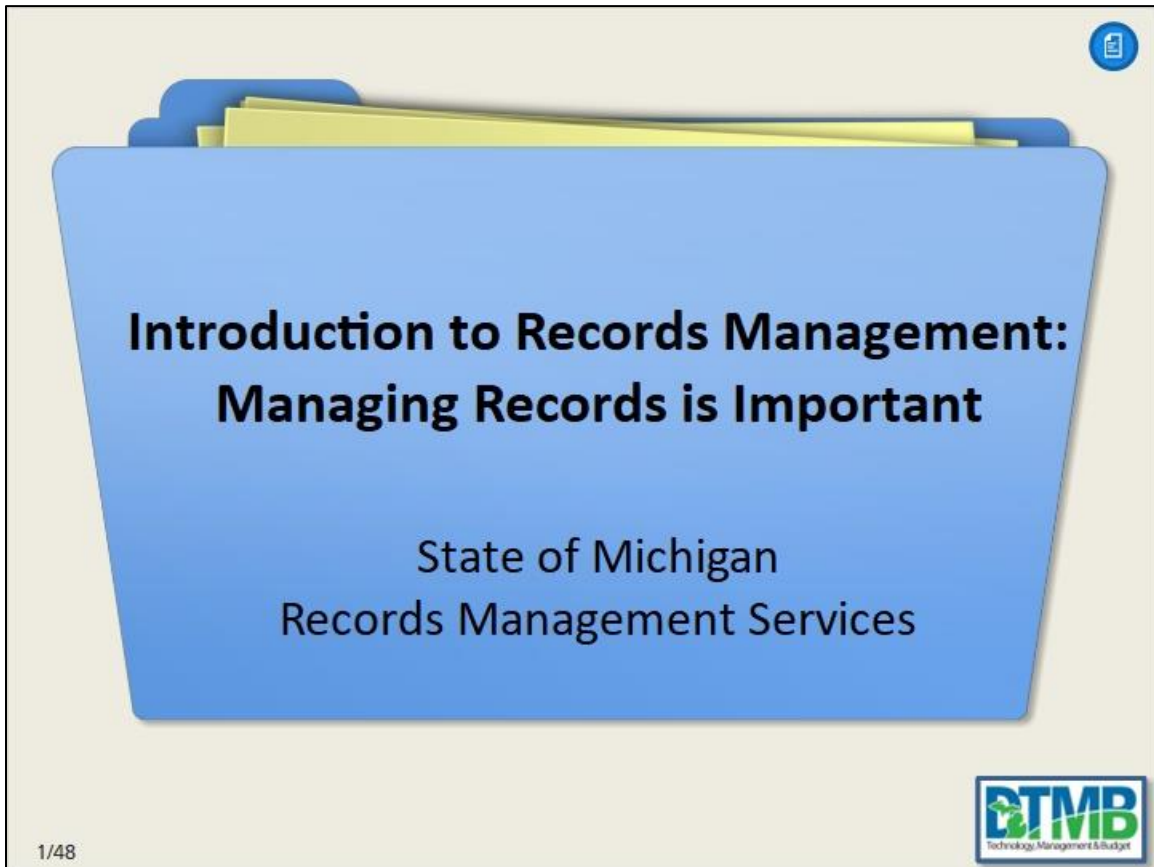



Introduction to Records Management



**Introduction to Records Management:
Managing Records is Important**

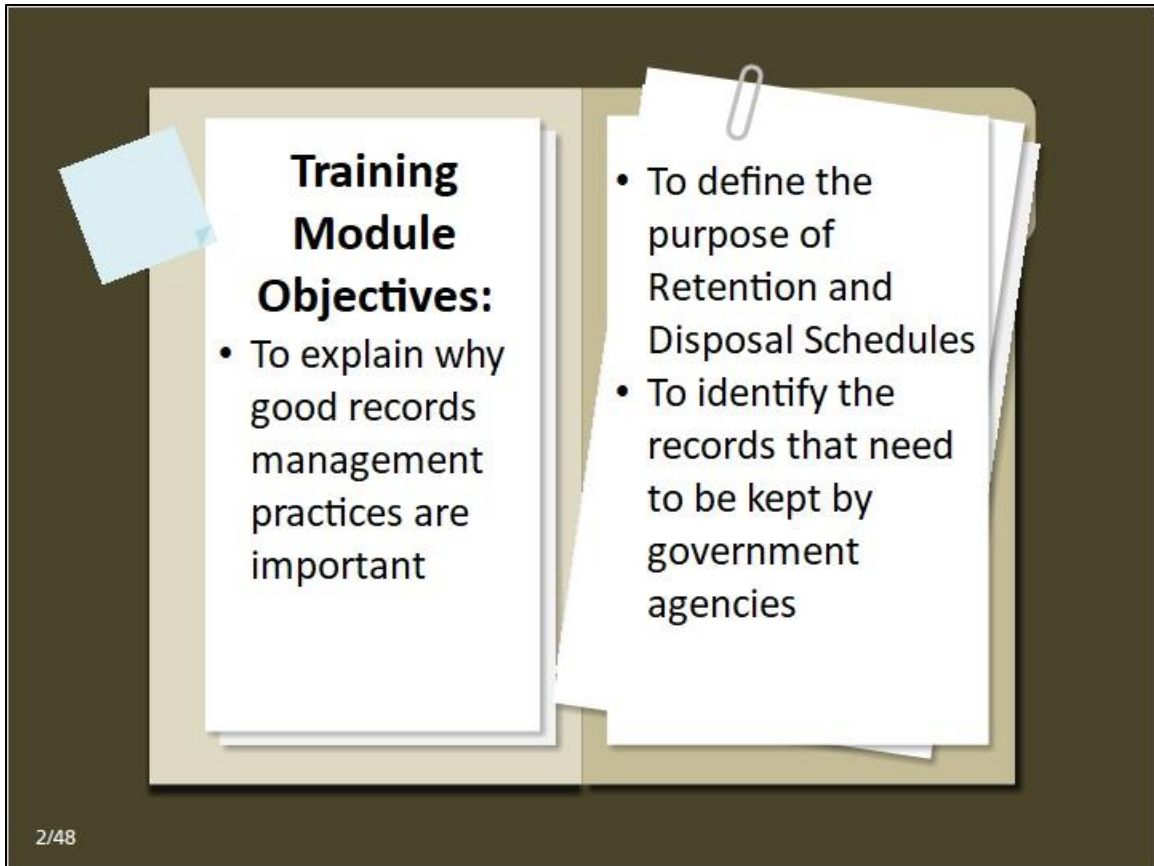
State of Michigan
Records Management Services

