IRVING
Independent School District
Records Management 101
A Brief Overview for Campuses

SERVICES WE PROVIDE

RECORDS MANAGEMENT

Records Management

- Records Management Home
- Contact Us
- \+ Notices
- Records and Information Management (RIM)
- Staff Resources

Record Requests

- \+ Student Records and Transcript
- Education Verifications
- Public Information
- Directory Information
- Service Record & Personnel File
- Court Orders & Subpoenas
- Texas GED Search

Records Management

To support energy-saving strategies for the district, a modified schedule will be implemented for the summer. The work week will be Monday through Thursday, 7:30 a.m. to 5:30 p.m. from **June 3 to August 2**. Also, all district schools and offices will be closed on Thursday, July 4, in observance of Independence Day.

Records Management functions under the Department of Document Services.

Mission

To secure, maintain and preserve all district records from creation to disposal, in compliance with any and all legal requirements.

The Records Storage Center is dedicated to preserving one of Irving ISD's most valuable assets - records and information. Records are a valuable district resource and properly managed can result in considerable cost savings and operational efficiency. The Records staff has expertise in federal, state and local statutes and policies regarding records retention requirements and assists district campuses/departments in developing comprehensive records management plans and manages all district forms.

Key Benefits of a Records Management Program

- Comply with State and Local Laws and Regulations
- Comply with Generally Accepted Recordkeeping Principles (GARP)
- Increased Productivity
- Maintain Economy and Efficiency
- Preservation of Permanent Documents

Records Mgmt 101 - Campus

Records Mgmt 101- Admin Dept

Retention Schedules

Google Shared Drive – Records Management, https://drive.google.com/open?id=0B-QhDaiQU2JdazBucU9INFFMUGM

Definition of a District Record

"**Local government record**" means any document, paper, letter, book, map, photograph, sound or video recording, microfilm, magnetic tape, electronic medium, or other information recording medium, regardless of physical form or characteristic and regardless of whether public access to it is open or restricted under the laws of the state, created or received by the District or any of its officers or employee pursuant to law, including an ordinance, or in the transaction of public business. The term does not include:

- extra identical copies of documents created only for convenience of reference or re-search by officers or employees of the local government;
- notes, journals, diaries, and similar documents created by an officer or employee of the local government for the officer's or employee's personal convenience;
- blank forms;
- stocks of publications;
- library and museum materials acquired solely for the purposes of reference or display;
- copies of documents in any media furnished to members of the public to which they are entitled under Chapter 552, Government Code or other state law;
- any records, correspondence, notes, memoranda, or documents, other than a final written agreement described by Section 2009.054(c), Government Code, associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state department or institution, local government, special district, or other political subdivision of the state participated as a party, facilitated as an impartial third party, or facilitated as the administrator of a dispute resolution system or organization.

Local Gov't Code 201.003(8)

Are you responsible for district records?

"Custodian" means the appointed or elected public officer who by the state constitution, state law, ordinance, or administrative policy is in charge of an office that creates or receives local government records. *Local Gov't Code 201.003(2)*

Custodian of Record

Maintain the records in their care and carry out the preservation, microfilming, destruction, or other disposition of the records in accordance with the policies and procedures of the District's records management program. *CPC(Legal)*

Penalty: Destruction or Alienation of Record

An officer or employee of a local government commits an offense if the officer or employee knowingly or intentionally violates this subtitle or rules adopted under it by destroying or alienating a local government record in contravention of this subtitle or by intentionally failing to deliver records to a successor in office as provided by Section 201.006(a). An offense under this section is a Class A misdemeanor. *Local Gov't Code 202.008*

Other Definitions

Source or Official Record: A document possessing public records status, created or received by a district employee, while conducting district business and serving in an official capacity. This document type may be referred to as the source or primary copy or the matter of record copy and must follow the records management requirements. Official records may be disposed of only upon approval by the custodian of record and records manager, after the district has assured the records have met state records retention requirements.

Convenience Copy : a record that is provided as a courtesy copy or duplicate; that holds no record value to the holder and can be disposed of without any loss to official or business transaction.

Transitory Record: A document that has no administrative, operational, financial, legal or historic value in relation to public records requirements. Must confirm and designate as a non-official document, prior to their disposal.

Active Record: A record used on a daily, weekly, or monthly basis.

