



RECORDS MANAGEMENT PLAN

Approved and Adopted by City Council

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Ordinance No. 2014-17

I. INTRODUCTION

Records Management

What is Records Management?

Records management is the application of management techniques to the creation, use, maintenance, retention, preservation, and disposal of records for the purposes of reducing the costs and improving the efficiency of recordkeeping. The term includes the development of records control schedules, the management of filing and information retrieval systems, the protection of essential and permanent records, the economical and space-effective storage of inactive records, control over the creation and distribution of forms, reports, and correspondence, and the management of micrographics and electronic and other records storage systems.

What is a Records Management Plan?

A records management plan contains policies and procedures designed to reduce the costs and improve the efficiency of recordkeeping, to adequately protect the essential records of the city, and to properly preserve those records of the city that are of historical value. The plan is binding on all offices, departments, divisions, programs, commissions, bureaus, boards, committees, or similar entities of the city and the records shall be created, maintained, stored, microfilmed, or disposed of in accordance with the plan.

Why does the City of Boerne need a Records Management Program?

Title 6, Subtitle C, Local Government Code (Local Government Records Act) provides that a municipality must establish by Ordinance an active and continuing records management program to be administered by a records management officer.

All municipal records are the property of the city. No city official or employee has, by virtue of his or her position, any personal or property right to such records even though he may have developed or compiled them. The Unauthorized destruction, removal from files, or use of such records is prohibited. Implementation of a Records Management Program will minimize the risk of records being handled improperly.

Where does Records Management fall in the organization?

The City Secretary, and the successive holders of said office, shall serve as the records management officer for the city. As provided by state law, each successive holder of the office shall file his or her name with the director and librarian of the Texas State Library within thirty (30) days of the initial designation or of taking up the office, as applicable.

Statement of Goals

To maintain a city-wide Records Management Program that will create an orderly, uniform, and reliable approach of managing municipal records throughout all City departments.

Goals:

1. Reduce space needed for storage of records.

- Continue to reduce the volume of records held in City offices through disposing of records in accordance with the Records Management Program.
- Use Tyler CM and other software programs to manage records electronically.
- Continue to work with the Information Technology Department in managing records electronically.
- Use retention storage ~~shed~~ **site** for inactive records until their destruction.

2. Develop and maintain an efficient retrieval operation for City records.

- Scan designated records into electronic files using Tyler CM, INCODE, or other programs specific to the department.
 - If the record has a retention period of 10 years or more, retain the original.
 - If the record has a retention period of less than 10 years, the original may be destroyed. The scanned in copy will become the official record.

3. Provide for routine disposition of records.

- Records management officer or designee shall provide a document destruction notice (Exhibit B) to each department on or before November 1st annually.
- Records ~~liaison~~ **custodian** shall provide an approved, signed, document destruction notice (Exhibit B) with any amendments to the records management officer or designee on or before December 1st annually.
- Records management officer or designee shall schedule destruction of approved documents on or before December 31st annually.
- Records management officer or designee will contact departments annually to encourage electronic storage for easy access to records.

4. Maintain total security over City records.

- Periodically review procedures and safety controls for City's records.
- Maintain an inventory and destruction log of all City records.
- Electronically file in Tyler CM all Records Destruction Notices.
- Identify and protect vital records.

5. Communicate the need for an effective records management program.

- Actively keep lines of communication open between the records management officer, department heads, records ~~liaison~~ **custodian** and other city staff and provide training opportunities as seen fit by the records management officer.

Duties of Records Management Officer (RMO)

1. Administer the records management program and provide assistance to department heads in its implementation.
2. Plan, formulate, and prescribe records disposition policies, systems, standards, and procedures.
3. In cooperation with department heads, identify essential records and establish a disaster plan for each municipal office and department to ensure maximum availability of the records in order to re-establish operations quickly and with minimum disruption and expense.
4. Develop procedures to ensure the permanent preservation of the historically valuable records of the city.
5. Establish standards for filing and storage equipment and for recordkeeping supplies.
6. Study the feasibility of and, if appropriate, establish a uniform filing system and a form design and control system for the city.
7. Provide records management advice and assistance to all city departments by preparation of a manual or manuals of procedures and policy and by on-site consultation.
8. Monitor records retention schedules and administrative rules issued by the Texas State Library and Archives Commission to determine if the records management program and the municipality's records control schedules are in compliance with state regulations.
9. Disseminate to the city council and department heads information concerning state laws and administrative rules relating to local government records.
10. Instruct records ~~liaisons~~ **custodians** and other personnel in policies and procedures of the records management plan and their duties in the records management program.
11. Direct records ~~liaisons~~ **custodians** or other personnel in the conduct of records inventories in preparation for the development of records control schedules as required by state law and this article.
12. Ensure that the maintenance, preservation, microfilming, destruction, or other disposition of the records of the city are carried out in accordance with the policies and procedures of the records management program and the requirements of state law.

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13. Maintain records on the volume of records destroyed under approved records control schedules or through records destruction authorization requests the volume of records microfilmed or store electronically, and the estimated cost and space savings as the result of such disposal or disposition.
 14. Report annually or as necessary to the city council on the implementation of the records management plan in each department of the city.,~~including summaries of the statistical and fiscal data compiled under subsection (13).~~
 15. Bring to the attention of the **to the** city council **of any** noncompliance by department heads or other municipal personnel with the policies and procedures of the records management program or the Local Government Records Act.