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Notes:

Welcome to the online class, "Introduction to Records Management - Managing Records is Important." This class is offered by the State of Michigan, Records Management Services.



Notes:

The objectives of this training module are to explain why good records management practices are important, to define the purpose of Retention and Disposal Schedules, and to identify the records that need to be kept by government agencies.

The way that records are managed by an agency can directly affect its ability to operate effectively and efficiently.



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The way that records are managed by an agency can directly affect its ability to operate effectively and efficiently.

All Michigan government employees are responsible for helping their agency properly manage its records.



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Various [Michigan laws](#) define what a record is and how records should be managed.



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Records **Retention and Disposal Schedules** are an essential tool for effective and efficient recordkeeping.



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Schedules are legal documents which list the records that are created and maintained by government agencies.



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Schedules identify how long records will be kept, and whether they can be destroyed when they are no longer needed.



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Schedules identify which records have historical value. These records are transferred to the [Archives of Michigan](#) for permanent preservation when they are no longer needed by the creating agency.



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Notes:

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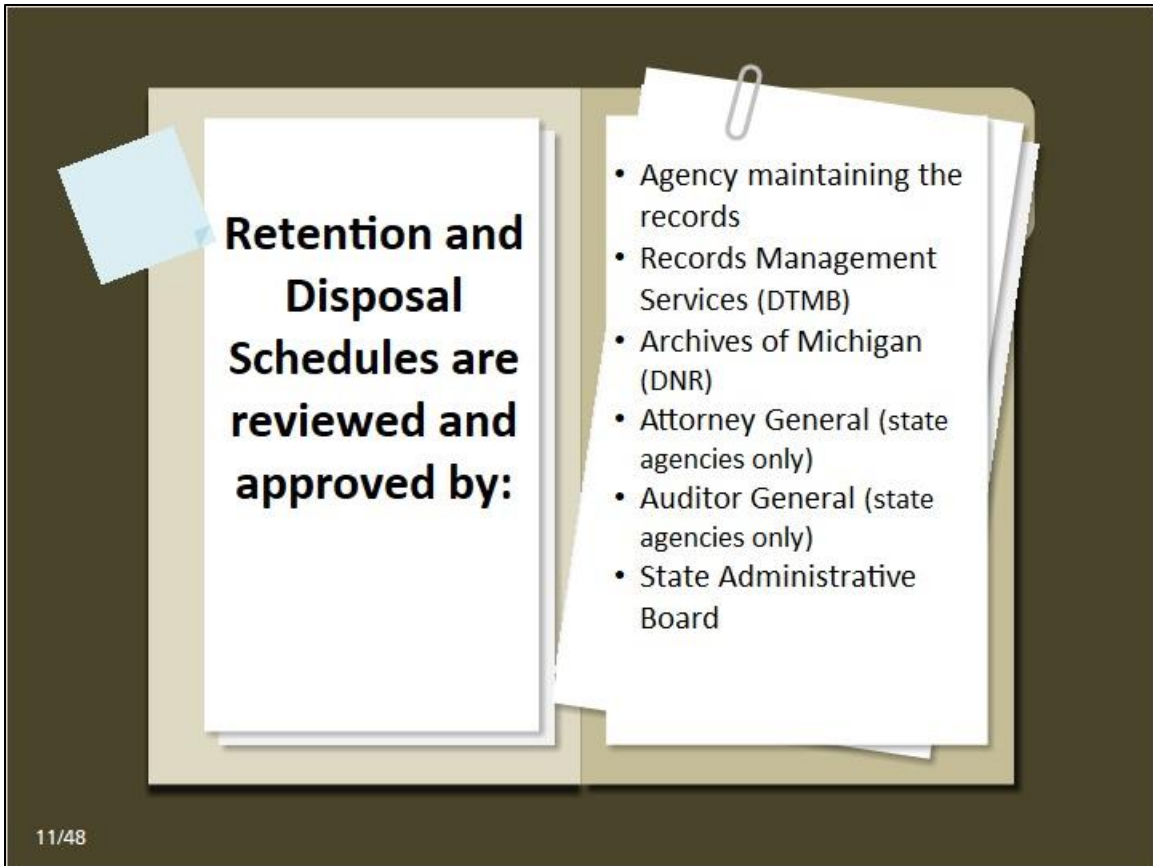
Records cannot legally be destroyed without the authorization of a schedule. The default retention period for records not listed on a schedule is permanent, because there is no authorization to destroy them.



