




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

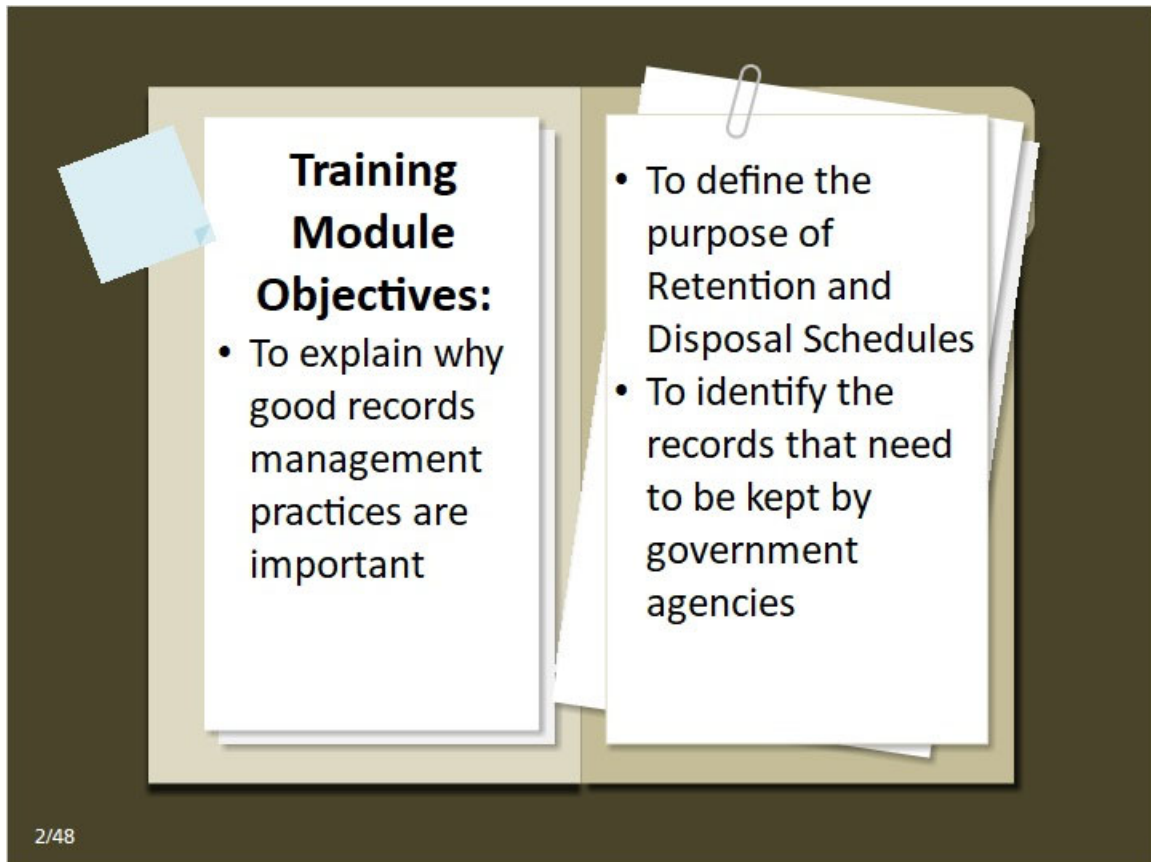
State of Michigan
Records Management Services

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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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Records

"Recorded information in physical or electronic formats, made or received by a Michigan government agency or employee. Records document the performance of government business, and serve as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities."

--Administrative Guide
Procedure 0910.01

Public Record

A writing prepared, owned, used, in the possession of, or retained by a public body in the performance of an official function, from the time it is created.

--Michigan's Freedom of
Information Act (FOIA)

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Notes:

Michigan laws and policies define what a record is and how records should be managed. They include the Freedom of Information Act and the Administrative Guide to State Government, and there are many others too. Basically, they say that if the information is recorded on any medium, and if that information documents state government work, it is an official record of the State of Michigan.

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 how long records will be kept. This timeframe is called a retention period. Schedule also identify which records can be destroyed when they are no longer needed.

Schedules identify which records have historical value and must be transferred to the [Archives of Michigan](#).



Notes:

Schedules identify which records have historical value. Records like legal documents, maps, land data, elections records, and more document the people of Michigan, how the land and environment changed over time, and how the government serves its citizens and protects their legal rights. These records are transferred to the [Archives of Michigan](#) for permanent preservation when they are no longer needed by the creating agency.

