

Records Management

Texas A&M AgriLife Administrative Services | January 12, 2017



Overview



- What is a State Record?
- Paper Records vs Electronic Records
- Records Retention
- Filing Records
- Records Management in Laserfiche
- Records Destruction Processes

Laserfiche

What is a State Record?



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

Tx Govt Code §441.180(11)

State Records (cont)



- Convenience Copies vs Record Copies
- Vital Records
- Permanent Records
- Archival Records

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Paper or Electronic?



- Paper Records
 - Filing
 - Locations
 - File plan
 - Security/Protection
 - Records Inventory

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Paper or Electronic



- Electronic
 - Format
 - Word/Excel/PPT/etc
 - PDF/PDFA
 - Storage
 - Servers
 - Desktop/Hard Drives
 - Laserfiche
 - Backups

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Paper or Electronic



- Managing Electronic Records
 - Unalterable format
 - Backups
 - Metadata/Tagging
 - File Plan
 - Controlled Access
 - Records Inventory

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Paper vs Electronic



- Email
 - State Record?
 - Retention Schedule Item?
 - Retention
 - Responsibilities
 - Records Coordinator
 - User
 - AIT

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Retention



- Retention Schedule
 - <http://assets.system.tamus.edu/files/legal/pdf/System-Records-Retention-Schedule-Dec2012.pdf>
 - Retention Period
 - Calculating Retention Period
- Retention Codes

Retention Codes:

AC – After Closed, Terminated, Completed, Expired, Settled

CE – Calendar Year End

LA – Life of Asset

PM – Permanent

AV – Administrative Value

FE – Fiscal Year End

MO – Months

US – Until Superseded

Archival Codes

I – Transfer to university archives

O – Review by university archives

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Retention



- Retaining Beyond Retention Schedule
 - Reasons for retention beyond schedule
 - Documentation
 - Consequences for retaining “because...”

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- Work in Progress Folders
 - Temporary
 - Treat as In-Basket
- Numbered Record Series Folder Use
- Access Control
- Record Management applies to Record Folder

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- Where to file
 - Correspondence
 - General
 - Administrative
 - Program Files
 - Unit Files vs Administrative Services Files

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- Unit File Structures
 - By Fiscal Year
 - By Program
 - By Individual
 - Permanent
 - Vital records

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- Records Folder Properties
 - Cutoff Instructions

Designate records within this collection as permanent

Cutoff Instruction

Name: AC

Type: Event (All) Cycle: N/A

Interval: N/A Location: N/A

Linked Document Action: N/A Document Relationship: N/A

- Retention Schedule

Retention Schedule

Name: 5 years

Final Disposition Type: Destruction Retain for: 5 year(s), 0 month(s)

Final Disposition Location: N/A Keep Metadata: No

Alt. Retention Event: N/A Alt. Ret. Schedule: N/A

Vital Records

Designate records within this collection as vital Review Cycle:

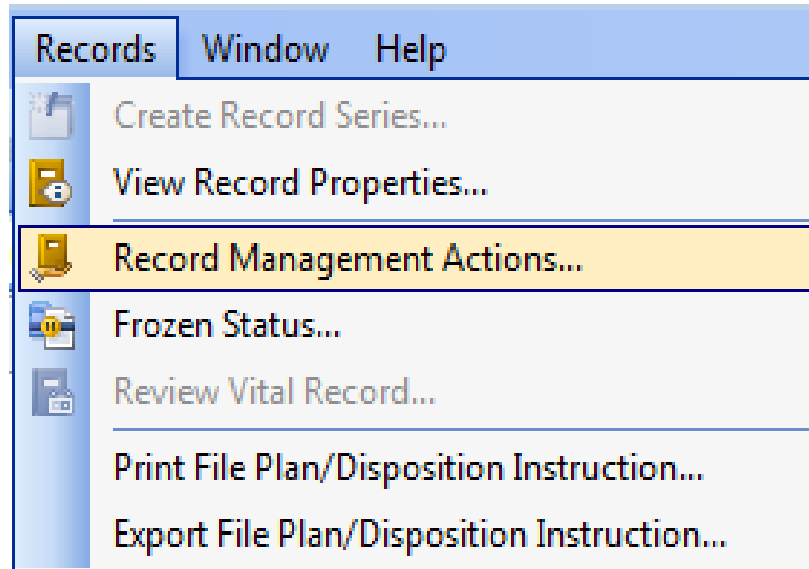
Laserfiche

Records Management in Laserfiche

- Set Event Date
- Cutoff record
- Retention
- Destroy
- Records Management Search

