RECORDS MANAGEMENT PLAN FOR NON-ELECTED WILLIAMSON COUNTY OFFICES
AND
ARCHIVES RECORDS STORAGE CENTER (ARSC) GUIDELINES

As a part of Williamson County's Records Management Program, the Williamson County Commissioners Court adopted the Williamson County Records Management Policy for all Non-Elected Williamson County Offices (the "Policy"). Following the adoption of the Policy for all Non-Elected Williamson County Offices (the "Departments"), the Williamson County Records Management Committee and Records Management Officer updated and revised Williamson County's Records Management Plan for Non-Elected Williamson County Offices (the "Plan"), which was thereafter approved by the Williamson County Commissioners Court. The Plan's intent is to foster record management practices and to benefit Williamson County in many ways, such as:

- Improving access to information;
- Safeguarding vital information;
- Controlling the growth of materials which have the ability to occupy valuable office space;
- Reducing operating cost;
- Supporting better management decision making; and
- Preserving the Williamson County's administrative history.

I. RECORDS MANAGEMENT PLAN FOR NON-ELECTED WILLIAMSON COUNTY OFFICES

A. Designation of Records Liaison Officer

Each Department shall designate a "Records Liaison Officer" and notify the Williamson County Records Manager of such designee.

- The Records Liaison Officer may be the Department Head or a member of his or her staff.
- Records Liaison Officers shall be thoroughly familiar with all the records created and maintained by the Department.
- In addition to the obligations set forth herein and in the Policy, each Records Liaison Officer shall:

    - conduct or supervise the conduct of inventories of the records of the Department;
    - in cooperation with the Records Management Officer, coordinate and implement the policies and procedures of the Records Management Program in their Departments; and
    - disseminate information to Department staff concerning the Records Management Program.
- In the event of the resignation, retirement, dismissal, or removal by action of the Department Head of a person designated as a Records Liaison Officer, the Department Head shall promptly designate another person to fill the vacancy.

B. Identification and Inventory of Records

Each Department should identify records which are needed to document the activities and functions of the Department. An inventory of the following types of materials and records will assist each Department in making such materials and records organized and readily identifiable:

- Essential Records
- Permanent records
- Records of historical value
- Non essential records
- Reference materials (non-records)
- Personal papers (non-records)
- Extra copies of documents, publications, and forms (non-records)

C. Record Operating Procedures

Each Department should establish record operating procedures (recordkeeping requirements). The procedures should provide for the following:

- Organization of the Department's records;
- Determine if records will be kept in a "centralized" area, or "decentralized" at individual work stations;
- The type of documents that are included in the record files;
- How draft documents, working papers, and concurrence copies will be handled;
- Who will be responsible for maintaining the record copy (Records Liaison Officer for the Department);
- What type of media should records be maintained in:

- Paper
- Maps,
- Drawings,
- Videotapes, CD's
    - Electronic documents (e-mails messages, computer or local network directories)

D. Records Control Schedules

Each Department should match its records to the applicable records control schedules.

- The records control schedules provide information on how long records are to be kept. Retention periods as stated in the schedules are mandatory.

E. Resources

- Williamson County Records Management Officer
  301 SE Inner Loop
  Georgetown, TX 78626
  Email: records@wilco.org
  Telephone: 512-943-3314
  Fax: 512-943-3315
- Texas State Library:
  http://www.tsl.state.tx.us/slrm/
- Retention Schedules:
  http://www.tsl.state.tx.us/slrm/recordspubs/localretention.html

F. File Plan

- As noted above, each Department should organize its records. You can begin with the first level of organization or the main category or develop your own organizational system. For example:

    1. Daily / Weekly files
    2. Annual activity files
    3. Personnel files
        a. Training
        b. Travel

G. Documenting

Document your recordkeeping requirements and procedures.

- How are your records organized and maintained;
- Who is responsible for doing what;
- When it should be done (e.g., annual file retirement);
- What happens to the records when they are no longer needed in the office?