Records cannot be legally destroyed without the permission of a schedule.



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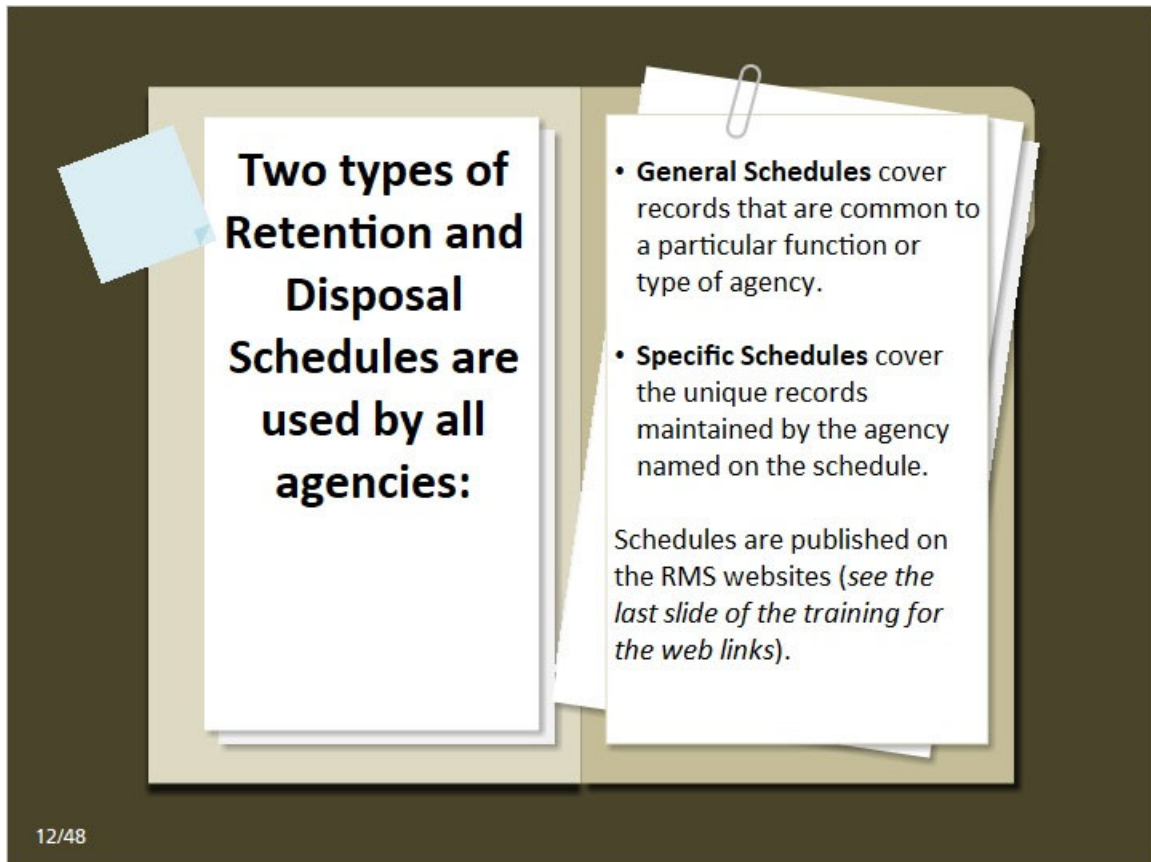
Notes:

Records cannot be legally destroyed without the permission 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 named on the schedule, 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. 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. All agencies need to use both types of schedules. If an office only looks at one type of schedule, they will have an incomplete picture of their record retention requirements. Schedules are published on the RMS websites. The web links are on the last slide of this class.

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, e-mail, 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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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 the General Schedule for Administrative Records.

OR

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.

The correct answer is: 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.

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. The State of Michigan has a lot of records, but 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.