Inactive Record: A record rarely used, but must be retained for occasional reference or to meet audit or legal obligations.

Classification: The process of identifying and arranging records into categories according to logically structured conventions, methods and procedural rules.

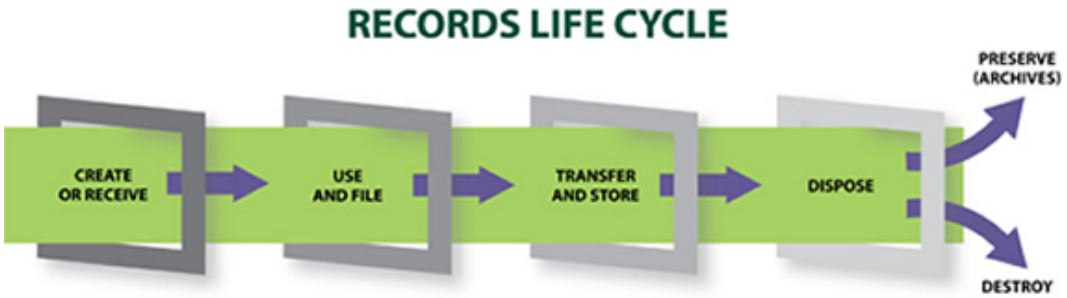
Disposal: The actions taken to fulfill the requirements outlined in appraisal reports and retention and disposal schedules to retain, destroy or transfer records. Note: that disposal is not synonymous with destruction, though destruction may be one disposal option.

Disposition: The disposal action taken regarding records no longer needed for current district business. Includes transfer to a storage facility, transfer to another department or agency, transfer to permanent archives, or destruction.

Records Schedule: Instructions for what to do with public records that are no longer needed for current district business. Also called a records retention and disposition schedule, it provides a minimum period of time that a specific type of record must be preserved.

Records series: a single record-type or group of related records that as a stand-alone or combined collection of documents represent a business function or process that documents that official business and its transactions.

IISD's Records Management Program



Best Practices:

1. Maintain all required records for the appropriate retention period (create a Quick List or request record series classification with Records Management). See *CPC (Legal & Local)*.

2. Develop internal record retention guidelines (in compliance with the district program procedures) and ensure communication of these guidelines to all employees. Records Management has tools to assist you, Records Management.

   - Inform user that district records (paper or electronic including email), may be subject to disclosure under open record laws.
   - Ensure all work-related electronic data is archived and backed up.
   - Implement storing and purging information to appropriate staff.
   - Avoid keeping unnecessary records.
   - Ensure security of all records by limiting access to those who have a job-related need-to-know (for student records an "educational interest").

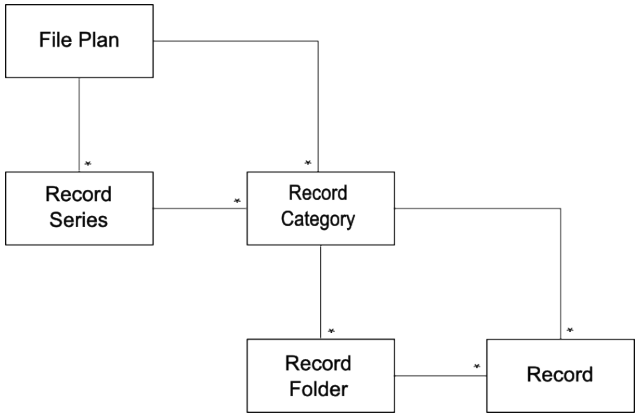
Classify & Identify District Records

1. Inventory and categorize each of the records you retain to determine if you are in control of a source or convenience record. Then these records can be classified by their record series identified in the retention schedule(s). If you need assistance, contact Records Management to schedule a consultation or to establish a file plan.

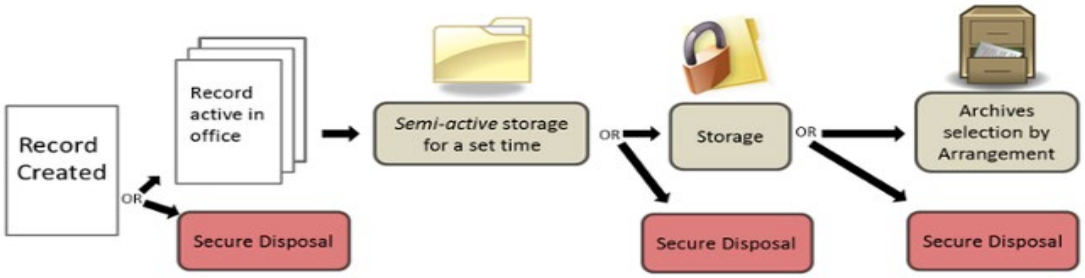
2. The trigger of the record series determines when it becomes inactive and the beginning of the retention period. The trigger is a specific event or period of time (ie. date of termination, date of withdrawn, school year, calendar year, etc.)