H. Maintenance of Records

Maintain your records on an on-going basis.

- File new materials on a regular basis (e.g., weekly).
- Protect records containing confidential information or personal information.
- Establish a check-out system to track the location of your records.
- Clean out inactive materials on a regular basis, usually at the end of the year
- Retire eligible records (to the ARSC)
- Clean out superseded or obsolete reference materials

I. Disaster Planning

- Each Department shall implement procedures for protecting records in the event of a disaster or emergency.
- Each Department shall develop procedures that shall be used should a disaster or emergency occur so that each Department may continue to operate during such disaster or emergency (i.e. safe storage of critical records that can be accessed in any type of disaster or emergency)

II. ARSC GUIDELINES FOR STORAGE AND PROPER DESTRUCTION OF RECORDS

A. Clarification of Responsibility

Each Department that transfers inactive records to storage retains ownership. The ARSC's only responsibility is to provide a clean secure environment for the records of the Department.

B. Security

The ARSC facility is a secured access, climate controlled warehouse with a security system and motion detectors, which is located at Williamson County Warehouse, 301 SE Inner Loop, Georgetown, Texas.

C. Approved Boxes for Storage at the ARSC

All records that are sent to the ARSC for storage must be sent in approved 15"L x 12"W x 10"H records storage boxes. Records shipped in non-approved boxes will not be accepted and will be returned to the Department until the records are transferred into the approved boxes. The ARSC is responsible for keeping these boxes in stock and will provide them to each Department upon request. Proper care of the boxes is required.

D. Packaging Procedures for Storage at the ARSC

1. Inventory the contents of each box. Limit the contents of any box to a single records series. Generally this is a group of records, filed together in a unified arrangement, which results from or relates to the same functional activity. If this is truly impractical, because of very low volume of the same series, please limit the contents of a single box to a series having the same retention. Never combine records series with a permanent retention with short-term records.

2. Pack the materials in the approved ARSC file boxes. All files must be in file folders. Loose paper will not be accepted. Large 3-ring binders that do not fit into the standard records box will not be accepted nor will boxes with hanging file folders.

3. Assign an ARSC Tracking Number (Department ID Number, Issue Date, and a unique Box ID Number [Example: 570R-05132011-18]) on each box. Optional, list the contents of the box on one side only.

E. Request for Records Pickup by the ARSC

The ARSC requires an **Archive Record Storage Work Order Form** prior to the pickup of your boxes to ensure that all information required to identify records series, apply retention, and track the records is available.

Once the work order is received by the ARSC, the Records Management Officer will contact the Department to schedule a pickup date. The boxes will be moved to the ARSC on the scheduled pickup date. The tracking information will be entered into the ARSC Tracking System and a copy of the tracking information will be returned to the Department.

F. Viewing Records Stored at the ARSC

Each Department must complete an **Archive Records Access Authorization Form** which lists the person(s) authorized to view the information stored at the ARSC. This form must be provided to the Records Management Officer prior to an individual's inspection of any records. Any changes to the individuals who shall have access

authorization must be updated by the Department as of the time of such change and shall be sent to the Records Management Officer.

IMPORTANT:

In order to view records once they have been delivered to the ARSC for storage, you must have the tracking information assigned by the ARSC Tracking System.

Record boxes will **NOT** be sent to Departments via interoffice mail for security reasons. Requests for inspection of record boxes must be made by sending a **Request for Inspection Form** to the Records Management Officer at:

301 SE Inner Loop
Georgetown, TX 78626
Email: records@wilco.org
Telephone: 512-943-3314
Fax: 512-943-3315

The **Request for Inspection Form** must provide the Requestor's Name, Department, and the assigned ARSC Tracking Number.

Once the requesting Department returns the record box, the box will be placed in the same location that it originated. If records are pulled from the box and not returned for storage, such records must be signed-out by the requesting Department's authorized personnel.

Records will only be released to the public if an authorized representative from the custodial Department accompanies the citizen to the ARSC.