Duties of Department Heads

1. Cooperate with the records management officer (RMO) in carrying out the policies and procedures established in the city for the efficient and economical management of records and in carrying out the requirements of this ~~article~~ **section**.
2. Adequately document the transaction of government business and the services, programs, and duties for which the department head and his or her staff are responsible.
3. Maintain the records in his or her care and carry out their preservation, microfilming, destruction, or other disposition only in accordance with the policies and procedures of the records management program of the city and the requirements of this ~~article~~ **section**.

Duties of Records ~~Liaisons~~ Custodians

Records ~~liaisons~~ custodians implement the records management program within their department. They are the vital link between their department and the RMO.

Records ~~liaisons~~ custodians are responsible for:

1. Reviewing departmental records at least annually to purge and transfer inactive records to the storage ~~shed~~ site or process for destruction.
2. Preparing records for transfer according to instructions in the Records Management Plan and arrange for their transfer to the storage ~~shed~~ site or warehouse.
3. Providing an approved, signed, document destruction notice (Exhibit B) with any amendments to the records management officer or designee on or before December 1st annually.
4. Reviewing records periodically to ensure they are properly protected and to assure that vital and historical records are so classified.
5. Notifying the RMO if changes are required to Records Retention Schedules and when records become obsolete.
6. Acting as ~~liaison~~ custodian person between their department and the RMO to resolve any problems which arise relating to the Records Management Program.
7. Notifying the city attorney, department head and the RMO of pending litigation to ensure the safe keeping of all records pertaining to the litigation.
8. Acquiring knowledge of their department's electronic storage applications in order to communicate desired changes of additional needs to the RMO and Information Technology Department.
9. Working with the RMO in developing amending existing and or/creating new records management programs.
10. Maintaining a Records Retention Log (Exhibit D) for their department.
11. Maintaining a list of all designated official record copies, providing the list to the RMO's designee and notifying the RMO's designee of any additions to the list.
12. Providing a list and the location of their department's vital records to the RMO or designee.

II. RECORDS CONTROL SCHEDULES

The City of Boerne filed a Declaration of Compliance with the Records Scheduling Requirement of the Local Government Act in February of 2012 that adopted the following records control schedules issued by the Texas State Library and Archives Commission (TSLAC):

- Schedule EL Records of Elections and Voter Registration
- Schedule GR Records Common to All Governments
- Schedule HR Records of Public Health Agencies
- Schedule LC Records of Justice and Municipal Courts
- Schedule PS Records of Public Safety Agencies
- Schedule PW Records of Public Works and Services
- Schedule TX Records of Property Taxation
- Schedule UT Records of Utility Services

See Exhibit A, Texas State Library and Archives Commission: Local Schedules.

A department may retain records beyond the mandatory retention period. The department head must notify the records ~~liaison~~ **custodians** of the department as well as the RMO.

If there is a record that cannot be found on one of the above listed schedules, contact the RMO. The RMO will then submit the required TSLAC forms to have the new record added to the record control schedule.

Note: All records **must** be retained for at least the minimum amount of time stipulated by law.

III. RECORDS STORAGE

Before records can be stored the following information must be recorded onto a label (Exhibit C) and a copy **must** be provided to the RMO's designee:

- Box number (box numbers are located on the box label obtained through the RMO's designee)
- Department
- Contents/ Record name
- Date range of contents
- Record number (from the *Texas State Library and Archives Commission Local Schedules*), the location of where the box will be stored and the year the contents are to be destroyed. If appropriate, attach a list of the contents.

If storing in boxes, **be sure and file documents with the same retention period together** to avoid having to sort through them later. If for some reason you have a box with different retention periods, be sure that the date of destruction coincides with the record with the longest required retention period.

Records ~~liaison~~ **custodians** are responsible for maintaining a Records Retention Log (Exhibit D) for their department. Make sure to update the log as you move records into storage.

Records with a destruction period of less than 6 years that you do not need to have access to, should be moved to the storage ~~shed~~ **site**. A "~~Facility Dude~~" **maintenance** request should be made once the box is ready to be moved into storage. Building Maintenance will then contact you to assist with moving the boxes and gaining access to the storage ~~shed~~ **site**.

IV. RECORDS DISPOSITION

In accordance with State guidelines, the following procedures should be followed when disposing of records of any kind. If you have a question about a document's retention period, refer to the retention schedule. If you need further assistance, contact the RMO's designee for assistance.

Purging of Files

Departments may purge their files of "non-records" without consulting with the RMO. Records are considered non-records when they are not the original or official copies of a document and do not furnish information on organization, function, policy, procedure, operation, or other activities and are retained in addition to the official copy. Some examples are:

- convenience copies: "extract identical copies of documents created only for convenience of reference or research" (Local Government Code §201.003 (8) (A))
- copies of documents furnished to the public as part of a Public Information Act request
- stocks of publications
- blank forms

Annual Destruction of Records

- Records management officer or RMO's designee shall provide a record destruction notice (Exhibit B) to each department on or before November 1st.
- Records ~~liaison~~ **custodian** shall review the destruction notice and provide an approved, signed, document destruction notice with any amendments to the records management officer or designee on or before December 1st.
- Records management officer or designee shall schedule destruction of approved documents based on submitted record destruction notice on or before December 31st.
- Records management officer or designee shall ensure documents are listed on the Records Retention Log (Exhibit D).