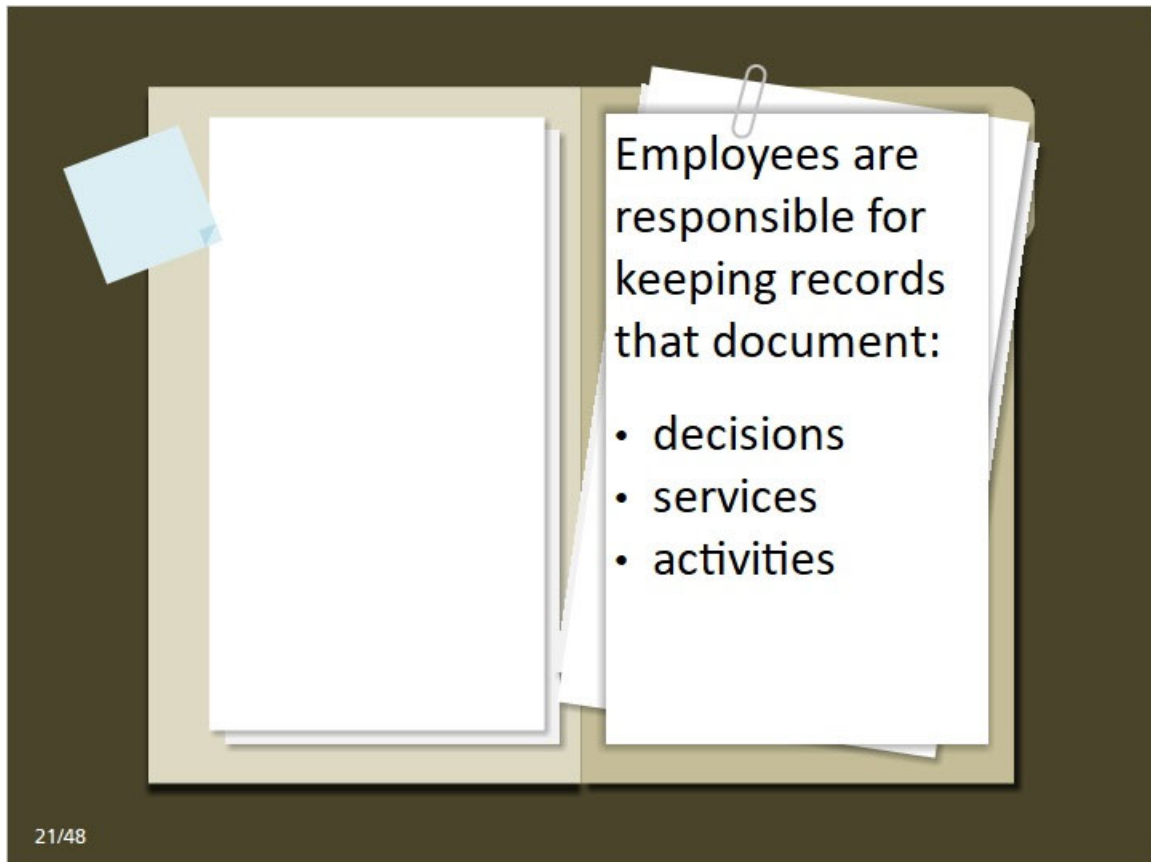
Knowing the retention periods of the records that you work with is essential to consistently and effectively managing them.



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Notes:

Employees are responsible for keeping records that document decisions, like whether to buy a new computer system, or how to monitor the work conducted by a service provider. Records may also document services, like paying inspectors, shipping mail and packages, or fixing vehicles. Records may also document activities, like repairing a road, or responding to a natural disaster.

Examples of Records Include:



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Notes:

Examples of records include: case files and project files, contracts, plans, engineering documents, as well as messages sent about work activities, financial documents, and other administrative records.

