

**Basic Records Management  
Records Management Services  
State of Michigan**

Overview

- Records Management Introduction
- Defining Records
- Retention and Disposal Schedules
- Preservation of Historical Records
- Additional Resources and Services

Learning Objectives

- To understand
- What a record is
- Which records need to be kept
- What a Retention and Disposal Schedule is
- How schedules help agencies manage their records

Origins

- 1913: Michigan Historical Commission
- 1950: Little Hoover Commission
- 1951: State Office Building Fire

Disaster!

- February 1951: State Office Building burns for 3 days
- Damage Done: 15 firefighters injured, over 8000 cubic feet of records and books destroyed, \$3 million damage, top floor destroyed

Out of the Ashes...

- 1952: Records Management Legislation
- 1954: State Records Center Opens
- Current: Archives of Michigan (DNR), Records Management Services (DTMB)

Records Management Services (RMS)

- Retention and Disposal Schedule development, review and approval
- Recordkeeping system consulting
- Imaging and document management services
- Education and training
- Records storage services

Our Customers

- Executive Branch
- Legislative Branch

- Judicial Branch
- Local Governments

#### Records Analyst Services

- Retention and Disposal Schedules - develop, review and approve
- Provide records management training
- Provide document management services
- Provide recordkeeping system consulting
- Filing and storage (paper and electronic)
- Space management (paper and electronic)
- Electronic document management
- Digital imaging
- Micrographic systems

#### Records Management Officers - State Government

- Each department has an RMO
- RMOs are appointed by the department director
- Coordinate records management activities of department
- Agency's contact person for questions and assistance
- [List of RMOs on the RMS website](#)

#### Records Management Principles

- If the information is recorded it is a record
- Public records are evidence of government activities
- Destruction must be authorized by an approved Retention and Disposal Schedule
- Records must remain accessible and usable for the entire retention period
- Every employee who creates, receives or maintains records is responsible for records retention

#### Laws

- Freedom of Information Act, Definitions, M.C.L. 15.231-15.232
- Management and Budget Act, Records Management, M.C.L. 18.1284-1292
- Historical Commission Act, M.C.L. 399.1-10
- Penal Code, Public Records, M.C.L. 750.491
- Records Reproduction Act, M.C.L. 24.401-24.406
- Note: The Michigan Compiled Laws are available online at <http://www.legislature.mi.gov/>

#### What is a Record?

#### Not All Records Are Equal...

- Records we keep: Official Records
- Records we don't keep: Transitory Records, Non-record Materials, Personal Records

### Official Records

- Recorded information that is “prepared, owned, used, in the possession of, or retained by an agency in the performance of an official function.”
- Source: Michigan’s Freedom of Information Act (FOIA)

### Official Records

- Document how you fulfill your job duties
- Document the functions of your agency
- Document the tasks for which you are the designated recordkeeper

### Official Records

- Retention is governed by Retention and Disposal Schedules
- Examples: correspondence with general public, customers/clients, other government employees, completed applications, data, photographic evidence, reports of findings or activities, work calendars

### Creating Work Records with Personal Resources

- Government business conducted using personal resources creates public records
- Personal e-mail account
- Social media tools (such as Facebook or Twitter)
- Personal cell phones
- Home computer
- Subject to Retention and Disposal Schedules, as well as FOIA or litigation

### Transitory Records

- Records relating to agency activities that have temporary value and do not need to be retained once their intended purpose has been fulfilled.
- Source: General Schedule 5.00

### Transitory Records

- GS 5.00: can be disposed of when activity is completed
- Examples: requests or reminders to do a routine task, simple inquiries about policies, office location and hours, etc., information that is published somewhere, like the internet or a procedure manual, temporary documents that are replaced by other records that serve as evidence of the activity

### Non-records

- Recorded information in the possession of an agency that is not needed to document the performance of an official function.
- Source: General Schedule #1

### Non-records

- GS #1: can be disposed of when they are no longer needed for reference purposes

- Examples: Publications received from outside sources, Mass mailings, notices, flyers, advertisements, spam, junk mail, Drafts that are replaced by new or final versions, Duplicates
- Agencies can decide which format to use for retaining their records, if records exist in multiple formats
- If multiple offices possess the same record, they should communicate with each other about who is responsible for record retention

#### Personal Records

- Records that document non-government business or activities.