G. Records Control Schedules

It is the responsibility of each Department and its Records Liaison Officers to work with the Records Management Officer in determining retention dates so that records may be destroyed pursuant to applicable Records Control Schedules in a timely manner to provide sufficient storage space for additional records. It is the applicable Records Control Schedules and the content and function of a document/record that determines the retention period for that document/record.

All Local Government Records are subject to the Texas Local Government Records Act, Local Government Code, Title 6, Records, Subtitle C, Chapters 201-205. Unless Williamson County designates different Records Control Schedules for Departments following the this Plan adoption, the Records Control Schedule EL (Records Of Elections And Voter Registration), as amended, shall apply to all Records Of Elections And Voter Registration; Records Control Schedule PS (Records of Public Safety Agencies), as amended, shall apply to the extent applicable for

Williamson County emergency services departments; and the Records Control Schedule GR (Records Common to all Governments), as amended, shall be apply to all other records of the Departments.

H. Destruction of Records

Boxes containing records that have already met their approved retention deadline or are duplicates and/or drafts will not be accepted for storage, but may be sent to the ARSC for shredding.

Boxes that have met their scheduled retention should be destroyed unless they are needed for (1) legal, (2) audit, or (3) historical purposes. Any request to keep material past its scheduled retention period must be justified based on one of the above three reasons.

At least annually, the Records Management Officer will prepare a list of boxes that have met or that have exceeded their scheduled retention period. This list is reviewed by the Records Management Officer and a **Destruction Notice and Request for Authority to Destroy Records Form** will be prepared and sent to the appropriate Records Liaison Officer for the particular Department.

Once the **Destruction Notice and Request for Authority to Destroy Records Form** is approved, signed and returned by the Department's Records Liaison Officer, the Records Management Officer will send the **Destruction Notice and Request for Authority to Destroy Records Form** to the Records Management Committee requesting final approval to destroy such records in accordance with the applicable Records Control Schedule and the Records Management Program.

Upon the Records Management Officer's receipt of the committee's final approval, the records will be shredded and destroyed. The Texas State Library will be notified if required by state law. The Records Management Officer will then delete any indexing from the various records management software database pertaining to the records that have been destroyed.

Files containing potential historical valuable information will be offered to the Texas State Library local depository prior to their destruction.

Files and records that have been microfilmed and/or scanned in accordance with Texas State Library requirements may be shredded if the original is sent to the ARSC for archival storage. The Texas State Library has published guidelines and requirements for the storage and preservation of electronic records for which a paper copy does not exist.

I. Sensitive and Confidential Records

Departments are also encouraged to send sensitive and/or confidential documents requiring shredding to the ARSC on a regular basis provided they may be shredded pursuant to the applicable Records Control Schedule and any necessary approvals that must be obtained pursuant to Williamson County's Records Management Program. Please email the Records Management Officer at records@wilco.org and indicate how many boxes are to be picked up and shredded. The pickup service is available at no cost to Departments from the ARSC. Boxes that are being sent to the ARSC for shredding only may be shipped in non-approved boxes as these boxes will not be shelved on ARSC shelving. Non-approved boxes include boxes larger than the 15"L x 12"W x 10"H standard records storage box, copy paper boxes, moving boxes, etc.

Forms:

Archive Record Storage Work Order Form
Archive Records Access Authorization Form
Request for Inspection Form
Destruction Notice and Request for Authority to Destroy Records Form

Archive Record Storage Workorder

Date Archive Record Center Notified	Scheduled Pickup Date	Requestor

Office	Department	Phone

Name of Building	Street Address & Room Number	City

Box Contents	Total Number of Boxes
(circle) paper records / books / video tapes / audio cassette / microfilm	

ARSC Tracking #	Dept Name	Requestor Name	Destroy Date	Reference Number

Date Received:	Records Management Officer Signature:

Email or Mail Completed Workorders to Records Warehouse - (Warehouse Contact Phone# 943-3314)

Form# 01-A Revised (9/11)

WILLIAMSON COUNTY
1848

County Wide Records Archive Warehouse
301 S.E. Inner Loop
Georgetown, Texas 78626

records@wilco.org

Office: 512/943-3314 Fax: 512/943-3315

ARCHIVE RECORDS ACCESS AUTHORIZATION FORM

It is each department's responsibility to notify the Records Management Officer any time a name needs to be removed or added to keep authorizations updated.