Destroying records outside of the annual destruction:

Records ~~liaison~~ **custodian** should periodically review their records. When the retention period is met, making records eligible for destruction, the appropriate records ~~liaison~~ **custodian** shall list all record series on a record destruction notice and submit it to the department head for review. If the department head *concurs*, he or she will sign the destruction notice form and submit it to the RMO's designee. If approved for destruction, the department ~~liaison~~ **custodian** will be advised that he or she can destroy the records by shredding. The records ~~liaison~~ **custodian** must record the information in their department's Records Retention Log (Exhibit D).

All records that are to be destroyed annually, if not already at the storage ~~shed~~ **site** located ~~behind~~ **at** City Hall **on the first floor**, should be processed and sent to the storage ~~shed~~ **site** on or before December 1st.

Litigation Support Policy

In the event the City or a department is implicated in a Court action, any records which may be involved must be retained and safeguarded from destruction or tampering regardless of the retention period specified in the records control schedules. Notify the RMO and City Attorney if you have any such documents.

V. RECORDS RETRIEVAL

Procedures for Requesting Stored Records

In order to access a record once it has been moved to the storage ~~shed~~ site, ~~basement or warehouse~~ following the steps listed below.

1. Send an e-mail to Building Maintenance with a CC to the RMO's designee requesting access to the proper location and assistance in locating/ moving stored box.
2. If a box or document from a stored box is removed from the storage site the new location must be recorded in your retention log and sent the RMO's designee.
3. If a box or document is returned to the stored location the location must be recorded in your retention log and sent to the RMO's designee.

VI. ELECTRONIC SCANNING OF RECORDS

The City is utilizing Tyler CM and each department is responsible for scanning designated records into Tyler CM. Request the assistance of the RMO's designee or the IT Department if assistance is needed.

Not all records should be scanned. It should be carefully considered when deciding to scan records requiring retention of 10 years or less, especially if the file has been inactive for some time.

It is acceptable to keep a scanned document in lieu of the original as long as the scanned document is designated as the official record copy and is retained for the full retention period. This authorization is provided Local Government Code §205.002. Authorization. Any local government record data may be stored electronically in addition to or instead of source documents in paper or other media, subject to the requirements of this chapter and rules adopted under it. The City of Boerne's digital systems have secure back-ups and all documents stored electronically that are still in retention will be migrated as hardware and/ or software is upgraded.

After a record has been scanned in, a **visual quality control check must be done on every single page** of the scanned record to make sure that it is a complete representation of the original. If the record has a retention period of 10 years or more, the original paper record must be retained as to the retention control schedule. If the record has a retention period of less than 10 years, the scanned record may be designated as the official record copy and the hard copy may be destroyed after 6 months.

The records ~~liaison~~ **custodian** must keep a list of all designated official record copies, provide the list to the RMO's designee and notify the RMO's designee of any additions to the list.

It is the policy of the City of Boerne to retain in original paper form all records with a retention period of 10 years or more with the exception of Commercial Building Plans. The Plans may be destroyed after scanning.

VII. SOCIAL MEDIA RECORDS

Definitions

Social Media: Forms of electronic communication through which users create online to share information, ideas, personal messages, and other content.

Social Media Tool: A software system or service provided via the Internet used to communicate and share information between people.
(Examples: Facebook, YouTube, Flickr, Twitter)

Social Media shall be handled in the same manner as any other record. Local Government – Bulletin D “any document, paper, letter, book, map, photograph, 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” - Section 201.003

The City of Boerne uses ArchiveSocial in order to ensure compliance with the records control schedules and save time on Public Information requests. ArchiveSocial automatically archives records of social media activity transmitted on any device, computer, or network and captures the metadata behind status updates, photos, tweets, profiles and messages from Twitter, Facebook, LinkedIn, and YouTube.

Guidelines

- Only public information may be posted on social media websites.
- All open records or public information requests follow the same policy and procedures as records of any other format.
- The retention of social media records is based on content and function.
- Use of personal social network accounts and user IDs for city use is prohibited.
- Use of city social network user IDs for personal use is prohibited.
- Refer to the Policy for Employee Use of Social Networks.

VIII. E-MAIL RETENTION

Purpose

This section of the Records Management Plan covers general guidelines for purging and retaining correspondence records stored on the City's electronic messaging system. It does not supersede any state or federal laws, nor any other government policies regarding confidentiality, information dissemination, or standards of conduct.

It is the policy of the City of Boerne to provide for the efficient, economical and effective management of electronic records, including e-mail, in accordance with Texas Administrative Code (TAC), Chapter 7, Sections 7.71-7.79 8 and Local Government Code (LGC), Chapter 205, Sections 205.001-205.009 (Local Government Bulletin B, Electronic Records Standards and Procedures). TAC, Chapter 7, Section 7.72(d), provides that the governing body of a local government or designated records management officer must administer a program for the management of records created, received, maintained, used, or stored on electronic media.