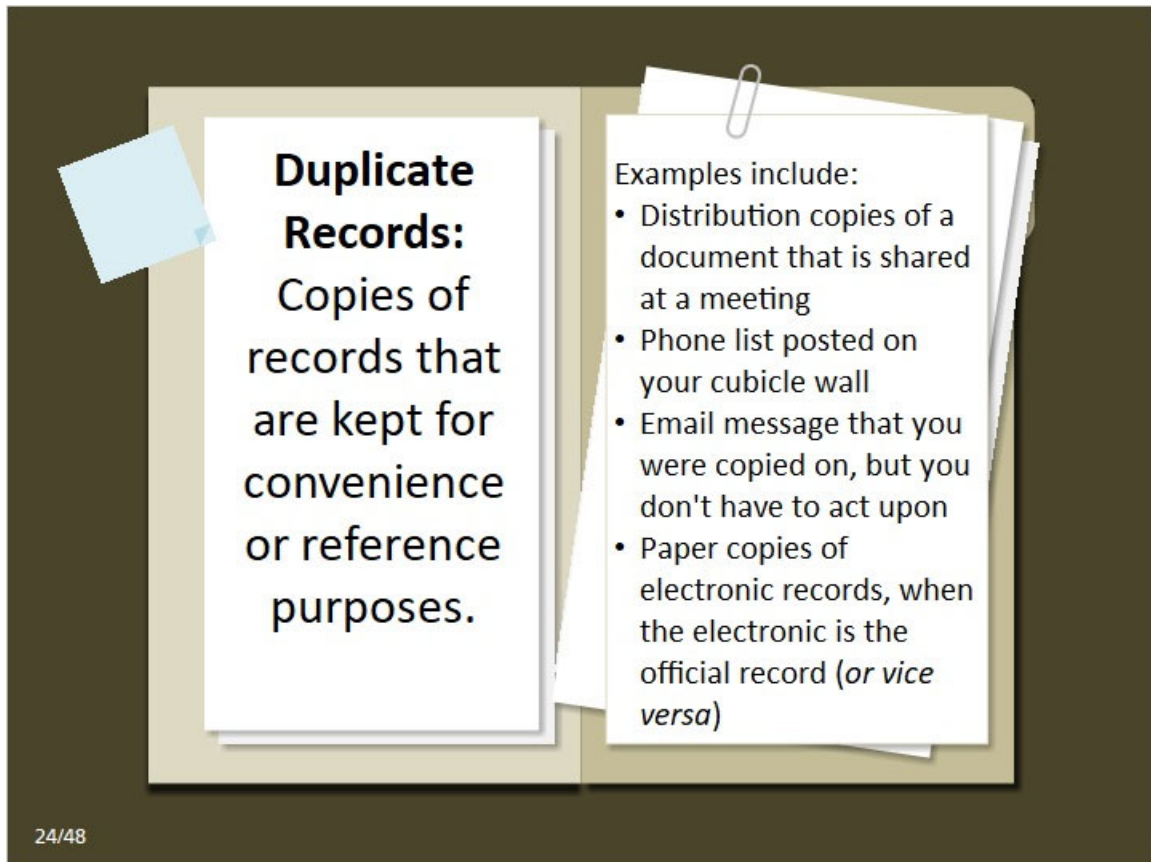
Some records do not need to be kept, including duplicates, drafts, records with transitory value, and personal documents.



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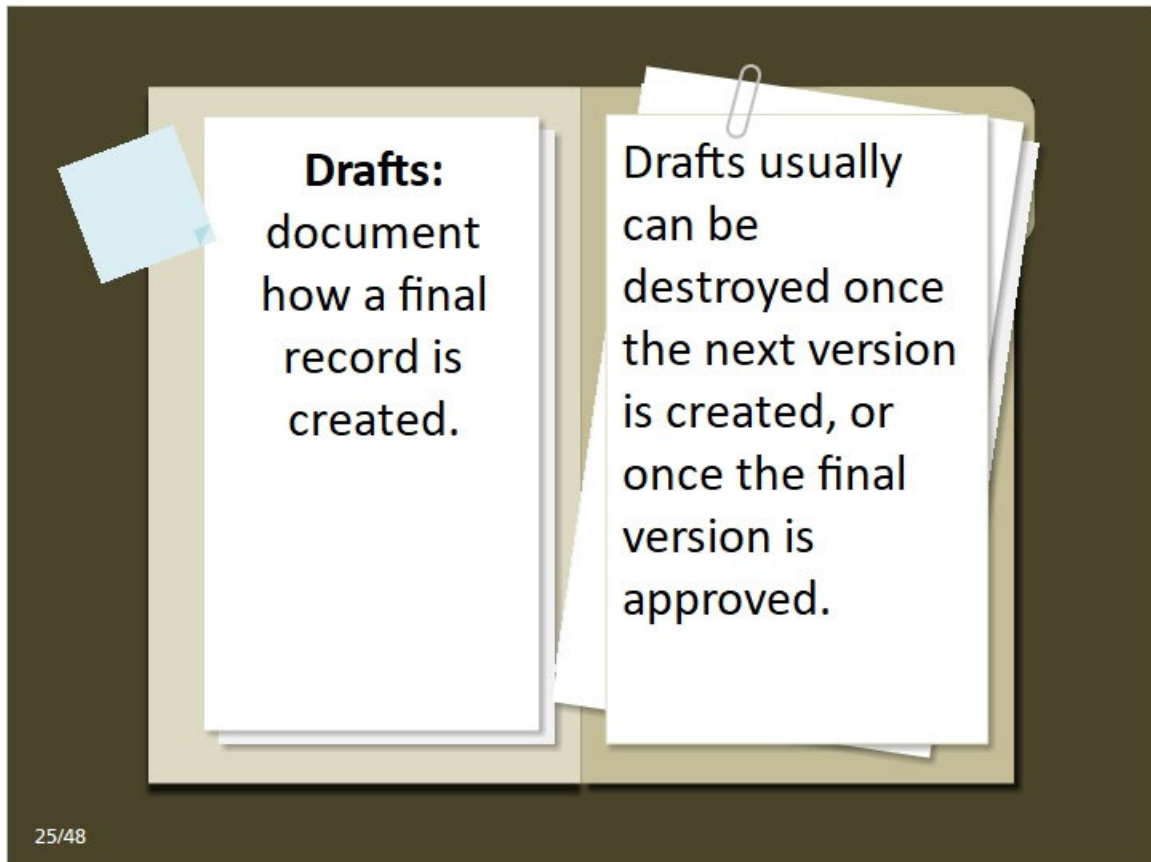
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Some records do not need to be kept, including duplicates, drafts, records with transitory value, and personal documents.