#### Personal Records

- Document your personal life
- Employee benefits
- Personal financial accounts
- Social events with co-workers and friends, etc.
- Personal purchases and shopping
- Store personal records so they are physically separated from government records
- Personal records should not be created and stored using government resources

#### Retention and Disposal Schedules

- Foundation of Records Management
- Retention and Disposal Schedules
- List official records created and maintained by an agency
- Define the retention periods for records
- Provide the only legal authorization for destruction
- Cover all records, in all formats
- Should reflect current organization structure and business processes

#### Schedule Approval Process

- Approved schedules are legal documents
- Schedules are approved by:
  - Agency representative
  - Records Management Services
  - Archives of Michigan
  - Attorney General (state government only)
  - Auditor General (state government only)
  - State Administrative Board

#### Determining Retention Periods

- Keep records as long as they have:
  - Operational/Administrative Value

- Fiscal Value
- Legal Value
- Historical/Archival Value
- Destroy records when their value ceases to exist

#### Why Follow a Retention Schedule?

- Risks associated with keeping records too long: wastes space, harder to find records you need, records must be reviewed for FOIA and litigation
- Risks associated with destroying records too soon: violation of Michigan law, exposes agency to liability if the records are requested via FOIA or litigation
- Avoid random record purging by establishing a routine within the normal course of business for destroying records

#### Freedom of Information Act (FOIA)

- FOIA allows the public to request copies of government records
- Immediately cease all destruction of relevant records when a request is received
- Contact FOIA coordinator and information technology staff immediately
- FOIA coordinator will determine what is released
- If records are destroyed on a regular basis (in accordance with approved Retention and Disposal Schedules), they may no longer exist when a FOIA request is received

#### Litigation

- Parties to a lawsuit can request records they consider to be relevant evidence to the case
- Immediately cease all destruction of relevant records when litigation is anticipated
- Contact litigation coordinator and information technology staff immediately
- Department of Attorney General or Legal Counsel will determine what is released
- If records are destroyed on a regular basis (in accordance with approved Retention and Disposal Schedules), they may no longer exist when a litigation hold notice is received

#### Retention and Disposal Schedules can be confusing to read

- The Records Management Manual for State Government explains how to read and follow schedules. It is available online at [http://www.michigan.gov/documents/hal\\_mhc\\_rm\\_state\\_manual\\_95164\\_7.pdf](http://www.michigan.gov/documents/hal_mhc_rm_state_manual_95164_7.pdf).

#### Types of Retention and Disposal Schedules

- General Schedules
- Agency-Specific Schedules

#### General Schedules

- Cover records that are common to a particular function or type of agency
- Records not listed on a general schedule must be listed on an agency-specific schedule
- Do not mandate that records be created
- Retention periods are minimums

- Applies regardless of the format of the record (paper, microfilm, electronic, etc.)
- Published on RMS website

#### General Schedules - State Government

- [GS #1: Non-records](#)
- [GS #5: Administrative Records](#)
- [GS #6: Accounting and Purchasing Records](#)
- [GS #7: Human Resource Records](#)
- [GS #8: Metadata](#)

#### General Schedules - Local Government

- GS #1: [Nonrecord Material Defined](#)
- GS #2: [Public Schools](#)
- GS #3: [County Registers of Deeds](#)
- GS #6: [County Clerks](#)
- GS #7: [Local Health Departments](#)
- GS #8: [Cities and Villages](#)
- GS #9: [County Roads Commissions](#)
- GS #10: [Townships](#)
- GS #11: [Local Law Enforcement](#)
- GS #16: [Trial Courts](#)
- GS #17: [Public Libraries](#)
- GS #18: [Fire/Ambulance Departments](#)
- GS #19: [Prosecuting Attorneys](#)
- GS #20: [Community Mental Health Services](#)
- GS #21: [County Veterans Affairs](#)
- GS #22: [Veterans Trust Fund](#)
- GS #23: [Elections Records](#)
- GS #24: [City and Village Clerks](#)
- GS #25: [Township Clerks](#)
- GS #26: [Local Government Human Resources](#)
- GS #27: [County Treasurers](#)
- GS #28: [City and Village Treasurers](#)
- GS #29: [Township Treasurers](#)
- GS #30: [Local Government Information Technology](#)
- GS #31: [Local Government Financial Records](#)
- GS #32: [Local Government Parks and Recreation Departments](#)
- GS #34: [Local 9-1-1 Call Centers](#)
- GS #36: [Drain and Water Resources Commissioners](#)

#### Agency-Specific Schedules

- Cover records that are unique to the agency

- Cover records not listed on general schedules
- Specific schedules always override general schedules when records are listed on both
- Retention periods are absolute minimums and maximums
- May identify the format of a record
- Available online:  
<https://stateofmichigan.sharepoint.com/teams/insidemi/recordsmanagement/Pages/schedules.aspx>

#### Agency-Specific Schedules

- State Government
  - Schedules are developed by RMS and routed for approval
  - There are more than 700 specific schedules that cover more than 11,000 record series
  - Contact [RMO](#) or RMS to create or revise a schedule
- Local Government
  - Must develop their own and submit to RMS for approval
  - Instructions and form available online at [http://www.michigan.gov/dtmb/0,5552,7-150-9141\\_21738\\_31548-96228--,00.html](http://www.michigan.gov/dtmb/0,5552,7-150-9141_21738_31548-96228--,00.html)

