



Record Keeping Retention and Automation

Tuesday, February 21, 2023



Record Keeping Retention and Automation Presenters / Facilitators



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Work Experience:

- 24 years School Business - payroll, benefits, cash receipts, accounts payable, grants, budgeting, board relations
- 4 years CPA Firms – accounting, auditing, taxes, business plans, client software support

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Work Experience:

- 13 years School Business - payroll, benefits, finger printing administration, cash receipts, accounts payable
- 22 years – Private payroll, benefits, accounts payable, bookkeeping



Record Keeping Retention and Automation Agenda



8:45 am	Intro
9:00 am	Records Management Principles
10:15 am	Break
10:30 am	Record Storage Options
11:15 am	An Overview of FOIA, COBRA, and Background Checks
11:45 am	Q&A
12:00 pm	Adjourn



Record Keeping Retention and Automation



“For every minute spent in organizing, an hour is earned”
Benjamin Franklin

What would you do with an hour earned?



Record Keeping Retention and Automation Resources



State of Michigan Record Retention Services

Bookmark this Page:

<https://www.michigan.gov/dtmb/services/recordsmanagement>

Address: PO Box 30026, 3400 N. Grand River Ave., Lansing, MI 48909

Email: recordscenter@Michigan.gov

P: (517) 335-9132



Record Keeping Retention and Automation



Basic Principles of Record Management

- ✓ 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
- ✓ Records should be stored in a centralized location if possible
- ✓ Every employee who creates, receives or maintains records is responsible for records retention



Record Keeping Retention and Automation



Record Definitions

Records document the performance of government business, and serve as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities.

RECORD

Means 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)



Record Keeping Retention and Automation



What is a Record? Some Examples...

- ☐ Applications
- ☐ Case Files
- ☐ Complaints
- ☐ Contracts
- ☐ Design Drawings/Plans
- ☐ Licenses/Certifications
- ☐ Financial Statements
- ☐ Invoices
- ☐ Maps
- ☐ Receipts
- ☐ Reports
- ☐ Audio communications
- ☐ Census Data
- ☐ Correspondence
- ☐ Lab Test Results
- ☐ Meeting Notes
- ☐ Meeting Appointments
- ☐ Newsletters
- ☐ Policies and Procedures
- ☐ Visual communications
- ☐ Warranties
- ☐ Written communications



Record Keeping Retention and Automation



Record Media Types Examples

- ☐ Excel Spreadsheets
- ☐ Diagrams
- ☐ Databases
- ☐ Microfilm
- ☐ Paper
- ☐ Photographs (print and digital)
- ☐ Digital Images
- ☐ Voice Mail
- ☐ Word Documents
- ☐ Audio Recordings
- ☐ E-mail Messages
- ☐ Instant Messages
- ☐ PowerPoint Presentations
- ☐ Sticky Notes
- ☐ Social Media Postings
- ☐ Text Messages
- ☐ Video Recordings



Record Keeping Retention and Automation



To File or Not to File?



Records to File & Store for future reference/use:

- ✓ Official Records
- ✓ Official Public Records



Records to Discard and/or Recycle:

- ✓ Transitory Records
- ✓ Non-record Materials
- ✓ Personal Records



Record Keeping Retention and Automation



Records to File & Store for future reference/use:

- ✓ **Official Records**
- ✓ Official Public 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)



Record Keeping Retention and Automation



Records to File & Store for future reference/use:

✓ Official Records

✓ **Official Public Records**

- ☐ Retention is governed by Retention and Disposal Schedules
- ☐ Document activities of the K-12 district/ISD
- ☐ Document how employees perform their job duties
- ☐ Supervisor should decide where they are stored
- ☐ Supervisor should promote consistent record keeping



Record Keeping Retention and Automation



Records to File & Store for future reference/use:

- ✓ Official Records
- ✓ **Official Public Records**

- | | |
|---|---|
| <input type="checkbox"/> After-action reports | <input type="checkbox"/> Emails |
| <input type="checkbox"/> Agendas | <input type="checkbox"/> Grant applications |
| <input type="checkbox"/> Algorithms | <input type="checkbox"/> Inspection reports |
| <input type="checkbox"/> Audio | <input type="checkbox"/> Lesson plans |
| <input type="checkbox"/> Birth & death certificates | <input type="checkbox"/> Manuals |
| <input type="checkbox"/> Books | <input type="checkbox"/> Maps |
| <input type="checkbox"/> Calendars | <input type="checkbox"/> Meeting minutes |
| <input type="checkbox"/> Commissioned work | <input type="checkbox"/> Memorandums |
| <input type="checkbox"/> Construction plans | <input type="checkbox"/> Permits |
| <input type="checkbox"/> Contracts | <input type="checkbox"/> Police records |
| <input type="checkbox"/> Court records | <input type="checkbox"/> Statistical data |
| <input type="checkbox"/> Curriculum | <input type="checkbox"/> Surveillance footage |
| <input type="checkbox"/> Directives | <input type="checkbox"/> Voting records |
| <input type="checkbox"/> Election records | |



Record Keeping Retention and Automation



Records to File & Store for future reference/use:

- ✓ Official Records
- ✓ **Official Public Records**

Did you know?