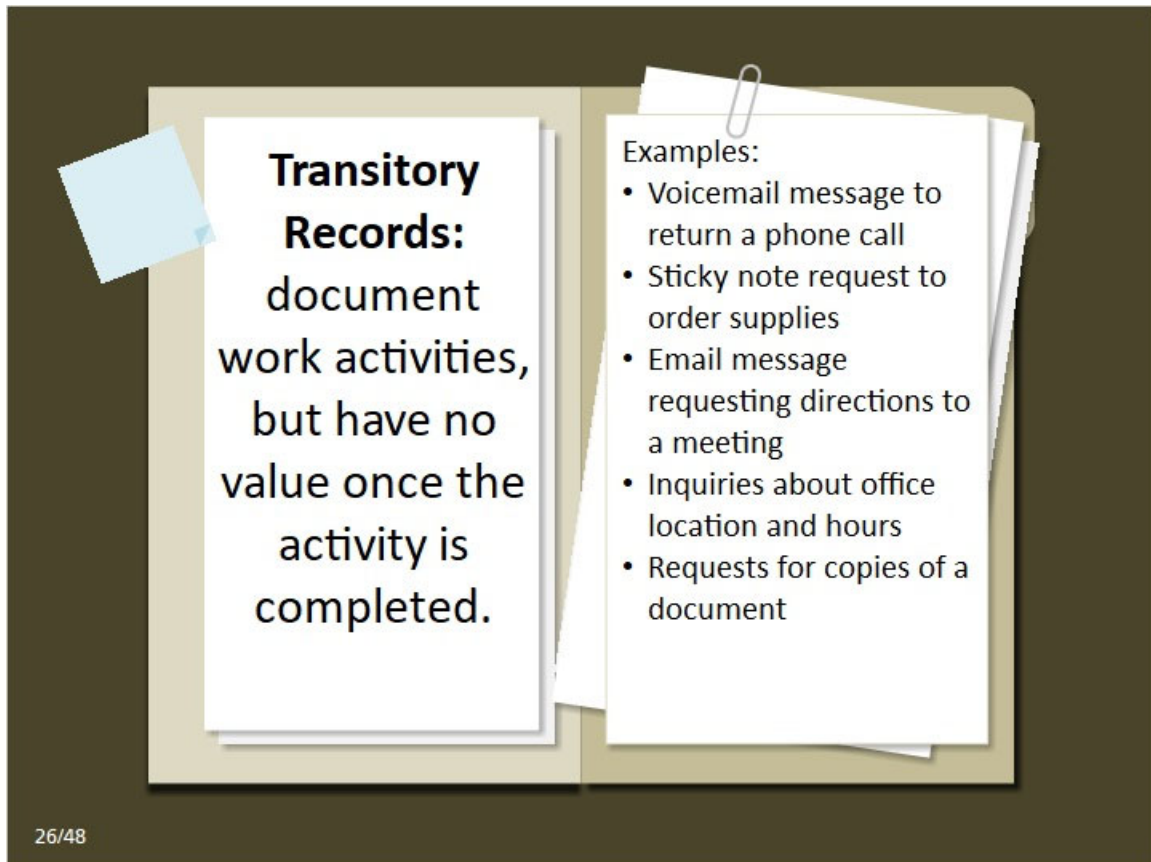
Notes:

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).



