24, 2012.

The City adopted records control schedules that comply with minimum requirements established on records retention schedules issued by the Texas State Library and Archives Commission for use in the City's records management program. The City submitted records control schedules on March 7, 1996 and later amended on January 5, 1998. The Schedule was approved by the State Library and Archives Commission on April 2, 1996 and the amendment approved on January 12, 1998.

All City departments/divisions continue to be involved in the Records Management Program through a designated records liaison officer. These individuals work with the Records Management Officer to see that record copies are retained, destroyed, and/or transferred to storage in the Records Center in accordance with the City's Records Retention Schedules and Records Management Program.

The City's Records Management Program will be continually reviewed and modified as record retention schedules mandated by the State are issued and as emerging technology provides more cost effective methods for managing and storing records.

An off-site Records Retention Center was established to receive records. Standards for files and supplies have been established, and each department is expected to comply with the standards set forth in this Policy.

STATEMENT OF GOALS

GOALS

1. To release the space and reduce the need for storage and filing equipment.
 - A. Reduce the volume of inactive records held in city offices.
 - B. Provide records management consultation to all city departments.
 - C. Establish and maintain the City of Shavano Park Records Retention Center for both inactive and dead storage of records.
 - D. Make recommendations concerning filing methods and selection of storage and standard filing equipment.

2. To develop and maintain an efficient retrieval operation for both active and inactive records.
 - A. Active Records
 1. Advise departments in establishing standard filing procedures and in organizing files.
 2. Assist in selecting standard filing equipment for most efficient retrieval of departmental records.
 3. Assist in the design and layout of filing equipment in the departments for more efficient paper flow.
 - B. Advise city personnel regarding the principles and procedures of an efficient records system.
 - C. Maintain records management control files that allow accessibility to inactive records stored in the Shavano Park Records Retention Center.
 - D. Routinely dispose of records in the Shavano Park Records Retention Center which have expired retention periods and which have been approved by department directors for destruction.

3. To maintain security over city records.
 - A. To assist in inventory of city records and establishment of suggested schedules.
 - B. Design and implement procedures and establish controls to enhance the safety of the city's records stored in the Shavano Park Records Retention Center.
 - C. Provide a system to control removal of records from and replacement in the Shavano Park Records Retention Center.
 - D. Maintain a Records Destruction Log listing records in the Shavano Park Records Retention Center that are destroyed after expiration of their retention periods.
 - E. Establish and maintain a policy for accessibility to confidential records.
 - F. Identify and protect vital records.
4. To communicate the need for an effective records management program.
 - A. Keep open communication lines with all departments.
 - B. Write occasional memos to departments promoting city-wide awareness of the Records Management Program.
 - C. Serves as records management advisor to all departments

RECORD LIFE CYCLE

CREATION:

Whenever you create information related to public business, you are creating a public record. Public records are the heart of government operations.

These records:

- Are created for the citizens;
- The property of the citizens;
- Are protected in the interest of the citizens; and
- Are a historical record of how the government served the needs of the citizens.

ACTIVE USE:

Records in Active Use are stored in an area where you actively refer to the record, which is known as “high-cost storage.” The records are usually no older than two years.

SEMI-ACTIVE USE:

Records in this phase are needed less frequently, but need to be retained accordingly until the legal minimum retention has been met. These semi-active records are usually stored in “low-cost storage” areas that meet special storage conditions, such as a records retention center. These records are usually referred to only once a month.

FINAL DISPOSITION:

Once a record has served its purpose for the operation of the office, the record is ready for final disposition.

Some records are destroyed AFTER meeting the authorized minimum retention; and

Other records are retained indefinitely (as permanent documents) when they have historical value, or archival value with far-reaching administrative needs. Records retained indefinitely should be stored under special storage conditions.