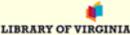


Basic Records Management



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Objectives

- Records Management
  - Define what is and is not a record
  - Benefits of, and steps towards, sound records management practice
  - Using Schedules to determine retention times, destruction rules
  - E-mail
- Files Management
  - Benefits
  - Practices



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What is a Record?

"Public record" or "record" means recorded information that documents a transaction or activity by or with any public officer, agency or employee of an agency. Regardless of physical form or characteristic, the recorded information is a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business. The medium upon which such information is recorded has no bearing on the determination of whether the recording is a public record.

**Code of Virginia, Title 42.1 Chapter 7**  
*Virginia Public Records Act*



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## On the shorthand.....

### A Record:

- Documents a transaction or activity
- Includes **all mediums** regardless of physical form or characteristic
- And is considered a **public record** if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business

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## Records are not defined by FORMAT

- **Paper**
  - Index cards, letter or legal size, blueprints, maps
- **Micrographics**
  - Microfilm, microfiche, aperture cards
- **Audio-Visual**
  - Photographs and negatives, motion pictures, slides, sound recordings, video recordings or any combination thereof
- **Electronic**
  - Databases, spreadsheets, e-mails, Web pages, scanned images, and multimedia files

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## Vital Records

**Vital Records** are those records essential to the operation of the organization and/or resumption of operations following a disaster. These are records that you must have to stay in business, such as accounts receivable, patents, current patient files, or payroll records.



Pulaski County Courthouse 1989



Franklin after Hurricane Floyd 1999

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## What is not a record?

- Reference materials
- Personal correspondence
- Personal materials
- Stationery, blank forms, and publications for distribution
- Copies of policy and procedure manuals

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## The Commonwealth

- Minimize litigation risks
- Ensure federal, state, and regulatory compliance
- Safeguard vital information



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## The Agency or Locality

- Ensure business continuity
- Support decision making
- Preserve the corporate memory



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### The Employees

- Control the growth of records
- Improve efficiency and productivity
- Integrate new Records Management technologies



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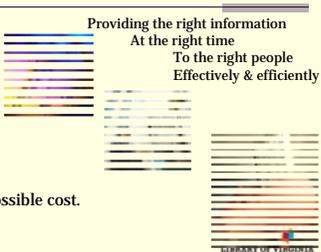
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### Records management is...

Providing the right information  
At the right time  
To the right people  
Effectively & efficiently

At the lowest possible cost.



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### Records Officer/Manager Responsibilities

- Develop and implement office-wide policies, systems, standards, and procedures that are in compliance with the *Code of Virginia* and LVA standards, guidelines, etc.
- Ensure compliance
- In conjunction with your LVA Records Analyst, prepare draft retention and disposition schedules for unscheduled or revised series and submit to the LVA for approval
- Authorize and sign-off on all transfer and destruction of records

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## Important Things to Know

1. "Destroy in compliance with No. 8 on the schedule cover page."
2. If your records do not fall into any series on any General Schedule it can not be destroyed.
3. Format does not matter. Content does.
4. Retention periods are not suggestions.

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## Benefits of Using Schedules

- Ensures files needed for legal, fiscal or administrative purposes are not prematurely destroyed but are not kept around after their value goes away
- Identifies records with longer retention that can be moved to more economical storage space or to another repository for permanent storage
- Assists with making reformatting decisions, i.e. converting records to microfilm or scanning them for use on a computer

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## Code of Virginia §42.1-86.1

### VIRGINIA PUBLIC RECORDS ACT

"C. Each agency shall ensure that records created after July 1, 2006 and authorized to be destroyed or discarded in accordance with subsection A, are destroyed or discarded in a timely manner in accordance with the provisions of this chapter; provided, however, such records that contain identifying information as defined in clauses (iii) through (ix), or clause (xii) of subsection C of §18.2-186.3 shall be destroyed within six months of the expiration of the records retention period."

#### What does a "timely manner" mean?

The Library of Virginia interprets "timely manner" to mean that records scheduled for destruction will be destroyed no later than the end of the year (calendar or fiscal) in which the retention period expires.