3. Filing systems and archival boxes should be filed by record series and/or triggers (retention periods).

4. Once your records are inactive they can be scheduled for disposition, see additional slides.



Proper Disposal of Records



Retention Schedule

- **Source or Official Record: Require an Approved Disposition Log (Form 769-007.1). The approved disposition log must be attached to the top of each box listed on the log.**
- **Convenience Copy or Transitory Record : Clearly mark boxes CC-SHRED on all sides.**
- **Inactive Records: These can be sent to the Records Center for archival. This process requires an Approved Transfer Log (Form 769-007.2). The log must be attached to the work order and placed inside the box(es).**

Disposition Log (Decommission)

This is an example of a Decommission of Information System or Database.

Complete Form 769-007.4 to the best of your ability, submit it with your work order and Document Services will assist you as needed.

Disposition Log
GR5800-04 Decommission of Information System or Database

Primary Office of Responsibility of Information Retained in System

Department #	Department Name	Administrator or Division Director Name & Title

[X] I certify that, to the best of my knowledge, the electronic records retained in this system are not subject to any current or pending audit, litigation, subpoena, or other legal demand for their retention or disclosure. These electronic records have either been transferred to a new system, are past the mandatory minimum retention periods or a copy and/or snapshot of supporting records has been obtained.

Approver:	Name & Title (Print)	Signature	Date
Department:	Document Services	Dr. Tomorrowland	8/30/2021

Confirmation of Proper Disposition

1	Has this information been transferred to a new system?	YES	NO
2	Are the electronic records contained in the old system past their retention period?	YES	NO
If No to 1 and 2			
	A snapshot, paper, or other format of the electronic information must be retained in compliance with the District's retention schedules. Has this been completed?	YES	NO
If YES to 1			
	Was data converted/migration involved in the implementation of the new system?	YES	NO
	Has the new system been tested and the information/data transferred been confirmed?	YES	NO
	Was the district's Technology department involved in the conversion/migration of data to the new system?	YES	NO

Irving ISD Technology Acknowledgement of Services

[ ] I certify that, to the best of my knowledge, all required data was provided based on departmental and vendor specifications. The Technology Department is not responsible for determining proper records retention for data converted/migrated.

Approver:	Name & Title (Print)	Signature	Date
Technology:	Director of Information Systems	Dr. Tech	8/30/2021

	Name & Title (Print)	Date
Decommission by:	Daisy Duck, RMO	8/30/2021

System/Database Name & Description

System	Name	Description (ie. server, database, SaaS, etc.)
Old:	Older Than Dirt	Database
New:	It's About Time	SaaS - Student Records in the cloud

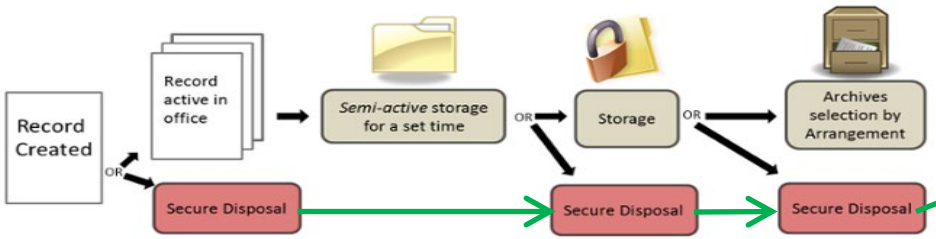
If Not Transferred to New System: Electronic Records Disposition

Records Series	Record Title/Description	Retention Period	Start Dates	End Dates	Date Eligible for Destruction	Source Format (ie paper,etc.)
GR5800-06	Software Program - student information	DOW+5 yrs	8/1/2014	6/30/2015	7/1/2020	electronic