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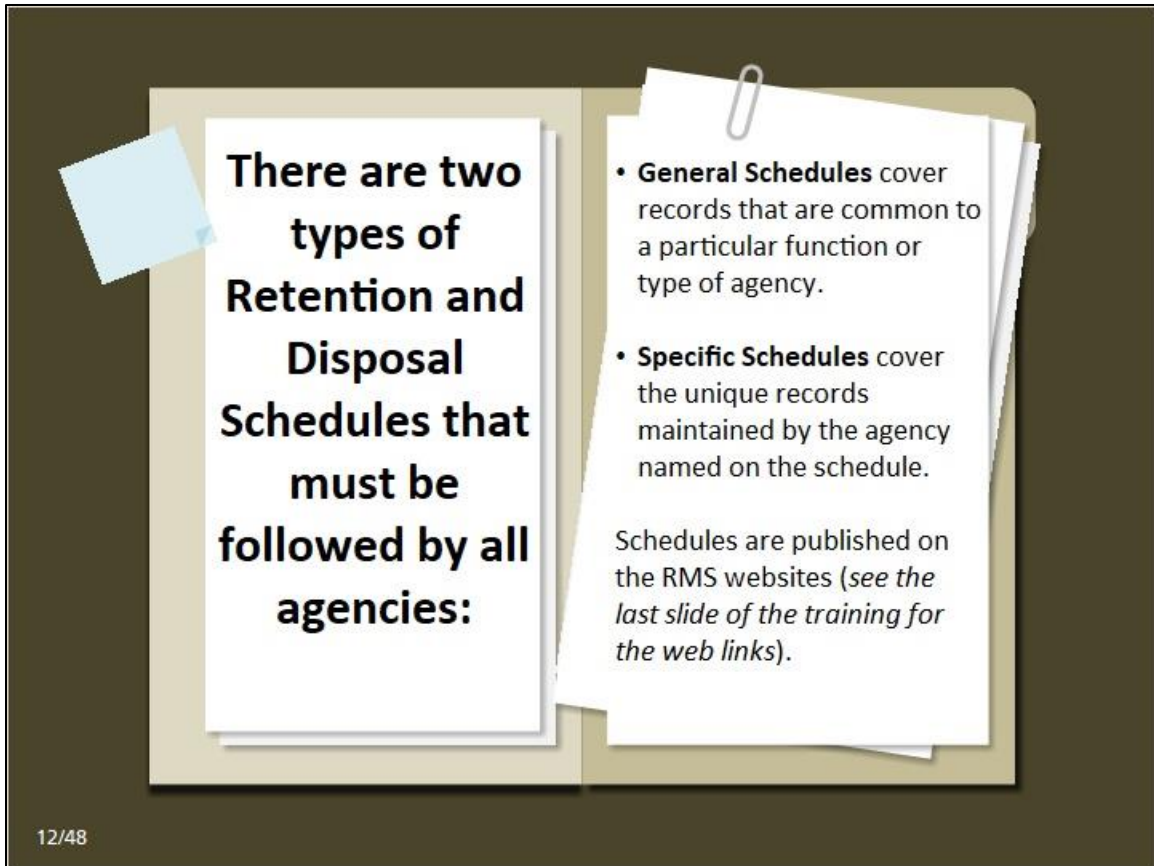
Notes:

Records cannot legally be destroyed without the authorization of a schedule. The default retention period for records not listed on a schedule is permanent, because there is no authorization to destroy them.



Notes:

Retention and Disposal Schedules are reviewed and approved by the agency creating the records, Records Management Services, Archives of Michigan, Attorney General (state agencies only), Auditor General (state agencies only), and the State Administrative Board.



Notes:

There are two types of Retention and Disposal Schedules that must be followed by all agencies. General Schedules cover records that are common to a particular function or type of agency. Specific Schedules cover the unique records maintained by the agency named on the schedule. Schedules are published on the RMS websites (*see the last slide of the training for the web links*).

Schedules cover all records in all formats.
Examples include:



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Note: hover over picture to see text label.

Notes:

Schedules cover all records in all formats. Examples include: paper files, microfilm, drawings, maps, email, data, word processed documents, digital images, photographs, etc.

The retention period for a record depends upon its content and the business process it supports, not the format of the record. There is no single retention period for records in formats like email, text messages, web pages, and social media postings, just like there is no single retention period for paper.



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Notes:

The retention period for a record depends upon its content and the business process it supports, not the format of the record. There is no single retention period for records in formats like email, text messages, web pages, and social media postings, just like there is no single retention period for paper.

Training Exercise

Please read the following statements about record retention, and click on the statements that are correct.



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Notes:

Training exercise: Please read the following statements about record retention, and determine which statements are correct.

Which of these statements is correct?

I can decide how long to keep records that are not listed on a Retention and Disposal Schedule.

Records not listed on a Retention and Disposal Schedule need to be kept until the schedule is revised to authorize destruction.

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Notes:

Which of these statements is correct?

I can decide how long to keep records that are not listed on a Retention and Disposal Schedule.

OR

Records not listed on a Retention and Disposal Schedule need to be kept until the schedule is revised to authorize destruction.

The correct answer is: Records not listed on a Retention and Disposal Schedule need to be kept until the schedule is revised to authorize destruction.

Which of these statements is correct?

All records, even databases and other electronic records, need to be listed on a Retention and Disposal Schedule.