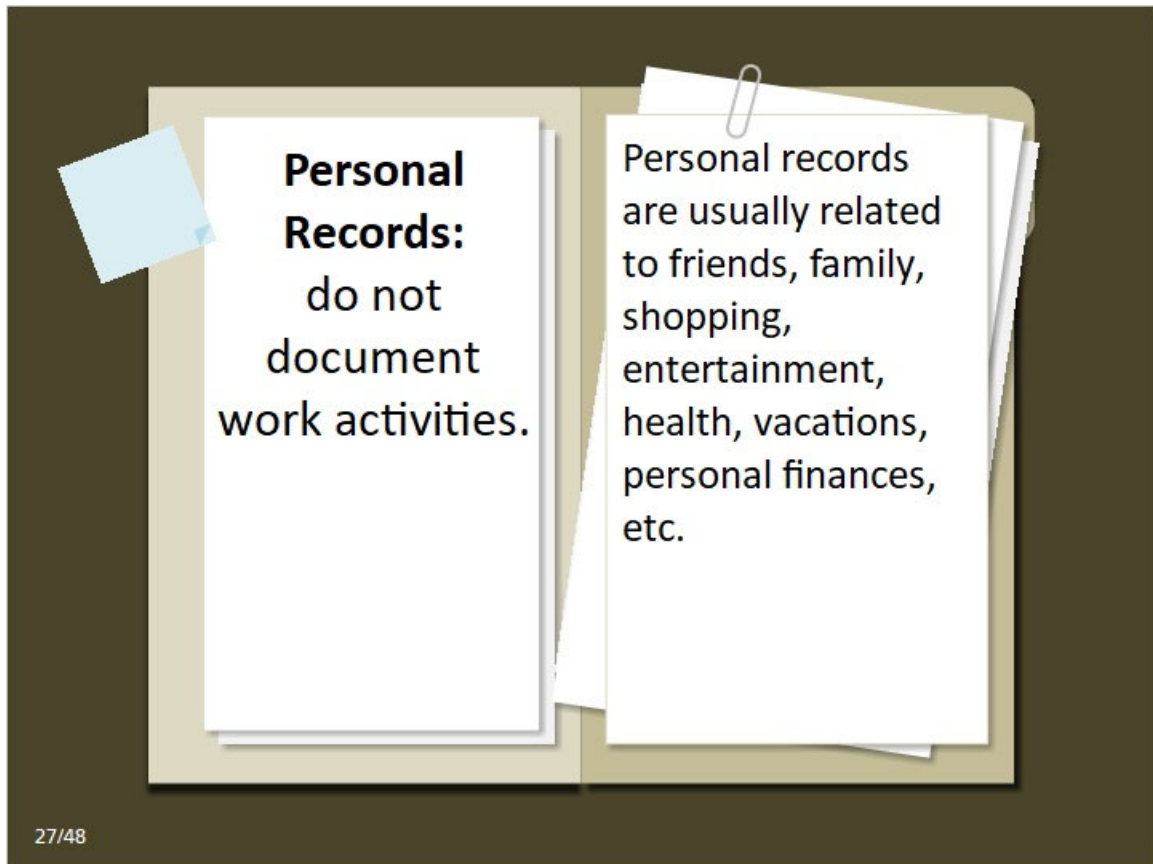
Notes:

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: a voicemail message to return a phone call, sticky notes requesting to order supplies, email 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...**



Notes:

Do you know which records you need to keep? 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 has a Records Management Officer (RMO) who is available to answer questions. A list of RMOs is available online at <https://stateofmichigan.sharepoint.com/:b:/r/sites/SOM-SPC-Records-Management/Shared%20Documents/RMOlist.pdf>

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?

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

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Notes:

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

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?

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?

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 to help employees find records quickly and easily, such as instructions for naming and organizing folders and documents.



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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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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.

Can paper be destroyed after scanning?

Agencies that want to destroy original records, and use digital images instead, must follow the [State of Michigan's standards](#) when scanning to ensure they create an authentic and usable copy.

Non-compliant scanned images could be rejected by a court during litigation.



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Notes:

Can paper be destroyed after scanning? Agencies that want to destroy original paper records, and use digital images instead, must follow the [State of Michigan's standards](#) when scanning. These standards are designed to ensure that digital images are an authentic and usable copy of the original record. Scanned 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 kept to avoid the problems caused by storing duplicate records.

