

USING THE NEW CORRESPONDENCE GENERAL SCHEDULES

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Hello everybody! My name is Rebekkah Shaw and I'm updating all of the general schedules suggested by the Division of Archives and Records Services. The way the new schedules are going to work is quite different in principle, but still the same in practice. Currently there are different general schedules for state, county, municipalities and school districts. Our goal is to have one schedule that everyone can use. There will still be categories, such as personnel, county recorder, administrative records, but they will be on one schedule everyone can use.

TRAINING CONTENTS

- GRAMA and PRMA review
 - Record Defined
 - Schedule Defined
- New Correspondence Schedule
 - What the schedules do
 - Connection to email



Before we get into the new correspondence schedules, we're going to review a little bit of the Government Records Access & Management Act and the Public Records Management Act where a record and schedules are defined. Then we'll discuss the new schedules, how it affects your email

WHAT IS A RECORD?

63G-2-103. Definitions.

(22) (a) "Record" means a book, letter, document, paper, map, plan, photograph, film, card, tape, recording, electronic data, or other documentary material **regardless of physical form or characteristics:**

(i) that is **prepared, owned, received, or retained** by a governmental entity or political subdivision; and

(ii) where all of the information in the original is **reproducible** by photocopy or other mechanical or electronic means



By state law, GRAMA defines a “record.” The definition of a record is broad. It includes documentary materials—books, letters, documents, papers, and plans, as well as photographs, recordings and electronic data.

GRAMA states that a record is information that is “*prepared, owned, received, or retained*” by government. It also must be reproducible. Format is not a factor; *content*, not format, is what is important in determining a record

GENERAL SCHEDULES IN THE LAW

PUBLIC RECORDS MANAGEMENT ACT

63A-12-105 (3)(a)(i)

(3)(a) It is unlawful for a person to intentionally mutilate, destroy, or to otherwise damage or dispose of the record copy of a record knowing that the mutilation, destruction, damage, or disposal is in contravention of:

(i) a governmental entity's properly adopted retention schedule; or

(ii) if no retention schedule has been properly adopted by the governmental entity, the model retention schedule, as provided in Section [63G-2-604](#).



Here's what the law says about general schedules. [READ LAW] Meaning, if you don't create your own schedule whether by approval thru the State Records Committee or by ordinance, by default you are using the model schedule. Talk to your record analyst (Kendra for state, Renee for local) and they can help you create those unique agency schedules and present them to the State Records Committee on your behalf. So, the model retention schedule mentioned in this law refers to Utah Code 63G-2-604 which says [NEXT]

GENERAL SCHEDULES IN THE LAW

GRAMA
63G-2-604

(b) After a retention schedule is reviewed and approved by the State Records Committee ...the governmental entity shall maintain and destroy records in accordance with the retention schedule.

(c) If a governmental entity subject to the provisions of this section has not received an approved retention schedule for a specific type of material that is classified as a record under this chapter, the **model retention schedule maintained by the state archivist** shall govern the retention and destruction of that type of material.



According to GRAMA. [READ LAW] So, the State Archivist's schedule is the general schedule available on the archives website. Now the general schedules are not all inclusive, so if you have a record that doesn't fit the general schedule, make sure you get that scheduled and approved by the State Records Committee.

GENERAL SCHEDULES IN THE LAW

GRAMA
63G-2-103 (26)

"Schedule," "scheduling," and their derivative forms mean the process of specifying the length of time each record series should be retained by a governmental entity for administrative, legal, fiscal, or historical purposes and when each record series should be transferred to the state archives or destroyed.



GRAMA also says, [READ LAW] One way that the general schedule gets confusing comes from the retention reflecting office retention AND archival retention. What I mean by that is- a record with a permanent disposition does not necessarily need to be maintained by the office forever. The Archives is equipped to preserve records long term. However, the general schedule doesn't separate that. I have a few ideas to change that, but in the meantime, understand a general retention does not mean how long you must keep it in your office. You can send records to the Record Center, or to Archives if they're permanent.

GENERAL SCHEDULE BASICS

- General Schedules are policy
 - For records created or maintained in many state and local entities
 - This creates consistency and transparency
- General Schedules are approved by the State Records Committee
 - Record series retention must be approved by the SRC
 - If your records are not following a general schedule, they must follow an approved schedule



So, here at the Archives we are updating the general schedules so they reflect current practices and current legal requirements.

That being said, the General Retention Schedule contains basic record-types created by most state government agencies. Exceptions to General Retention may be granted by the State Records Committee if it has sufficient justification.

We create general schedules for records created by multiple offices. The schedules go to the State Records Committee, so that every series that uses that general schedule is automatically approved by the SRC.

Also, real quick, The general schedule also currently shows the classification of the record. That is what most people are looking for when they're going thru the general schedules. I would highly recommend you take the GRAMA training if you don't know how to determine the classification of your records. A general schedule is, well, general. It may say a record is public, but maybe your record series fits that general schedule, but it shouldn't be public. It's hard to classify multiple types of records using the same schedule. So, make sure you have properly classified your record.