Records that will not be stored at the State Records Center do not need to be listed on Retention and Disposal Schedules.

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Notes:

Which of these statements is correct?

All records, even databases and other electronic records, need to be listed on a Retention and Disposal Schedule.

OR

Records that will not be stored at the State Records Center do not need to be listed on Retention and Disposal Schedules.

The correct answer is: All records, even databases and other electronic records, need to be listed on a Retention and Disposal Schedule.

Which of these statements is correct?

All email should be kept for 2 years, because that is the retention period for "General Correspondence" on the General Schedule for Administrative Records.

There is no single retention period for all email. The retention period depends upon the content of the message and the business process it supports.

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Notes:

Which of these statements is correct?

All e-mail should be kept for 2 years, because that is the retention period for "General Correspondence" on General Schedule #5.

OR

There is no single retention period for all e-mail. The retention period depends upon the content of the message and the business process it supports.

The correct answer is: There is no single retention period for all e-mail. The retention period depends upon the content of the message and the business process it supports.

Don't Feel Overwhelmed

Most employees are responsible for filing and maintaining only a few different types of records on a regular basis to support their own job duties. Each employee needs to understand what the retention requirements are for those records.



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Notes:

Don't feel overwhelmed. Most employees are responsible for filing and maintaining only a few different types of records on a regular basis to support their own job duties. Each employee needs to understand what the retention requirements are for those records.

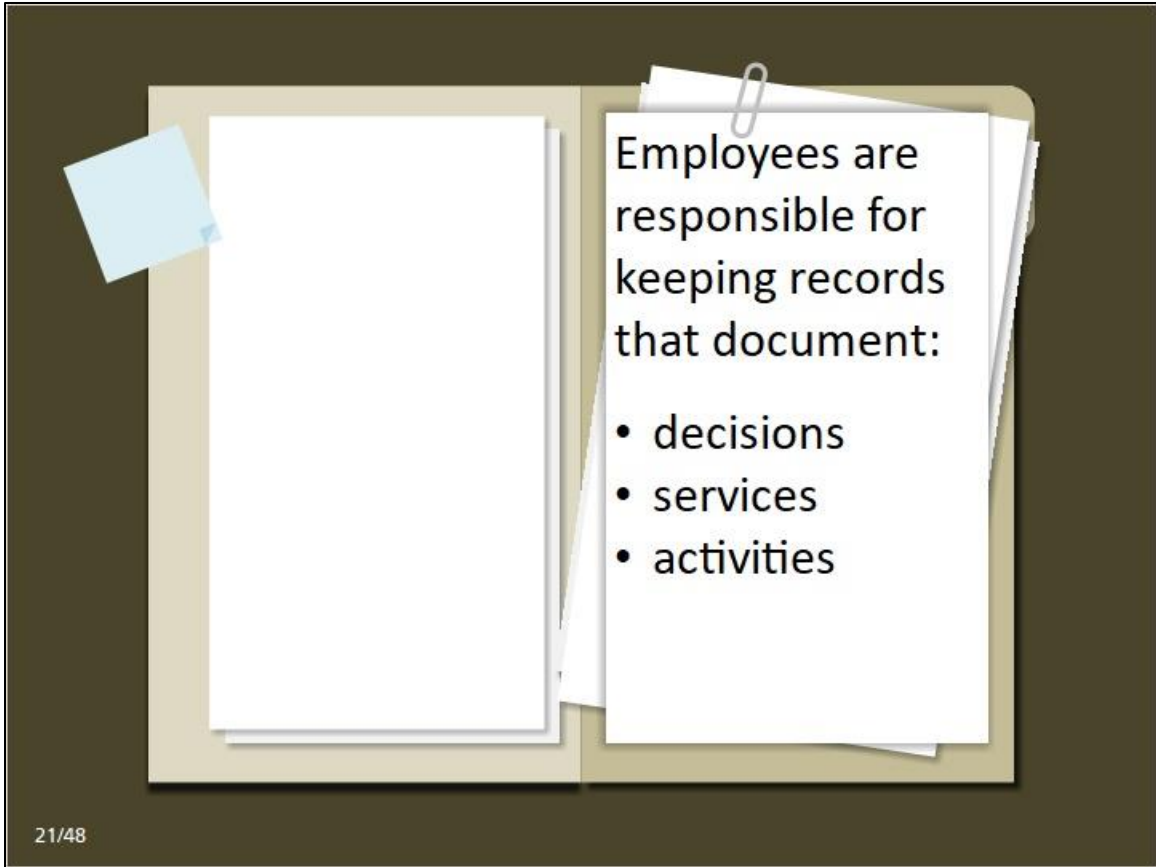
Knowing the retention periods of the records that you work with is essential to consistently and effectively managing them.



20/48

Notes:

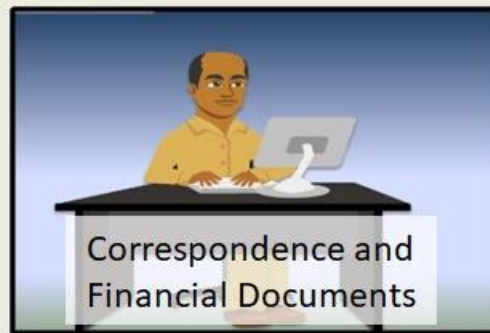
Knowing the retention periods of the records that you work with is essential to consistently and effectively managing them.



Notes:

Employees are responsible for keeping records that document: decisions, services, and activities.