The City of Boerne desires to adopt a policy for that purpose and to prescribe guidelines and procedures for the management of electronic records, including e-mail, consistent with the Electronic Records Standards and Procedures and in the interest of cost-effective and efficient recordkeeping, including long-term records retention.

Scope

This policy applies to any electronic records, including e-mail messages, created, received, retained, used, or disposed of using the City of Boerne's computer system and electronic mail system.

Definitions

- (1) Electronic mail message: A record created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments which may be transmitted with the message.
- (2) Electronic mail receipt data: Information in electronic mail systems regarding the date and time of receipt of a message, and/or acknowledgment of receipt of access by addressee(s).
- (3) Electronic mail systems: A computer application used to create, receive, retain and transmit messages and other records. Excluded from this definition are file transfer utilities.
- (4) Electronic mail transmission data: Information in electronic mail systems regarding the identities of sender and addressee(s), and the date and time messages were sent.
- (5) Electronic media: All media capable of being read by a computer, including computer hard disks, magnetic tapes, optical disks, or similar machine-readable media.

- (6) Electronic record: ~~The information that is maintained in electronic format in a computer for computer processing and the product of computer processing of that information that satisfies the definition of a government record in the Local Government Code, Chapter 201, Section 210.003(8).~~ Any information that is recorded in a form for computer processing and that satisfies the definition of local government code, 201.003(8).
- (7) Electronic records system: Any information system that produces, manipulates, and stores city records by using a computer.
- (8) Mailing list service: An electronic mailing list housing service used for discussions and announcements within a specified group of individuals. Subscribers to the service participate by sending information to and receiving information from the list using electronic mail messages.
- (9) Records management officer: ~~The person who administers the records management program established in each local government under the Local Government Code, Chapter 203, Section 203.026.~~ The person designated by the governing body of each local government pursuant to the local government code 203.025.
- (10) Local government record: Any document, paper, letter, book, map, photograph, 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. **The term does not include:**
- (A) Extra identical copies of documents created only for convenience of reference of research by officers or employees of the local government;
 - (B) Notes, journals, diaries, and similar documents created by an officer or employee of the local government for the officer's or employee's personal convenience;
 - (C) Blank forms;
 - (D) Stocks of publications;
 - (E) Library and museum materials acquired solely for the purposes of reference or display;
 - (F) Copies of a document in any media furnished to members of the public to which they are entitled under Chapter 552, Government Code or other state law;
 - (G) Any records, correspondence, notes, memoranda or documents, other than a final written agreement described by Section 2009.054(c), Government Code, associated with a state department of institution, local government, special

district, or other political subdivision of the state that participated as a party, facilitated as an impartial third party, or facilitated as the administrator of a dispute resolution system or organization.

Authority

Retention of local government records, in any format, is required by the Local Government Records Act and by City ordinance.

City of Boerne E-Mail Policy Excerpts

The city often delivers official communications via e-mail. As a result, employees of the city with e-mail accounts are expected to check their e-mail in a consistent and timely manner so that they are aware of important city announcements and updates, as well as for fulfilling business and role-oriented tasks.

E-mail users are responsible for mailbox management, including organization and cleaning.

E-mail is archived for four years at server level. It is up to the individual user to archive older e-mails. The IT Department can be contacted to help set up archiving of older e-mail.

E-mail users are expected to remember that e-mail sent from the city's e-mail accounts reflects on the city. Please comply with normal standards of professional and personal courtesy and conduct.

In addition, archival and backup copies of e-mail messages **may** exist, despite end-user deletion, in compliance with the City's records retention policy. The goals of these backup and archiving procedures are to ensure system reliability, prevent business data loss, meet regulatory and litigation needs, and to provide business intelligence.

Backup copies exist primarily to restore service in case of failure. Archival copies are designed for quick and accurate access by company delegates for a variety of management and legal needs. Both backups and archives are governed by the Texas State Library and Archives Commission Local Records control schedules. **E-mails must be kept according to its content and the corresponding retention period.**

User Responsibilities and Enforcement

It is the responsibility of the user of the e-mail system, with guidance and training from the records management officer, RMO's designee and/ or records ~~liaison~~ **custodian**, to manage electronic records, including e-mails, according to the government's established retention periods. It is the responsibility of the sender of e-mail messages within the government to retain the messages for the approved retention period. Names of sender, recipient, date/time

of the message, as well as any attachments must be retained with the message. Except for listserv mailing services, distribution lists must be able to identify the sender and recipient of the message. User responsibilities may be mitigated by the use of a server level automated classification system.

The Information Technology Department is responsible for general enforcement of this section. Each Department Head is responsible for implementation and maintenance of this section in their department.