- Government business conducted using personal resources creates a **public record**.
- These records become subject to Retention and Disposal Schedules, as well as FOIA or litigation
 - ☐ Personal Email account
 - ☐ Personal cell phones
 - ☐ Personal computers/devices
 - ☐ Social Media Account
 - ☐ Facebook
 - ☐ Instagram
 - ☐ Twitter



Record Keeping Retention and Automation



Records to Discard and/or Recycle:

- ✓ **Transitory Records**
- ✓ Non-record Materials
- ✓ Personal Records

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.

Lasting only a short time; brief; short-lives, temporary

Source: General Schedule 5.00



Record Keeping Retention and Automation



Records to Discard and/or Recycle:

- ✓ **Transitory Records**
- ✓ Non-record Materials
- ✓ Personal Records

Transitory Records:

- ✓ 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



Record Keeping Retention and Automation



Records to Discard and/or Recycle:

- ✓ **Transitory Records**
- ✓ Non-record Materials
- ✓ Personal Records

Transitory Records May Include

- ☐ Messages coordinating schedules, appointments, and events
- ☐ Transmittal documents such as Emails, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments
- ☐ Received copies of circulated internal information such as agency instructions, notifications
- ☐ Circulars, newsletters, and email blasts to employees
- ☐ Messages received from agency distribution lists or listservs
- ☐ “To-Do” or task lists and assignments



Record Keeping Retention and Automation



Records to Discard and/or Recycle:

- ✓ Transitory Records
- ✓ **Non-record Materials**
- ✓ Personal Records

Non-records Materials:

Recorded information in the possession of an agency that is not needed to document the performance of an official function.

Can be disposed of when they are no longer needed for reference purposes

Source: General Schedule #1



Record Keeping Retention and Automation



Records to Discard and/or Recycle:

- ✓ Transitory Records
- ✓ **Non-record Materials**
- ✓ Personal Records

Non-records Materials:

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



Record Keeping Retention and Automation



Records to Discard and/or Recycle:

- ✓ Transitory Records
- ✓ Non-record Materials
- ✓ **Personal Records**

Personal Records:

- ✓ Records that document non-government business or activities
- ✓ 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



Record Keeping Retention and Automation



Poll #1- File or Recycle?



- ☐ Agendas
- ☐ Personal Email
- ☐ Mass mailings, notices, flyers, advertisements, spam, junk mail
- ☐ Construction plans
- ☐ Contracts
- ☐ Assignment of a task



Record Keeping Retention and Automation

Retention and Disposal Schedules



Record Retention Schedules

- ✓ List records created and maintained by an K-12 entity
- ✓ Define the retention periods for records
- ✓ Provide the only legal authorization for destruction
- ✓ Internal policies cannot legally authorize destruction of records
- ✓ Should reflect current organization structure and business processes



Record Keeping Retention and Automation

Retention and Disposal Schedules



Record Retention Schedules

- ✓ Schedules apply to all records in all formats such as (not limited to)
 - ☐ Paper documents
 - ☐ Electronic documents
 - ☐ Email
 - ☐ Data

- ✓ Schedules apply regardless of where the records can be stored
 - ☐ File cabinets
 - ☐ Cubicles
 - ☐ Shared drives
 - ☐ Email accounts
 - ☐ Storage boxes
 - ☐ Databases
 - ☐ Imaging systems
 - ☐ Cloud
 - ☐ Closets, etc.



Record Keeping Retention and Automation

Retention and Disposal Schedules



Record Retention Schedules – Determining Retention Length

- ✓ 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



Record Keeping Retention and Automation

Retention and Disposal Schedules



Record Retention Schedules

- ✓ Cover records that are common to a particular function or type of agency
- ✓ Reduce duplication of effort
- ✓ Promote consistent retention
- ✓ Records not listed on a general schedule must be listed on an agency-specific schedule
- ✓ Do not mandate that records be created
- ✓ Retention period applies to all formats (paper, microfilm, electronic, etc.)

Important Resource (Bookmark)

[General Schedules for Local Government Published on RMS website](#)





Record Keeping Retention and Automation

Retention and Disposal Schedules



Record Retention Schedules

Public School District Schedules

GS1 - [Nonrecord Material Defined](#) (approved 6-2-2015).



GS2 - [Public Schools](#) (approved 12-7-2010).

GS23 - [Elections Records](#) (approved 10-16-2007, revised 11-26-2013, revised 1-26-2016)

GS26 - [Local Government Human Resources](#) (approved 8-16-2022).

GS30 - [Local Government Information Technology](#) (approved 12-1-2009).

GS31 - [Local Government Financial Records](#) (approved 4-7-2009).