EXECUTIVE CORRESPONDENCE

- Incoming and outgoing business-related correspondence, regardless of format or mode of transmission, that provides unique information relating to the functions, policies, procedures or programs of an agency. These records document executive decisions made regarding agency interests. Executive decision makers may include the Director, Chief Administrative Officer, Public Information Officer or other internal administrators as identified by the executive office.
 - RETENTION
 - Permanent. May be transferred to the State Archives.
 - SUGGESTED PRIMARY DESIGNATION
 - Public.



Here we go. The goal of the new schedules is to be information specific and format neutral. This way they won't become obsolete as formats change. There are two updated schedules and one new schedule for correspondence.

Here's the new description for executive correspondence. The disposition and designation has not changed. We added some decision makers to help guide record officers as to who exactly has permanent correspondence.

ORGANIZATION OF PERMANENT AND LONG-TERM EMAILS

- Attach a “State Archives” or “Permanent” label to permanent emails
- For long-term email, some key identifier or time frame label may be appropriate



Again, GRAMA applies to any format. No requirement to print permanent or long-term emails for storage, especially considering records can be requested in original format

FINAL DESTINATION OF PERMANENT AND LONG-TERM EMAILS

- Final destination for permanent email depends on the record series retention schedule to which those emails are assigned
 - For example, executive correspondence is typically historical and should be retained permanently. The records should be retained "in-office" for as long as the retention schedule states, and then transferred to their final destination (usually the State Archives)



To transfer permanent emails to the State Archives, contact your records analyst at the Archives

The Archives is capable of extracting emails from an account with the help of DTS, no back-up CDs or other format is required

TRANSITORY CORRESPONDENCE

- Incoming and outgoing correspondence, regardless of format or mode of transmission, related to matters of short term interest. Transmittal correspondence between individuals, departments or external parties containing no final contractual, financial or policy information. This correspondence does not impact agency functions. When resolved, there is no further use or purpose.
 - RETENTION
 - Retain until administrative need ends and then destroy.
 - SUGGESTED PRIMARY DESIGNATION
 - Public.



Here's the new description for transitory correspondence.

The retention, disposition and designation of this schedule has not changed.

When it comes to email that falls under this schedule, I like to think of things the same way you think of instant messaging. You talk to someone and as soon as a question is resolved you close it and you're done. Emails that have short administrative value fall under this, but they are records. So, your LISTSERV or spam is not transitory correspondence. Those are not records.

ADMINISTRATIVE CORRESPONDENCE

- Incoming and outgoing business-related correspondence, regardless of format or mode of transmission, created in the course of administering agency functions and programs. Administrative correspondence documents work accomplished, transactions made, or actions taken. This correspondence documents the implementation of agency functions rather than the creation of functions or policies. Business-related correspondence that is related to a core function with an associated retention schedule should follow the associated schedule.
 - RETENTION
 - Retain for 7 years and then destroy.
 - SUGGESTED PRIMARY DESIGNATION
 - Public.



Now for administrative correspondence.

This is a completely new schedule. There has been a need to have a schedule for correspondence that falls between permanent and transitory. [READ]

The seven year retention comes at the recommendation of the attorney general's office.

ORGANIZATION OF EMAILS

- Attach a label or make unique folders
- Record series may include correspondence
- Identify records
 - Delete or forward emails that are not records
- Which emails relate to your entity's function
 - Do they already fall under a record series
- What's left over
 - Do they already fall under a record series
 - Administrative



Not all email falls under one of these three schedules.

Remember we said the record is about the information, not the format?

Well, with email, don't look at it as email. Look at the information. What is a record?

What correspondence falls under a record series?

What's left over

NEXT

POLITICAL SUBDIVISION ORDINANCES

GRAMA 63G-2-701

(1) (a) Each political subdivision may adopt an ordinance or a policy applicable throughout its jurisdiction relating to information practices including classification, designation, access, denials, segregation, appeals, management, **retention**, and amendment of records.



Ordinances for political subdivisions are covered in both GRAMA and PRMA.

POLITICAL SUBDIVISION ORDINANCES

PUBLIC RECORDS MANAGEMENT ACT 63A-12-105 (3)(a)(i)

(3) (a) It is unlawful for a person to intentionally mutilate, destroy, or to otherwise damage or dispose of the record copy of a record knowing that the mutilation, destruction, damage, or disposal is in contravention of:

(i) a governmental entity's properly adopted retention schedule; or

(ii) **if no retention schedule has been properly adopted by the governmental entity, the model retention schedule**, as provided in Section [63G-2-604](#).



We looked at this already, but it's worth touching again real quick. According to PRMA your ordinance or unique retention schedule comes first. If you have not adopted your own, the general schedule should be followed.

Questions?



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For questions related to GRAMA, Rosemary is a great resource. If you have a question or input related to the general schedule, that's me. For all records management related inquiries, Kendra is over state government, and Renee is over local.