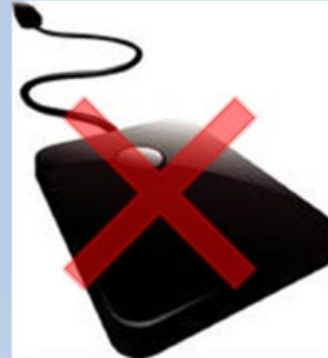
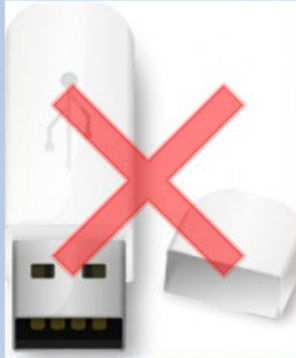
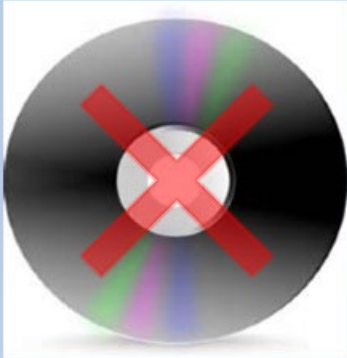


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Each agency can select the format (paper or electronic) it will use for storing its records. Only one version of the record should be kept to avoid the problems caused by storing duplicate records.

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



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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

Select 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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Agencies should select 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:

- Easier and faster to find information you need
- Ensures the correct version of a document is used
- 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 release of information to the wrong people. Records that are tossed in the trash or recycle bin are not transported, handled, and destroyed in a protected manner.



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Confidential Records Destruction

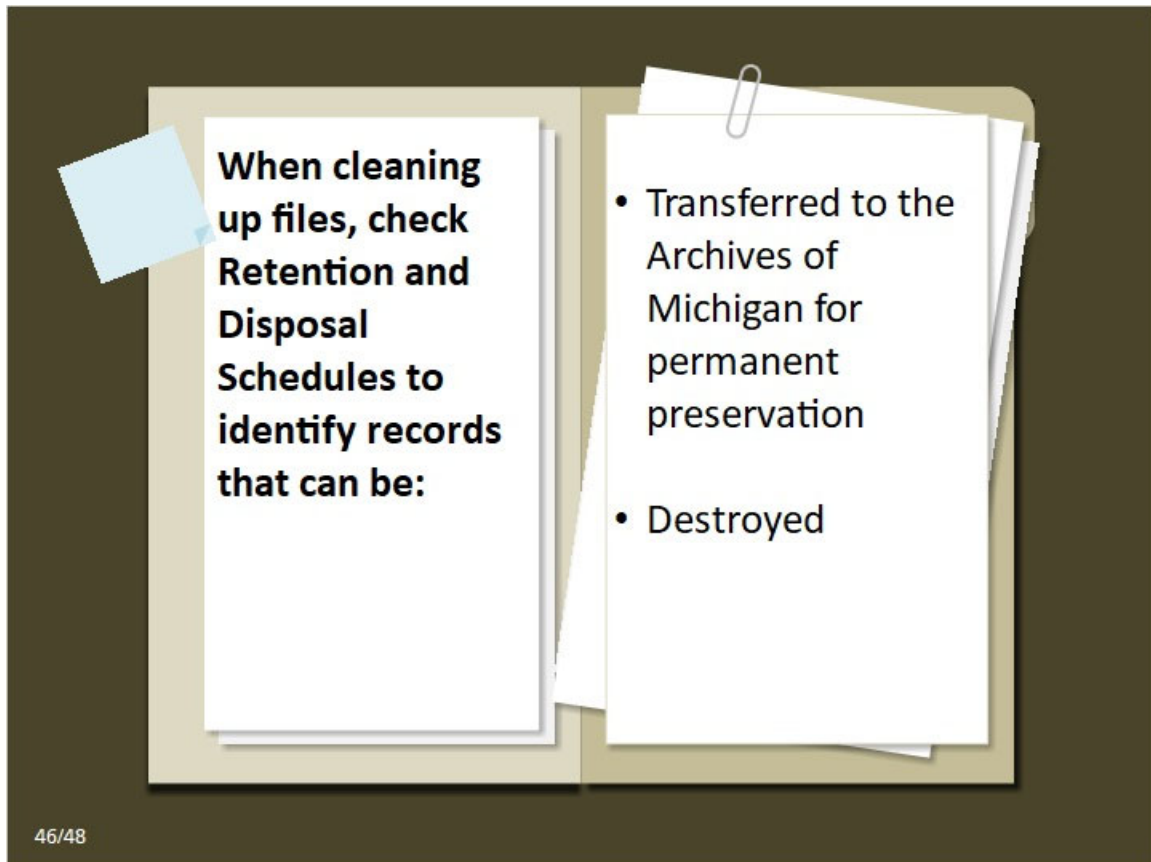
Locked bins are available in many state office buildings for collecting confidential records that have met their retention period. The confidential records placed in these bins are destroyed to tiny shreds, and then the material is recycled.