Send to Document Services

Form #769-007.4 GR1000-40b (Permanent) Created 2-2018

Secure Shred Consoles



Retention Schedule

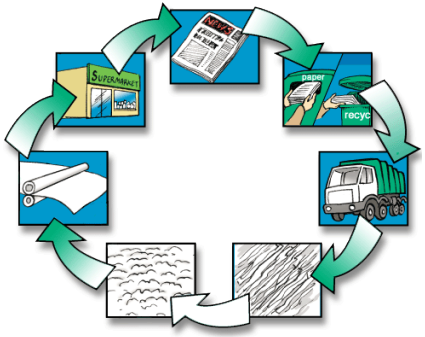
Welcome Irving ISD Work Order Request Page
To submit your request complete the following form.

****Boxes must clearly be marked "SHRED" or the Approved Disposition Log must be attached to each box.**

OR

OR

=



See next page(s) for additional details.

Record Boxes - Source Records

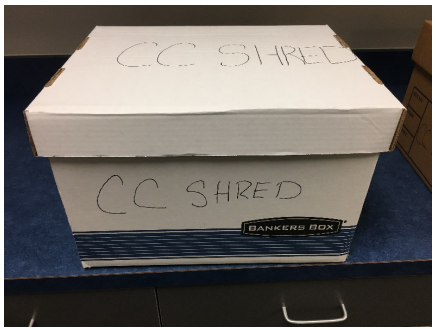
- **Boxes of “Source or Official Record”:**

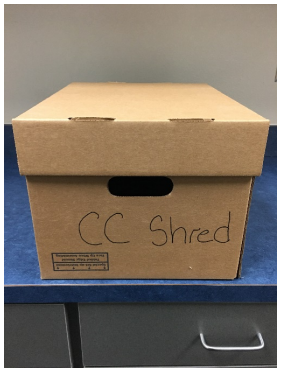
  1. **Submit a SchoolDude Work Order, craft Document Management, must attach a Disposition Log (Form 769-007.1) for approval.**
  2. **Your log will be Approved by Document Services.**
  3. **Once you receive your “Approved” log attach a copy to each box and mark the sides of the box shred.**
  4. **You work order will be routed by Document Services to the Warehouse for pick-up.**

Record Boxes – Convenience Copies

- **Boxes of “Convenience Copy or Transitory Record”:**

    1. **Clearly mark boxes CC-SHRED on all sides.**
    2. **Submit a SchoolDude Work Order, craft Document Management.**
        a. **Tell us they are convenience copies.**
        b. **Tell us how many boxes.**
        c. **Tell us the location of the boxes.**
    3. **Document Services will approve your work order and submit it to Warehouse for pick-up.**





Disposition Log (Destruction)

This is an example of an Approved Destruction Log.

Complete Form 769-007.1 to the best of your ability, submit it with your work order and Document Services will assist you as needed.

NOTE: You can list convenience copy records on the log, but it is not required, see Slide 13 for additional instructions.

Destruction - Records Retention Complete

Person Comp. Form	Email Address & Phone Number	Department #	Location
Minnie Mouse	mmouse@irvingisd.net	769	Admin Bldg

[X] I certify that, to the best of my knowledge, these records are not subject to any current or pending audit, litigation, subpoena, or other legal demand for their retention or disclosure, are past the mandatory minimum retention periods and are being destroyed in accordance with the applicable, approved records schedule.

	Name & Title (Print)	Signature	Date
Records Custodian:	Minnie Mouse		5/15/2017
Supervisor:	Goofy		5/15/2017

If NOT sent to Records Management for disposal. I hereby acknowledge that the records listed below have been destroyed in compliance with IISD requirements by:

	Name & Title (Print)	Signature	Date
Destroyed by:	Vanish Shredding	See Certificate of Destruction	6/1/2017

Document Services Use Only

Work Order #	Delivered By:	Date	Received By:
75000	See Work Order	2017	See Work Order