Examples of Records Include:



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Notes:

Examples of records include: case files and project files, contracts, plans, engineering documents, correspondence, financial documents, etc.

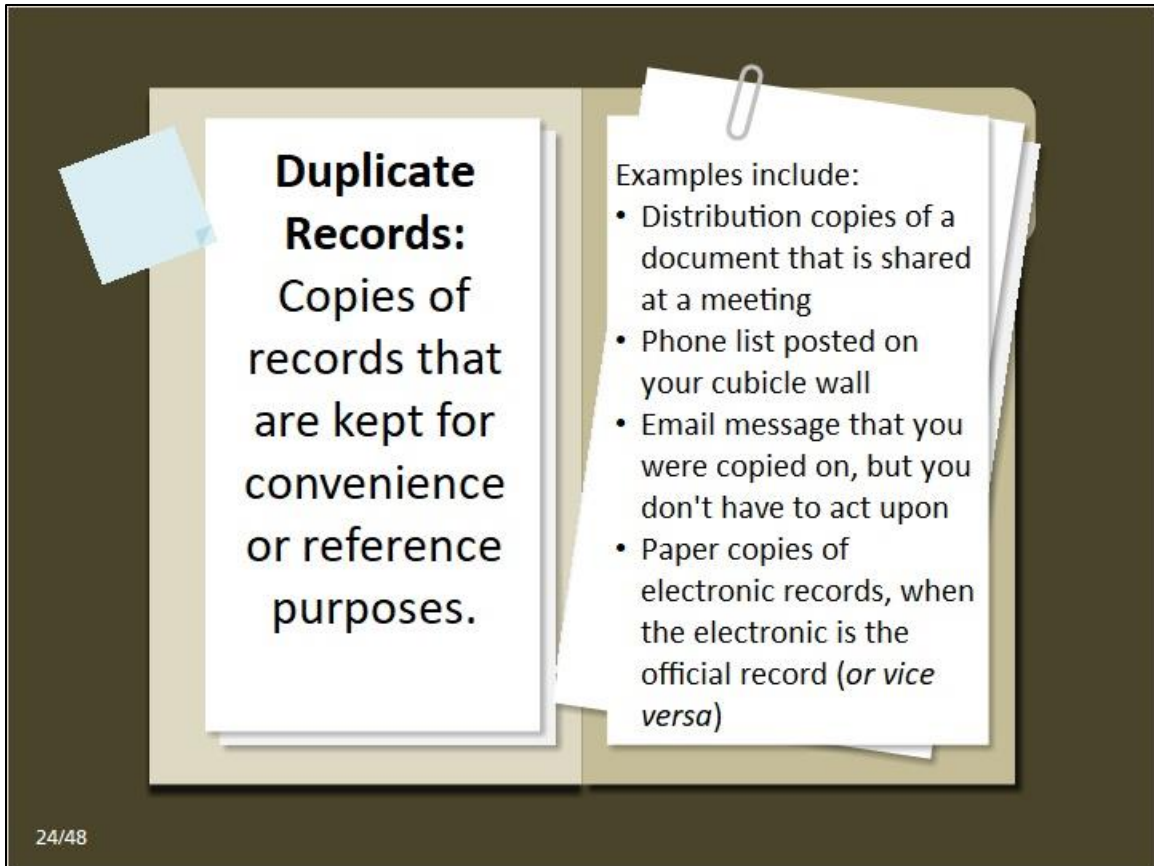
Some records do not need to be kept, including duplicates, drafts, records with transitory value, and personal documents.



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Notes:

Some records do not need to be kept, including duplicates, drafts, records with transitory value, and personal documents.



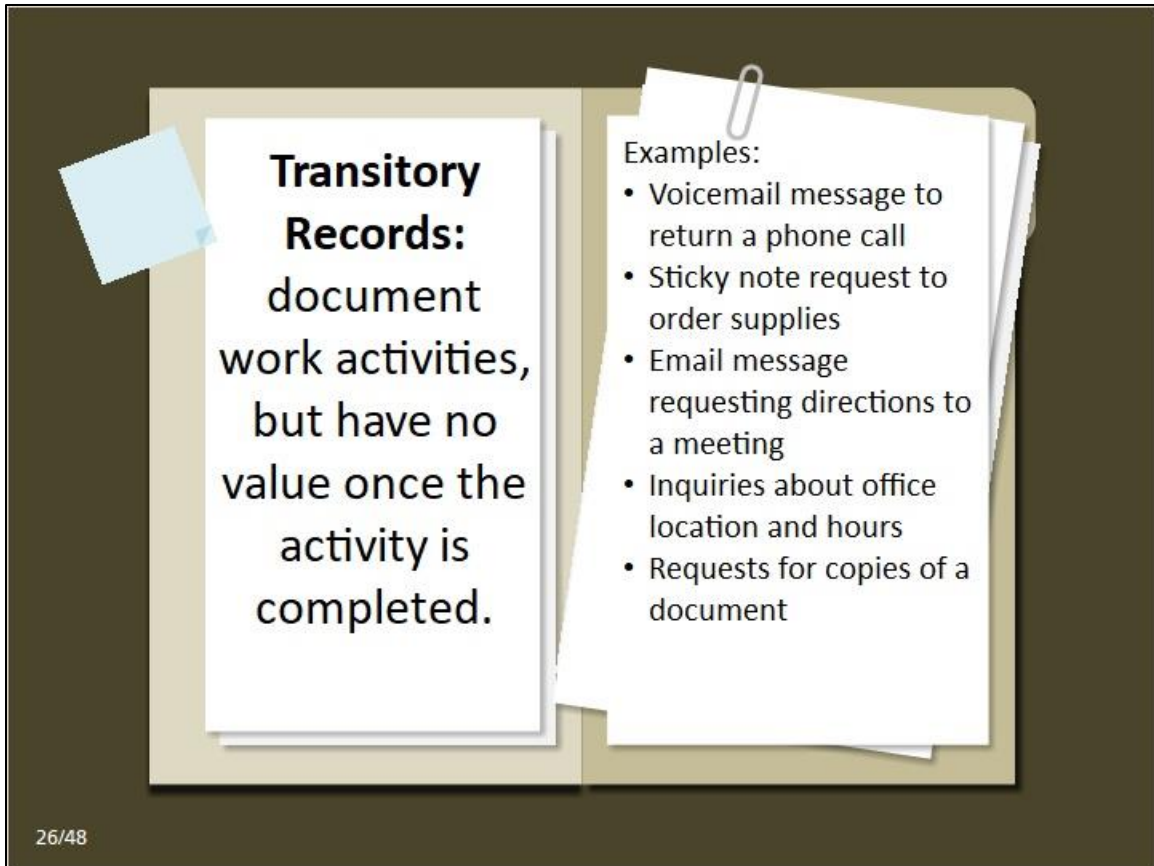
Notes:

Duplicate records are copies of records that are kept for convenience or reference purposes. Examples include: distribution copies of a document that is shared at a meeting, a phone list posted on your cubicle wall, an email message that you were copied on, but you don't have to act upon, or paper copies of electronic records, when the electronic is the official record (or vice versa).



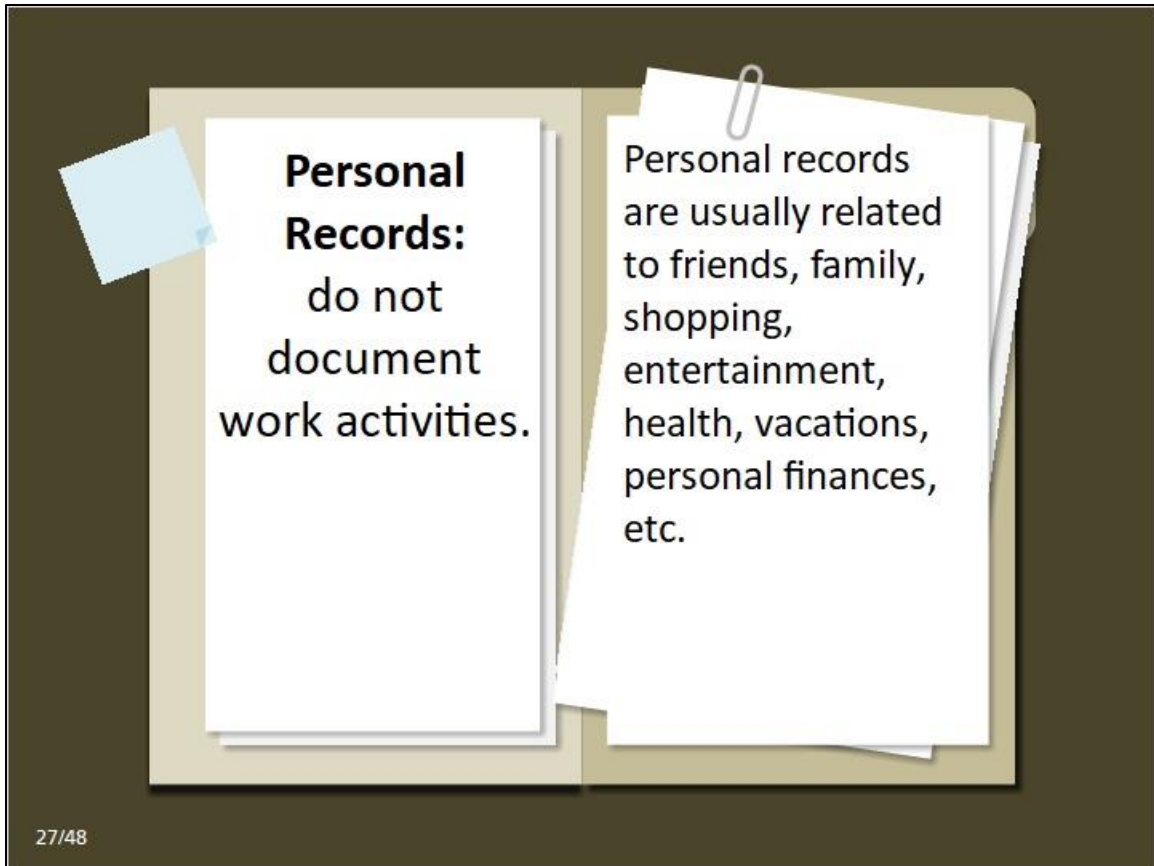
Notes:

Drafts document how a final record is created. Drafts usually can be destroyed once the next version is created, or once the final version is approved.



Notes:

Transitory records document work activities, but have no value once the activity is completed. Examples include: voicemail message to return a phone call, sticky notes requesting to order supplies, e-mail messages requesting directions to a meeting, inquiries about office location and hours, requests for copies of a document, etc.



Notes:

Personal records do not document work activities. Personal records are usually related to friends, family, shopping, entertainment, health, vacations, personal finances, etc.

**Do you know which records
you need to keep?
Ask yourself two questions...**

Is the record evidence of
how I do my job, or my
office's activities?