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When cleaning up files, check Retention and Disposal Schedules to identify records that can be transferred to the Archives of Michigan for permanent preservation, or that can be destroyed.

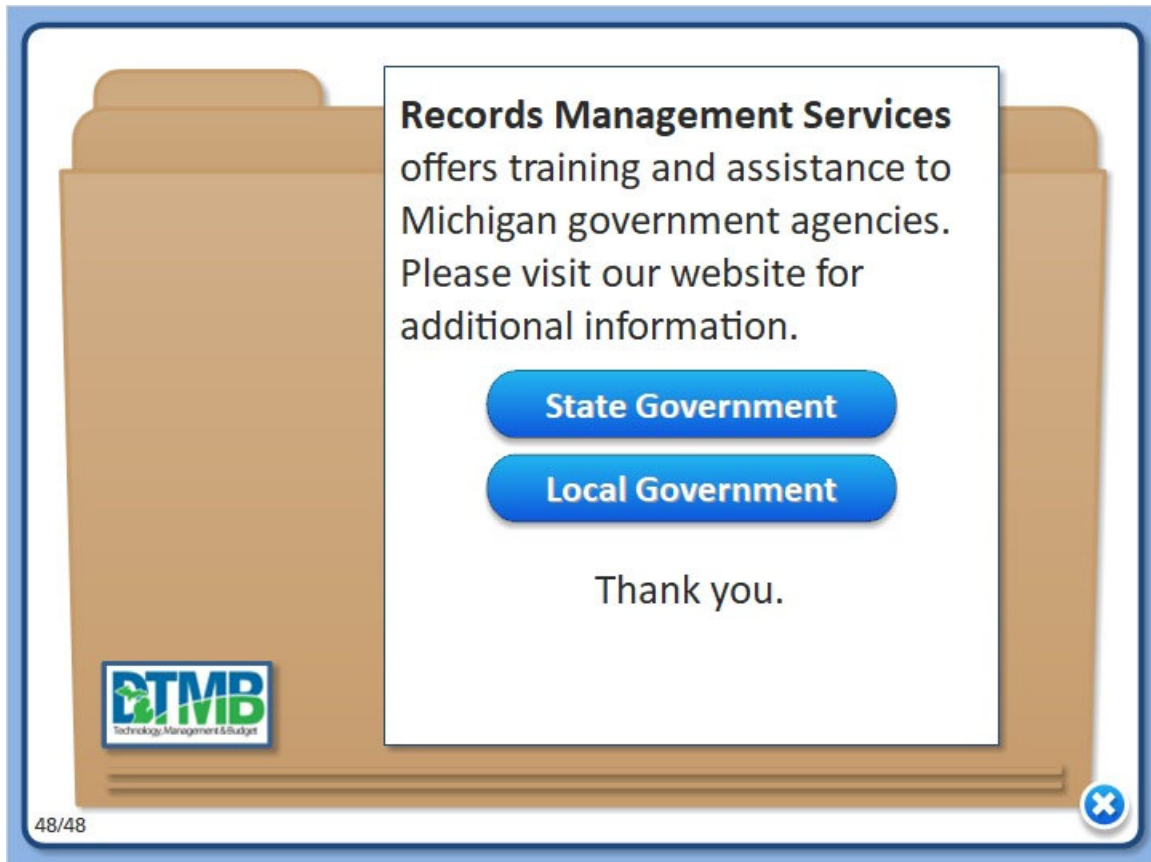
Good records management practices make it faster and easier to find documents and information. They can also save money and protect agencies from the various risks associated with poor recordkeeping.



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

[State Government](#)

[Local Government](#)

Thank you.



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State Government: Go to inside.michigan.gov/recordsmanagement.

Local Government: Go to www.michigan.gov/recordsmanagement.