

Records Retention

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Local Records Division

Part of the Secretary of State's Office

- Started in 1990
- Main office in Jefferson City
- Ten mobile field archivists throughout the state

Provides free records consultations to local tax supported entities

- Records Management "advice"
- Preservation of permanent, historic records
- Competitive Grant Program

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Local Records Division—Other Services

- Conservation Services
- Workshops
- Microfilming/Imaging
- Cold Vault Storage for Microfilm
- Disaster Preparedness/Assistance Consulting

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Records Management

There are two types of people: people who want to save nothing, and people who want to save everything. The problem with archives and records management is that they require a third kind of person, one who doesn't exist.

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What is a Record?

Per RSMo 109.210(5)

A "**record**" is defined as any "document, book, paper, photograph, map, sound recording or other material, **regardless of physical form** or characteristics, made or received pursuant to law or in connection with the transaction of official business."

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Local Records Board

Establishes retention schedules for local government

Derives authority from RSMo 109.230 and 109.255

At least 12 members, as outlined by statute

Local government officials from all classes of counties and cities, elementary and secondary education, higher education and a representative from a historical society

Three year terms

Meets annually in August

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Using the Retention Schedules

- At least two records schedules to consult
 - General Retention Schedule
 - Political Subdivision Retention Schedule
- Your office may not have every record listed in a schedule
- Highlight and flag retentions used frequently
- Electronic schedules are searchable (Ctl F)

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The Retention Schedule Introduction

- Your legal obligation & statutory authority to manage your records
 - Exceptions & limitations
 - Local governments are responsible for their records
- Defines records and non-records
- Benefits of microfilming
- Electronic records

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Record Retention Schedules

- Retentions schedules dictate the *minimum*, legal period a record must be retained and accessible
- Retentions are adopted and approved by the Local Records Board
- Rely on input from local government officials & organizations
- Retentions can change—review online schedules periodically
- Current retention schedules may always be found at <http://sos.mo.gov/archives/localrecs/schedules/>

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General Schedule Entry

GS 005 General Ledgers

Also Called: Year end print-out with aggregate totals, Year-end ledger

Function: Documents the summary of accounts, financial receipts and expenditures normally used to monitor, manage and verify the budget and financial position of the office.

Content: May include: debit, credit and balance amounts per account, budget, fund and department numbers, and totals for notes receivable, interest income, amounts due from other funds, federal and state grants received, bank loans received, cash in escrow, deferred loans received, cash, encumbrances, revenues, accounts receivable, accounts payable and other data.

Minimum Retention: Permanent

Disposition: Archive. Microfilm for preservation

Note: Provides administrative history of the office.

Approval Date: August 15, 2001

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Good Records Management

Written guidelines

Formulate and write guidelines for:

Filing system (maybe)

Records management practices

Policy is legal protection

Should outline

1. Purpose of policy (why)
2. Scope of policy (who)
3. Policy
4. Cite Authority (RSMo 109/610)
5. Procedures—storage/disposition
6. Public requests
7. Responsible positions
8. Consequences for failing to comply

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Records Disposition

Disposal should be done in the normal course of business

Create list of records destroyed

Disposal lists are permanent records

Destroy closed records securely

Shred

Burn

Pulp

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Good Records Management

Paper Storage

- Use uniform boxes
 - Standard 10" x 12" x 15" cubic foot boxes
 - Avoid "banker's boxes"

Adopt uniform box/folder labeling

Electronic Storage

- Metadata Schema
- Migration Strategy

Missouri Local Government Records Management Guidelines
<http://www.sos.mo.gov/records/recmgmt/MoLocGovRecMgmtGuides.pdf>

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Archiving Records

- Long-term or permanent retention
- Protection—two fold
 - Environmental
 - Security
 - Disasters
 - Natural
 - Human

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Microfilming

- Microfilm is a proven method for archiving
- Scan once to disc & microfilm
- Microfilm may be scanned to disc
- For permanent records, contract for ANSI standards
 - Legally admissible as original
 - Establish quality control procedure for completed film
- The security copy should be stored off-site

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Local Records Preservation Program

- Phone: 573-751-9047
- Email local.records@sos.mo.gov
- Website: <http://www.sos.mo.gov/archives/localrecs/>
- Pubs: <http://www.sos.mo.gov/archives/pubs/>



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