Tip Sheet: [Requesting Student Transcripts from Closed Schools](#)



Record Keeping Retention and Automation

Retention and Disposal Schedules



Record Retention Schedules – Risks of Keeping Records Too Long

- ✓ Wastes space
- ✓ Harder to find records you need
- ✓ Records must be reviewed for FOIA and litigation



Record Keeping Retention and Automation

Retention and Disposal Schedules



Record Retention Schedules – Risks of Destroying Records Too Soon

- ✓ Violation of Michigan law
- ✓ Exposes agency to liability if the records are requested
 - FOIA
 - Litigation

Avoid random record purging by establishing a routine within the normal course of business for destroying records



Record Keeping Retention and Automation

Retention and Disposal Schedules



Record Retention Schedules – Review Records Regularly

Key Records Review Points

- ✓ Best practice is to review records annually
- ✓ Identify which records to keep and which to destroy
- ✓ District directors should designate a records management coordinator to organize clean up activities
- ✓ Record retention is the district's responsibility
- ✓ Records Management Services (RMS) does not audit agencies to confirm compliance with schedules
- ✓ Applying retention saves space (physical and electronic), saves money, improves retrieval of information



Record Keeping Retention and Automation

Managing Records



Random Facts about Records



On average, **30%** of records in offices need to be retained, but are not retrieved regularly, and should be stored off-site.

30% of records in offices are needed for on-site reference activities.

40% of records in offices have met their retention requirements and should be destroyed.



Record Keeping Retention and Automation

Managing Records



Record Storing Decisions – Keep & Store OR Discard & Destroy?

Keep and/or Store

- ☐ You are the designated record keeper
- ☐ Document your job duties and responsibilities
- ☐ Document decisions and activities of your office
- ☐ Document guidance or services provided by your office

Discard and/or Destroy

- Publications from outside sources (newsletters)
- Personal documents (family, personal finances, friends)
- Mass mailings (received)
- Drafts replaced by new versions
- Duplicate records
- Records that don't document your job duties and responsibilities
- Reminders
- Spam, advertisements, junk mail



Record Keeping Retention and Automation

Managing Records



Record Storing – Who Should Keep Records

- ✓ Creators/authors/senders
- ✓ Recipients, if:
 - The records document their job duties, **and**
 - They do not have access to the creator's records
- ✓ Employees who are designated by their supervisor or a team to be responsible for recordkeeping
- ✓ Records are owned by the business process and need to be accessible



Record Keeping Retention and Automation

Managing Records



Record Storage – Organization

- ✓ Organized records are easier to retrieve
- ✓ Good organization is the responsibility of the office
- ✓ File cabinets and computers do not require that records be organized
- ✓ Filing systems should be
 - ☐ Easy to use
 - ☐ Used consistently
 - ☐ Easy to purge, without reviewing individual documents
- ✓ Large and/or Thick Files may need sub-folders to separate document types
 - ☐ Applications, licenses, case-related correspondence



Record Keeping Retention and Automation

Managing Records



Record Storage – Using the Record Retention and Disposal Schedule

- ✓ Determine Retention Date Range
 - ☐ Creation date, fiscal year ends, current year ends
 - ☐ PLUS: # days/months/years
- ✓ Record Storage System
 - ☐ Organize the folders chronologically
 - ☐ Create separate folders for each fiscal year and/or month

Record Status:

- ☐ Active Files: organize by entity (such as a person, group, location or project)
- ☐ Inactive Files: organize by date file became inactive
- ☐ Re-activated Files: pull from inactive files and put in the active files; when they close again, put in the inactive files for the most recent closure



Record Keeping Retention and Automation

Managing Records



Record Storage – Using the Record Retention and Disposal Schedule

- ✓ Determine Disposal/Destroy Date
 - ☐ Pull entire folders when the retention period is met
 - ☐ Avoid weeding the contents of a folder
 - ☐ Pull entire folder when the retention period is met
 - ☐ Avoid weeding the contents of a folder
 - ☐ Retain until no longer active, event takes place, case is closed, permit expires + # days/months/years



Record Keeping Retention and Automation

Managing Records



Record Storage – Problem with Inconsistency Throughout Departments

- ✓ Customer Service: Inconsistent application of procedures
- ✓ Disaster Mitigation: Vital records are not identified and protected
- ✓ Legal Liability: Increased volume of records that need to be reviewed and released for FOIA or litigation, because of inconsistent recordkeeping
- ✓ On-boarding: Training new employees can be a challenge if institutional knowledge and records are lost
- ✓ Retrieval: Employees must look multiple places to find records, and may not find everything they need
- ✓ Security: Confidential or sensitive records may not be securely stored
- ✓ Turnover: Supervisors don't have time to review individual files maintained by departing employees to find important records
- ✓ Volume: Employees hoard non-essential documents, drafts and duplicates



Record Keeping Retention and Automation

Managing Records



Record Storage – Create Consistency Throughout Departments



- ✓ Work records are the property of the office, not individual employees
- ✓ Work records should be stored in shared filing systems/drives, not individual user accounts or workspaces
- ✓ Independent storage of records wastes resources, reduces accessibility, and increases risk