Guidelines

1. For acceptable use of e-mails, see the City's E-mail Use Policy.
2. The burden of responsibility for determining retention of an e-mail rests on the **individual user**.
 - a. The sender copy is the official record copy and the sender is the ~~liaison~~ **custodian** of the record copy.
 - b. The recipient copy is also an official record copy if you need to take action based on the message and/or the message is required for adequate documentation of action.
3. The City has adopted the retention schedules published by the Texas State Library and Archives Commission and e-mails and their attachments must be retained according to the subject matter of their content.
4. The time period of the applicable retention period of the e-mail document is determined by the content of the message and attachments. If an attachment requires a different retention from the e-mail message, the longest retention period applies.
5. Any e-mail that is a non-record should be deleted.
6. E-mails left on the messaging system will be automatically deleted after **4 years**. If there is a litigation hold on e-mail records, they must be printed immediately and stored separately.
7. If an e-mail has a retention period of more than four years, it must be printed and stored.
8. Once an e-mail, its header and all attachments are transferred to an unalterable storage medium outside the e-mail system (paper, CD, Tyler CM), the transferred documents are considered the official record copy. The original e-mail, its header and all attachments are considered non-records and will be deleted after **4 years**, if the user doesn't delete it before that time.
9. When an employee leaves the City's employment, the Department Head will be given access to said employee's archived e-mail account. All e-mails that need to be kept for official record purposes shall be printed and stored. After the Department Head has reviewed the e-mail account, he/she should notify the Information Technology department and the e-mail account/e-mail of a former employee will be deleted.

Determination of an Official Record Copy

The e-mail user is responsible for determining whether or not the e-mail is the official record copy. Use this ~~4-step drill~~ **3-step drill** to help determine what should be kept as an official record copy.

*Step 1: Determine ~~what can be deleted at any time.~~ **if content is a record***

The following items are not considered the official record copy

- Personal e-mail – that has no relevance to City business
- Spam

- Unsolicited e-mail (examples: vendor ads, news articles, non-work related e-mail from coworkers)
- CC's – the e-mail is the responsibility of the sender
- Convenience copies – the record is retained elsewhere

Step 2: Determine if the content is related to your job.

- Is the content of the e-mail directly related to your responsibilities as a City employee?
 - If no, forward to the person who has the responsibility, and then delete the e-mail.
- If yes, proceed to the next step.

*Step 3: Are you the ~~liaison~~ **custodian**?*

- Are you the person responsible for maintaining the records related to this subject?
 - If no, forward to the person who is and then delete the e-mail.
- If yes, ~~proceed to the next step.~~ **retain the email.**

~~*Step 4: Keep the e-mail*~~

- ~~▪ This e-mail is the official record copy and you must retain it according to the records control schedules.~~

Determining Retention Period

Review the content of the e-mail and refer to the records control schedules to determine the record series and record retention period. Many e-mails will fall into the correspondence record series. Contact the RMO if you have a question about classifying a record.

Correspondence includes three categories:

- **Administrative (GR 1000-26a): 4-year retention**
 - Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, modification, or redefinition of the programs, services, or projects of a local government and the administrative regulations, policies, and procedures that govern them. May also include subject files, which are collections of correspondence, memos and printed materials on various individuals, activities and topics.
- **General (GR 1000-26b): 2-year retention**
 - Incoming/outgoing and internal correspondence pertaining to the regular and routine operation of the policies, programs, services, or projects of a local government. May also include subject files, which are collections of correspondence, memos and printed materials on various individuals, activities, and topics.
 - The bulk of e-mails fall into this category.
- **Routine/ Transitory (GR 1000-26c): AV - As long as administratively valuable**
 - Correspondence and internal memoranda such as letters of transmittal, requests for publications, internal meeting notices, and similar routine matters. May also

include subject files, which are collections of correspondence, memos and printed materials on various individuals, activities, and topics.

- These e-mails only serve an immediate purpose and can usually be deleted right away.

Maintenance of Electronic Mail

Records created using an e-mail system must be saved for their approved retention period by one of the following methods:

1. Print message and any attachments and file in appropriate hard copy file. This becomes the official record.
2. Contact the Information Technology Department to set up archiving of e-mail with a retention period of more than **4 years**.
 - a. For more information about training on organizing and classifying e-mails, please see the RMO's designee.
3. Save to ~~removable disk~~ **USB** or flash drive, carefully labeled to enable proper disposition.

Back-up copies of an e-mail will be kept for no more than **14 30 days**. Backups are for system restoration and disaster recovery efforts and are not designed to facilitate retrieval of deleted messages.

The Information Technology Department will purge continually to ensure that only **4 years** of e-mails are available on the messaging system.

Reminder: It is the policy of the City of Boerne to retain in original paper form all records with a retention period of 10 years or more.

Disposition of Electronic Records & E-mail

The process for the legal disposition of government records (including electronic records, and e-mails) is subject to the same documentation requirements as any other format or medium. This usually requires management permission and some type of disposition log to adequately document disposition and destruction of electronic records. (Local Governments are not required to keep a disposition/destruction log but the practice is **strongly advised**.) Section 7.78 of the Electronic Records Standards and Procedures (relating to the destruction of electronic records states that:

- (a) Electronic records may be destroyed only in accordance with the Local Government Code, Section 202.001
- (b) Each local government must ensure that:

- (1) Electronic records scheduled for destruction are disposed of in a manner that ensures protection of any confidential information; and
- (2) ~~Magnetic~~ **Electronic** storage media ~~previously~~ used for electronic records containing confidential information are not reused if the previously recorded information can be compromised ~~by reuse in any way.~~ **in any way through reuse.**

IV IX. VITAL RECORDS PROGRAM

The purpose of the Vital Records Program is to protect those records containing information essential to the survival of the City in the event of a disaster (natural or man-made) and to the continued operations of the City without delay under emergency conditions. The protection of vital records is imperative. In the event of a disaster, having access to the City's critical records will make it possible to re-establish operations quickly and with minimum disruption and expense.

