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# Utah State Archives and Records Service



**Records Management Training**

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# Utah State Archives and Records Service

## Utah State Archives:

- Assists state government agencies in the efficient management of their records.
- Preserves records of enduring value.
- Provides quality access to public information.



# Utah State Archives and Records Service

## Records Analysis Section:

- Scheduling records,
- Training, and
- Records consulting services.



# Utah State Archives and Records Service

## State Records Center:

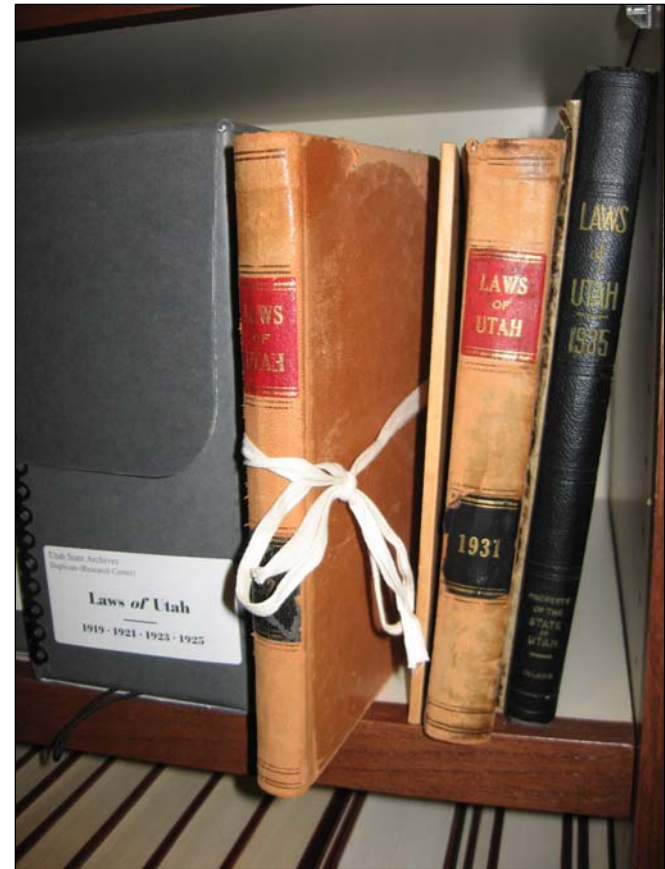
- Storage of semi-active records, and
- Destruction of records that have met their retention.



# Utah State Archives and Records Service

## Records Processing:

- Responsible for the arrangement and description of historical records.



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# Utah State Archives and Records Service

## Utah History Research Center:

- Provides public access to historical government records.

Hours:

Monday - Thursday

7:00 a.m. - 6:00 p.m.



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# Government Records Access and Management Act (GRAMA)

- Balances the public's right to public information with individuals' rights to privacy
- Establishes records management practices

UCA 63G-2-101 through 901

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# Agency Responsibilities

- Establish and maintain an efficient records management program.
- Appoint records officers to work with State Archives.
- Assure that records officers receive training.
- Submit proposed record schedules to State Archives.
- Report designations and classifications.

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# Records are state property

- Government records are the property of the State.
- Records are to be retained according to an approved retention schedule.
- It is unlawful to destroy or damage records in contravention to an approved retention schedule.

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# Definitions

## Records management

The systematic control of all records from their creation or receipt, through their use, organization, distribution, retrieval, and their ultimate destruction or preservation.

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# Record

“ .... a book, letter, document, paper, map, plan, photograph, film, card, tape recording, electronic data, or other documentary material regardless of physical form or characteristics: that is prepared, owned, received, or retained by a governmental entity or political subdivision.”

UCA 63G-2-103(22)(a)

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## Items not considered records

- Junk mail or commercial publications,
- Temporary drafts created for personal use
- Notes or communications received in a personal capacity
- Proprietary software
- Copyright materials.

(unless copyright owned by agency)

UCA 63G-2-103(22)(b)

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## Record copy

The officially designated copy of a record that will be maintained according to an approved retention schedule. The record copy may be maintained in any format.

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## Record series

“...a group of records that may be treated as a unit for purposes of designation, description, management, or disposition.”

## Series number

... a unique, identifying number assigned to a records series.

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## Retention

The period of time a record is in the agency's custody. Records may be maintained in an agency office, agency storage center, or the State Records Center.

## Disposition

After retention is met, the record will either be transferred to State Archives' custody or be destroyed.

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## Agency specific retention schedule

A descriptive listing of an agency's record series including its retention period

## General retention schedule

A listing of retention schedules for items that are common to multiple agencies.

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## Designation

Indicating probable classification based on a representative sample of the records.

## Classification

Determining whether a record series or information within a records series is public, private, controlled, protected or exempt from disclosure based on another statute.

UCA 63G-2-103(3)(7)

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## State Records Committee

A seven-member committee appointed by the governor to approve retention schedules and hear appeals dealing with records access.