Record Keeping Retention and Automation

Managing Records



Record Storage – Create Consistency Throughout Departments

1. Chose location for records
2. Identify essential documents
3. Select naming conventions for files and file types
4. Determine procedures for accessing records
5. Develop standard operating procedures for department records
6. Follow record retention schedules



Record Keeping Retention and Automation

Managing Records



Record Storage – Create Consistency Throughout Departments

- ✓ Adopting a new filing system will not happen overnight
- ✓ Assemble a team to develop new business rules and promote adoption of the new filing system
 - ☐ Define your problem and analyze your current processes
 - How/why records are created
 - Storage (volume, location, security)
 - Indexing
 - Retrieval activity (who, how often, where)
 - Workflow and record modifications
 - Retention
 - ☐ Identify all potential solutions
 - ☐ Compare the costs of the solutions
- ✓ Adopt the new filing system with a day-forward approach, don't go backwards
- ✓ Give employees 6-12 months to learn, evaluate and modify the new filing system
- ✓ Clean up older files once employees develop new recordkeeping habits



Record Keeping Retention and Automation

Managing Records



Record Storage – Create Consistency Throughout Departments

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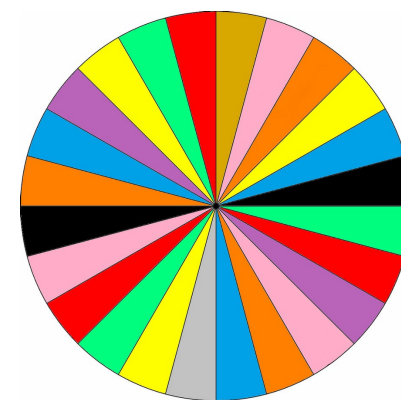


Record Keeping Retention and Automation

Managing Records



When we return, we'll spin the wheel for a gift card prize!





Record Keeping Retention and Automation

Types of Records



Record Types

- ✓ Audio/Visual
- ✓ Electronic
- ✓ Microfilm/Microfiche
- ✓ Paper

Record Content Types

- ✓ **Unstructured**
 - ☐ Emails
 - ☐ Instant messages
 - ☐ Text documents
 - ☐ Spreadsheets
- ✓ **Structured**
 - ☐ Electronic forms
 - ☐ Paper documents/forms



Record Keeping Retention and Automation

Types of Records



How/where does your department/office store documents today?



- ☐ Paper Storage Onsite
- ☐ Paper Storage Offsite
- ☐ Share Drives
- ☐ DropBox
- ☐ Google Drive
- ☐ OneDrive
- ☐ Document Management System
- ☐ Email
- ☐ Other

Paper Risks



 **scannerboy02**
@scannerboy02

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yfrog.com/mmpwebij #debris that fell in my yard has a address in Henryville, IN, approximate 188 miles away #ohwx #inwx #tornado

 AndrusVideo.com

DAVE DOUGLAS
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HENRYVILLE IN 47126

This statement does not reflect any NEW FINANCE charges which may be assessed.

DATE	DESCRIPTION	AMOUNT	BALANCE
11/12/87	PORT HARRY DOUGLAS	25.00	25.00
11/12/87	4450 SEL 5000000	1.00	26.00
11/12/87	4450 SEL 5000000	1.00	27.00

TOTAL NEW BALANCE = 0.00
BALANCE DUE = 0.00

YFrog [Flag this media](#)





Record Keeping Retention and Automation

Types of Records



Department/Office Documents - Paper

Many districts are still maintaining most of their records in paper format and store in file cabinets local/remote, storage barns/facilities onsite/offsite; trunk of the car



Advantages

- ✓ Easy to read, now and in the future
- ✓ Have it in hand
- ✓ Established filing rules
- ✓ Satisfies storage requirements
- ✓ Low-cost off-site storage

Disadvantages

- ✓ No disaster recovery
- ✓ Single user/single location access
- ✓ Expensive to duplicate
- ✓ Easy to misfile or lose
- ✓ Tough to secure
- ✓ Time consuming to find if in storage
- ✓ Time consuming to access/request remotely



Record Keeping Retention and Automation

Types of Records



Department/Office Documents - Paper



- ✓ When paper use is not essential or costly
 - ☐ Non vital records
 - ☐ Low retrieval activity
 - ☐ Low volume of records
 - ☐ Physical storage space is available (on-site or off-site)
- ✓ Employees spend up to 50% of their time looking for information, while they spend only 5-15% of their time reading the information they retrieved.
- ✓ Companies spend \$20 in labor to file a document, \$120 in labor to find a misfiled document, and each lost document costs \$250 to reproduce



Record Keeping Retention and Automation

Storage of Records



Department/Office Documents - Microfilm/Microfiche



Advantages

- ✓ Reduce space requirements (~ 98%)
- ✓ Easy duplication and distribution
- ✓ Preserves information (long-term stability)
- ✓ Minimal system dependence
- ✓ Integrity of records
- ✓ Improve filing and retrieval activity
- ✓ Eliminate misfiles