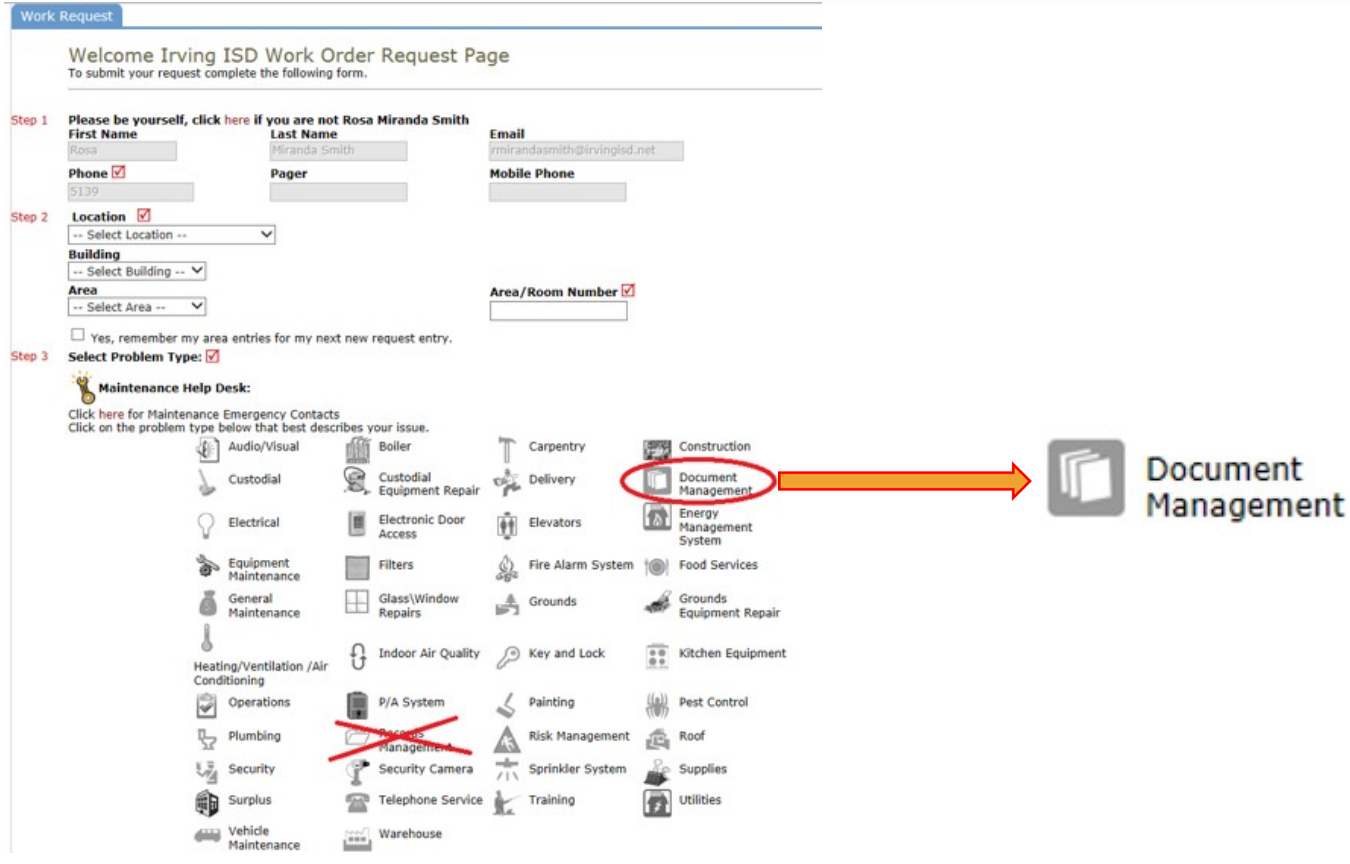
Box #	Record Number	Record Title/Description	Retention Period	Start Date	End Date	Date Eligible for Destruction	Destruction Method
1	GR1050-54b	Leave Records - Authorizations for vacation, sick, etc.	FE+5 yrs	9/1/2010	8/31/2011	9/1/2016	Shred
1	GR1075-03	Purchase Order and Receipt Records Convenience Copies	FE+5 yrs	9/1/2010	8/31/2011	9/1/2016	Shred
2	GR1025-04	Budget Documentation - working papers	3 yrs	9/1/2011	8/31/2012	9/1/2015	Shred
3	GR1000-26c	Internal Memo - internal meeting notices and agendas	1 yr	7/1/2014	6/30/2015	7/1/2016	Shred
3	GR1075-22	Visitor Control Logs	3 yrs	7/1/2012	6/30/2013	7/1/2016	Shred