Date:	Department Name:	Department Number:
Department Head:	Print Name:	Signature:

Personnel Authorized to Access Archive Records
(Print Names)

WILLIAMSON COUNTY
1848

County Wide Records
Archive Warehouse
301 Inner Loop S.E.
Georgetown, Texas 78626
(512) 943-3314

Request for Inspection Form

Please complete the following form if you would like to view a file and send to the Records Management Officer. You may email this to records@wilco.org and your box(es) will be pulled. The Records Management Officer will notify you when you may come to view.

Dept/Office Name: _____ **Date:** _____

Printed Name of Authorized Personnel: _____

Signature of Authorized Personnel: _____

For each box that you need pulled, please list the ARSC Tracking Number:

ARSC Tracking Number

Revised 9/11

WILLIAMSON COUNTY
1848

County Wide Records Storage Warehouse
301 S.E. Inner Loop
Georgetown, Texas 78626
Records@wilco.org
Office: 512/943-3314 Fax: 512/943-3315

Date:
To: _____, Records Liaison
Department: _____

RE: Destruction Notice and Request for Authority to Destroy Records

Attached is a Request for Authority to Destroy Records Form, which lists of your department's boxed records that have reached their destruction date.

If you agree to the destruction of **each** listed box of records, please:

1. Initial the first option set forth in the attached Request for Authority to Destroy Records Form; and
2. Sign, date and return the request form to me for processing.

If you wish to retain some **or** all of the boxes of records set out in the Attached Request for Authority to Destroy Records Form, please

1. Initial the second option set forth in the attached Request for Authority to Destroy Records Form;
2. Insert a "New Destruction Date" in the space provided to evidence your desire to extend the Destruction Date for such particular records; and
3. Sign, date and return the request form to me for processing.

For each box of records that you insert a "New Destruction Date", such records will be kept until they reach their New Destruction Date. **FOR ALL RECORDS THAT YOU DO NOT INSERT A "NEW DESTRUCTION DATE", SUCH RECORDS WILL BE DESTROYED.**

Please reply within two weeks.

Thank you,

Tammy McCulley
Records Management Officer

REQUEST FOR AUTHORITY TO DESTROY RECORDS

Return Signed/Completed Form to:

Williamson County Records Manager
Williamson County Archive Records Warehouse
301 SE Inner Loop
Georgetown, TX 78626

Name of Office/Department: _____
Address: _____
City: _____ Phone: _____

INITIAL THE APPROPRIATE OPTION THAT APPLIES

_____ Initial

I hereby certify that all of the records to be disposed of are correctly listed below, that the destruction of the records is not prohibited by Local Government Code §202.002, and that their disposal will be carried out in accordance with Local Government Code §202.003.

OR

_____ Initial

I do not authorize the destruction of all or some of the records listed below. I have inserted a "New Destruction Date" for records I do not wish to be destroyed. **For the records that I have not inserted a "New Destruction Date", I request that such records be destroyed and I declare that the destruction of such records is not prohibited by Local Government Code §202.002, and that their disposal will be carried out in accordance with Local Government Code §202.003.**

Department Records Liaison Name: _____
Signature: _____ Date: _____

ARSC Tracking #	Destruction Date	New Destruction Date

ARSC Tracking #	Destruction Date	New Destruction Date

For Records Management Committee Use Only

To evidence final approval to destroy the records indicated above, each member of the Records Management Committee and the Records Management Officer must sign in the designated space below:

_____ Williamson County Judge

_____ Williamson County Auditor

_____ Williamson County Information Technology Services Director

_____ Williamson County Emergency Services Director

_____ Records Management Officer