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**Off-Site Storage for Inactive Records**

**Why?**

- Filing and retrieval of active records are easier
- Frees up equipment for current documents
- Bottom line cost savings

**Where?**

- State Records Center
- Agency/Locality Records Center or Warehouse
- Commercial Records Center



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**Email is not a record series**

Email is a format, not a record series. Asking how to file an email is the same as asking how to file a piece of paper.

**The content determines the disposition.**



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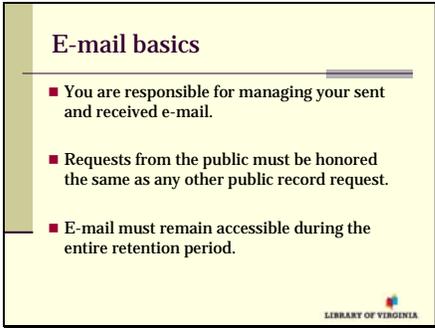
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**E-mail basics**

- You are responsible for managing your sent and received e-mail.
- Requests from the public must be honored the same as any other public record request.
- E-mail must remain accessible during the entire retention period.



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### State Records Center

- storage for inactive non-permanent records (paper, microfilm, and digital media) in a climate controlled facility with secure, controlled access
- pick-up services for storage and shredding within 150 miles of the SRC
- confidential shredding of records – paper, microfilm, and electronic
- degaussing of hard drives
- assist with disaster recovery

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### C'mon, gimme a break!!



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### Files Management



© 1994, Inc.

### He Hardly Knew Ye

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## Benefits of Good Files Management

- Find what you need quickly, efficiently, and economically.
- Ensure that records are created, maintained and accessed in the normal course of business
- Reduce inappropriate access and use
- Support integrity and authenticity of the information

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## A well designed filing system



- Uniform
- Expandable
- Endures regardless of employee turnover
- Utilizes clear and simple categories

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## Classifications, Locations & Systems



- Primary classification
  - Function and responsibility
    - Divvy by division
- Secondary classification:
  - Record series:
    - relates to a particular subject or function
    - results from the same activity

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Office Systems Consultants, A Division of Webco Inc.

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### Alphabetical Filing System

**Advantages:**

- Best used when records are retrieved by name or topic
- No index necessary
- Can be effective, if everyone adheres to filing rules
- Permits browsing through files
- Is searchable electronically

**Disadvantages:**

- More misfiling occurrences than numerical systems
- Name changes can cause problems with retrieval
- Subjects become more specific as system grows
- Being more specific means more cross-referencing
- Unauthorized persons can easily find records

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### Alphabetical Filing

Dictionary order -- each subject is provided its own folder.

Encyclopedic order -- subjects are grouped into major headings. Individual folders are filed in alphabetical order behind each heading.

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## Alphanumeric Filing System

### Advantages

- Codes eliminate the need for long titles.
- Security of files is increased because user must know the meaning of codes before accessing files.

### Disadvantages

- Users must first consult index or information management tool before accessing files
- Users must be trained
- Misfiles are common and difficult to detect

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## Library of Congress Classification Z733

Z -- BIBLIOGRAPHY, LIBRARY SCIENCE,  
INFORMATION RESOURCES (GENERAL)

- Subclass Z  
Books (General), Writing, Paleography, Book industries and trade, Libraries, Bibliography
  - Z719-723 Libraries (General)
  - Z729-875 Library reports, History, Statistics.
  - Z881-980 Library catalogs & bulletins
- Subclass ZA  
Information resources (General)



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## File Plan

Document containing the identifying number, title and description, and disposition of files held in a particular office. It may also include the physical location where the specific type of files are maintained and the custodial responsibility.

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## State Laws and Regulations

- **Virginia Public Records Act (VPRA)**  
Code of Virginia § 42.1-76 et seq.
- **Freedom of Information Act (FOIA)**  
Code of Virginia § 2.2-3700 et seq.
- **Government Data Collection and Dissemination Practices Act**  
Code of Virginia § 2.2-3800 et seq.
- **Copies of Originals as Evidence**  
Code of Virginia § 8.01-391

  
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## Archives and Records Management Services

  
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Corey Smith  
Records Analyst  
[corey.smith@lva.virginia.gov](mailto:corey.smith@lva.virginia.gov)  
Phone: 804.692.3608  
Main: 804.236.3705

<http://www.lva.virginia.gov/agencies/records/>

  
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