Disadvantages

- ✓ Not user friendly
- ✓ Still a central point of access
- ✓ Single user access
- ✓ Diminishing availability of film, readers, printers, and scanners
- ✓ Rising costs
- ✓ Preservation requires proper environmental conditions
- ✓ Still takes some time to find what you want



Record Keeping Retention and Automation

Types of Records



Department/Office Documents - Microfilm/Microfiche



- ✓ When to Use Microfilm / Microfiche
 - ☐ Records will not be modified in future
 - ☐ High Volume
 - ☐ Long retention period (> 50 years)
 - ☐ Low retrieval activity
 - ☐ Centralized access is sufficient



Record Keeping Retention and Automation

Types of Records



Department/Office Documents - Electronic



Advantages

- ✓ Wide variety of solutions available for storage and management of digital images, e-mail, databases, word documents, spreadsheets, CAD, GIS, web pages, etc.
- ✓ Eliminates physical storage
- ✓ Easy to track, manipulate, report, modify, duplicate, search, retrieve, transport and share from anywhere/anytime
- ✓ Secure records access
- ✓ Secure records from natural disaster
- ✓ Define record management rules

Disadvantages

- ✓ Electronic storage is not unlimited and free
- ✓ Most offices do not implement retention consistently for paper and electronic records
- ✓ Initial upfront cost to get records electronic can be significant depending on your volume
- ✓ Can be difficult to get some employees onboard



Record Keeping Retention and Automation

Types of Records



Department/Office Documents - Electronic



✓ **When to Use Electronic Records**

- ☐ Records are frequently modified
- ☐ Data manipulation, analysis and reporting
- ☐ High retrieval activity
- ☐ De-centralized access from multiple locations
- ☐ Simultaneous multi-user access
- ☐ Tracking for compliance



Record Keeping Retention and Automation

Storage of Records



Document Storage - State of Michigan/Michigan Department of Education



[Michigan Education Information System \(MEIS\)](#)

A web-based system used to gather information about Michigan's schools and their students.
GOAL: Create a single source for all educational data in Michigan.

[Michigan Student Data System \(MSDS\)](#)

Individual students such as age, gender, race and ethnicity, and program participation. Data used to meet the reporting requirements of the federal *No Child Left Behind Act of 2001*.

[Registry of Educational Personnel \(REP\)](#)

Information relating to school personnel. It includes basic employment information, assignment by grade level, salary and degree held.

[School Infrastructure Database \(SID\)](#)

Contains information relating to crime and safety data, technology, and school structure.

[Financial Information Database \(FID\)](#)

Information relating to school financial reports, balance sheets, revenue, and expenditures.





Record Keeping Retention and Automation

Storage of Records



Document Storage - State of Michigan/Michigan Department of Education

[Authorized User Login](#) 



School Districts Authorized Users

- ☐ Protect passwords and login credentials
- ☐ Keep required data accurate, complete, & updated
- ☐ Understand process and timeline for data updating

If a Report or Document is downloaded or printed, then follow Compliance Procedures and Best Practices for that document type.

Agencies' System Administrators

- System Security and Data Retention Schedules



Record Keeping Retention and Automation

Storage of Records



Document Storage – Comparing Options



Decisions

- ✓ Cost of initial implementation
- ✓ On-going maintenance and storage costs
- ✓ Impact of changing how the office does business
- ✓ Timelines for implementation
- ✓ Training time for employees
- ✓ Ability to work from anywhere
- ✓ If I haven't already, should I go Electronic?
 - ❑ How will that help me in my Records Management pursuit?



Record Keeping Retention and Automation

Storage of Records



Document Storage – Comparing Options

Decisions – Successful Solutions

✓ Develop Best Practices

- ☐ Technology alone cannot solve recordkeeping problems
- ☐ Consistent use by all employees is crucial to success
- ☐ Making sure to select the right solution that fits specific needs
- ☐ Designate one person that is responsible for RM within your organization
- ☐ Develop easy to understand RM terminology so everyone understands
- ☐ Build an organization file plan and classification scheme for your record and propagate it to all that need to know
- ☐ Most of all, make sure each employee follows the proper RM requirements.





Record Keeping Retention and Automation

Storage of Records



Document Storage – Comparing Options



Decisions – Selecting an Electronic Records Management Solution

Recognize there is a difference between Electronic Document Management and Electronic Records Management

- ✓ Electronic Document Management (EDM) allows you to manage information electronically for easy searching and viewing by multiple individuals at the same time, generally from anywhere. EDM systems will retain the information until someone deletes it.
- ✓ Electronic Records Management (ERM) can be a part of EDM, but not always. ERM allows you to classify documents and set required disposition schedules on those document classes. Records can be disposed of automatically or sent to a person for manual disposition.



Record Keeping Retention and Automation

Storage of Records



Document Storage – Comparing Options

Decisions – Selecting an Electronic Records Management Solution



- ✓ Selecting the level of RM you need can influence the price, the more comprehensive the RM you need, the more expensive the solution.
- ✓ Make sure the solution
 - ☐ Provides Capture and Scanning capabilities
 - ☐ Allows management of electronic and paper records
 - ☐ Retention and disposition management
 - ☐ Access and library management
- ✓ **Additional Features might include:**
 - ☐ Classification/file plan management
 - ☐ Email, and other communication management
 - ☐ DoD Certification



Record Keeping Retention and Automation

Storage of Records



Document Storage – Comparing Options

Decisions – Hybrid Records Management Solution



- ✓ Electronic and paper
 - ☐ Most current and accessed documents are maintained electronically
 - ☐ Archived documents remain paper based on-site/off-site
- ✓ When to use off-site storage
 - ☐ Office space is limited
 - ☐ Off-site warehouse storage may be cheaper than office storage
 - ☐ Boxes are cheaper than file cabinets
 - ☐ Shared labor and overhead costs are lower per unit
- ✓ Off-site Vendors/Services
 - ☐ Private Storage Vendors
 - ☐ Archives of Michigan
 - If storage space is not available within government facilities, then vendors are available
 - RMS published a Guide to Selecting Records Storage vendors to assist local governments

A circular inset on the left side of the slide shows a page from Michigan's first constitution, dated 1835. The page is aged and yellowed, with the title "Constitution of the State of Michigan" written in a large, elegant cursive script. Below the title, there is a smaller, less legible cursive text. The circular inset is partially cut off on the right side.

Archives of Michigan

- ✓ Provides for the permanent preservation of records with historical value
- ✓ Schedules identify which records are transferred to the Archives
- ✓ Storage areas have environmental and security controls
- ✓ Records are the property of the Archives
- ✓ Records can be accessed by the public, unless confidential

Michigan's first constitution, 1835



Record Keeping Retention and Automation

Storage of Records



Document Storage – Comparing Options



Documents Scanned into Electronic Format Michigan Law

[Records Reproduction Act](#) (MCL 24.401 - 24.406)

- ✓ “a record reproduced under this act shall have the same force and effect as a true paper copy of a record.”
- ✓ Reproductions under the act “shall have the same force and effect as an original for all legal purposes and is admissible in court, administrative proceedings, and elsewhere as evidence in the same manner as an original.”



Record Keeping Retention and Automation

Storage of Records



Document Storage – Comparing Options

Documents Scanned into Electronic Format Michigan Law

- ✓ State of Michigan Contracts
 - ☐ Microfilm conversion (from paper or images)
 - ☐ Imaging conversion (from paper or microfilm)
 - ☐ Microfilm storage
 - ☐ Microfilm inspection and repair

- ✓ State of Michigan Contracts were competitively bid
 - ☐ Government agencies do not need to re-bid to procure the services
 - ☐ Billing is handled by SOM
 - ☐ SOM monitors vendor compliance and resolves issues
 - ☐ SOM develops the SOW to help agencies get the services they need, instead what the vendor wants to sell
 - ☐ SOW defines agency and vendor responsibilities for the scanning project





Record Keeping Retention and Automation

Destroying of Records



Document Destroying/Recycling



- ✓ At some point you need to start destroying records or you will be overwhelmed with documents and disk storage
- ✓ Know records in your district, department or office
 - ❑ Most employees work with only a few records series
 - ❑ Learn the retention periods for the records that document your everyday work



Record Keeping Retention and Automation

Destroying of Records



Record Destruction Methods

☐ Trash

- Trash bins and dumpsters are not secured
- Exposed to the environment
- Handlers may not have security screenings
- Trash is taken to an open landfill
- Landfill could be in another state or country
- **DO NOT PUT PUBLIC RECORDS IN THE TRASH**



☐ Recycling

- Collection containers are not locked
- Trucks and warehouses may not be secured
- Handlers may not go through security screenings
- Raw paper is sold on the open market
- Information remains accessible until records are processed at paper mill
- **DO NOT RECYCLE PUBLIC RECORDS**



Record Keeping Retention and Automation

Destroying of Records



Record Destruction Methods

☐ Secure Destruction



- Prevents reconstruction of materials
- Prevents inappropriate release of information
- State of Michigan contract requirements
- Paper: 1mm x 5mm particle size
- Material is recycled
- Film, computer hard drives and disks: 1/35 inch particle size
- SECURELY DESTROY ALL PUBLIC RECORDS

Poll #2 - Is using an office shredder a viable solution for public record destruction?

- ☐ Yes
- ☐ No



Record Keeping Retention and Automation

Destroying of Records



Record Destruction Methods

☐ Electronic Record Destruction



- DELETE Does Not Mean Delete!
- Deleted files might be stored somewhere else
- In paper format in a personal file
- Backup tapes
- Disks and external drives
- Cloud



Record Keeping Retention and Automation

Email as a Record



Can an Email be a record that needs to be managed?



- ✓ Email systems are not a record retention solution
- ✓ Important emails and email attachments should be stored in a place where it can be easily accessed and managed by those with the authority to do so
- ✓ Retention of emails is based on the content of the email message and attachments, and the business process it supports
- ✓ Emails can be used in legal proceedings, so they need to be kept/stored or deleted if not necessary



Record Keeping Retention and Automation Review



Unofficial Documents

These documents are broadly defined as drafts, duplicates, convenience copies, publications and other materials that do not document agency activities.

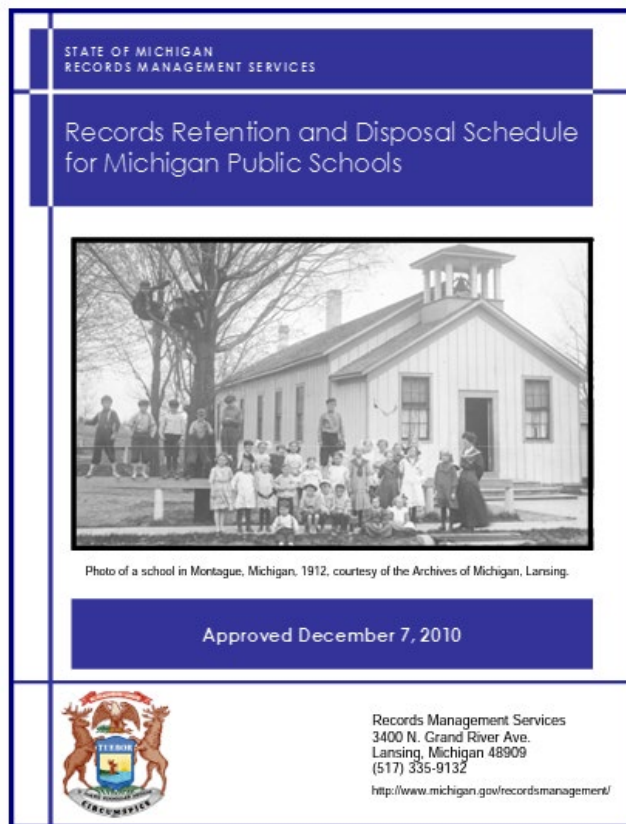
These materials can be disposed of when they have served their intended purpose.

School districts need to identify the “office of record” when multiple offices possess copies of the same record.

The “office of record” is responsible for following the retention period that is specified, duplicates do not need to be retained.



Record Keeping Retention and Automation Review



Retention and Disposal Schedules

Michigan law (MCL 399.811 and 750.491) requires that all public records be listed on an approved Retention and Disposal Schedule that identifies the minimum amount of time that records must be kept to satisfy administrative, legal, fiscal and historical needs.

[General Schedule #2 - Public Schools \(michigan.gov\)](http://www.michigan.gov/recordsmanagement/)



Record Keeping Retention and Automation Review



STATE OF MICHIGAN
RECORDS MANAGEMENT SERVICES

Records Retention and Disposal Schedule for Michigan Public Schools

Records Maintenance

- ✓ Records can exist in a wide variety of formats, including paper, maps, photographs, microfilm, digital images, e-mail messages, databases, etc.
- ✓ The retention periods listed on the general schedule do not specify the format that the record may exist in, because each government agency that adopts the schedule may choose to retain its records using different recording media.
- ✓ Government agencies are responsible for ensuring that all of their records (regardless of format) are properly retained and remain accessible during this entire retention period.
- ✓ All records need to be stored in a secure and stable environment that will protect them from tampering, damage and degradation.



Record Keeping Retention and Automation Review



Make a Plan

- ✓ Distribute Retention and Disposal Schedule to staff
- ✓ Identify unscheduled records and get them on an approved schedule
- ✓ Records management training
 - Free online training is available
- ✓ All employees need to know their responsibilities
- ✓ Plan an annual clean-up
- ✓ Paper and electronic records
- ✓ All employees need to participate
- ✓ Develop new recordkeeping habits
- ✓ Get rid of unofficial records
- ✓ Adopt business rules for filing systems
- ✓ No individual recordkeeping
- ✓ Store all records of a business process together



Record Keeping Retention and Automation

Privacy of Personal Records



Privacy in Personnel and Payroll Records

- ☐ Who has the Legal Right to View Personnel Records?
- ☐ Setting up a Policy
- ☐ Confidential Files
- ☐ Medical Records
- ☐ Payroll Records
- ☐ Utilize Legal Assistance



Record Keeping Retention and Automation

Privacy of Personal Information



Public Records



The Michigan Freedom of Information Act (FOIA) (MCL 15.231-15.246) defines public records as recorded information “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.”



Record Keeping Retention and Automation

Privacy of Personal Information



Suspend Destruction



School districts must immediately cease the destruction of all relevant records (of any format and even if destruction is authorized by an approved Retention and Disposal Schedule) if they receive a FOIA request, if they believe that an investigation or litigation is imminent, or if they are notified that an audit, investigation or litigation has commenced.



Record Keeping Retention and Automation

Privacy of Personal Information



Record Management for FOIA Requests



- ✓ 1967, the Freedom of Information Act (FOIA)
- ✓ Anyone can make a FOIA request.(2)
- ✓ Time Sensitive, response within 5 business days (3)
- ✓ Required to disclose any information requested under the FOIA unless it falls under one of nine exemptions which protect interests such as personal privacy, national security, and law enforcement. (1)
- ✓ Charges for FOIA (1)

1. FOIA.gov <https://www.foia.gov/faq.html> 2020-12-28

2. <https://www.u-46.org/domain/10441> 2020-12-28

3. MICHIGAN'S FREEDOM OF INFORMATION ACT PREPARED BY THE OFFICE OF THE ATTORNEY GENERAL Current through January 2017



Record Keeping Retention and Automation

Privacy of Personal Information



Record Management for FOIA Requests



- ✓ Know which records are FOIA exempt(1) **15.243**
- ✓ Other statutes may supersede FOIA
- ✓ Clearly denote FOIA exempt records
- ✓ Understand what information in a record is FOIA exempt
- ✓ Best Practice: Mark all documents with the respective retention codes/dates, preferably at the time of filing

1. FOIA.gov <https://www.foia.gov/faq.html> 2020-12-28

2. <https://www.u-46.org/domain/10441> 2020-12-28

3. MICHIGAN'S FREEDOM OF INFORMATION ACT PREPARED BY THE OFFICE OF THE ATTORNEY GENERAL Current through January 2017

4. [https://www.legislature.mi.gov/\(S\(rocci5ktmkpdbhwtawet0jobs\)\)/mileg.aspx?page=getObject&objectName=mcl-15-243](https://www.legislature.mi.gov/(S(rocci5ktmkpdbhwtawet0jobs))/mileg.aspx?page=getObject&objectName=mcl-15-243)



Record Keeping Retention and Automation

Privacy of Personal Information



Managing Redactions for FOIA Requests



- ✓ Paper Redactions
- ✓ Electronic Redactions
- ✓ Redaction Permissions
- ✓ Maintaining a Redacted copy
- ✓ Penalties of non-Compliance (4)
- ✓ Confidentiality of FOIA Requestor

1. FOIA.gov <https://www.foia.gov/faq.html> 2020-12-28
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Record Keeping Retention and Automation

Privacy of Personal Information



Record Management for COBRA



✓ The Consolidated Omnibus Budget Reconciliation Act (COBRA) 1985

- ☐ Employee and dependent information
- ☐ Notifications
 - Initial
 - Qualifying Event
 - Dependent Notification
- ☐ Understanding Qualifying Events

C	Consolidated
O	Omnibus
B	Budget
R	Reconciliation
A	Act



Record Keeping Retention and Automation

Privacy of Personal Information



Record Management for COBRA

✓ Employee - Qualifying Events

- ☐ Voluntary or involuntary termination of employment for reasons other than gross misconduct.
- ☐ Reduction in the number of hours of employment below plan eligibility requirements.

✓ Spouse - Qualifying Events

- ☐ Your spouse dies;
- ☐ Your spouse's hours of employment are reduced;
- ☐ Your spouse's employment ends for any reason other than his or her gross misconduct;
- ☐ Your spouse becomes entitled to Medicare benefits
 - Under Part A, Part B, or both
- ☐ You become divorced or legally separated from your spouse





Record Keeping Retention and Automation

Privacy of Personal Information



Record Management for COBRA

✓ Dependent - Qualifying Events

- ☐ The parent-employee dies;
- ☐ The parent-employee's hours of employment are reduced;
- ☐ The parent-employee's employment ends for any reason other than his or her gross misconduct;
- ☐ The parent-employee becomes entitled to Medicare benefits
 - Part A, Part B, or both
- ☐ The parents become divorced or legally separated; or
- ☐ The child stops being eligible for coverage under the Plan as a "dependent child."





Record Keeping Retention and Automation

Privacy of Personal Information



Record Management for Background Checks



- ✓ Hiring Decisions
- ✓ Performing Background Checks(1230:1)
- ✓ Maintenance of Background Checks and Fingerprints

Q. What laws govern school employment background checks?

A. Michigan Compiled Laws 380.1230 through 380.1230g are available online (5)



Record Keeping Retention and Automation Resources



State of Michigan Record Retention Services

Bookmark this Page: <https://www.michigan.gov/dtmb/services/recordsmanagement>

Address: PO Box 30026, 3400 N. Grand River Ave., Lansing, MI 48909

Email: recordscenter@Michigan.gov

P: (517) 335-9132



Record Keeping Retention and Automation
SCECH'S & Evaluation



New Process: The MSBO Evaluation is your record for attendance.

Please complete by February 23

- ✓ Receive an email from survey monkey for the MSBO evaluation. Your evaluation will be your record for attendance.
- ✓ Receive e-mail from MOECS-noreply@michigan.gov to fill out an evaluation for SCECHs.