SHRED

Send to Document Services

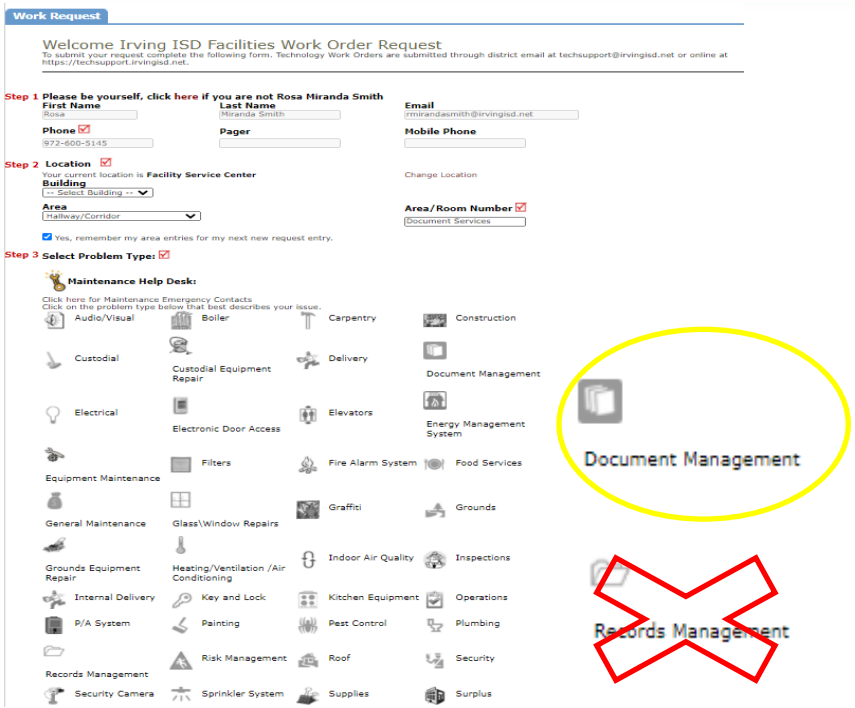
Form #769-007.1 GR1000-40b (Permanent) Revised 08/2016 1

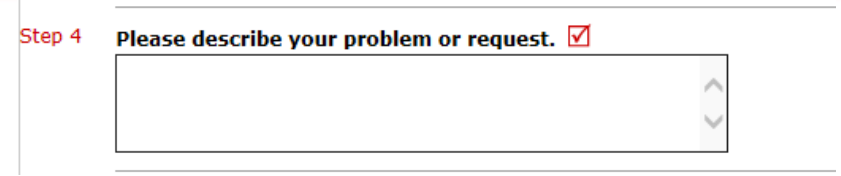
Document Management Work Order



Document Management

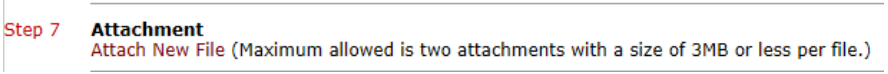
Document Management Work Order

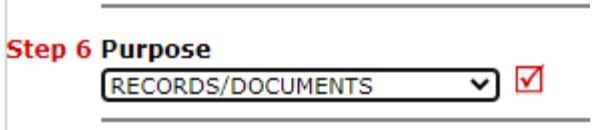




Provide one of the following detailed descriptions:

1. Empty secure shred console located in…
2. Destruction log attached for approval. #___ boxes ready for disposal.
3. #___ boxes of convenience copies ready for shredding.
4. Please order an additional secure shred console for (list location).
5. Delivery large shred bin for mass purge of (describe records being purged and provide destruction log, if needed).





Source records require approval

- Form 769-007.1 – Disposition Log
- Form 769-007.2 – Transfer Log

Benefits of Proper Records Management

Save Space

Remove records that have passed their retention date from storage areas and archives (on/off campus, in all media) and recycle, shred, or destroy them. Move records not required for daily operations or frequent reference, but which have not reached their disposition date, out of offices to storage areas and out of active electronic mailboxes to electronic archives.

Save Money

Avoid purchasing equipment, supplies, and disk space to file unneeded records. Use less expensive storage facilities for inactive records and release surplus filing equipment and space for reuse.

Save Time

Easily locate active records by removing inactive material from paper and electronic files.

Protect the District

Ensure that all legal, historical, fiscal, and administrative requirements are satisfied before records are destroyed.