Am I responsible for
keeping the record?



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Notes:

Do you know which records need to be kept? Ask yourself two questions...

Question #1: Is the record evidence of how I do my job, or my office's activities?

Question #2: Am I responsible for keeping the record?

If you answered ...



Yes: You need to keep this record. Identify the retention period for the record and where it should be filed. If you need help, ask your supervisor.



No: You do not need to keep this record. Delete or destroy the record when it no longer has reference value.



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Notes:

If you answered **yes** to these questions, you need to keep this record. Identify the retention period for the record and where it should be filed. If you need help, ask your supervisor.

If you answered **no** to these questions, you do not need to keep this record. Delete or destroy the record when it no longer has reference value.

Need Assistance?

Each department has a Records Management Officer (RMO) who is available to answer questions. [A list of RMOs is available online.](#)



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Notes:

Do you need assistance with retention schedules and other records management questions? Each department in the Executive Branch has a Records Management Officer (RMO) who is available to answer questions. A list of RMOs is [available online](#).

Training Exercise

Identify if the following four records need to be kept. Click on the appropriate button to find out if you are correct.



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Notes:

Training Exercise: identify if the following four records need to be kept.

Should you keep this record?

Contract between
the State of
Michigan and a
vendor to
purchase software
user licenses

Keep

Don't Keep

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Notes:

Should you keep a contract between the State of Michigan and a vendor to purchase software user licenses?

Answers:

Keep. Correct! This record documents a legal agreement between the State of Michigan and another party.

Don't Keep. Incorrect. This record documents a legal agreement between the State of Michigan and another party.

Should you keep this record?

Reminder that is received by an employee to sign up for health care benefits

Keep

Don't Keep

33/48

Notes:

Should you keep a reminder that is received sign up for health care benefits?

Answers:

Keep. Incorrect. This document is a reminder to do an activity that relates to your personal benefits, not your job duties.

Don't Keep. Correct! This document is a reminder to do an activity that relates to your personal benefits, not your job duties.

Should you keep this record?

Report prepared
by another state
about a topic that
is related to your
job

Keep

Don't Keep

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Notes:

Should you keep a report prepared by another state about a topic that is related to your job?

Answers:

Keep. Incorrect. This is a reference document created by a different state. It does not document the work of your agency.

Don't Keep. Correct! This is a reference document created by a different state. It does not document the work of your agency. You do not need to keep it when it no longer has reference value.

Should you keep this record?

Application for services offered by a government agency that is received from a client

Keep

Don't Keep

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Notes:

Should you keep an application for services offered by a government agency that is received from a client?

Answers:

Keep. Correct! This record is needed to provide services to a client of the agency.

Don't Keep. Incorrect. This record is needed to provide services to a client of the agency.

Filing Systems Should Be Maintained and Used Consistently

Offices should establish rules for their filing systems, such as naming conventions and procedures.



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Notes:

Filing systems should be maintained and used consistently. Offices should establish rules for their filing systems, such as naming conventions and procedures.

Many government agencies want to convert their older filing systems into paperless systems.

Michigan law allows government agencies to convert their paper records into digital images.



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Notes:

Many government agencies want to convert their older filing systems into paperless systems.

[Michigan law](#) allows government agencies to convert their paper records into digital images.

Agencies that want to destroy original records, and use digital images instead, must comply with the [State of Michigan's standards](#) when producing their images. These standards are designed to ensure that digital images are an authentic and usable reproduction of the original record.

Digital images that are not created in compliance with Michigan's standards could be rejected by a court during litigation.

38/48

Notes:

Agencies that want to destroy original records, and use digital images instead, must comply with the [State of Michigan's standards](#) when producing their images. These standards are designed to ensure that digital images are an authentic and usable reproduction of the original record. Digital images that are not created in compliance with Michigan's standards could be rejected by a court during litigation.

Each agency can select the format (paper or electronic) it will use for storing its records. Only one version of the record should be maintained to avoid the problems caused by maintaining duplicate records.

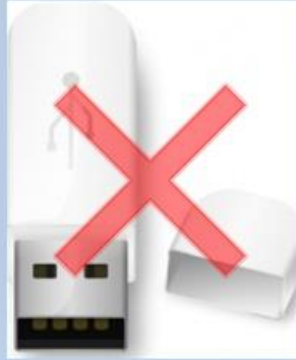


39/48

Notes:

Each agency can select the format (paper or electronic) it will use for storing its records. Only one version of the record should be maintained to avoid the problems caused by maintaining duplicate records.

Records should not be stored on external storage devices, such as CDs, flash drives, external hard drives, etc.



Notes:

Records should not be stored on external storage devices, such as CDs, flash drives, external hard drives, etc.

External Storage Devices

- Do not have a routine back-up process
- May not be accessible to employees who need them
- Can be easily lost, stolen or damaged
- Can create security risks



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Notes:

External storage devices do not have a routine back-up process, may not be accessible to employees who need them, can be easily lost, stolen or damaged, and can create security risks.

File clean-up is faster and easier if it is done on a regular basis

Periodically designate a time to clean up paper and electronic filing systems. This could be at the end of each month, at the end of each calendar or fiscal year, or as projects or cases close.



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Notes:

Agencies should periodically designate a time to clean up paper and electronic filing systems. This could be at the end of each month, at the end of each calendar or fiscal year, or as projects or cases close. File clean-up is faster and easier if it is done on a regular basis.