Definition

Vital Records are defined as those:

- irreplaceable records for which reproductions do not have the same value as the originals;
- records needed to recover money promptly;
- records needed to avoid delay in restoration of services under emergency conditions; and
- records that give direct evidence of legal status, ownership, accounts receivable and incurred obligations.

Identification

Each department records ~~liaison~~ **custodian** is responsible for identifying its vital records and for ensuring that those records are safe and can be immediately accessed if the need arises both during and after a disaster. The records liaison for each department shall provide a list and the location of their department's vital records to the RMO or designee.

Identification of vital records is difficult since most departments have records that are vital to them but not necessarily to the city as a whole. Generally, vital records and information represent only a small portion of all the records and information retained by the various departments. It is important that only vital records and information that are absolutely necessary to continue or resume City business are protected from permanent loss.

Consider the following to identify vital records:

- Does this record **give authority for operation of the City and its various departments?** (including the minutes of City Council, ordinances, and resolutions that have **legal force**)
- Does this record document **obligations owed to the City?** (example: financial records)
- Would this record be **essential to operations and would it be difficult to reconstruct?** (examples: blueprints showing locations of the City's underground water lines, gas lines, or other underground utilities, or records showing the basis for tax assessments)
- Does this record document **obligations to employees by the City?** (example: personnel records, accrued benefits, payroll records)
- Does this record document **information on civil and property rights of citizens?** (example: deed records, court decisions, documented permits)
- Does this record document **ownership of City property?** (especially property that is of significant value, including City parks and facilities and water wells)

If doubt still exists, contact the RMO for a determination.

Once you have identified your department's vital records:

- Determine the level of protection needed for the records

- Evaluate the most effective and cost-effective means for providing protection.
- Develop a records recovery program to assure records are retrievable in case of a disaster.

Keep in mind that in order for a vital record to remain vital, it must be up to date. As vital records are updated or superseded, replace them with the most current copy to ensure that it is protected against loss.

Protection

Each department head is responsible for the protection of records vital to the city or department within their care. The level of protection that should be provided to the document should be based on the importance of the record. To protect your department's vital records, keep them in a fireproof safe if possible or make an electronic copy of them. Remember that although you may have an electronic copy of a document it may not have the same legal standing as the original. Check with the City Attorney when making the determination on how to safeguard such documents.

Make sure to keep an updated list of the location of these vital records on file with the RMO or designee. The RMO or designee will make sure there is a current list of all the locations of all the vital records within the city based on the lists provided by the records ~~liaison~~ **custodians**.

X. RECORDS DISASTER PREVENTION AND RECOVERY PLAN

Risk Assessment & Analysis

<u>Hazard Type</u>	<u>Damage</u>	<u>Likelihood of Occurrence</u>
Flash Flooding	Water Damage	Highly Likely
Flooding	Water Damage	Highly Likely
Water Main Breakage	Water Damage	Highly Likely
Plumbing Backup	Water Damage	Highly Likely
Irrigation System Malfunction	Water Damage	Highly Likely
Fire Suppression	Water Damage	Highly Likely
Wildfire	Fire Damage	Likely
Tornado	Wind Damage	Occasional
Winter Storm	Wind & Water damage	Occasional
Major Structural Fire	Fire Damage	Occasional

Prevention

- Store records off the floor and away from danger (even a few inches can make a difference)
- Don't leave documents on the desk, scan and file immediately.
- File vital records in fire-proof filing cabinets as much as possible
- Scan in all essential & vital records
- Computer network backups – stored off-site
- Pre-purchase plastic tarps, clean-up supplies, and absorbent towels or blotters

Records Disaster Recovery Plan

If the EOC has been activated, make contact with the Emergency Management Coordinator and a member of the Document Recovery Team.

Contact the Finance Department to obtain emergency funding.

Contact the IT Department. The IT Department has a Disaster Recovery Plan that they will be following.

If it is safe for staff to enter the building, if it is possible to start drying all items before they start to mold **and**, if the materials are not too delicate or too large to handle then follow the following steps. (For more detailed information on salvaging of water-damaged documents, please refer to Exhibit E)

- Gather salvageable records and store in a secure area
- Assess damage to paper documents and take steps to preserve them (example: dry or freeze wet documents)
- Recovery of wet paper:
 - Dry the paper as quickly as possible
 - Move them to a secure area with good air circulation and several large tables
 - Spread the documents out on flat, absorbent material
 - As it dries, move into stacks and interleave with paper towels or blotter paper
 - When almost dry, place between paper towels or blotter under light weight
- Recovery of wet books:
 - Stand book on end, open 90 degrees, and fan pages open
 - Circulate air with electric fan
 - Can interleave with absorbent material if needed, especially for coated papers

- Recovery of wet photographs:
 - Dry flat on absorbent material with image facing up.
 - Alternatively, affix on a line with a clothespin that does not touch image area.

Document Recovery Team

City Secretary, RMO's designee, ~~Administrative Assistant~~ **Administration Records Clerk**, Records Liaisons **Custodians**.

A member of the document recovery team will complete a Disaster Incident Report Form (Exhibit F) in the event of any incident that causes damage to City records.

List of Expert Assistance & Document Restoration Companies

Consult with the City Attorney prior to entering into an agreement for document restoration services.