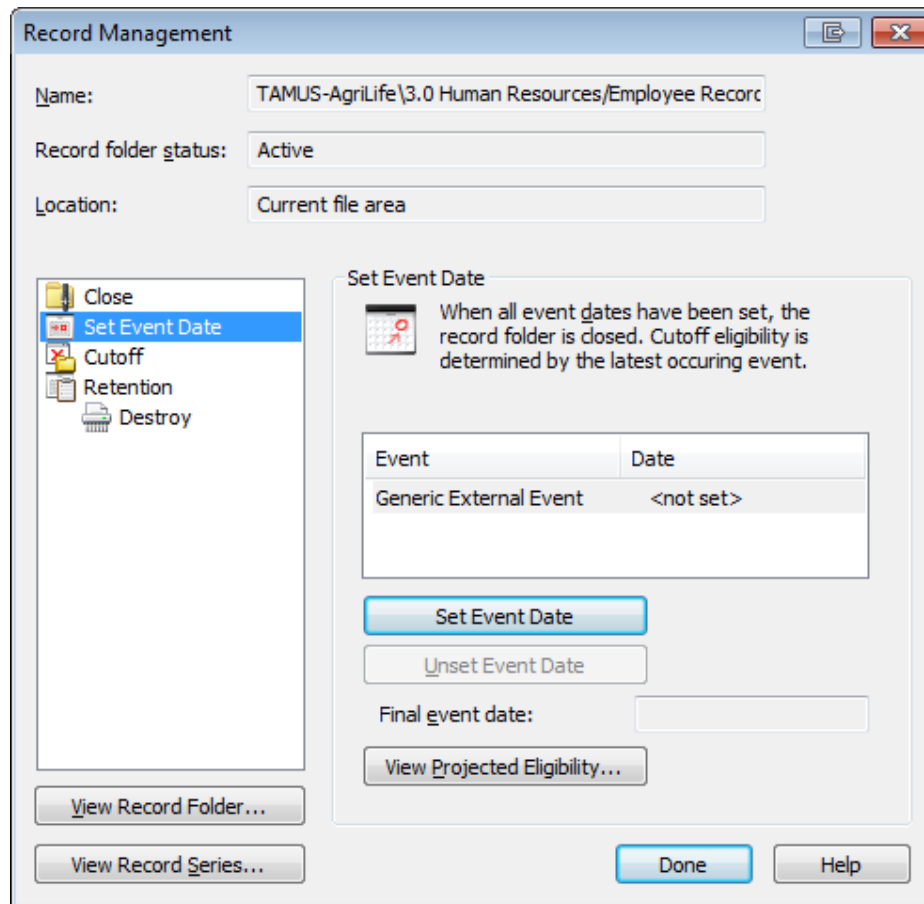
Laserfiche

Records Management Actions



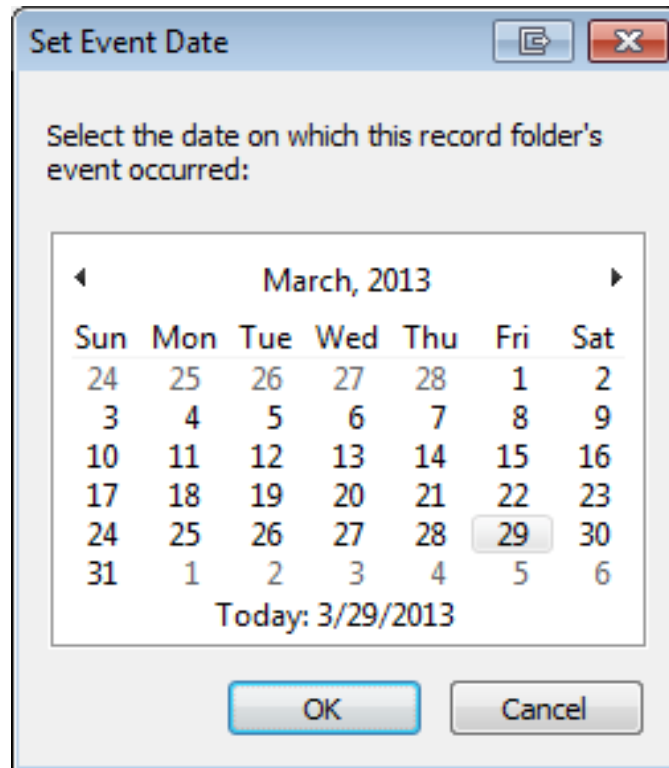
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Records Management Actions



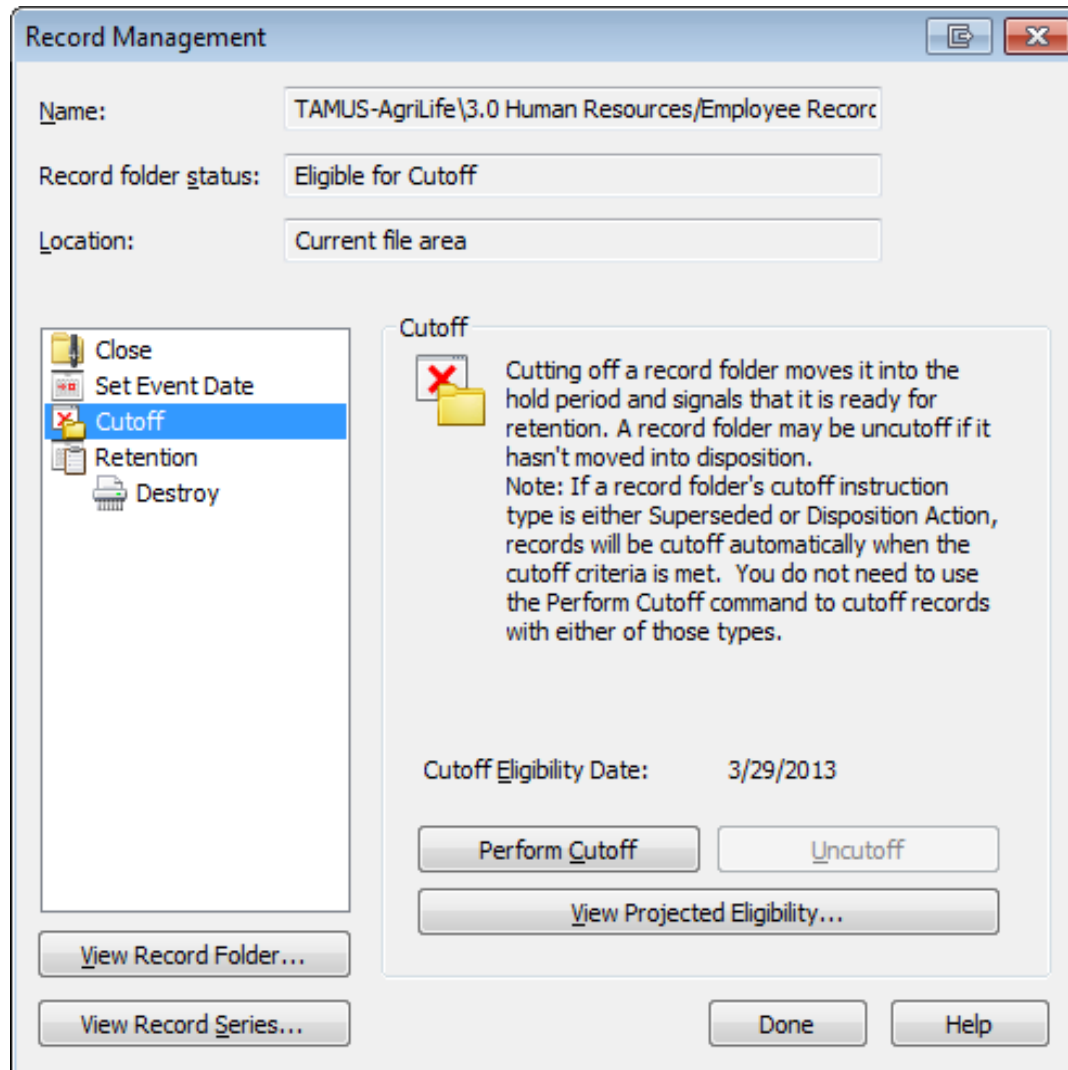
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Set Event Date



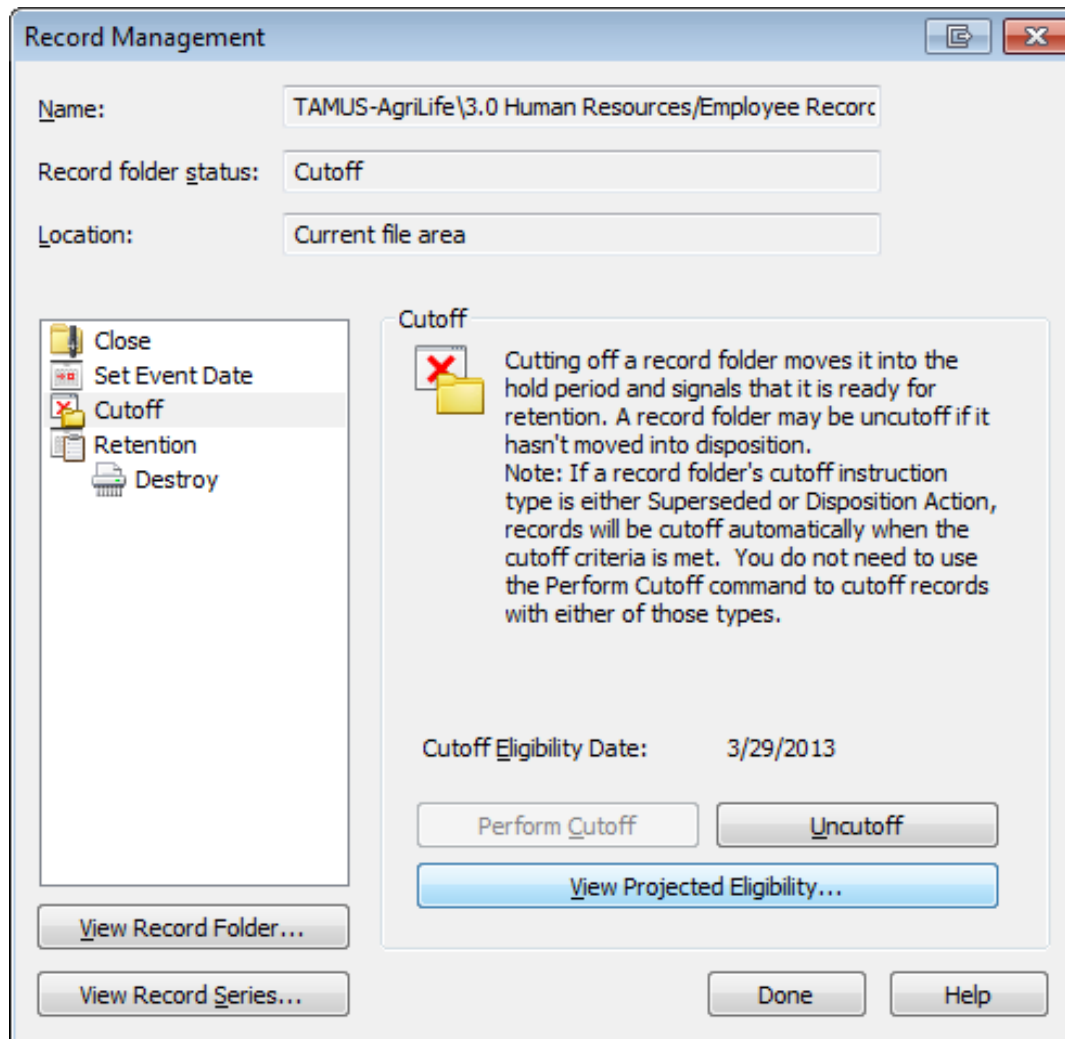
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Cutoff



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UnCutoff/View Eligibility



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Calculate Eligibility

Calculate Eligibility

Choose the projected cutoff date to view the projected eligibility dates.

Cutoff Date: 3/29/2013

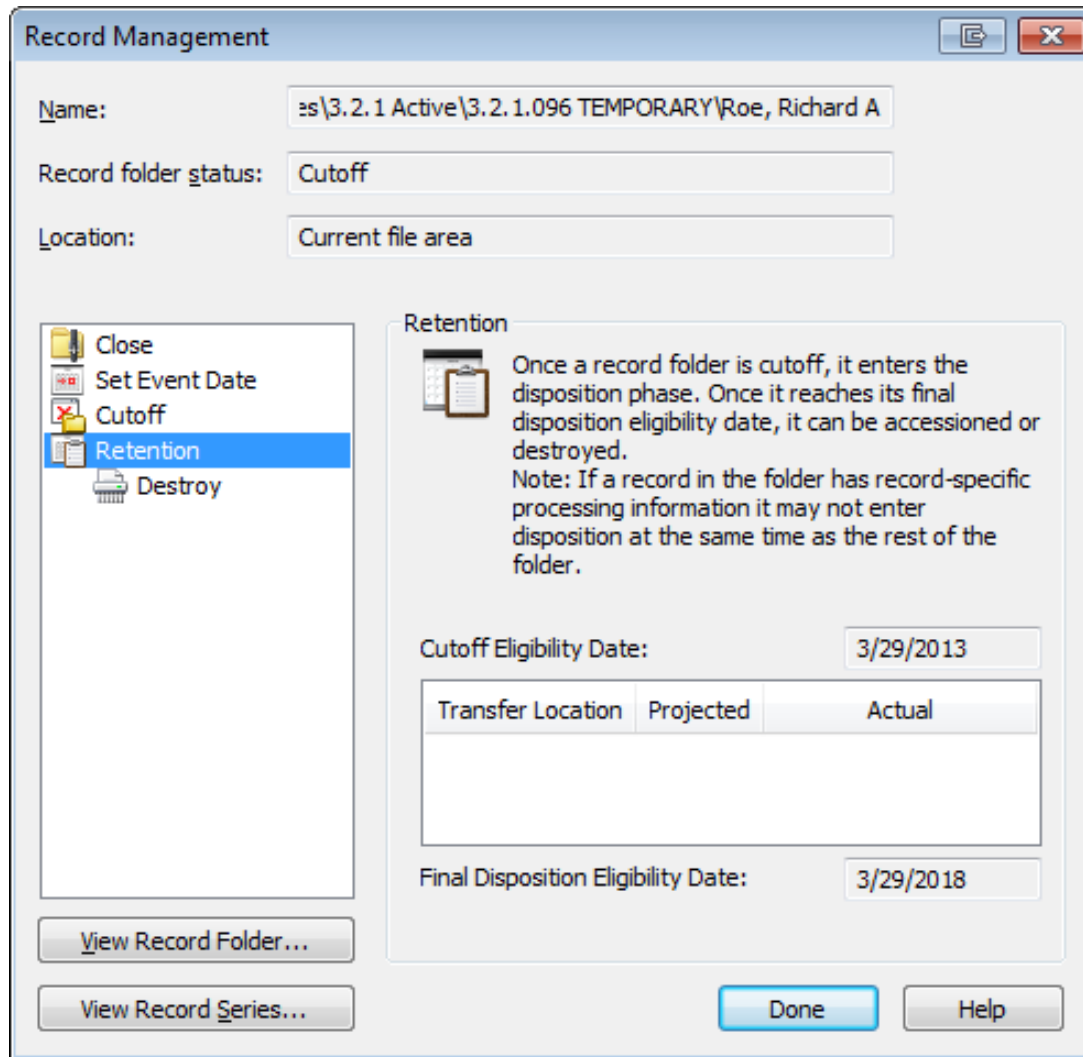
Transfer Location	Projected
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Final Disposition Eligibility Date: 3/29/2018

Close Help

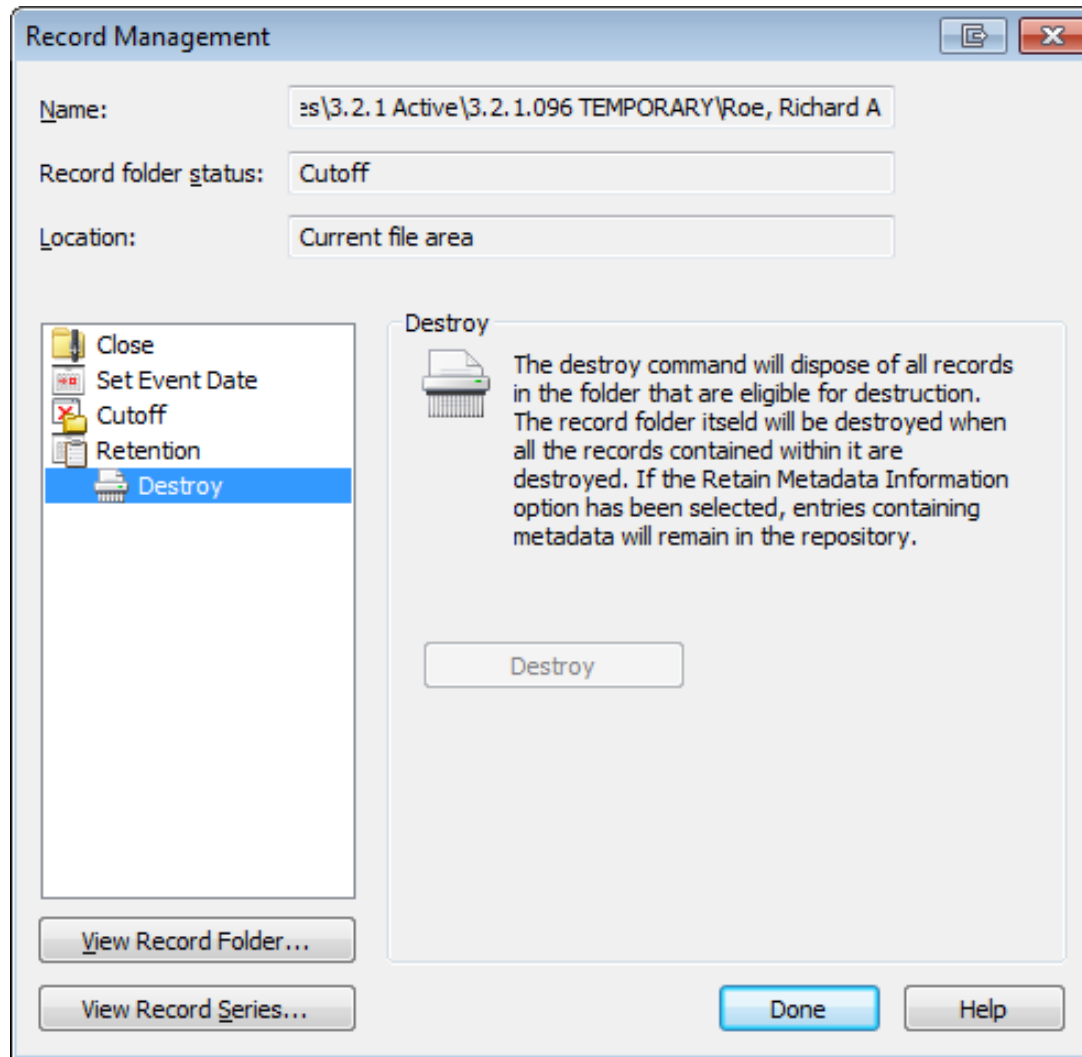
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Retention



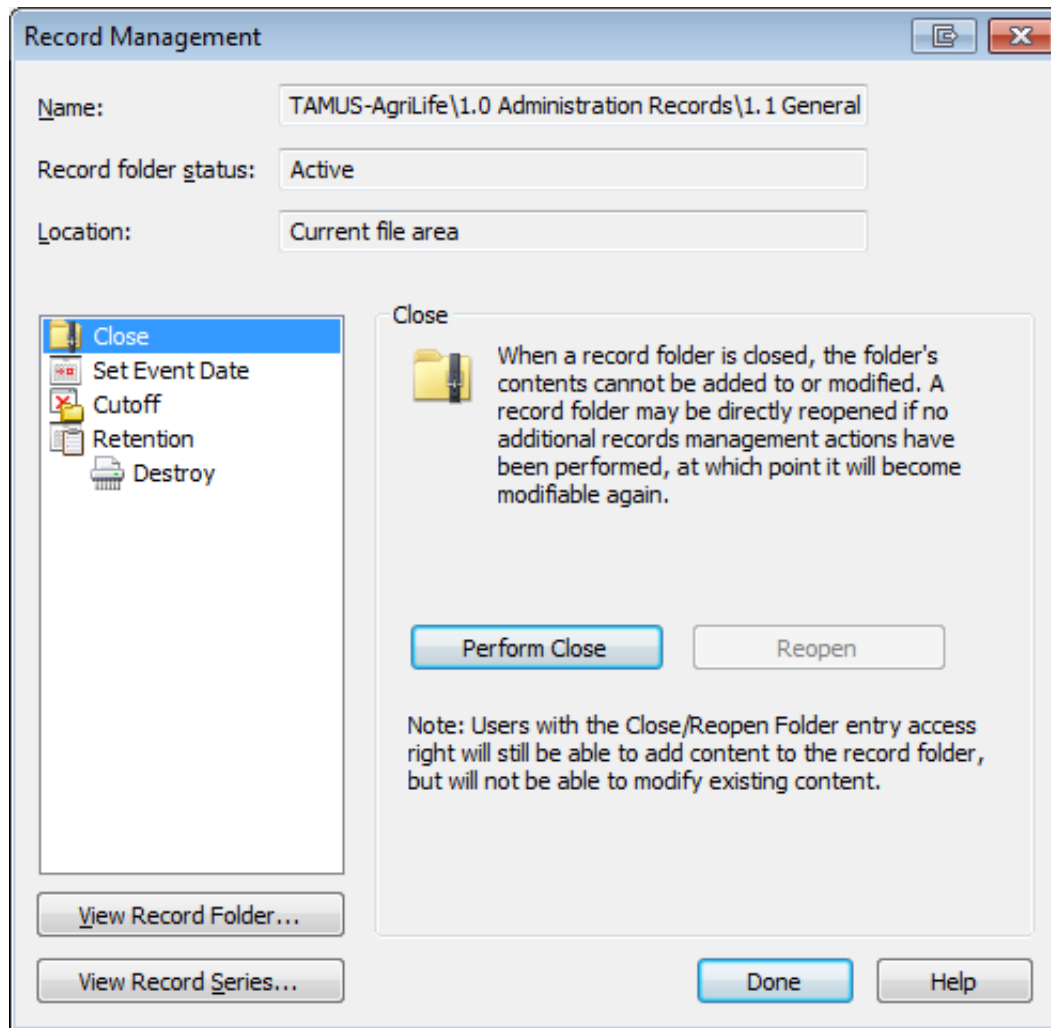
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Destroy



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Close a Record



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Freeze a Record

Frozen Status

Freezing records will suspend the disposition of records that should not be destroyed on schedule. Frozen records can later be unfrozen.

Freeze the selected records

Enter a reason for freezing the selected records:

The following freezes apply to the selected records:

Name	Freeze Reason	Freeze Date
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Records Management Search



Cutoff

Already cutoff

Due for cutoff before

Disposition

Search for records with the following disposition action:

Accession

Destruction

Transfer

None

Find records that are:

Currently eligible for disposition

Eligible from

to

Event Type

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Disposition



- Disposition
 - Retain Permanent
 - Accession
 - TSLAC
 - TAMU Library Archives
 - Destruction
 - IAW Retention Schedule
 - Authorization
 - Emergency Destruction

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AG-703 Destruction Request Cont



- Header
- Retention Schedule Agency Item Number – list all applicable numbers

Records Series Item No.	Agency Item No.	Record Series Title	Retention Period
ADMINISTRATION RECORDS			
Section I.1 - General			
1.1.002	01.100.10	Audits – Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency audits	AC+7

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AG-703 Destruction Request Cont



- Description of Folder/Box Contents
 - ID what the record is – NOT just the retention schedule description
 - Listing Multiple Records – List first and last record in the group i.e. Adams to Zebra
 - Inclusive Dates – i.e. personnel files list termination dates
- Remember: Just because a record is no longer used, does not allow destruction

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Emergency Destruction



- Destruction Prior to the End of the Retention Period
 - Must be authorized by TSLAC
 - Request goes through Agency Records Officer to System Records Officer, to TSLAC
 - Allow about 4-6 weeks for approval
 - Requires solid justification
- How to avoid? Use Laserfiche for State Records!

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Laserfiche Support



- Unit Administrators
 - 1st line of support
- First-Call Tech Support
 - <http://first-call.tamu.edu>
 - 979.985.5737
 - 866.996.2056
 - First-call@tamu.edu
- AgriLife Administrators –
 - Alyce Hlavaty**
 - 979.862.6307
 - alyce.hlavaty@ag.tamu.edu
 - Jamie Ausley**
 - 979.458.8214
 - jlausley@ag.tamu.edu
- DMS Web Site
 - <http://aglfdocs.tamu.edu>
 - Training Resources
 - Training Links
 - Software downloads
 - Hot Fixes/Updates
- TAMU Laserfiche Website
 - <http://laserfiche.tamu.edu>
 - Training resources