Benefits of destroying records that don't need to be kept:

- Makes it easier and faster for you to find what you need
- Ensures that you are using the correct version of a document
- Reduces storage costs
- Increases efficiency



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Notes:

Benefits of destroying records that don't need to be kept include easier and faster retrieval of information, improved version control for documents, reduced storage costs, and increased efficiency.

Protecting Confidential and Sensitive Records

It is extremely important to prevent the inappropriate release of information. Records that are tossed in the trash or recycle bin are not transported, handled and destroyed in a protected manner.



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Notes:

It is extremely important to prevent the inappropriate release of information. Records that are tossed in the trash or recycle bin are not transported, handled and destroyed in a protected manner.

Confidential Records Destruction

Locked bins are available in many state office buildings for collecting confidential records that have met their retention period. The confidential records placed in these bins are destroyed to 1 mm x 5 mm particle size, and then the material is recycled.



45/48

Notes:

Locked bins are available in many state office buildings for collecting confidential records that have met their retention period. The confidential records placed in these bins are destroyed to 1mm x 5mm particle size, and then the material is recycled.



Notes:

When cleaning up files, check applicable Retention and Disposal Schedules to identify records that are eligible for transfer to temporary off-site storage (such as the State Records Center), to identify records that are eligible for transfer to the Archives of Michigan for permanent preservation, and to identify records that are eligible to be destroyed.

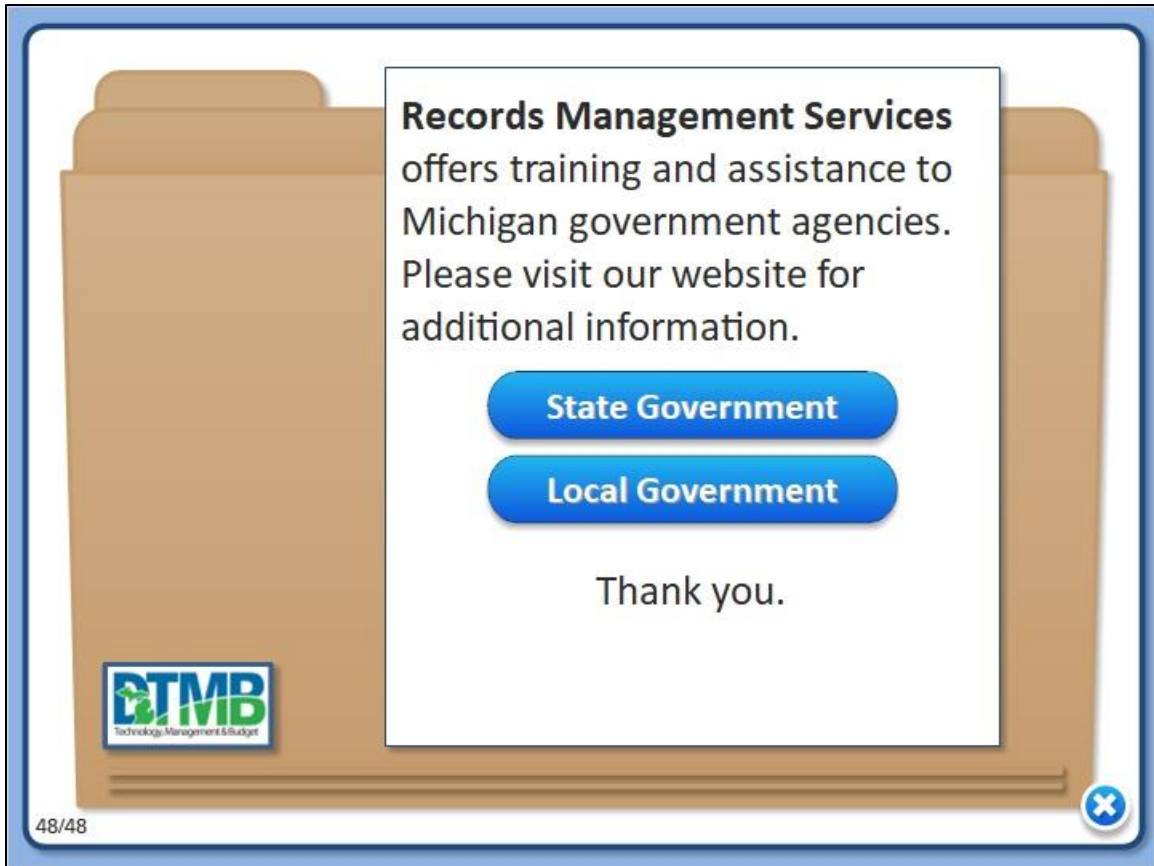
Good records management practices make it faster and easier to find documents and information. They can also save money and protect agencies from the various risks associated with poor recordkeeping.



47/48

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Good records management practices make it faster and easier to find documents and information. They can also save money and protect agencies from the various risks associated with poor recordkeeping.

A presentation slide with a blue border and a brown folder background. The text is centered in a white box. It includes a title, a paragraph, two blue buttons, and a thank you message. A logo is in the bottom left, and a close button is in the bottom right.

Records Management Services
offers training and assistance to
Michigan government agencies.
Please visit our website for
additional information.

State Government

Local Government

Thank you.

DTMB
Technology, Management & Budget

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Notes:

Records Management Services offers training and assistance to Michigan government agencies. Please visit our website for additional information.

State Government: Go to <https://inside.michigan.gov/recordsmanagement>.

Local Government: Go to <https://www.michigan.gov/recordsmanagement>.