- Texas State Library and Archives Commission
 - 512-463-7610
 - slrminfo@tsl.state.tx.us
- Society of American Archivists
 - 1-866-722-7858
- American Association for State and Local History
 - 1-615-320-3203
- American Institute for Conservation of Historic & Artistic Works
 - 1-202-452-9545
- BMS CAT (Document Restoration)
 - ~~1-800-433-2940~~ **1-866-621-078**

ARMA Buyers' Guide: <http://www.arma.org/buyersguide/index.cfm>

U.S. General Services Commission (GSA) Disaster Recovery Purchasing website:
<http://www.gsa.gov/portal/content/202321>

National Archives and Records Administration (NARA) Records Recovery Vendors list:
<http://www.archives.gov/preservation/disaster-response/vendors.html>

Texas Comptroller's Centralized Master Bidders List:
<http://www.window.state.tx.us/procurement/prog/cmbbl/>

XI. HISTORICAL RECORDS

Guidelines for Appraising the Historical Value of Modern Records

Historical (Archival) Value: records that support historical research by serving as evidence of the functions, responsibilities, history, and development of government. Most items with historical value also possess other types of records values (administrative, legal, or fiscal). Examples: meeting minutes of governing bodies, city charters, tax rolls, certain types of correspondence, photographs, and certain legal case files.

Archival Appraisal: identifying records with enough historical value to be worthy of permanent (or long-term) preservation.

Determining Historical Value

The following questions should be asked when determining the historical value.

1. Does the records retention schedule list a permanent retention period?
 - If yes, the record has historical value.
 - Note: permanent retention period applies to the record regardless of the record's format.
2. Does the records series include a **retention note** about historical value?
 - If yes, the record must be reviewed for historical value before it may be destroyed.
3. Do you have the record copy?
 - If no, it is unlikely that the record is "historical". (example: convenience copies)
4. Is the information unique? Can it be found elsewhere?
 - Has the information been filed with a state agency or a different governmental entity that would be more likely to have the record copy of that record?
5. Do the records document program policies or decision-making processes?
 - Records that document high-level policy- or decision-making processes will have historical value. A record documents policy- or decision-making processes if it documents the formulation, planning, implementation, modification, or redefinition of the policies, programs, services, or projects of a local government.
 - "Does this record document the history and development of my government?"
6. Does this record series document a particularly important person (or group of people), place, or event?

7. Will researchers now, or in the future, need to consult the records?
8. Are the records summary in nature, such as annual or progress reports?
 - In general, if you have information compiled into a final, summarized document, you can usually just keep that final document for your archives and get rid of the records that were summarized in the creation of that final document (after they've met their retention periods).
9. How complete is the collection of records?
 - Completeness of a collection gives it more value. A researcher trying to understand the development of a certain city policy will be much better served by a full date range of minutes, rather than a few scattered years.
 - Likewise, if a correspondence file is missing letters K through T, it will make the correspondence file less useful on the whole.

Common sense and good judgment are key factors in determining whether or not to keep a record for historical purposes. If you need additional assistance in determining the historical value of a record, please contact the RMO or Assistant City Manager.

Resources

The following resources can also assist with determining historical value.

Texas State Library and Archives Commission (TSLAC) appraisal archivists (Archives and Information Services Division). This should be your first stop. Appraisal archivists are available to help state agencies and local governments determine appropriate retention periods and historical value.

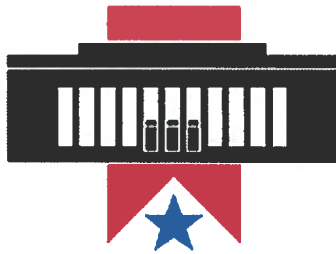
Texas State Library and Archives Commission (TSLAC) government information analysts (State and Local Records Management Division). Analysts can walk you through the process of records analysis and appraisal (the process by which you determine appropriate retention periods).

Texas State Historical Association (TSHA). The TSHA maintains an extensive encyclopedic database of Texas people, places, and events. Consult the Handbook of Texas Online.

Local historians. Local historians may be a good source of information in determining historical value.

Texas Historical Commission (THC). The Texas Historical Commission is a state agency "dedicated to historical preservation of Texas' architectural, archaeological, and cultural landmarks." The THC would be a great resource for determining the value of records pertaining to local buildings or landmarks.

Please note: Historical records may not be donated, sold, or destroyed or otherwise removed from the City's jurisdiction without permission of the RMO.



**TEXAS STATE LIBRARY
AND
ARCHIVES COMMISSION**

Local Government Retention Schedules

EL | GR | HR | LC | PS | PW | TX | UT

EL: Records of Elections and Voter Registration

GR: Records Common to All Local Governments

HR: Records of Public Health Agencies

LC: Records of Justice and Municipal Courts

PS: Records of Public Safety Agencies (Police, Fire, EMS, ME, etc.)