UCA 63G-2-501

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# Inventory Process

- Review and make a list of all the records your office creates.
- Compare your agency list with existing agency series listing and the State General Retention Schedule.

[www.archives.utah.gov](http://www.archives.utah.gov)

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- If you have records that are not on either list, you will need to create a new series for each unscheduled record group.
  - Identify any electronic records you maintain. Are they part of an approved record series? If not, they will also need to be scheduled.
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# Schedule Your Records

- Create a list of records that have not been scheduled.
- Submit a *Record Series Submission Form* for each series you would like to schedule.

(<http://archives.utah.gov/main/>)

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- Work with your records analyst to finalize series retention schedules.
  - Obtain approval from your chief administrative officer.
  - Your analyst will submit your new series to the State Records Committee for approval if it cannot be linked to a *State General Schedule* item.
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# Storing records in office

- Organize records by series.
  - Place manila folders inside hanging folders in filing cabinets.
  - Periodically review records.
    - Check for records that have met retention.
    - Consider whether retention meets agency needs.
  - Contact records analyst to make updates or changes.
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# Secure records

- Computer passwords and security are important.
  - Keep restricted records securely locked.
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# Provide a good home for records

- Keep boxes on shelves or pallets.
  - Do not store them directly on the floor or near water or sewer pipes.
  - Keeping records contained in boxes, cabinets, or drawers will help protect them from fire or water damage.
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# Storing agency records at the State Records Center:

## *Semi-active records*

- Records that are handled less than once-a-month per file drawer, can be removed from active file space and stored separately.

## *Inactive records*

- Records that you need to have in your custody but seldom, if ever, need access to.
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# Transferring records to State Records Center

- All records **must** have an assigned series number before they can be transferred to State Records Center.
  - Fill out *Records Transfer Sheet* from the Web. ([www.archives.utah.gov](http://www.archives.utah.gov))
  - Records Center staff will return a box location report to you. **KEEP IT FOR YOUR RECORDS.**
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# Packing boxes

- Must use Records Center boxes only:
    - Call **1-888-263-3423**)
    - Office Depot item number **285052** –
  - Limit box contents to one record series.
  - Pack records in the same arrangement as maintained in office.
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- Don't over-pack boxes.
- Remove Pendaflex folders.
- Create a container list for each box. Keep a copy in your office, and place a copy in the box.



# Labeling boxes

Label boxes with a large black permanent marker. Include the following information:

- agency name
- record series number
- series title
- agency-assigned box number, for example, 08-001, 08-002, etc.

DEPARTMENT OF ADMINISTRATIVE SERVICES UTAH STATE ARCHIVES & RECORDS SERVICE	
AGENCY NAME (DEPT., DIV., & BUREAU):	
RECORD SERIES NUMBER:	AGENCY-ASSIGNED BOX NUMBER:
BAR CODE LABEL (ARCHIVES USE ONLY)	

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# Transferring boxes

- Agencies responsible for delivery.
  - State mail will deliver boxes (up to six without prearrangement).
  - Contact the State Records Center to schedule a delivery date.
  - Keep a box information log.
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# Records Center

## Contact Information

**Telephone: (801) 975-4016**

**FAX: (801) 975-0336**

**E-MAIL: [recordscenter@utah.gov](mailto:recordscenter@utah.gov)**

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# Keep a box information log

## Include:

- Series number
  - Agency box number
  - Detailed listing of box contents
  - Disposition date
  - State Records Center location number
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# Requesting records

- Use retrieval request form on Archives web site: [www.archives.utah.gov](http://www.archives.utah.gov)
  - Required information:
    - Agency contact information
    - Series number
    - Agency box number
    - Records center number
    - File names or numbers
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# Records Center disposal

- The State Records Center provides destruction for records stored there as they meet their retention.
  - No records will be destroyed without agency authorization.
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# Records disposal

- Dispose of records according to an approved retention schedule.
  - Keep a destruction log for all records destroyed including those that are destroyed in-office.
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# Appropriate disposal

## **Burn or shred**

- **Wasatch Energy**  
801-614-5600  
[www.wasatchenergy.org](http://www.wasatchenergy.org)
  - **Columbus Secure Shredding (Bountiful & South)**  
801-262-1588  
[www.columbussecureshredding.com](http://www.columbussecureshredding.com)
  - **Enable Industries (North of Bountiful)**  
801-791-0398  
[www.enableindustries.com](http://www.enableindustries.com)
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# Disposition

- After retention is met, records will either be transferred to State Archives or destroyed.
  - More than 90% are destroyed.
  - Fewer than 10% will be retained permanently.

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# Records management point

UCA 63A-12-105(2)(c)

- A political subdivision which no longer wishes to maintain custody of a record which must be retained under the retention schedule shall transfer it to the state archives for safekeeping and management.
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# Access at Utah History Research Center

- State Archives maintains custody so access is same for agency and the public.
  - Records can be viewed and copied on-site only.
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