#### Applying Retention

- All records need to be reviewed regularly
- Identify which records to keep and which to destroy
- Office directors should designate a *records coordinator* to ensure compliance with schedules
- RMS does not audit agencies to confirm compliance with Retention and Disposal Schedules – it is the agency’s responsibility
- Applying retention saves space (physical and electronic), saves money, improves retrieval of information

#### Destroy Records Appropriately

- Trash: used for materials that are not records, material is sent to an open landfill
- Recycling: used for records that do not contain confidential or sensitive information, material is not destroyed until it is re-purposed at the paper mill
- Confidential Destruction: used to prevent inappropriate release or re-construction of material, material is ground to 5/16 inch particle size and recycled

#### Tip: Know Your Records

- There are a lot of Retention and Disposal Schedules
- You don’t have to memorize all of them!
- Most employees work with only a few records series on a regular basis
- Learn the retention periods for the records you are responsible for regularly

#### Preservation of Historical Records

- Archives of Michigan, Department of Natural Resources

- Mission: the Archives of Michigan identifies and permanently preserves public and private records that document significant government activities and historic eras/events.
- Historically significant public records: document how government operates, protect the rights of citizens, document society or important events

#### Archival Records are Unique

- Original (sometimes signed) recorded information
- Evidence of activities, decision-making, progress and change
- All formats: paper, electronic, audio, photographs, video, maps, microfilm, etc.
- Less than 5% of public records have historical value
- All agencies have potential to produce historically-significant records

#### Historical Records in Your Office

- Schedules indicate which records should be transferred to the Archives of Michigan for permanent preservation
- Historical records should be transferred to the Archives when they are no longer needed to support agency activities
- Archives becomes the legal owner of the records in its custody

#### Examples of Archival Records

- Meeting materials of public bodies (minutes, agendas)
- Election results and precinct maps
- Transportation maps and engineering drawings
- Legislation development and analysis
- Court case files
- Naturalization records
- Vital records (birth, death, marriage, divorce)
- Photos and videos of important people, events, places, etc.

#### Transferring Records to the Archives - State Government

- Records Center transfers designated state records to the Archives annually--agency receives a transfer notice
- Direct Transfer: enter the boxes into Versatile
- Do not itemize files--use the description field to identify the contents of each box
- DTMB, Delivery Services will deliver the boxes to Archives

#### Transferring Records to the Archives - Local Government

- Complete the Direct Records Transmittal ([MH-85](#)) form (available online) and send it to the Archives
- Archives will contact the office to arrange the transfer

#### Benefits of the Archives

- State-of-the-art storage conditions for preserving Michigan's most valuable records

- Acid-free containers
- Environmentally-controlled storage area
- Fire and theft prevention
- Records are preserved permanently
- Records are made available to public

#### Using Records at the Archives

- Public hours: Monday - Friday (1:00 - 5:00 p.m.), Saturday (10:00 a.m. - 4:00 p.m.), closed state holidays
- Records are open to the public
- Unless they are confidential
- Records are used in a monitored reading room, and cannot leave the Archives' facility
- Researchers must show picture ID
- Records can be reproduced
- Questions answered by phone, e-mail, letter and on-site
- Compliance with FOIA timelines
- Some items available online via [www.seekingmichigan.org](http://www.seekingmichigan.org)

#### Archives of Michigan contact information

- 702 West Kalamazoo Street
- Lansing, Michigan 48913
- (517) 373-3559 (select option #3 from the voice menu)
- [archives@michigan.gov](mailto:archives@michigan.gov)
- <http://www.michigan.gov/archivesofmi/>

#### Additional Education Resources and Services

##### Records Management Training

- Live Classes (state government)
- See online [training calendar](#) for upcoming dates and registration information
- Basic Records Management
- How to Manage Records
- Imaging and Document Management
- Online Classes and Guidance
- State: [Intranet site](#)
- Local: [Internet site](#)

##### State Records Center - State Government

- Provides for the temporary storage of inactive records
- Building has fire and theft protection
- Records remain the property of creating agency
- Records can only be accessed by authorized employees

### Versatile - State Government

- User accounts are requested by RMOs (do not share user accounts)
- Used to: submit records to Records Center and Archives of Michigan, retrieve records from Records Center, identify records that are eligible for disposal

### Electronic Document Management

- Services for state agencies
- 3 enterprise-available solutions: IRMA, HP Records Manager, FileNet
- RMS provides a needs assessment upon request

### DTMB Service Catalog

- <http://inside.michigan.gov/dtmbsc/>

### We can help!

- Records Management Services
- 3400 N. Grand River Ave.
- Lansing, Michigan 48909
- (517) 335-9132
- <http://www.michigan.gov/recordsmanagement/>
- <https://stateofmichigan.sharepoint.com/teams/insidemi/recordsmanagement/>