PW: Records of Public Works and other Government Services

TX: Records of Property Taxation

UT: Records of Utility Services

Current retention schedules may be found on the following website:

<https://www.tsl.texas.gov/slr/localretention>

Exhibit B

City Of Boerne Records Destruction Notice

Date: _____

Department: _____

Records Liaison Officer: _____

Department Head: _____

RMO Approval Signature: _____

[illegible]

Exhibit C

Box #: _____

Dept.: _____

Contents: _____



Dates: (From) _____ **(to)** _____

Record #: _____

Location: _____

Destruction Year: _____

SAMPLE

Exhibit D

[illegible]

City of Boerne

Salvage of Water-Damaged Documents

I. Prevent Further Damage

A. *Ensure Safety and Security*

People are more important than records!

1. Turn off Electricity
2. Limit access
3. If there appears to be danger, evacuate building
4. Do not (re)enter until declared safe

B. *Notify*

1. Emergency Management Coordinator
2. Department Head
3. IT Department

C. *Protect People*

1. Wear protective gear – hard hats, gloves, boots and masks
2. Have tetanus shots if working in flood water

D. *Stop Water*

1. Shut off water to building
2. Divert water by channeling it away from building, records
Only use electric pumps if you know circuitry is dry
3. Cover drains and places where water is entering

E. *Protect records*

1. Cover shelves with plastic sheeting is water from above (check underneath for mold periodically)
2. Raise objects out of water, move everything higher if water is rising
3. Secure floating objects

II. Get Started

A. *Document*

1. Photograph the area and documents before moving anything
2. Use a working copy of the records inventory as a control document
3. Revise and update control documents as materials are moved and treated

B. *Evaluate*

1. AMOUNT damaged
2. SEVERITY of damage
3. STAFF available
4. FUNDS available
5. TIME materials have been wet
6. VALUE of materials

III. General Rules

A. Sort

1. Dry: Keep dry, move to dry area
2. Wet: Keep wet until frozen or properly dried
3. Dirty: Keep separate from clean items
4. Moldy: Completely segregate from uncontaminated items

B. Mark

1. Wet paper should not be marked
2. Grease pencil can be used on the leading portion of film reels
3. Waterproof markers can be used on the record containers

C. Handle

1. Be careful – wet materials are fragile
2. Fully support wet material – use both hands
3. Don't stack materials on the floor
4. Keep all identifying info with the item(s)

IV. Clean

A. Paper

1. Rinse in clean, cool running water
2. Don't scrub
3. Hold books closed when rinsing
4. If ink is spreading/running, don't rinse

B. Photographic Media

1. Don't touch surfaces
2. Remove from envelopes and enclosures
3. Be careful they don't stick together

C. Magnetic Media

1. If just the exterior is dirty, wash tape (wound on reel) in lukewarm distilled water
2. If whole tape is dirty, take off reel or dismantle cassette and rinse
3. If debris or deposits remain, use water and unscented, undyed dish detergent
4. Rub tape over tape cleaner 2x after drying

V. Dry

A. Books

1. Drain water if saturated
2. Place foil or wax paper towels or newsprint every few pages
3. Interleave with paper towels or newsprint every few pages
4. Sit volumes upright on absorbent paper
5. Change interleaving and absorbent paper as necessary
6. Rotate (flip) the book every time this is done

3. Drying methods – Do not vacuum dry!
 - a) Air-dry
 - b) Freeze, thaw and then air-dry
 - c) Freeze dry
4. Prints
 - a) Dry face up on absorbent paper
 - b) May be blotted if in good condition
 - c) May flatter with lightly weighted polyester
 - d) If stuck together or to enclosures, immerse in cold water
5. Sheet Film and Transparencies
 - a) Hang dry
 - b) If nothing to hang with, dry flat on polyester-covered blotter
 - c) Slightly wet fiche and negatives can be blotted with clean, dry cheesecloth
6. Slides
 - a) Remove from housing, may need to remove mounts
 - b) Hang dry or
 - c) Dry emulsion side up on absorbent paper
7. Roll Film
 - a) If slightly wet, blot leaders or cut them off
 - b) Thoroughly wet roll film should be re-washed in a processor and dried
 - c) Metal motion picture film cans should be removed immediately

F. Magnetic Media

1. General
 - a) Do not freeze dry or vacuum thermal dry
 - b) Air dry or vacuum dry without heat
 - c) Copy when dry
 - d) Clean tape machine (tape heads, capstan, pinch rollers) after each copy is made
2. Reel-to-reel tapes
 - a) Rinse first (see "cleaning")
 - b) Support tape vertically and air dry it or
 - c) Lay on sheets of absorbent paper
3. Cassette Tapes
 - a) Dismantle cassettes and air dry as for reel-to-reel tapes
 - b) If not feasible to dismantle the cassettes, air dry
 - c) Freezing is untested. If necessary, freeze above 10°C

VI. Pack

A. General

1. Check with vendor for preferences about packing and containers
2. Milk crates or strong (200-lb burst test) cardboard boxes can be used
3. Containers should only be three-quarters full
4. Use wax paper or freezer paper to separate items
5. Fully support items in containers, don't permit to shift

Exhibit F

Disaster Incident Report Form

This form should be used to keep a record of any incident that causes damage to City records.

Person Completing Form: _____

Today's Date: _____

Date of incident: _____

Time of incident:

Records involved (type and quantity):
RS Item # and/or retention

Location of the records:

Description of incident:

Description of damage to records:

Immediate action taken to minimize damage:

Location where the records were moved:

Box number if they were placed in a box for transport:

Date sent to recovery vendor:

Date returned from recovery vendor: