Records Management

Revised September 2022

Manual Notice: 2022-1

From: Ann Selissen, CIO Information Technology Division

Manual: *Records Management Manual*

Effective Date: September 27, 2022

Purpose

The purpose of this manual notice is to issue changes to all chapters, including new chapters and appendices added to the *Records Management Manual*.

Changes

Overview

This version of the Records Management Manual was edited significantly:

- Added four new chapters (Increased from 10 to 14)
- Added two new appendices
- Renamed existing chapters and sections
- Added/omitted sections within chapters
- Verified and incorporated legal citations, laws, and rules
- Reorganized content within chapters
- Provided more detail information to include business examples, hyperlinks, and internal procedures
- Validated and aligned Texas State Library and Archives Commission (TSLAC), records management requirements
- Added available training options in PeopleSoft for Records Management

The following Chapters/Appendices are New:

- Chapter 4 - Protecting and Securing Information
- Chapter 5 - File Plans
- Chapter 6 - Document Imaging
- Chapter 8 - Use of Text and Instant Messaging
- Appendix A - Terms and Definitions
- Appendix B - Acronyms

Contact

For additional information or to recommend improvements to this manual, please contact Records Management.

Archives

Past manual notices are available in a PDF Archive.

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Chapter 1: Records Management Program Overview

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Section 1: Legal Requirements and Program Authority

Introduction

Texas Government Code, Subchapter C, Sec. 441.183 requires state agencies to establish and maintain a Records Management Program on a continuing and active basis. Specific rules related to managing official records are published in the Texas Administrative Code (TAC), Title 13, Chapter 6 as required by the State of Texas Records Retention Schedule (RRS). TxDOT Records Management oversees the Records Management Program to ensure consistent compliance with the principles as mandated by Texas State Library and Archives Commission (TSLAC). Each state agency head is responsible for the proper management of official records and is required to appoint a Records Management Officer (RMO) to administer the agency's Records Management Program.

The Records Management Program is under the Information Technology Division (ITD) and is responsible for the administration, oversight, support, and disposition of the agency's records. Districts and Divisions are responsible for implementing the program internally.

Records must be created, organized, structured, secured, maintained, and used in a way that effectively supports the activity of the agency, which includes:

- Facilitating and sustaining day-to-day operations.
- Promoting organizational efficiency by allowing for efficient access to information in all formats and media.
- Reducing space constraints and saving storage costs in cabinets and server space.
- Assisting in answering questions about past decisions and activities.
- Demonstrating and documenting compliance with applicable laws, regulations, and standards and reducing risk.
- Preserving historically valuable agency records.

Records Management Intranet Site

The Records Management Intranet site contains links to statutes and rules that govern the operation of the TxDOT's Records Management Program. This site includes access to key resources to assist personnel across the agency with guidance on the Records Management Program, including contacts for District and Division Records Administrators and Records Coordinators. Resources include the Records Retention Schedule, agency and state standards, policies, procedures, bulletins, user guides, training, as well as forms and templates.

Records Management Training Courses

Training is important for all Records Administrators and Records Coordinators to actively participate in the Records Management Program. These courses provide the foundation and knowledge for Records Management. The Records Management training courses are available in PeopleSoft.

EL2017 – Records Retention & Litigation Hold *(Required Every Year)*

The course covers TxDOT policy on records retention, open records, and litigation holds. Upon completion of the course the participant will be able to:

- Define official records.
- Comply with records management policy and procedures.
- Understand their role and responsibilities in managing official records throughout their life cycle.
- Identify and respond to an open records request.
- Respond to a litigation hold notice.
- Retain official records and securely store information related to a litigation hold.

EL2031 – TxDOT Records Management: A Program Overview

This course covers an introduction and overview of the TxDOT Records Management Program, including roles and responsibilities within the program and available records management resources. Upon the completion of this course, participants will be able to:

- Define a state record and records management.
- Understand the life cycle of records created and maintained in TxDOT work units.
- Identify and describe the roles and responsibilities within the TxDOT Records Management Program.
- Locate Records Management resources including the Records Management Manual and Records Retention Schedule.

EL2032 – Building and Using a File Plan

This course provides an introduction and overview of the use of File Plans, including the creation and use as a tool to support records management compliance. Upon the completion of this course, participants will be able to:

- Understand the requirements of a File Plan.
- Learn how to identify and apply records to create or enhance an existing File Plan.
- Understand how File Plans can be used as a tool to achieve compliance with records management requirements.

EL2033 – Records Disposition: Timely Destruction or Preservation

This course provides an overview of the standard procedures for managing and properly documenting the disposition of official records through destruction and preservation. Upon the completion of this course, participants will be able to:

- Understand disposition and destruction requirements.
- Identify records with special disposition (State Archives) requirements.
- Locate, complete, and submit Forms 1419 “Records Transmittal” and 1420 “Records Destruction” when retention has been met.

EL2034 – The Records Retention Schedule

This course provides an introduction and overview of the Records Retention Schedule, including how to read and use descriptions and retention information contained in the schedule. Upon the completion of this course, participants will be able to:

- Understand the Records Retention Schedule legal requirements.
- How to use the information identified in the Records Retention Schedule.
- Understand how to use the Records Retention Schedule to manage your records.
- How to determine Office of Primary Responsibility of a record.

Official Records, Non-Records and Convenience Copies

An “official record” (or file) is composed of single or multiple documents, books, papers, photographs, computer-generated or stored data, videos, sound recordings, or other materials, regardless of physical form or characteristics made or received by a state department or institution according to law or in connection with official state business per Texas Government Code (§441.180(11).

This manual uses the terms file and record interchangeably and generically, as distinguished from their uses relating to objects in electronic data management terminology.

CAUTION: Any document produced in state facilities on state equipment may be considered a record by the courts. This also applies to any document related to state business that exists on personal equipment, such as an employee's home computer. A duplicate (convenience, information, or reference) copy of a document may become a record by default if it replaces an original that has been prematurely lost or destroyed.

E-mail, text and instant messages are official records and need to be evaluated by the content (not media) to determine retention requirements.

The following are **not** records:

- Library or museum material made or acquired and preserved solely for reference or exhibition purposes.
- Extra copies of a documents preserved only for convenience of reference.
- Stocks of publications or of processed documents.
- Records, correspondence, notes, memoranda, or documents other than a final written agreement, described by Texas Government Code 441.031, Section 2009.054 [c], 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.

CAUTION: A duplicate (convenience, information, or reference) copy of a document may become a record by default if it replaces an original that has been lost or destroyed.

Terms and Definitions

See “Appendix A” for a complete listing of terms and definitions used in the Records Management Manual.

Acronyms

See “Appendix B” for a complete listing of acronyms used in the Records Management Manual.

Section 2: Objectives, Scope, Roles and Responsibilities

Objectives

Records Management consists of policies and procedures intended to:

- Ensure compliance with records management laws and requirements.
- Reduce costs for maintaining official records.
- Manage risks related to records.

In addition to assuring legal compliance, records management reduces costs for physical and electronic record keeping resources by controlling volumes and promoting efficient organization and management of active and inactive files for retrieval.

CAUTION: Records management helps manage legal risks that can result from maintaining outdated records. An approved Records Retention Schedule provides legal authority to destroy records when their required retention period has been met.

Scope

The scope of TxDOT's Records Management Program includes:

- Developing and maintaining a Records Retention Schedule approved by the State Auditor and the Texas State Library and Archives Commission.
- Developing and publishing records management procedures.
- Providing guidance and assistance to help department offices manage records efficiently and in compliance with the requirements of statute and department policy,
- Coordinating the retention and disposition of official TxDOT records in accordance with approved retention policy.

Program Responsibilities

The Records Management Program is responsible for:

- Researching, developing, and recommending records management policies to management.
- Maintaining a current, approved Records Retention Schedule.
- Oversight and monitoring program compliance by Districts and Divisions.
- Coordinating TxDOT's Records Management Program with outside agencies as required.
- Maintaining current procedures in the Records Management Manual and disseminating program information on the intranet.

- Training, assisting, and consulting with department offices on records management methods, practices, and requirements.
- Managing records storage for headquarters divisions and offices.
- Maintaining required program records.

Program Responsibilities of Districts and Divisions

Districts and Divisions are responsible for:

- Compliance with TxDOT records management policies.
- Implementing TxDOT records management procedures, including:
  - Developing and maintaining office or work unit File Plans.
  - Identifying vital records and taking measures to protect them.
  - Retaining official records for the required retention period, whether locally or in remote storage facilities.
  - Coordinating the timely disposition and destruction of records when they become eligible and submitting the required record destruction documentation to TxDOT records management.

Records Management Roles and Responsibilities

Texas State Library and Archives Commission, also known as "The Commission" - is the governing body over records management for state and local agencies. Texas State Library and Archives Commission approves TxDOT's Records Retention Schedule and provides records management support and guidance to the agency. Texas State Library and Archives Commission is designated as the State and Local Records Management Division (SLRM). Responsibilities include providing an infrastructure for managing Texas public records by assisting state and local officials with training, resources, guidelines, and consultation to ensure government information is stored, retained, and made accessible.

TxDOT Records Management Officer is designated by the Executive Director as the TxDOT Records Management Officer for coordinating the program with the Texas State Library and Archives Commission. Responsibilities include establishing expectations, accountability, development, management, implementation, and administration of standardized internal procedures of the Records Management Program to ensure consistent compliance with the requirements of Texas Government Code §441.183 et. seq. and Texas Administrative Code 13 TAC §6.

TxDOT Records Manager is designated by the Records Management Officer. The Records Manager is responsible for the administration, oversight, and adherence to the Records Management Program for TxDOT. This includes the certification of the Records Retention Schedule at least every five (5) years, ongoing training and communication with the Districts and

Division Record Administrators, Record Coordinators and Record Custodians. The Records Manager is responsible for providing consultation to and soliciting feedback and advice from the Records Management Officer, Records Administrators and Records Coordinators.

TxDOT Records Management Warehouse Coordinator – is responsible for managing the retention of the physical official records stored at TxDOT's Records Management Warehouse. Coordinator also manages District and Division requests for transfer, destruction, and onsite access of physical official records.

District and Divisions Records Administrators (RAs) are appointed by the district engineers, division, and office directors to implement and manage the records management program in their respective organizations. This includes the development and maintenance of work unit File Plans, coordination and management of routine periodic procedures, oversight, and annual submission of current File Plans, as well as the verification of the records retention and destruction authorizations of records with supporting documentation as provided by Records Custodians.

Records Administrators List

District and Divisions Records Coordinators (RCs) are designated employees who perform recordkeeping tasks under the direction of the Records Administrators for both physical and digital file management. Records Coordinators are accountable for securing and disposing of records and information in their custody and control. This includes the creation, monitoring, and maintenance of the work unit File Plan, records storage, records eligible for destruction, and documenting records for destruction by completing Forms 1420 "Records Destruction", and 1419 "Records Transmittal" with proper approvals/signatures for execution.

Records Coordinators List

District and Divisions Records Custodians are Subject Matter Experts responsible for official records related to their respective functional areas or work units/offices. Subject Matter Experts are responsible for the effective collaboration with Records Administrators and Records Coordinators to ensure records are properly classified per the Records Retention Schedule and dispositioned according to TxDOT policies, standards, and processes.

Office of Primary Responsibility (OPR) is the organizational unit or individual(s) responsible for the creation, disposition, and destruction of the official record when retention has been met. Offices of Primary Responsibility are responsible for the management, care, oversight, and classification of the records. Offices of Primary Responsibility can also be the work group that performs the final action on a form, document, or other records.

Records Management Hierarchy

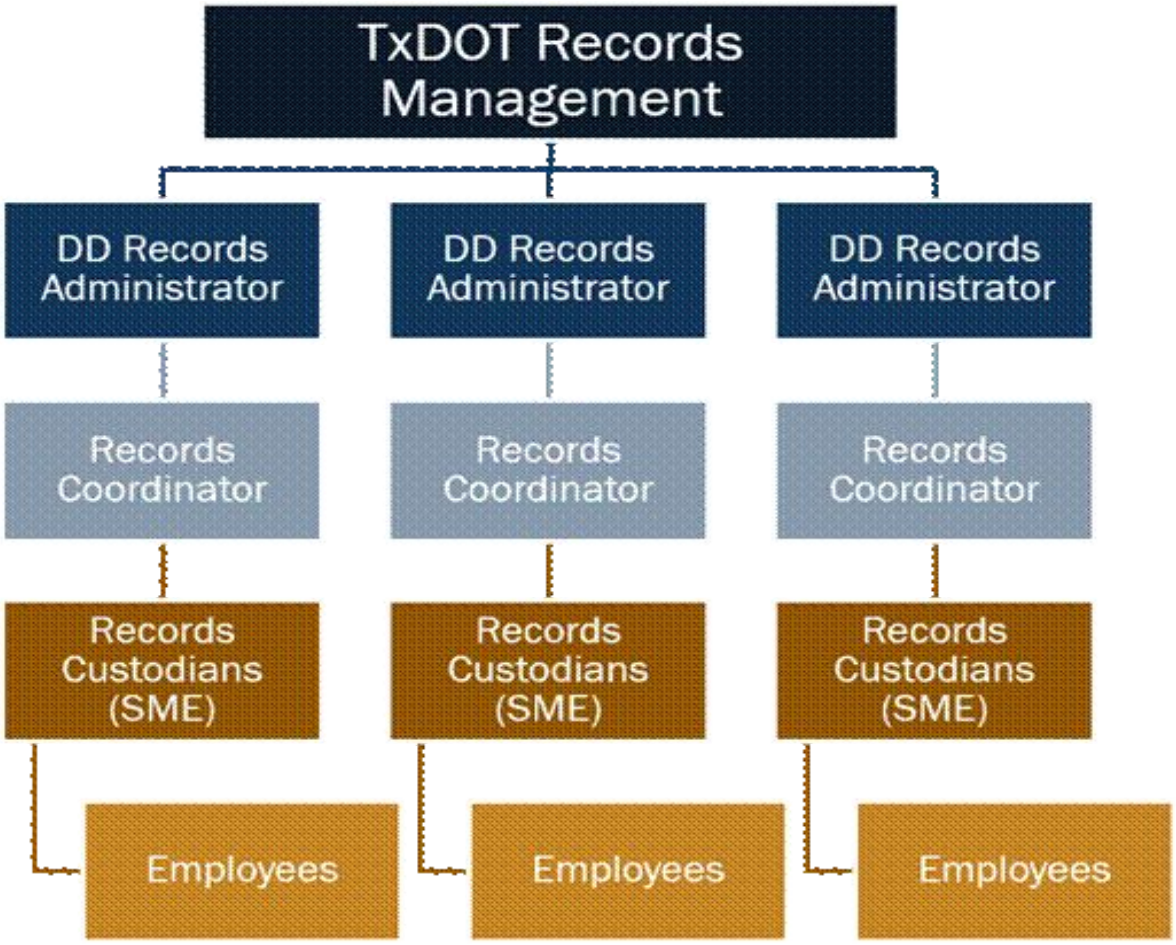


Figure 1-1.

Chapter 2: Official Record Responsibility

Contents:

Section 1: Managing Electronic Records

Official Record

"Official Record" means any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency or an elected state official that documents activities in the conduct of the state business or use of public resources. The official record must be retained to fulfill legal, operational, and statutory retention requirements as it is the official record.

Characteristics of an Official Record

An official record or file is a complete, true, unaltered and accurate record when it is the original file.

Official records:

- May or may not bear an original signature.
- Originates or is retained at one or more Office(s) of Primary Responsibility for the operation or function of the record.
- Was originally a convenience, information, or other non-record to which significant annotations or added signatures have been made.
- Was originally a convenience or information copy but has been retained past the destruction of the original record becoming by default the record.
- When in doubt about the status of a record, it is safest to handle it as an official record.

Convenience Copies or Non-Records

Convenience copies or non-records are exact duplicates of a record. They are not subject to retention requirements and may be destroyed without formality of a 1420 Records Destruction Form when they are no longer needed.

CAUTION: Copies or non-records retained beyond the retention period become the official record by default and remain subject to legal and open records requests.

Transitory Information

Records of temporary usefulness that are not an integral part of a records series of an agency and are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any media (instant messaging, voice mail, fax, email, hard copy, etc.) are routine messages; telephone message

notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.

Electronic Official Records and the Official Record Concept

Official records may be created and maintained electronically without ever being produced in hard copy. It is important to determine the final content of the official electronic record and to institute procedures to dispose of working copies, drafts, and duplicates when the final record is complete. Because of the ease with which electronic records can be copied and shared, the presence of copies represents a vulnerability to the organization.

The use of an Enterprise Content Management (ECM) system addresses the following:

- Records retention.
- Document sharing.
- Version control.
- Access management and security.
- Reduces storage space, equipment, and associated costs.
- Enforces the use of metadata to improve the ease of searchability.

When implementing and developing an Enterprise Content Management system, it is critical to determine and coordinate the official record responsibility.

NOTE: Chapter 4, File Management, and Chapter 5, Electronic Records offers procedures that support management electronic records.

Section 2: Office of Primary Responsibility (OPR)

Office of Primary Responsibility

The Official Record responsibility refers to the maintenance, retention, and destruction of an official record in accordance with the Records Retention Schedule. Specific organizational units within Districts and Divisions typically have responsibility for the creation, maintenance and retention of official records related to their functions.

Determining the Office of Primary Responsibility for Records

Identifying the Office(s) of Primary Responsibility for specific records helps in reducing redundant record keeping and coordinates the disposition of convenience or informational copies when records are destroyed. It also aids in locating official records or documents subject to legal holds or open records requests.

The Office(s) of Primary of Responsibility is determined by the:

- Office responsible for the creation of the record.
- Primary responsibility for operations related to the record.
- Performs the decisive action on a form, document or other record keeping requirement.

Specific Districts and Divisions may have the responsibility for the same document within the agency. For example, more than one District or Division may be responsible for the official record if:

- It serves a different function in more than one District or Division, or
- The District or Division office has "sign-off" or approval responsibility related to a process, and where another District or Division office is responsible for maintaining the official record.

It is possible that files related to an office's function often contain mixed original official records and convenience copies. Some duplication is inevitable, and it is unnecessary or impractical to micromanage files on a document-by-document basis. When in doubt, the best practice in this circumstance is to treat the file as the official record and manage it accordingly.

Example of Office of Primary Responsibility

The Office of Primary Responsibility example contains sufficient information from the Records Retention Schedule to identify records management requirements and provides a column identifying the office responsible for the official record.

See table below:

Agency Item Number	Record Series Title	Retention Period	Remarks	Office of Primary Responsibility (OPR)
ACF05	Time Sheets: Employee time records and employee time sheets	FE+47	FE=Fiscal Year End.Finance Division office of record for Austin headquarters division and office timesheets. SEE ALSO ACF21 for time sheet support documentation. Time off/Sick leave requests retained by originating offices per Agency Item Number ACF21 in the schedule for common accounting records.	Finance Division

Field Descriptions

Block	Description
Agency Item Number	The agency item number references the listing of the record series on the current approved TxDOT Records Retention Schedule.
Record Series Description	A record series is a file or group of files that has a similar function and retention requirement.
Total Retention	This block indicates the required total minimum length of time to retain the record of the record series.
Remarks	May contain information such as coding explanations, exact location of records, etc.
Office of Responsibility	Identifies the office(s) that maintains the official record. There will be instances where all Districts and Divisions have responsibility for certain types of records, such as general correspondence.

Example 1: A Municipal Authority has records related to Flow Testing, but this government believes it should not keep the records since they were created by a City or County Official, and the Municipal Authority claims to only serve as a witness to the testing carried out by the City or County Official. After looking at the stages below, what information belongs to which government, or is there a shared responsibility?

	Municipal Authority	City or County Official
1. This government created or received this local government record.	☑	☑
2. This government used this record for public business purposes.	☑	☑
3. This government may not dispose of this record before the expiration of its retention period.	☑	☑

While the City or County Official is the originator, the Municipal Authority is also responsible for these records because it is involved in managing, adding, altering, and collecting money as a business agreement for assisting with the completion of the document throughout its lengthy process. In other words, this document links the two governments in the transaction of public business, and they are responsible for making sure it is kept for its full retention period.

Figure 2-1. TSLAC's Example of Multiple OPRs for the Same Official Record.

Coordinating Responsibility

To clarify responsibility for retaining records and to reduce file management overhead in other offices, the Records Administrators and Records Coordinators should collaborate to designate the official record responsibility between department offices.

This is especially important when using an Enterprise Content Management system, as only a single document (the official record) should be stored in the appropriate repository. System security management determines who in the agency can or cannot access or modify the document.

Besides management functions, an Enterprise Content Management system provides the added benefits of reducing storage space, equipment, retention management and associated costs.

Chapter 3: Records Retention Schedule

Contents:

Section 1: Purpose and Responsibilities

Purpose

In accordance with Texas Government Code §441.185, TxDOT maintains a Records Retention Schedule approved by the Texas State Library and Archives Commission. The schedule documents TxDOT Records Retention Policy and is based on federal and state statutes, rules and regulations, and requirements established by Districts and Divisions.

The Records Retention Schedule informs employees what records are held by each organizational area within TxDOT and how long those records must be kept satisfying legal, administrative, financial, and historical requirements. The Records Retention Schedule provides the legal authority to maintain and destroy official records.

A Records Retention Schedule is a document that identifies and describes state agency's records and the lengths of time that each official record must be retained. The Records Retention Schedule must be recertified by the Texas State Library and Archives Commission every five years. Recertification of the Records Retention Schedule requires a submission of a SLR 105 Form – State of Texas Records Retention Schedule.

The current, approved TxDOT Records Retention Schedule is posted on the Records Management Website.

An approved Records Retention Schedule:

- Fulfills requirements of state law and department policy.
- Secures TxDOT's statutory authority to retain, store and dispose of department records.
- Guides Districts and Divisions on the minimum retention requirements for official records.
- Documents TxDOT's business practice regarding records retention.
- Must be recertified by the Texas State Library and Archives Commission every five years. The Records Retention Schedule can be amended and submitted to TSLAC for approval when necessary.

CAUTION: An official record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from such action or resolution.

Record Retention Schedule Roles and Responsibilities

The TxDOT Records Manager has overall responsibility for developing and maintaining the Records Retention Schedule and coordinating its periodic recertification.

Records Administrators coordinates records management in Districts and Divisions. They are responsible for helping their organizations to implement the Records Retention Schedule and coordinating revisions to the schedule when necessary.

Records Coordinators and Custodians/Subject Matter Experts manage records in specific offices or units of Districts and Divisions and implement the Records Retention Schedule as part of their file management activities. They may also make recommendations on revisions to the Records Retention Schedule.

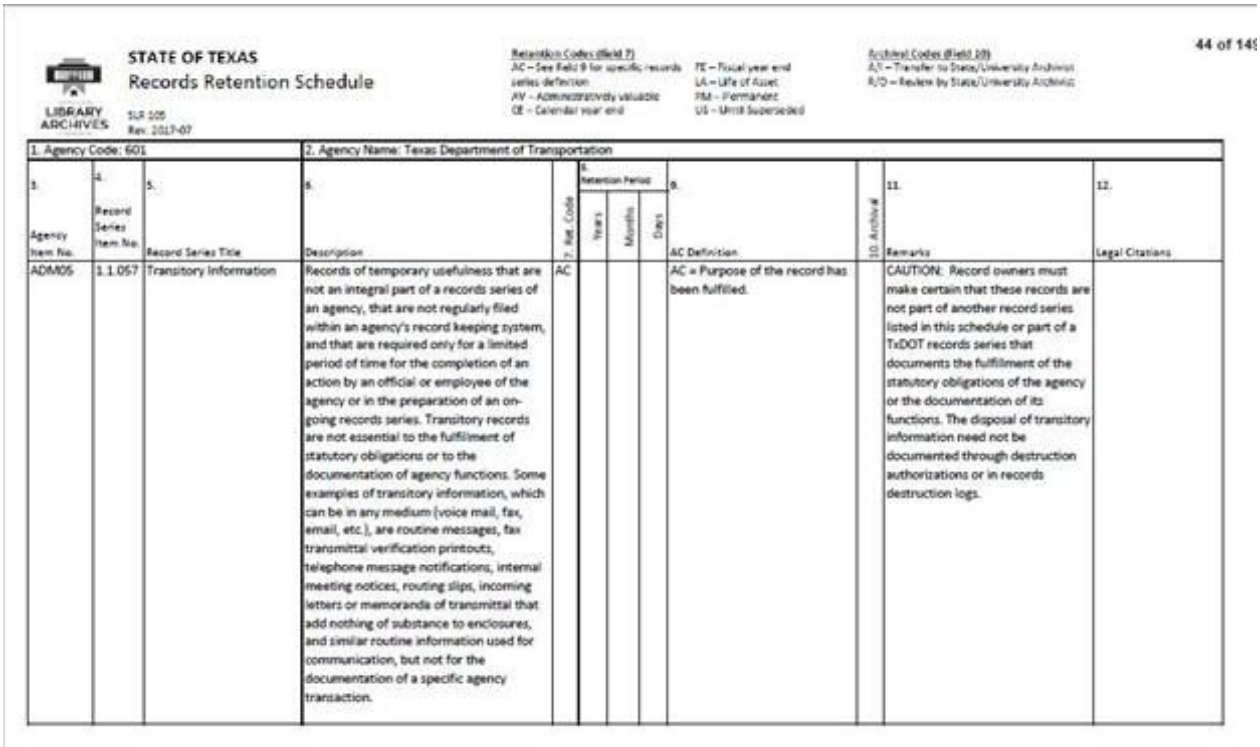
Section 2: Description and Structure

Description

The Records Retention Schedule is available to employees and contractors on the Records Management website, and lists TxDOT records and specifies the minimum period of time official records must be kept before being eligible for destruction. An approved schedule provides the agency with the authority to manage official records and destroy them when their required retention period expires.

Agency Item Number

The Agency Item Number (AIN) is a vital point of reference on the TxDOT Records Retention Schedule. Agency Item Numbers are used for indexing and citation of official records described in the schedule. File Plans are required to associate official records/convenience copies to Agency Item Numbers. Note: OnBase is aligned with Agency Item Numbers to determine retention requirements for official records.



STATE OF TEXAS
Records Retention Schedule

LIBRARY & ARCHIVES
SLR 105
Rev. 2017-07

Retention Codes (field 7)
AC – See field 9 for specific records series definition
AV – Administratively valuable
CE – Calendar year end
FE – Fiscal year end
LA – Life of Asset
PM – Permanent
US – Until Superseded

Archival Codes (field 10)
A/T – Transfer to State/University Archivist
R/D – Review by State/University Archivist

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1. Agency Code: 601			2. Agency Name: Texas Department of Transportation							
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period: Years	Months	Days	9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
ADM05	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's record keeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an on-going records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, etc.), are routine messages, fax transmittal verification printouts, telephone message notifications, internal meeting notices, routing slips, incoming letters or memoranda of transmittal that add nothing of substance to enclosures, and similar routine information used for communication, but not for the documentation of a specific agency transaction.	AC				AC = Purpose of the record has been fulfilled.		CAUTION: Record owners must make certain that these records are not part of another record series listed in this schedule or part of a TxDOT records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction authorizations or in records destruction logs.	

Figure 3-1. Records Retention Schedule

Contents of the Records Retention Schedule:

1	**Agency Code**	TxDOT has the Texas State Library and Archive Commission assigned agency code 601
2	**Agency Name**	Texas Department of Transportation (TxDOT)
3	**Agency Item Number**	A location reference on the TxDOT Records Retention Schedule used for indexing and citation of official records described in the schedule. The Agency Item Number is a unique alpha-numeric code assigned by TxDOT for each record series on the TxDOT Records Retention Schedule. The elements of this number are a three-letter acronym describing the type of record or the responsible office, followed by two digits indicating the sequence of the record series in the schedule. For example, the Agency Item Number ADM04 indicates that the records are in the Administrative record series.
4	**Record Series Item Number (RSIN)**	Records series Item Numbers are assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission. It references specific types of records on the State Records Retention Schedule (13 TAC §6.10). The first two digits identify groupings of categories of records. For example, 3.1 refers to employee records. If a record series Item Number consisting of five digits appears, the record series is specifically identified in the State Retention Schedule.
5	**Record Series Title**	The most general titles possible have been chosen. Explanations are provided for those titles which are not self-explanatory. Describes the type of record, which may consist of a single specific type of record or file or a group of files that are similar in function and have similar retention requirements.
6	**Description**	A description of identical or related records with the same function and the same retention period that is evaluated as a unit for retention scheduling purposes. This field contains a more detailed explanation for each record series.

7	**Retention Code**	The retention code requires an event to trigger the retention period which is referred to as the retention code to consider before the retention clock can begin. (e.g., AC, FE+3, US+5). AC - After Closed (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date. AV - As long as Administratively Valuable: The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the agency, if any, has been satisfied. CE - Calendar Year End: December 31. FE Fiscal Year End: August 31. FE – Fiscal Year End: August 31. LA - Life of Asset: The record is retained until the deposit of the asset. PM - Permanent: A record that possesses enduring legal, fiscal, or administrative value and must be preserved permanently by the agency. US - Until Superseded: The record is replaced by an updated version. If a record subject to this retention period is discontinued or is no longer required by law, the date of supersession is the date the decision to discontinue the record is made or the law takes effect. If the record relates to an employee, the date of supersession is the date of termination or the last date the record is needed with reference to the employee, as applicable.
8	**Retention Period**	The amount of time a records series must be retained before destruction or archival preservation. The retention period can be broken down into years (Y), months (M) or days (D), or a combination of time periods as required. For example, FE+3 means records must be retained until the end of the fiscal year plus three years, becoming eligible for destruction after September 1 of the third year of its retention.
9	**AC Definition**	AC stands for “After Closed” (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date. AC is used to trigger the retention start date.

10	**Archival**	The Archival Code indicates requirements for records to be sent to archives for long-term preservation or reviewed by the State Archives before destruction. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist A - The records must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission. R - The Archives and Information Services Division must be contacted for an archival review of the records before disposition. Those records determined to be archival must be transferred to the Archives and Information Services Division for long-term preservation. Special Note: Staff of the Archives and Information Services Division conduct archival appraisals on a series-by-series basis. Because of these appraisals, one or more records series of an agency bearing the Archival Code R may be found to lack sufficient archival value to merit transfer to the Archives.
11	**Remarks**	This column contains citations additional information regarding records retention requirements.
12	**Legal Citations**	This column contains citations to applicable federal or state laws or regulations affecting retention.

Records Retention Schedule Structure

The Records Retention Schedule consists of three parts. The first part is for common agency-wide records, followed by those records that are unique to District functions and Divisions. No single work unit will have all records in the common section. Each District and Division will have some records on the common section in addition to the unique records related to their specific operation, such as routine reports, correspondence, manual development materials or open records requests, etc.

- The first part lists record series common to all TxDOT District and Divisions and includes types of records related to Accounting; Administrative; Personnel and Safety records. The common record series is inclusive.

Common Records
Accounting, Contracting and Financial
Administrative
Equipment

Common Records
Human Resources
Safety

- The last two parts of the schedule list unique record series maintained by Districts and Divisions.

District Records
District Construction
Design, Engineering and Construction
District Design
District Bridge Operations
District Maintenance
District Environmental Operations
District Laboratory
District Maintenance Operations
District Marine Operations
District Transportation Planning and Development
District Traffic Operations
Administration and Division Records
Administration and Commission
Alternative Delivery Division
Aviation Division
Bridge Division
Civil Rights Division

Communications Division
Compliance Division
Construction Division
Contract Services Division
Design Division
Environmental Affairs Division
Finance Division
Fleet Operations Division
General Counsel Division
Government Affairs Division
Information Technology Division
Internal Audit Division
Maintenance Division
Maritime Division
Materials and Tests Division
Occupational Safety Division
Procurement Division
Project Finance, Debt, and Strategic Contracts Division
Public Transportation Division
Rail Division
Research and Technology Implementation Division
Right of Way Division
Support Services Division

Toll Operations Division
Traffic Safety Division
Transportation Planning and Programming Division

Section 3: Amending the Records Retention Schedule

Overview

Changes in legal or regulatory requirements, functions, organization, or business requirements may necessitate an amendment to the Records Retention Schedule. To initiate the process, Records Administrators should collaborate changes to the Records Retention Schedule with Records Management. Records Management monitors organization and functional operations and may also recommend necessary changes.

Form SLR 122 – State Records Retention Schedule must be used by TxDOT to submit amendments to an approved (certified/recertified) agency Records Retention Schedule per Texas Government Code, Chapter 441.185. See SLR 105C instructions for submission procedures.

Amendments to the Records Retention Schedule:

- Adjust a retention period.
- Create a new record series.
- Add a statutory citation or explanatory remarks to an existing record series.
- Remove an obsolete record series no longer in use.

Unnecessary Records Retention Schedule Changes:

- The record series matches an existing record series on the TxDOT Records Retention Schedule.
- The record series is a new record or file in an existing record series listed on the Records Retention Schedule.
- The record series title is still appropriate (if you think the existing title needs to be revised, contact Records Management.
- The retention period or minor changes in the characteristics of the official record for an existing record series is changing. You can coordinate this change by contacting Records Management.

Adding New Records Series

When developing a new type of record or file, first review the Records Retention Schedule to see if it matches an existing record series description. If a match is not apparent, contact Records Management who will be able to relate the new records to an existing record series.

If a new record series must be added, the Records Administrator will work with Records Management to provide the information required needed for the Form SLR 122 Amendment Form and furnish descriptive documentation supporting the addition of an official record series to the Records Retention Schedule.

Coordination and Approval of Amendments

Records Management drafts the amendment and coordinates the change with the requesting Records Administrator. Records Management will coordinate amendments for any related records with other offices that may be affected and submits the amendment to the Texas State Library and Archives Commission for approval.

The Texas State Library and Archive's Commission State of Texas Retention Schedule Amendment, Form SLR 122, is currently used to amend changes to the TxDOT's Records Retention Schedule.

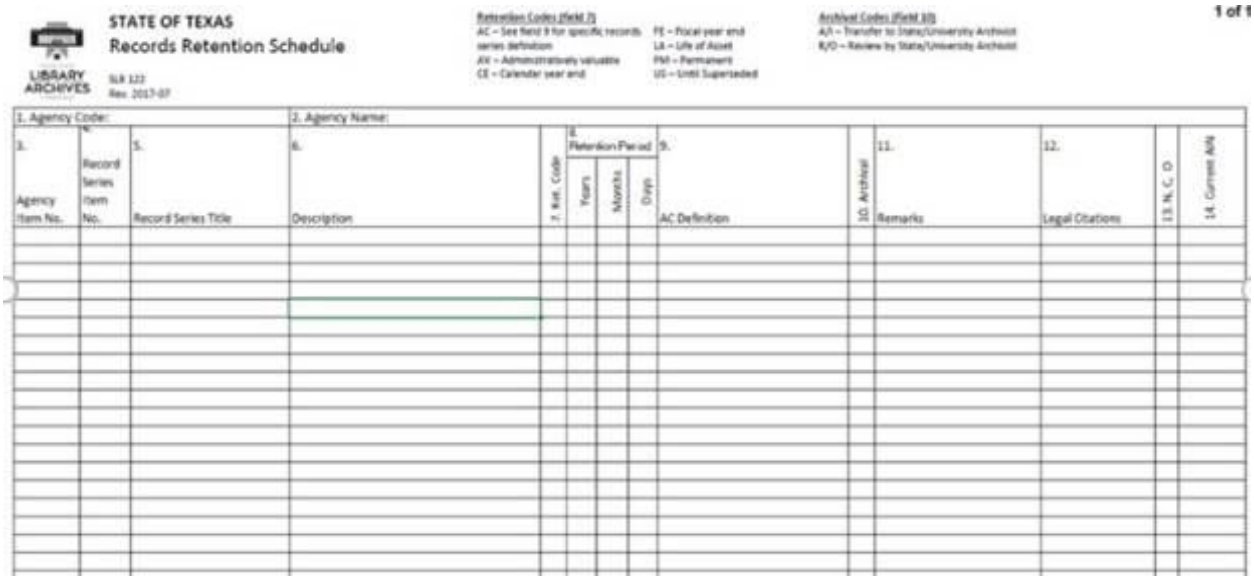

STATE OF TEXAS
Records Retention Schedule
LIBRARY ARCHIVES
SLR 122
Rev. 2017-07
1 of 1
1. Agency Code:
2. Agency Name:
3. Agency Item No.
4. Record Series Item No.
5. Record Series Title
6. Description
7. Ret. Code
8. Retention Period: Years, Months, Days
9. AC Definition
10. Archival
11. Remarks
12. Legal Citations
13. N, C, D
14. Current AIN

Figure 3-2. Form SLR 122.

Form SLR 122

Number	Field	Contents
1	Agency Code	TxDOT is assigned number 601
2	Agency Name	Complete with TxDOT

Form SLR 122

Number	Field	Contents
3	Agency Item Number (AIN)	A location reference on the TxDOT Records Retention Schedule used for indexing and citation of official records described in the schedule. The Agency Item Number is a unique alpha-numeric code assigned by TxDOT for each record series on the TxDOT Records Retention Schedule. The elements of this number are a three-letter acronym describing the type of record or the responsible office, followed by two digits indicating the sequence of the record series in the schedule. For example, the Agency Item Number ADM04 indicates that the records indicate Administrative record series.
4	Record Series Item Number	Records Series Item Numbers are assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission. It references specific types of records on the Texas Records Retention Schedule (Texas Administrative Code, 13 TAC §6.10). The first two digits identify groupings of categories of records. For example, 3.1 refers to employee records. If a Record Series Item Number consisting of five digits appears, the record series is specifically identified in the state retention schedule.
5	Records Series Title	The most general titles possible have been chosen. Explanations are provided for those titles which are not self-explanatory. Describes the type of record, which may consist of a single specific type of record or file or a group of files that are similar in function and have similar retention requirements.
6	Description	A description of identical or related records with the same function and the same retention period that is evaluated as a unit for retention scheduling purposes. This field contains a more detailed explanation for each record series.

Form SLR 122

Number	Field	Contents
7	Retention Code	The retention code requires an event to trigger the retention period which is referred to as the retention code to consider before the retention clock can begin. (e.g., AC, FE+3, US+5). **AC** - After Closed (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date. **AV** - As long as Administratively Valuable: The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the agency, if any, has been satisfied. **CE** - Calendar Year End: December 31. FE Fiscal Year End: August 31. **FE** – Fiscal Year End: August 31. **LA** - Life of Asset: The record is retained until the deposit of the asset. **PM** - Permanent: A record that possesses enduring legal, fiscal, or administrative value and must be preserved permanently by the agency. **US** - Until Superseded: The record is replaced by an updated version. If a record subject to this retention period is discontinued or is no longer required by law, the date of supersession is the date the decision to discontinue the record is made or the law takes effect. If the record relates to an employee, the date of supersession is the date of termination or the last date the record is needed with reference to the employee, as applicable.
8	Retention Period	The amount of time a records series must be retained before destruction or archival preservation. The retention period can be broken down into years (**Y**), months (**M**) or days (**D**), or a combination of time periods as required. For example, FE+3 means records must be retained until the end of the fiscal year plus three years, becoming eligible for destruction after September 1 of the third year of its retention.
9	AC Definition	AC stands for “After Closed” (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date. AC is used to trigger the retention start date.

Form SLR 122

Number	Field	Contents
10	Archival	The Archival Code indicates requirements for records to be sent to archives for long-term preservation or reviewed by the State Archives before destruction. **A/I** – Transfer to State/University Archivist **R/O** – Review by State/University Archivist **A** - The records must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission. **R** - The Archives and Information Services Division must be contacted for an archival review of the records before disposition. Those records determined to be archival must be transferred to the Archives and Information Services Division for long-term preservation. **Special Note:** Staff of the Archives and Information Services Division conduct archival appraisals on a series-by-series basis. Because of these appraisals, one or more records series of an agency bearing the Archival Code R may be found to lack sufficient archival value to merit transfer to the Archives.
11	Remarks	This column contains citations additional information regarding records retention requirements.
12	Legal Citations	Enter any statute references or other legal citations which pertain to the records series.
13	NCO	Enter a code for the type of series for the record series. • **N** – New to this edition of the schedule • **C** – Change to a previously appearing records series • **O** – Obsolete records series no longer used by TxDOT
14	Current AIN	A location reference on the TxDOT Records Retention Schedule used for indexing and citation of official records described in the schedule. The Agency Item Number is a unique alpha-numeric code assigned by TxDOT for each record series on the TxDOT Records Retention Schedule. The elements of this number are a three-letter acronym describing the type of record or the responsible office, followed by two digits indicating the sequence of the record series in the schedule. For example, the agency item number ADM04 indicates records under the Administrative record series. If the action being done to the records series is a change, please provide the Agency Item Number that the series is currently assigned in the approved (certified/recertified) Records Retention Schedule.

Section 4: Authority to Dispose of Official Records by Texas State Library and Archives Commission

RMD 102 Form – Request for Authority to Dispose of State Records

The RMD 102 Form – Request for Authority to Dispose of State Records is used for items such as records series not identified on the TxDOT Records Retention Schedule. Or for records destroyed accidently or prematurely before their retention expires due to physical deterioration or natural catastrophes.

REQUEST FOR AUTHORITY TO DISPOSE OF STATE RECORDS
Texas State Library – State and Local Records Management Division
RMD 102 (11/07)

Refer to instructions on reverse before completing.
Use typewriter or computer to complete this form.

RMD Control Number (RMD Use Only)

1. Agency Name and Division	2. Agency Code	3. Date
4. Agency Mailing Address	5. Agency Individual to Receive Final, Approved Copy	
6. Location of Records ☐ TSL State Records Center ☐ Other	7. Record Medium	8. Volume (cubic ft., MB, etc.)

Under provision of Texas Government Code 441.035(3) Act of the 72nd Legislature, I hereby request permission to dispose of the following described state records which have no further legal, fiscal, administrative or historical use to this department for the reason indicated.

9. ☐ The records have fulfilled their retention requirements.
10. ☐ Microphotographic reproductions of the records, complying with the minimum standards established by the American National Standards Institute (ANSI), have been made and certified as original records for all legal purposes. The type and quality of the reproduction will fulfill the retention requirements of the original records.
10a. ☐ The records are essential (vital) records as defined by Texas Government Code 441.052, Act of the 70th Legislature. A preservation duplicate of the original micrographic reproduction has been made and preserved in compliance with this Statute.
10b. ☐ The records are non-essential and therefore a preservation duplicate is not required.

11. DESCRIPTION OF RECORDS
Includes Records Series Titles, Records Series Numbers (if applicable). If records are in storage at the Texas State Library Records Center, included Locator Numbers, and Transfer Dates, or attach a copy of the Transmittal Forms (Tx-R-5 or RMD 101) to this form.

FOR RECORD MANAGEMENT DIVISION USE ONLY

APPROVALS

12. Records Management Officer	13. Director & Librarian	14. State Auditor (If Required, See Reverse)
Date:	Date:	Date:

Reproduction of this form at the agency level is authorized.

Figure 3-3. RMD 102 Form - Request for Authority to Dispose of State Records

INSTRUCTIONS FOR COMPLETING THE FORM RMD 102
(Request for Authority to Dispose of State Records)

IMPORTANT:
- This form must be used to obtain approval to destroy all official state records **not listed on the agency's approved Records Retention Schedule** [Texas Government Code, §441.035(d)].
- Submit one copy with original signatures on to: **Texas State Library – State and Local Records Management Division, Box 12927, Austin, Texas 78711.** This form will then be forwarded to the Director and Librarian and the State Auditor's Office as required.
- The approval process usually takes two to three weeks. Do not destroy records until an approved copy has been returned to your agency.

1. Agency and Division Name: Enter Agency and Division name. You may enter department and/or section name if so desired.
2. Agency Code: Enter the three-digit agency code assigned by the Comptroller of Public Accounts. If you do not know the correct code number, contact the Comptroller's Office.
3. Date: Enter the date of the request.
4. Agency Mailing Address: Enter mailing address of agency individual who is to receive final, approved of copy of request.
5. Enter the name of agency individual who is to receive final, approved of copy of request.
6. Location of Records: Check the box indicating the location of the records to be disposed. ("Other" being any location other than the Texas State Library - State Records Center).
7. Record Medium: Enter the medium of the records, (i.e., paper, microfilm, magnetic tape).
8. Volume: Enter the total approximate volume (in cubic feet) of the records to be disposed, (a letter size file drawer is 1.5 cubic feet; a legal size file drawer is 2 cubic feet; a standard Records Center storage box is 1 cubic foot).
9. Check this box if the records have fulfilled all values to your agency (administrative, fiscal, legal, and historical).
10. Check this box if a microfilm copy has been made, and also check one of the following boxes if:
    10a. A duplicate of the original microfilm has been made as outlined by Texas Government Code §441.052.
    10b. These are non-essential records and no duplicate microfilm is required.
11. The description of records must include:
    The Records Series Titles.
    The Records Series Numbers.
    The transfer date of the records (if applicable).
    The inclusive dates of the records.
    The Locator Numbers if stored at the State Records Center.
12. Signature of the Agency Head or Records Administrator approving the request and the date. Additional agency approval signatures may be included by adding signatures and dates in Field 11.
13. Signature of the State Librarian and the date.
14. Signature of the State Auditor assigned to the agency submitting the request and the date. The State Auditor reviews and approves RMD 102's only when the retention periods for the records to be disposed are less than the recommended retention periods.

Electronic Form Instructions:

Enter your agency's information into the blanks provided on RMD 102. The date will update automatically to the current date when you complete the form. To override the date field, click on it and then type over it.

Note: This form must be printed for submission to the Texas State Library due to the necessity of signatures, e-mail submissions will not be accepted at this time.

If you have any questions, please contact your agency **Records Administrator** or the **Texas State Library – State and Local Records Management Division** at **(512) 463-7610.**

Figure 3-4. Instructions for Completing RMD 102 Form - Request for Authority to Dispose of State Records

Chapter 4: Protecting and Securing Information

Contents:

Section 1: Disposition and Security of Information

Overview

Information is more accessible with the advancement of technology. Today, data resides on different application platforms, websites, and cloud servers, making the protection of that information more critical to maintain confidentiality and privacy. Information is created with every keystroke, click, swipe, voice, and video recording. It is critical to maintain confidentiality and privacy to protect from data breach, stolen identities, loss of privacy and property. For state agencies, data breaches can be costly, time-consuming and result in exposure of confidential information. For TxDOT, data breaches can result in loss of confidential or valuable information.

Disposition of Information

When data is kept longer than required TxDOT incurs unnecessary budget to store, maintain and protect the integrity of the data and associated records in storage systems. When data is kept permanently, the agency risks access to sensitive data by non-authorized parties which may result in the loss of confidential or valuable information, as well as not following TxDOT records retention. Therefore, disposition of information is important.

The process of disposition in when an official record is destroyed or transferred to Texas State Library and Archives Commission – State Archives. Dispositioning data in the ordinary course of business is a cost benefit, as well as a way of protecting and securing records for the agency and the public.

For more information on the disposition process at TxDOT, refer to Chapter 10 “Inactive Records” and Chapter 11 “Archiving and Destroying Records”.

Information Security

Texas State Library and Archives Commission and Texas Department of Information Resources provides rules and guidelines for state agencies to use for the protection of confidential information. Refer to the following for additional information:

- **Records Management State Agency Laws and Rules - Section 6.97(b)** of Bulletin 1, “Electronic Records Standards and Procedures” requests all electronic records scheduled for disposition are securely disposed of in a manner that ensures protection of confidential information.
- **Records Management State Agency Laws and Rules - Section 6.97(c)** of Bulletin 1, “Electronic Records Standards and Procedures” requires state agencies to establish and implement procedures that address the disposition of electronic official records by staff in accordance with the Records Retention Schedule.

- **Texas Department of Information Resources**"Data Classification and Management Policy" is a framework for properly classifying and managing data assets.

Disposing of information in accordance with the Records Retention Schedule will reduce the volume of records in the storage systems, therefore reduce risk, create space, and free valuable resources by eliminating non-valuable records so systems can be used to provide timely access to official records.

Section 2: Identifying Information Types

TxDOT's records are a vital and important information asset and must be protected against unauthorized access, use, disclosure, loss, modification/corruption, or unauthorized disposal. For additional information see the TxDOT Data Classification Policy.

Confidential Information

Confidential records must be protected from creation through final disposition. Any official record, convenience copy, or transitory information can contain confidential information regardless of the media. TxDOT employees who handle or have access to confidential records have a duty to safeguard and protect the information.

"Confidential Information" has the meaning provided in 1 Texas Administrative Code § 202.1(5), which states the confidential information means "information that must be protected from unauthorized disclosure or public release based on published laws or legal agreements." Information that is Confidential Information under this definition may include:

(a) Attorney-Client communications.

(b) Drafts of policymaking documents.

(c) Information related to pending litigation.

(d) Audit working papers.

(e) Competitive bidding information before contract awarded.

(f) Sensitive Personal Information.

(g) Regulated data.

(h) Information excepted from disclosure requirements of Chapter 552 of the Texas Government Code ("Public Information Act") or other applicable state or federal law

(i) Compliance reports for which the Texas Attorney General has granted permission to withhold.

(j) Investigative working papers and draft reports excepted from disclosure under Section 552.116 of the Texas Government Code.

Sensitive Data

Means information that could be subject to release under an open records requests, but should be controlled to protect third parties, and should be vetted and verified before release. At TxDOT, this could include operational information, personnel records, research, or internal communications.

- More examples of sensitive information include, but are not limited to:

- Plans and Specifications
- Costs/Financial Data
- Bids
- Personal Identifying Information

Sensitive Personal Information (SPI)

Sensitive Personal Information has the meaning provided by Texas Business and Commerce Code 521.002 of the Texas Government Code, which defines sensitive personal information as:

- An individual's first name or first initial and last name in combination with any one or more of the following items, if the name and item are not encrypted:
- Social Security Number
- Driver's license number or government-issued identification number; or
- Account number or credit or debit card number in combination with any required security code, access code, or password that would permit access to an individual's financial account

Information that identifies an individual and relates to:

- The physical or mental health or condition of the individual.
- The provision of health care to the individual.
- Payment for the provision of health care to the individual.

Personal Identifying Information (PII)

Personal Identifying Information is subject to Texas Government Code, Chapter 552, Title 5 Open Government; Ethics, "Public Information" and Texas Business and Commerce Code 521.002, "Unauthorized Use of Identifying Information".

Personal Identifying Information is information about an individual that can be used to distinguish or trace an individual's identity. This can include medical, education, financial, and employment information. Personal Identifying Information can either exist as stand-alone content or can be groups of content.

"Personal Identifying Information" means information that alone or in conjunction with other information identifies an individual, including an individual's:

(a) Name, social security number, date of birth, or government-issued identification number.

(b) Mother's maiden name.

(c) Unique biometric data, including the individual's fingerprint, voice print, and retina or iris image.

(d) Unique electronic identification number, address, or routing code.

Section 3: Protecting Information

TxDOT must take every precaution to protect access and use of Confidential Information, Sensitive Data, Sensitive Personal Information, and Personal Identifying Information.

Recommended practices include:

- Minimize the use and collection of information to only what is necessary to accomplish the agency's business.
- Staff with authorized access to information must maintain confidentiality and not disclose the information to any non-authorized personnel.
- Information should be kept in secure storage in a manner where access can be monitored and limited to authorized staff. This includes use of lockable cabinets for hardcopy files and loose documents, and information systems that meet appropriate network security and access control standards.
- Never leave collection of information unattended or unsecured. Make sure workstation is locked when away from desk.
- Do not create unnecessary or convenience copies or printouts of information.
- Do not take information home or to any non-TxDOT worksite, in either paper or electronic format, unless appropriately approved and secured.
- Never leave paper files or electronic devices in plain sight in an unattended vehicle to limit the exposure to theft.
- Information must be transported and stored in a secure manner to safeguard it against improper disclosure or loss.
- Records should be properly labeled with "confidential information" when applicable.
- Information must never be exposed in recycling bins or trash bins for disposal. Materials must only be disposed by confidential shredding. See Chapter 11, "Archiving and Destroying Records" - Destruction of Confidential Records for more detail information.

Chapter 5: File Plan

Contents:

Section 1: Overview on File Plans

The Texas Government Code 441.183 et. seq. requires state agencies to establish and maintain a Records Management Program on a continuing and active basis. All TxDOT Districts and Divisions are required to submit and updated File Plan annually to TxDOT Records Management. Records Administrators must verify the accuracy of their District and Divisions File Plans to TxDOT Records Management. The File Plan can be updated at any time during the year and resubmitted to TxDOT Records Management to ensure the latest version of the File Plan is on file. Records Management is the Office of Primary Responsibility (OPR) for all District and Division File Plans. File plans will be retained three years after they have been superseded. For example, CE 2022 File Plans will be superseded when the updated CE 2023 annual File Plans are submitted to Records Management. The CE 2022 File Plans will have met retention at the end of CE 2025 and will be eligible for destruction.

District and Division Records Administrators should maintain a current File Plan for their work unit to aid compliance efforts related to legal discovery and open records requests.

At its most basic, a File Plan is a roadmap to the files in your work unit which:

- Describes files and where they are located.
- Identifies the status of files, which helps determine:
  - Which files are kept per the Records Retention Schedule.
  - Which files are kept for convenience or reference purposes.
  - Special handling requirements.
  - Which files are essential to continue business in the event of a disaster.

Training course (**EL2032 -Building and Using a File Plan**) introduces the File Plan Concept and provides an overview of the use of File Plans at TxDOT, including how File Plans can be created and used as a tool to support records management compliance.

A File Plan is also a convenient tool to help with the policy compliant management of the records created and maintained by your work unit.

A File Plan:

- Describes the name of the files/records.
- Describes the files/records physical or electronic location.
- Identifies the required minimum retention period as published in the TxDOT Records Retention Schedule.
- Identifies the specific item number in the Records Retention Schedule to use in completing documentation related to records storage and/or destruction.

After initial construction of the File Plan, the Records Administrators, Records Custodians and Records Coordinators can manage record life-cycle procedures with assurance that they are retaining and destroying official records appropriately.

The benefit is that a small amount of up-front work results in a tool that is easy to maintain, reduces confusion and uncertainty in file/records management processes going forward, and supports business continuity.

The File Plan should be available at a central location (SharePoint) for all work unit employees to access. It is recommended to keep the File Plan visible at the at the location where the paper/ physical files reside. Be sure your work unit employees know where the File Plan is located.

Section 2: File Plan Template

The File Plan Template is available on the Records Management website. The File Plan consists of the following five tabs:

- Instructions
- Electronic Records
- Hard Copy
- Convenience Copies
- Questionable Records

Chapter 6: Document Imaging

Contents:

Section 1: Document Imaging Legal Requirements

Overview

The decision of converting documents or records to digital images should be based on an actual business need. The initiative to go to a "paper lite" culture is to decrease the volume of paper necessary to effectively manage official records. It is not always cost-effective or a best records management practice to image documents.

Imaging is a good solution for retaining records that are subject to frequent retrieval during their retention. Imaging also offers savings in space and filing equipment for voluminous records and can be useful for maintaining duplicate copies of records as part of a vital records protection program.

As per Texas Government Code 441.189(a), an official record may be created or stored electronically in accordance with standards and procedures adopted as administrative rules of Texas State Library and Archives Commission

A digital official record must be accessible and maintained for the full life cycle of the record for the period prescribed in the TxDOT Records Retention Schedule.

1. Any official record may be created or stored electronically in accordance with standards and procedures adopted as administrative rules of Texas State Library and Archives Commission.
2. Certified output from electronically digitized images or other electronic data compilations created and stored in accordance with the rules of the Texas State Library and Archives Commission shall be accepted as original official records by any court or administrative agency of this state unless barred by a federal law, regulation, or rule of court.
3. Certified output from electronically digitized images or other data compilations created before September 1, 1997, in accordance with any applicable prior law shall be accepted as original official records or, in the absence of an applicable prior law, at the discretion of the court or administrative agency.

Legal considerations and records management obligations outside of the Texas State Library and Archives Commission should also be reviewed to ensure all rules and requirements are identified and fulfilled to which the document is being submitted. (i.e. PDF, PDF-A, original signatures, etc.)

Districts and Divisions are required to ensure the longevity of all official records, regardless of the medium, to ensure accountability, transparency, integrity, protection, availability, compliance, retention, and disposition.

Section 2: Planning Before Document Imaging

Step 1 – Creating Standard Operating Procedures (SOP)

The document imaging process should be developed as a routine business practice in Standard Operating Procedures. Standard Operating Procedures should include the life-cycle process from preparation of the documents, imaging process, quality control, storage location of digital images, retention of official records, and destruction of the paper copy upon validation.

(See Section 6 of this Chapter for detailed outline of State and Industry Requirements/Actions for Digital Imaging)

Step 2 – Conducting a Quality Control Process on Imaged Documents

Quality Control is the visual review of image and index information. After the process of imaging or scanning the documents is completed, a visual quality control check is required to ensure official records are a complete and accurate representation of the original paper format.

The following industry Quality Control guidelines apply:

- Each scanned image must be inspected visually to ensure that the image is legible and complete and accurately captures the information contained in the original.
- Visual inspection requires that images are in the correct order, all pages (both front and back) are included and pages are not skewed (sideways or upside down).
- When index information is assigned and entered manually, such as a title for an image, each image must then be retrieved and visually verified to ensure that the index information has been entered correctly.
- Automated image capture software and image retrieval systems must allow image and index information to be visually verified and approved.
- Establish a plan for reimaging the original hard copy if visual reviews reveal that an image is illegible or incomplete.
- Organize imaged hard copies so that individual original records can be retrieved up to the point that quality control reviews are completed.
- The original hard copy may be destroyed after visual verifications are completed and may be kept for a temporary period (i.e. 1 month).

Step 3 - Destroying Paper Records After Document Imaging

- A 1420 Records Destruction Form is NOT required to destroy the physical documents after document imaging is complete. After imaging the physical record, it is now a convenience

copy and can be destroyed without formal authorization. The electronic record is now considered the official record.

Section 3: Benefits for Document Imaging

Imaging is a good solution for retaining records that are subject to frequent retrieval during their retention. Imaging also offers savings in space and filing equipment for voluminous records and can be useful for maintaining duplicate copies of records as part of a vital records protection program.

Selection of the image file format is a consideration. TxDOT's preferred format for storing final official records is Adobe Acrobat's PDF and PDF/A.

In most cases it is best to implement scanning from a point forward. Back file conversion (scanning of files currently in storage) is normally not cost-effective.

Section 4: Document Imaging Cost Considerations

The decision to convert documents or records to digital images is based on business need. Keeping records “just in case” a legal need may arise is not a legitimate business need.

The costs to scan hard-copy originals simply for retention purposes are not usually justified in comparison to the lower cost simply to box and store records that have a relatively short retention period and that are not subject to frequent retrievals.

The industry average to scan records is between $0.08 and $0.15 per page. A standard box of records is 3000 pages, typically costs about $250.00 - $450.00/box to scan with Optical Character Recognition (OCR) and metadata. The cost to store on a system is another factor.

Considerations in cost to scan paper include:

- Document Preparation.
- Scanning (200 - 600 Dots Per Inch - DPI).
- Indexing (# of Fields).
- Auto Classification of Documents.
- Searchable (Optical Character Recognition) Format.
- Bound materials, Drawings, Photos, etc.
- Image Enhancements.
- Notes (Post it Note or clipped) Capture.
- Pick Up, Delivery.
- Hosting Images.
- Output File (Preferably Portable Document Format (PDF) or Portable Document Format/ Archive (PDF/A).
- Storage of Materials.
- Software Costs.
- Transmission of Documents to TxDOT repository.
- Document Destruction After Quality Assurance (QA) Quality Control (QC) is performed and validated by TxDOT.

Section 5: Considerations of Imaging Documents

Considerations Before Imaging Documents:

Frequently Accessed Records:

- If the official records are frequently referenced, (internally or externally) then document imaging should be considered.
- If the official records are not referenced frequently, then imaging is not considered.

Retrieval Time to Access Records:

- If a record needs to be readily available, then document imaging should be considered.
- If multiple employees need access to the same record document imaging should be considered.
- If repetitive access is to be constant, then document imaging should be considered.

Cost Considerations:

- Consider if the cost of imaging records will be achieved before the expiration of the records retention period is fulfilled.
- If the official record has fulfilled the retention period before you have recovered the cost of imaging, then it is not a reasonable investment.

Imaging as a Preservation Strategy:

- Consider the risks and costs of long-term preservation (migration, ensuring authenticity, future accessibility) before imaging official records with a permanent retention.
- Imaging documents should be used to improve access, rather than long-term preservation.

Imaging Planning Considerations:

- Digitizing everything for the sake of eliminating all paper is not a recommended practice.
- TxDOT Records Management can assist in the decision process on which records to focus for imaging.

Section 6: Industry Standards and Digital Imaging Requirements

Industry Standards for Document Imaging

- International Standards Organization (ISO) 19475 Part 1-3 specifies the minimum requirements that are necessary for the capture, storage and evaluation of scanned documents to preserve the authenticity, integrity and readability that may be considered for legal, regulatory or business evidential purposes.
- American National Standard for Information and Image Management-Recommended Practice for Quality Control of Image Scanners (ANSI/AIIM MS44-1988) and American National Standard.

Digital Imaging Requirements

Texas State Library and Archives Commission Standards and Procedures for Management of Electronic Records:

Digital Imaging Requirements/Actions for Texas Administrative Code 13 TAC 6.91 – 6.97 Texas State Library and Archives Commission Standards and Procedures for Management of Electronic Records:

Requirement	Action	Source
A non-proprietary image file header label must be used.	If a proprietary image file label is used, a bridge to a non-proprietary image file header label or a detailed definition of image file header label structure must be provided.	13 TAC 6.96 (f) (1)
System hardware and/or software must provide a quality assurance capability that verifies information written to the storage media.	Provide written instruction and training for staff to use and verify.	13 TAC 6.96 (f) (2)
Scanned image quality must be evaluated according to the standard procedures in ANSI/AIIM MS44*.	Detailed in the table below for ANSI/AIIM MS-44-1988 (R1993) standard.	13 TAC 6.96 (f) (3)
A visual quality control evaluation must be performed for each scanned image and related index data.	Detailed in the table below for ANSI/AIIM MS44-1988 (R 1993) standard.	13 TAC 6.96 (f) (4)
A scanning resolution with a minimum of 200 Dots per image (DPI) is required for recording documents that contain no type font smaller than 6 point. For documents with a type font smaller than 6 point, scanning resolution must be adequate to ensure that no information is lost.	Detailed in the table below for ANSI/AIIM MS44-1998 (R1993) standard.	13 TAC 6.96 (f) (5-6)

Requirement	Action	Source
The selected scanning resolution must be validated with tests on actual documents.	Detailed in the table below for ANSI/AIIM MS44-1998 (R1993) standard.	13 TAC 6.96 (f) (7)
The use of International Telecommunication Union-Technical (ITU-T) Group 3 or Group 4 compression techniques is required for document images without continuous tonal qualities.	If use of a propriety compression technique is unavoidable, a gateway to either Group 3 or Group 4 compression techniques must be provided.	13 TAC 6.96 (f) (8)
*American National Standard for Information and Image Management-Recommended Practice for Quality Control of Image Scanners (most current version of ANSI/AIIM MS44)		

Digital Imaging Industry Requirements/Actions for ANSI/AIIM MS44-1988 (R1993) – Standard for Information and Image Management – Recommended Practice for Quality Control of Image Scanners:

Requirement	Action	Source
Use standard original targets.	Purchase targets from AIIM. Do NOT use copies of targets! A photocopy of Target 1 will render it useless for determining at what level of gray the scanner decides a point is black. A photocopy of Target 2 will destroy the usefulness of size, placement, black, and halftone test areas.	ANSI/AIIM MS44-1988 (R 1993) 7. Target 1: IEEE 8.Target 2: AIIM Scanner Target
Determine number of document types.	Inventory documents to determine how many different types of documents are to be scanned. Consider different sizes, colors, amount of white space, etc.	ANSI/AIIM MS44-1988 (R 1993) 4.3 Establishing a Quality Reference.
Establish a quality reference for “good output” for each type of document.	Scan all targets, output to hardcopy, and examine. Keep hardcopy and store digital images. Note scanner adjustment on settings on the hardcopy.	ANSI/AIIM MS44-1988 (R 1993) 4.3 Establishing a Quality Reference.
Determine when to change scanner settings.	Batch documents change scanner settings for batch; or (2) Change scanner settings for each document scanned.	ANSI/AIIM MS44-1988 (R 1993) 5. Frequency of Testing
Testing for batch documents	Perform a test run before and after scanning for each document type.	ANSI/AIIM MS44-1988 (R 1993) 4.3 Establishing a Quality Reference 4.4 Pre and Post-testing

Requirement	Action	Source
Testing after each scanned document	Determine a small number of allowable settings for each document type	ANSI/AIIM MS44-1988 (R 1993) 4.3 Establishing a Quality Reference.
Test after maintenance	After recalibration by a technician, perform a test run of all targets.	ANSI/AIIM MS44-1988 (R 1993) 4.3 Establishing a Quality Reference.
Recordkeeping	Each test run should be recorded on a log sheet. Log can spot a problem earlier; ex: threshold settings keep changing in one direction. If it is an equipment problem, note scanner settings on the back of the printout and save for technician.	ANSI/AIIM MS44-1988 (R 1993) 4.5 Record Keeping

Requirement	Action	Source
Frequencies of test run	Perform test run before and after each batch is scanned. No limit to batch size, but frequent testing recommended. Terminate each batch at end of a shift.	ANSI/AIIM MS44-1988 (R 1993) 5. Frequency of Testing
Set up scanner parameters	Set up parameters to match original scan parameters of the most recent quality reference.	ANSI/AIIM MS44-1988 (R 1993) 6.1 Setup of Scanner Parameters
Placement of targets	Place targets on scanner in same manner as original documents will be processed.	ANSI/AIIM MS44-1988 (R 1993) 6.2 Placement of Target on the scanner
Scanning	Scan targets using same procedures for original documents. Do not change settings between targets. After printed image is evaluated, electronic test images may be erased or stored.	ANSI/AIIM MS44-1988 (R 1993) 6.3 Scanning
Examine targets on screen	Test targets may be viewed on screen until a good test run is achieved; however, there is no easy way to compare a current scan against reference scan. Also, display may not show full page. Easier to compare paper.	ANSI/AIIM MS44-1988 (R 1993) 6.4 Examination of Targets on Screen

Requirement	Action	Source
Printing targets	Test scans should be output to paper. Provides end-to-end system check. Can quickly determine if output is acceptable.	ANSI/AIIM MS44-1988 (R 1993) 6.5 Printing of Targets
Determination of problem areas	If printed output is not acceptable, check printer by retrieving a quality reference and printing. If output is not acceptable, it is probably a printer problem. If output is acceptable, it is probably a scanner problem.	ANSI/AIIM MS44-1988 (R 1993) 6.6 Determination of Problem Areas
Target 1: IEEE Std 167-A1987 (Institute of Electrical and Electronic Engineers)	This target is a facsimile machine test target, which provides a continuous-tone photograph, gray scale, precision measurement marks, resolution charts and test characters.	ANSI/AIIM MS44-1988 (R 1993) 7. Target 1: IEEE
Target 1 (continued)	Gray scale shows the threshold pint at which the scanner decides that a given area is black rather than white. Run the target and observe the point at which the bars turn from white to black. The continuous wedge will have ragged appearance at transition area. In daily testing, observe if the white-to-black transition points are in the same place as the reference copy. If so, threshold setting is properly adjusted. Use Patterns #7 and #8 on the target to test gray scale.	ANSI/AIIM MS44-1988 (R 1993) 7.1 Thresholds for Gray Levels
Target 1 (continued)	(2) Resolution is a measurement of the output quality of an image, usually in terms of samples, pixels, dots, or lines per inch. At the center the lines are very narrow and will blur at varying distances from the center. The distance of the blurring from the center is an indication of the resolution of the total system. Use Patterns #12 and #13 to test scanner resolution.	ANSI/AIIM MS44-1988 (R 1993) 7.2 Resolution

Requirement	Action	Source
Target 1 (continued)	(3) Linearity and Rectangularity involves testing the calibration to make sure that the system is not distorting images. The length of the line on the copy should match the length of lines on the original. All lines should be straight, and lines on opposite lines should be equal. The rectangularity of the image is perfect if the length of opposite sides are diagonal corners are identical	ANSI/AIIM MS44-1988 (R 1993) 7.3 Linearity and Rectangularity
Target 1 (continued)	(4) The text can be tested by examining the smallest legible type. This should not vary between the daily test runs and the quality reference. Though explained under Target 1, it recommends the use of Target 2 for this test.	ANSI/AIIM MS44-1988 (R 1993) 7.4 Text
Target 2: AIIM Scanner Target	This target is an ink-on-paper target that simulates conditions that may cause scanner problems.	ANSI/AIIM MS44-1988 (R 1993) 8. Target 2: AIIM Scanner Target
Target 2 (continued)	Check to ensure that the scan area is the proper size. If the black boxes in the corners of the target do not run off the edges of the scanned image, the scanner area may be too large. If the “0” digit in the line of numbers at the corners of each page are visible on the scanned image, the scan area is too small, or the target was not properly aligned. Note: Some printers do not print to the edge of the paper – this should be taken into consideration.	ANSI/AIIM MS44-1988 (R 1993) 8.1 Size of scan area

Requirement	Action	Source
Target 2 (continued)	(2) Check the alignment of the page. If the scan area is the proper size and target is perfectly aligned, the “0” digit will show all corners and at the center of each edge. If the image size or printout size is reduced, look for the same numbers appearing at all points.	ANSI/AIIM MS44-1988 (R 1993) 8.2 Alignment of Page

Requirement	Action	Source
Target 2 (continued)	(3) Check the text by examining the small characters and punctuation to determine where scanning problems may occur. Look for eligibility and detail of the small characters. Examine the News Gothic Bold Reverse font for character lines that may be filed with black. It is important to know at what type size the scanner will lose the distinction between lower case letters such as a, e, c, and o. A properly adjusted scanner with 300 dots per inch should preserve these characters in a 4-point type.	ANSI/AIIM MS44-1988 (R 1993) 8.3 Text
Target 2 (continued)	(4) There should be five horizontal and five vertical lines on the page. Verify that the thinnest line is visible. Note that stair-stepping in the lines is normal if the target is not exactly parallel to the scan lines.	ANSI/AIIM MS44-1988 (R 1993) 8.4 Horizontal and Vertical Lines
Target 2 (continued)	(5) The diagonal line across the target is a test for uniform transport movement. The line should be smooth and straight within the capability of the scanner and recorder. Breaks in the line may indicate that a mechanical transport is not working smoothly or is being forced to pause and restart.	ANSI/AIIM MS44-1988 (R 1993) 8.5 Diagonal Line
Target 2 (continued)	(6) The isolated characters simulate a page number or part of a mathematical equation. Because of the white space around each character, some scanners will see these characters as dirt specks and eliminate them. Some scanners will fail on the degree symbol (last column, center row) and display it as a solid dot.	ANSI/AIIM MS44-1988 (R 1993) 8.6 Isolated Characters

Chapter 7: Electronic Records

Contents:

Section 1: Definition of Electronic Records and Overview

Definition of Electronic Record

Per, Bulletin 1, Section 6.92: Electronic Records Standards and Procedures, the definition of an electronic records is:

Electronic state record--Information that meets the definition of a state record in the Texas Government Code §441.031 and §441.180, and is maintained in electronic format for computer processing, including the product of computer processing of the information. Any state record may be created or stored electronically in accordance with standards and procedures adopted as administrative rules of the commission as authorized by Texas Government Code §441.189.

According to 15 United States Code 7006 (4), "Title 15 - Commerce and Trade; Chapter 96. Electronic Signatures in Global and National Commerce; Electronic Signatures in Commerce", an electronic record is "a contract or other record created, generated, sent, communicated, received, or stored by electronic means. Electronic records include email, text messages, disaster recovery backup tape, and records that exist on portable media, such as memory sticks, mobile devices, laptops, or computers.

CAUTION: Records related to department work that may be produced or kept on personal devices away from the office are considered official records and are not the employee's personal property.

Any official record may be created or stored electronically. Certified output from electronically digitized images or other electronic data compilations is accepted as official records by any court or administrative agency of this state unless barred by a federal law, regulation, or rule of court.

The definition of an official record can range from a single document to entire files of different types of applications and media related to the conduct of official business. In this chapter, the term record and file may be used interchangeably to describe official records, as distinguished from the use of these terms to describe specific data sets in the computing environment.

Section 2: Requirements for Managing Electronic Records

Records Management Requirements

Records management principles and requirements apply to official records that are created and maintained in any medium. Bulletin 1: Electronic Records Standards and Procedures and Texas Administrative Code. 13 TAC 6 - Sub-Chapter C establishes requirements related to the creation, retention and disposition of official records.

The rules require that state agencies establish procedures for the management of electronic records that ensure:

- Software, hardware, and documentation for retrieving records are retained throughout the retention period of the official records or that records are migrated to another system.
- Necessary maintenance is performed to ensure official records are preserved.
- Records are identified as part of a records series and they are individually accessible.
- Email systems preserve essential basic metadata and email is appropriately retained.
- Mobile device data and Instant Messaging chats are considered official records and should be kept at a transitory information level. All non-transitory information should be memorialized or produced, transcribed, and preserved on a government-designated storage location. (See Chapter 8 “Mobile Devices”)
- Destruction of records should be managed in a secure manner to protect confidential and sensitive records.
- Records are to be destroyed in compliance with the approved TxDOT Records Retention Schedule (RRS) and a 1420 Records Destruction Form.

The rules also require that agencies:

Provide a training program for users in the operation, care, and handling of the information, equipment, software, and media.

Maintain current documentation that is adequate for retaining, reading, and processing the records; and

Administer a security program in compliance with 1 TAC §202.

Section 3: Other Policies and Regulations

Texas Senate Bill 944 – 86th Legislative Session

Texas Senate Bill 944, 86th Legislative Session was created to ensure an officer, employee, or contractor of a government agency who creates or receives records on a privately-owned device or account provides that information to the government's public information officer or officer's agent for the purposes of protecting information and ensuring transparency.

S.B. 944 allows governments to obtain records stored on an officer's, employee's, or contractor's private device. The Office of the Attorney General and courts have ruled for years that records held on private devices or in private accounts of officers, employees, or contractors are still records and are subject to records management and public information laws. Section 202.005 gives the governing body of a local government the right and proper legal channels to recover any records that reside in the possession of an individual. S.B. 944 also establishes that an officer, employee, or contractor does not have a personal or property right to records created or received while acting in an official capacity.

Public Information Act (PIA)

Government Code 552.234 "Title 5 Open Government; Ethics, Subtitle A. Open Government, Chapter 552. Public Information – Method of Making Written Request for Public Information" allows governments to obtain records stored on an officer's, employee's, or contractor's private device. The Office of the Attorney General and courts have ruled for years that records held on private devices or in private accounts of officers, employees, or contractors are still records and are subject to records management and public information laws. Government Code 552.233 "Title 5 Open Government; Ethics, Subtitle A. Open Government, Chapter 552. Public Information – Ownership of Pubic Information" also establishes that an officer, employee, or contractor does not have a personal or property right to records created or received while acting in an official capacity.

The Public Information Act was amended to say that government officials who use personal devices to conduct public business are responsible for turning over those messages to an official government account, and/or preserving them on the personal device for the duration of the retention period.

Furthermore, this amendment applies to existing records management laws Government Code Chapter 441 "Title 4. Executive Branch, Subtitle D. History, Culture, and Education, Subchapter A, Texas State Library and Archives Commission" governing the preservation, destruction, or disposition to the records held by a temporary custodian. No matter where a record resides, it is subject to the administrative rules laid out in Records Retention Schedules.

- **Temporary custodian** refers to a past or present government official who, in the transaction of official state business, creates or receives public information that they have not provided to the officer for public information of the governmental body.

Employees and contractors conducting official state business on mobile devices become "temporary custodians" of the information and are responsible for maintaining the records for the duration of the retention requirement and is not the property of the individual.

Temporary custodians are responsible for turning over public information held on a privately-owned device to the governmental body when requested.

State-owned and personally owned mobile devices storing official records are allowed, but only of a transitory nature. Temporary custodians are responsible for turning over public information held on a privately-owned device to the governmental body should they request it, like if the information is responsive to a public information request.

For more information to the Public Information Act, please contact the General Counsel Division (GCD). Texas Senate Bill 944, 86th Legislative Session, disclosure requirements of the Public Information Act, and the Records Retention Schedule are also a consideration for the management of electronic records.

The Public Information Act focuses on the nature of the communication or document. If the information was created, transmitted, received, or maintained in connection with the transaction of "official business," defined as "any matter over which a governmental body has any authority, administrative duties, or advisory duties," the information constitutes public information subject to disclosure under the Public Information Act. Any public business conducted on a state-issued or personal mobile device, laptop, computer, or external storage device may be considered an official record.

- The Public Information Act specifies if an officer, employee, or contractor possesses information on a device that has not been properly transferred or preserved on a government-designated storage location, the officer, employee, or contractor must surrender or return the requested information to the agency to promptly fulfill an open records request. For more information on open records requests, please contact the General Council Division.

Information Security Policy

The Information Security Policy Manual contains policies for protecting the confidentiality, integrity, and availability of TxDOT's information resources. Chapter 4 of the Information Security Policy Manual addresses the protection of data to balance quality and integrity to allow for the optimization, maintenance, and disposition of information throughout the life cycle to protect information assets, regardless of their location, state, or medium.

The Information Protection Policy has five objectives to protect information from accidental or purposeful corruption or misuse. Below is the list of the Information Protection Policy objectives:

- Classifies data
- Encrypts data
- Uses digital signatures safely

- Safeguard's privacy
- Ensures system and information integrity

Government Penal Code

Government Penal Code, Section 37.10 "Title 8, Offenses Against Public Administration, Chapter 37. Perjury and Other Falsifications" specifies a person who intentionally destroys, conceals, removes, or otherwise impairs the verity, legibility, or availability of a government record is considered tampering.

CAUTION: The failure to follow the regulations defined above, may expose the employee, contractor or TxDOT to damages and attorney fees under the Public Information Act. Additionally, officer's, employee's or contractor's personal mobile devices may be confiscated if an open records request is submitted.

NOTE: Chapter 9, File Management, discusses organization and management of files in support of business processes.

Section 4: General Practices for Managing Electronic Records

Official Records Versus Non-Records

An important records management practice is to determine what is an official record versus a non-record, such as drafts or convenience copies. It is a vital principle to understand the difference and to identify electronic content in concert with a file plan.

Electronic Official Records

Per Section Government Code Chapter 441 "Title 4. Executive Branch, Subtitle D. History, Culture, and Education, Subchapter A, Texas State Library and Archives Commission". Electronic Official Records:

1. Any state record may be created or stored electronically in accordance with standards and procedures adopted as administrative rules of the commission.
2. Certified output from electronically digitized images or other electronic data compilations created and stored in accordance with the rules of the commission shall be accepted as original state records by any court or administrative agency of this state unless barred by a federal law, regulation, or rule of court.
3. Certified output from electronically digitized images or other data compilations created before September 1, 1997, in accordance with any applicable prior law shall be accepted as original state records or, in the absence of an applicable prior law, at the discretion of the court or administrative agency.

Official records may be created and maintained electronically without ever being produced in hard copy. It is important to determine the final content of the official electronic record and to institute procedures to dispose of working copies, drafts, and duplicates when the final official record is complete. Because of the ease with which electronic records can be copied and shared, the presence of convenience copies represents a vulnerability to the agency.

Official records that are kept electronically are to be retained for the required retention period in a secure manner that prevents the alteration of the record in its original form with supporting metadata.

Non-Records (Drafts and Convenience Copies)

CAUTION: Convenience or "information" copies are duplicates of an official record. They are not subject to retention requirements and may be destroyed without formality when they are no longer needed. Convenience copies retained beyond the retention period approved for the official record may become the official record by default and remain subject to legal and open records demands.

Retaining Electronic Records

Chapter 9, File Management discusses procedures for managing files in all media. It is not recommended to use local shared drives or desktop workstations to retain official records as this practice exposes records to potential loss when employees leave, or when equipment or software is upgraded.

An Enterprise Content Management (ECM) system or other systems of records are the preferred medium for retaining electronic records. OnBase is an Enterprise Content Management system that provides records retention functionality.

It is important to document the records management procedures for all official records regardless of the media (electronic/physical) in written standard operating procedures.

Using Offline Media

Portable offline media such as external hard drives, USBs, flash drives, memory sticks/cards, PC Cards, CDs, DVDs, Blue Rays, M-Discs, or magnetic tapes should only be used to retain records that have a short retention requirement, as equipment or software replacements may render the media obsolete or unusable. File Plans should reflect offline media storage devices maintained and their locations.

It is recommended that offline media be organized by record series (or closely related) that have the same destruction date. Records Custodians should have access to offline media. Routine back up media is not an acceptable process for retaining official records. Official records being retained on portable media for retention are to be kept on that media dedicated to that purpose only.

Electronic storage media must have an external label or an index that includes:

- Name or other identifier of the organizational unit responsible for the records.
- Descriptive title of the contents.
- Dates of creation and authorized disposition date.
- Security classification.
- Identification of the software (to include specific application if appropriate) and hardware used.
- Operating system title and version.

Maintaining Offline Media

No storage media will last forever. Lifespan depends on environmental factors, usage rates, wear and tear, component quality, and manufacturing of the device. Below are the data storage lifespans for specific media types.

External Device	Life Expectancy Optimum Environmental Conditions
CDs, DVDs	Between 2 and 5 Years
Blue Rays	Between 5 and 10 Years
M-Discs	Too new to be determined, but > CDs/DVDs/Blue Rays
Hard Drives	Between 3-5 Years
Magnetic Tape	10 – 20 Years
Other Flash Storage (USB, SD Cards, Solid State Devices)	Memory does not degrade because of age, but rather the number of write cycles.

Offices retaining electronic official records must establish a routine schedule for recopying records maintained on offline media periodically to ensure that no information is lost.

- Official records on more durable media should be inspected and recopied on a regular interval if they are retained for more than two years or if the media is frequently used to access the records. Most department records have a retention period shorter than five years.
- Offices maintaining electronic records on offline media must have a migration strategy in place to ensure the availability, integrity, and usability of the electronic records across hardware and software changes until the expiration of its retention period.
- Keep electronic media away from sources of electromagnetic radiation such as magnets and motors.
- Protect external data stored from environmental factors. Keep USBs, flash drives, memory sticks/cards, PC Cards, CDs, DVDs, Blue Ray, M-Disc, or magnetic tapes in a clean space with dust protection and out of direct sun-light. Avoid touching the surface of storage media; skin oils can interfere with their ability to store data.
- Maintain proper temperature and humidity. A climate-controlled office environment usually suffices. Ideally, magnetic tapes should be kept in 65°F to 75°F temperature and 30% to 50% relative humidity. Optical data storage media (Platters, CDs, DVDs, Blue Rays and M-Discs) are more environmentally tolerant, requiring 14°F to 122°F temperature and 10% to 90% relative humidity.

Department offices retaining official records are subject to Texas Administrative Code 13TAC§6.94 “Minimum Requirements for all Electronic State Records” describes specific standards and procedures related to the maintenance of storage media for electronic records, and data tape libraries, storage facilities, and standards for optical media used to store electronic records as digital images.

Protecting Record Integrity

It is essential to ensure that official records are not changed, damaged, or destroyed before their retention period has expired. Extra care is necessary when relying on an electronic record keeping system. Electronic records must be maintained in a usable format until their authorized disposal date and must be secured from inadvertent alteration or deletion.

Steps for protecting record integrity include the following:

- Identifying the Office of Primary Responsibility for specific electronic records.
- Limiting the official records to only those who require access.
- Identifying the level of access required for the records (read-only, modify or full rights) will protect the integrity of the record.

Section 5: Digital Signatures and Certificates

Digital Signature and Authenticity Considerations

The Uniform Electronic Transaction Act (UETA), Business and Commerce Code, Chapter 322, is the Texas law that governs the use of electronic signatures. The Office of General Counsel has determined that electronic approvals authenticated by network logon are satisfactory for internal business processes not otherwise requiring a physical signature.

DocuSign Contract Lifecycle Management (CLM) is a web-based application that uses workflow automation for document routing, review, approval, versioning, and storage. Contracts Services Division (CSD) employs this application for contract review collaboration.

For more information on Digital Signatures:

- Digital Signatures Rule: Texas Administrative Code, Title 1, §203.23

Section 6: Managing Email Records

Managing Email Records

Email messages created or received using TxDOT resources and/or during TxDOT business that are associated with the records retention requirements are considered official records. Most email records have a short-term value. Because of volume, email presents a potentially expensive liability in terms of discovery or open records requests.

CAUTION: Email can be considered an official record and should be defined by its content according to the Records Retention Schedule.

Records Management best practices recommends emails which are considered official records should be memorialized or produced, transcribed, and preserved on a government-designated storage location. Email folders and their contents are routinely eliminated when employees depart.

In the absence of technology-based enterprise email and electronic records management applications, management of email records must begin with basic techniques that include organization of the records, employee training, and establishment of routine management procedures. Reliance on manual methods of email management is the least desirable approach, but lack of technological solutions should not deter efforts to responsibly manage these records.

Classifying Email

The first step in managing email is classifying messages and/or their attachments in one of three categories: **transitory, non-transitory, or executive (administrative).**

- **Transitory** email messages have content of temporary usefulness and do not need to be regularly filed in a record keeping system. Transitory messages may be needed for a limited period for the completion of a task or action. Examples include routine messages that do not fulfill statutory obligations or document specific agency (business) transactions or functions, such as meeting notices or transmittals that add nothing of value to attachments.

For a definition of transitory information please refer to the Records Retention Schedule per Agency Item Number ADM05. Transitory information can be deleted from the email system once the usefulness has been completed. The disposal of transitory information does not require a 1420 Records Destruction Form.

CAUTION: Records involved in an audit, investigation, litigation holds, or open records request must be retained in their native format and cannot be destroyed until the conclusion of the action involving those records.

- **Transaction-related** email messages such as memos or reports, relate to specific business functions or transactions much be filed with the appropriate Agency Item Number. The content or properties of this email document fulfillment

Transaction-related email messages that are considered non-transitory will fall under other record series per the Records Retention Schedule. All non-transitory information should be memorialized or produced, transcribed, and preserved on a government-designated storage location.

Some examples of non-transitory information in the Records Retention Schedule include Building Construction Project Records (DEC02) and Building Plans and Specifications (DEC03).

- **Executive or Administrative** email messages are typically subject to State Archives review per the Records Retention Schedule, Agency Item Number ADM01. Requirements include communications at executive or program administration levels of the agency operations that document:
  - Fulfillment of statutory obligations,
  - Policy or procedural development or implementation, and/or
  - Program administration transactions or functions, including formulation, planning, implementation, interpretation, modification or redefinition of programs, and services or projects and the administrative regulations, policies and procedures that govern them.

Capturing Email for Retention

Best practices in email management include transferring or preserving the email on a government-designated storage location in accordance with the Records Retention Schedule. OnBase is the preferred repository for managing electronic content as it has the retention functionality built in. OnBase can be integrated with Outlook.

Unmanaged email represents a significant risk to any organization. Some simple common-sense measures used in concert with the techniques for email management can help reduce the expense involved in searching emails for discovery or open records requests.

- Dispose of purely transitory emails as soon as they have served their purpose.
- Limit the number of recipients to as few as possible and avoid replying to “All Recipients” unless needs require it.
- Include specific identifying information such as Right of Way (ROW) Parcel Number, County CSJ Number, Purchase Order Number, etc. in the subject line.
- It is essential to save email messages as the individual conversation string is completed during workflow.

In a situation of a legal hold or open records request emails and other electronically stored information must be preserved electronically in the same medium and application in which the information was created, received, or otherwise exists, without alteration or destruction of any related information, such as required metadata.

NOTE: An open records request or litigation hold notice requires retention of all metadata associated with email. (Contact Office of General Counsel for the Litigation Hold Process)

Section 7: Records Management in an Enterprise Content Management Systems

Enterprise Content Management Systems

An Enterprise Content Management system is a combination of strategy, methods and tools used to capture, manage, store, preserve and deliver information supporting key processes throughout the lifecycle of the record. Document and record life cycle management is an essential component when uploading records/documents to an Electronic Content Management system. Most of the Electronic Content Management system planning involves document organization, records retention identification, document security and employee roles and responsibilities to properly align the document life cycle.

Electronic Content Management systems such as OnBase, ProjectWise, and SharePoint are all examples of Electronic Content Management systems at TxDOT.

Below is a brief description of the primary Electronic Content Management systems:

- **OnBase** was first incorporate by TxDOT in 2016. It is the preferred Electronic Content Management system at TxDOT for the storage and retention of final official records. The system has a records retention functionality built in.
- **ProjectWise** was first incorporated by TxDOT in 2015. The department uses ProjectWise to manage, share and distribute project content within a single platform. ProjectWise streamlines team collaboration and manages engineering and construction documents in a common data environment.
- **SharePoint** is a web-based collaboration platform that integrates with Microsoft Office. Each Division and Districts manages their own sites.

OnBase Records Management User Guides

OnBase user guides provide information on how to User Guides have been developed for planning and implementing OnBase for Enterprise Content Management with step-by-step processes:

OnBase Records Retention User Guide for Records Managers

OnBase Records Retention User Guide for Records Administrators

OnBase Records Retention User Guide for Records Coordinators

Enterprise Content Management Record Ownership Responsibility and Authority

Enterprise Content Management “Ownership” of records includes the responsibility for their proper security, integrity, retention, and the review process to authorize the records destruction. It includes the authority to withhold official records from destruction when appropriate or necessary. The responsibility and authority typically belong to Records Administrators and Subject Matter

Experts involved with official records. Determining ownership may involve coordination between offices to determine the appropriate Enterprise Content Management library for the record or document and the level of security for the various users who will need to access the documents during both active process and inactive.

See Chapter 2 for more information on “Official Record Responsibility”.

State Archives Requirements for Electronic Records

In 2016, Texas State Library and Archives Commission – State Archives Division began accepting electronic records that require archival review. For more information on electronic transfers to State Archives, click on link: Texas Digital Archive (TDA) Transfer Procedures

Records identified in the Records Retention Schedule with an Archival Code of “R” (Review by State Archives) or “A” (Transfer to State Archives) cannot be destroyed until they have been reviewed by the State Archives for historical value. For more information of state archive requirements, please refer to Chapter 11, “Archiving and Destroying Records”.

OnBase has the capability of identifying official records that require archival review using metadata/keywords. Coordination between the Records Administrators and Records Management is required to export records from OnBase and transfer electronically to State Archives.

Records management procedures in an Enterprise Content Mangement system are the same as those for records in any medium and include steps to:

- Ensure secure retention of official records for the appropriate period.
- Identify records/documents that are eligible for destruction.
- Coordinate approval of, or withholding from destruction, by the appropriate authority.
- Conduct the actual destruction of the records.
- Document their destruction.

Section 8: Risk Management and Electronic Records

Legal Use of Electronic Records

The Texas Rules of Civil Procedure allow the use of electronic records as evidence. Each judge may admit or exclude evidence based on the court's independent evaluation. The court must believe that the records admitted are trustworthy, i.e., that they clearly and accurately relate the facts as originally presented or in summary form. Changes in the Federal Rules of Civil Procedure (FRCP) in recent years have more specifically defined the requirements governing the appropriate management of Electronically Stored Information (ESI) in relation to legal discovery. Penalties for failure to meet those requirements can be severe.

Since electronic records have systemic vulnerabilities, the following basic efforts can help to assure their trustworthiness:

- Maintain written procedures related to digital imaging that document the handling of records in the routine course of business. Dated procedures should describe when in the record's life it is converted, quality control measures employed to verify the digital image, and disposition of the original electronic or hard copy record.
- Limit access to documents/records being retained electronically to a single custodian or the system administrator and establish security measures to prevent alteration of the record content or properties.
- Maintaining a current records retention schedule can have an important impact on court proceedings by documenting a record's existence and retention period. The fact that a record is on the schedule shows that the department produces it regularly. Refer to Chapter 3, "Records Retention Schedule", for procedures to update the schedule.
- Records Management is the Office of Primary Responsibility for maintaining the 1420 Records Destruction Form for a retention period of 10 years. Courts generally accept the defense that records have been destroyed under an approved records retention schedule. This is an especially effective defense if there is documentation over a period to prove that the records have been routinely destroyed in compliance with the retention period specified on the schedule. See Chapter 11, "Archiving and Destroying Records" for procedures related to completing the 1420 Records Disposition Form.
- Official records under a legal investigation should remain in their native format.

Preparing for Discovery for Electronic Records

The Office of General Counsel issues policy and procedures for litigation holds in the Legal Manual. When issues a litigation, hold notice to preserve documents relevant to a case, routine document retention/destruction policy is suspended to insure the preservation of relevant documents.

A litigation hold notice does not require immediate production of records. What it does require is:

- Location and identification of all relevant records/documents in any medium. Current file plans can help to locate the records. This step can also include locating records on backup media, portable devices, or voice mail.
- Preservation and retention of relevant electronic documents in their native application to preserve document metadata. If documents were routinely scanned or otherwise retained in a way that lost the electronic metadata before the litigation hold, there is no need to attempt to reconstruct them. Electronic records existing in their native applications at the time the litigation hold is issued, or created after the litigation hold, must be preserved in their native application.
- Security measures are required to preserve the authenticity and integrity of the electronic records.

Chapter 8: Use of Text and Instant Messaging

Contents:

Section 1: Overview

This chapter will address the following:

- Use of Data on Mobile Devices
- Applicable Laws, Regulations, and Penalties
- Open Records Request Obligations
- Official Records versus Transitory Information
- Text and Instant Messaging

Texts and instant messages created or received on devices should be limited to transitory information per Agency Item Number ADM05 in the Records Retention Schedule. It is not recommended to use personal mobile devices while conducting official state business.

CAUTION: Records involved in an audit, investigation, litigation holds, or open records request must be retained in their native format (including texts and instant messaging) and cannot be destroyed until the conclusion of the action involving those records.

Laws, Regulations and Penalties

Open Records Request for Text and Instant Messages

Text and instant messages may not be altered or deleted if an open records request is in progress and must remain in its native format. If an officer, employee, or contractor receives notice of a request for information, they should not delete any text messages related to the open records request.

Public Information Act

Government Code 552.234 "Title 5 Open Government; Ethics, Subtitle A. Open Government, Chapter 552. Public Information – Method of Making Written Request for Public Information" does not distinguish between personal or state-issued mobile devices but rather focuses on the nature of the communication or document. If the information was created, transmitted, received, or maintained in connection with the transaction of "official business," defined as "any matter over which a governmental body has any authority, administrative duties, or advisory duties," the information constitutes public information subject to disclosure under the Public Information Act. Any public business conducted on a state-issued or personal mobile device may be considered an official record. This may include text and instant messages (i.e., Jabber, MS Teams, or other tools.)

CAUTION: The Public Information Act specifies if an officer or employee possesses information on a mobile device that has not been properly transferred or preserved on a government-

designated storage location, the officer or employee must surrender the device or return the requested information to the agency to promptly fulfill an open records request.

Sec. 552.004 "Preservation of Information" of the Public Information Act was amended to say that government officials who use personal devices to conduct public business are responsible for turning over those messages to an official government account, and/or preserving them on the personal device for the duration of the retention period. Furthermore, this amendment applies existing records management laws Government Code Chapter 441 "Title 4. Executive Branch, Subtitle D. History, Culture, and Education, Subchapter A, Texas State Library and Archives Commission" governing the preservation, destruction, or disposition to the records held by a temporary custodian. No matter where a record resides, it is subject to the administrative rules laid out in Records Retention Schedules.

- **Temporary Custodian** refers to a past or present government official who, in the transaction of official state business, creates or receives public information that they have not provided to the officer for public information of the governmental body.

Employees and contractors conducting official state business on mobile devices become "temporary custodians" of the information and are responsible for maintaining the records for the duration of the retention requirement. While conducting official state business on a state-issued or personal device, the data is the property of the state and not the individual. Temporary custodians are responsible for turning over public information held on state-issued or privately-owned devices to the governmental body upon request.

For more information to the Public Information Act, please contact the General Counsel Division

Government Penal Code, Section 37.10

CAUTION: Government Penal Code, Section 37.10 "Title 8, Offenses Against Public Administration, Chapter 37. Perjury and Other Falsifications" specifies a person who intentionally destroys, conceals, removes, or otherwise impairs the verity, legibility, or availability of a government record is considered tampering.

The failure to follow the regulations defined above, may expose the employee, contractor or TxDOT, to damages and attorney fees under the Public Information Act. Additionally, officer's, employee's or contractor's personal mobile devices may be confiscated if an open records request is submitted.

Texas Senate Bill 944, 86th Legislative Session

Texas Senate Bill 944, 86th Legislative Session was created to ensure an officer, employee, or contractor of a government agency who creates or receives records on a privately-owned device or account provides that information to the government's public information officer or officer's agent for the purposes of protecting information and ensuring transparency.

Texas Senate Bill 944, 86th Legislative Session allows governments to obtain records stored on an officer's, employee's, or contractor's private device. The Office of the Attorney General and courts have ruled for years that records held on private devices or in private accounts of

officers, employees, or contractors are still records and are subject to records management and public information laws. Local Government Code, Title 6. Records, Subtitle C. Records Provisions Applying to More than One Type of Local Government, Chapter 202. Destruction and Alienation of Records" Section 202.005 gives the governing body of a local government the right and proper legal channels to recover any records that reside in the possession of an individual. Texas Senate Bill 944, 86th Legislative Session also establishes that an officer, employee, or contractor does not have a personal or property right to records created or received while acting in an official capacity.

Section 2: Official Record and Transitory Information

Official Record

In accordance to laws Government Code Chapter 441 "Title 4. Executive Branch, Subtitle D. History, Culture, and Education, Subchapter A, Texas State Library and Archives Commission" an "official record" on a mobile device can include the following: call records, text messages, video, images, calendars, notes and reminders, voice memos, voicemail, local files, social media, and Geographical Information Services (GIS) location data. An official record is considered media neutral and should be defined by its content according to the Records Retention Schedule.

Transitory Information for Text and Instant Messages

Employees and contractors should limit text and instant messaging to transitory information as defined in the Records Retention Schedule per Agency Item Number ADM05. Transitory information are records of temporary usefulness that are not an integral part of another record series of the agency and are considered records of temporary usefulness required only for a limited period when the purpose of the record has been fulfilled. Employees and contractors should delete transitory information from their devices as soon as they are no longer necessary. The retaining of instant messages will vary depending on the tool settings within the application.

NOTE: The disposal of transitory information does not require a 1420 Records Destruction Form.

Non-Transitory Records

All other Agency Item Numbers identified in the Records Retention Schedule are considered non-transitory. All non-transitory information should be memorialized or produced, transcribed, and preserved on a government-designated storage location.

Section 3: The Use of Text and Instant Messaging

When conducting state business at TxDOT, texting and instant messaging (i.e., Cisco Jabber, MS Teams, and others) will be treated the same as a phone call or face-to-face conversation. Text and instant messaging should be limited to transitory information. In the event a communication is more than transitory in nature, such communications should be transcribed by email or documented to a government account.

Transitory text and instant messages should be deleted once the communication has served its purpose. The retaining of instant messages will vary depending on the tool settings within the application.

Below are guidelines applying to all texts and instant messaging:

- If a text or instant messaging chat discussion needs to be documented, follow up with an email to summarize the main points of the conversation.
- Texts and instant messaging are official records and will be available through open records requests.
- Texts and instant messaging should only be used for communications considered as transitory in nature.
- Maintain a professional tone and demeanor in conducting communication for all texts or instant messaging conversations.
- Follow TxDOT standards for personal conduct in all texts and instant messages.
- Follow any additional texting or instant messaging expectations set by your Division or District (e.g., response times, method of utilization, status settings, etc.).

Below is a list of text and instant message examples that demonstrate transitory versus non-transitory.

Transitory Text/Instant Messages	Non-Transitory Text/Instant Messages
I will be late to the meeting.	I will be late, but I think we should appoint "_" to the "XYZ" Committee.
I sent you an e-mail.	We need a decision on the preferred alternative for this "_" public contract. What do you think?
Will you please call me?	Use the following language in the press release "announcing…"
The District Manager is trying to get in touch with you.	The District Manager wants to know your thoughts on the TxDOT proposal for"_".

Transitory Text/Instant Messages	Non-Transitory Text/Instant Messages
Can you pull (name) out of the meeting?	We need to schedule a closed-door meeting with "_" (Official) and the other board members for later today.
Can you cover for me in today's meeting?	We need to meet with all stakeholders about this issue.
I e-mailed you a draft – Please review.	Use this language in the staff report.

Chapter 9: File Management

Contents:

Section 1: Organizing Files

Overview and General Principles

The standardization of filing systems ensures that all records, regardless of media, are properly and consistently organized, identified, and maintained so they may be efficiently and effectively retrieved using standard practices and procedures. These guidelines are agnostic to the media.

This chapter is to be used as a general file organizational reference for filing, storing, and retrieving files, regardless of the media, throughout their life cycle including:

- Creating or enhancing a system for managing files.
- Developing and applying file management techniques and procedures to files.
- Establishing consistent procedures to review files for storage and disposition.

Organizing for Retrieval

Timely access to information is critical for the day-to-day TxDOT operations to operate safely and efficiently. Files must be accessible, secured and organized for easy and intuitive retrieval throughout their life cycle. Organizing files is a vital process which allows the right people to access the right information, at the right time, when needed to perform or document work activities.

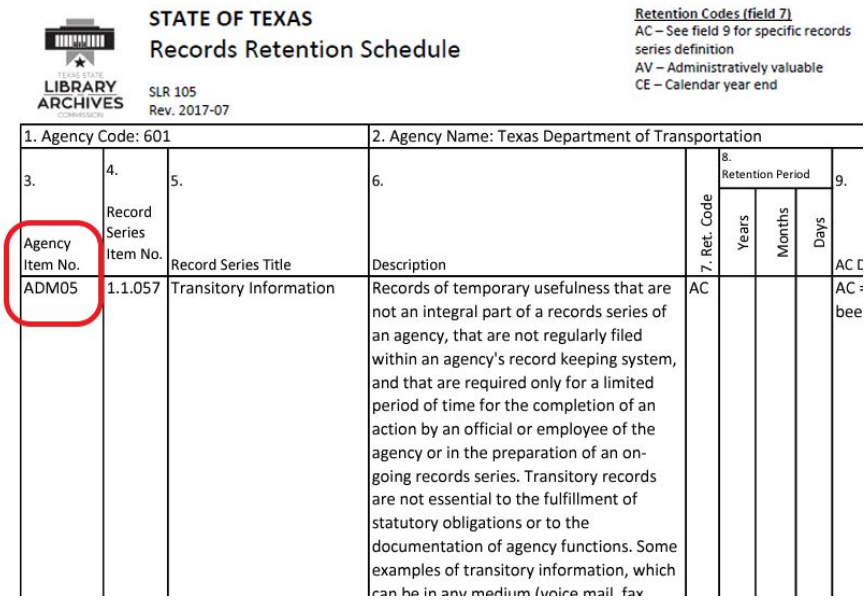
Organization is typically hierarchical, moving from broad categories through subcategories to specific contents such as individual folders or documents. In an electronic file system organization technique may extend to specific criteria to identify individual documents.

TxDOT depends on accurate, readily available records and information in the ordinary course of business to:

- Assist in decision-making.
- Improve organizational efficiency.
- Document regulatory compliance.
- Provide historical reference.
- Disposition files according to the Records Retention Schedule.

Ideally, files should be grouped by records series as indicated in the Records Retention Schedule using the Agency Item Number. The Agency Item Number is a location referenced on the TxDOT Records Retention Schedule used to classify and index files.

The Agency Item Number is a unique alpha-numeric code assigned by TxDOT for each records series and applies elements to describe the type of record, responsible office, and sequence of the record series on the Records Retention Schedule.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)
AC – See field 9 for specific records series definition
AV – Administratively valuable
CE – Calendar year end

1. Agency Code: 601			2. Agency Name: Texas Department of Transportation					
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period Years	Months	Days	9. AC D
ADM05	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's record keeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an on-going records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax	AC				AC = bee

Figure 9-1. Example of Agency Item Number in RRS.

As our records management program matures, Districts and Divisions will be expected to routinely apply the Agency Item Numbers to records regardless of the media.

Below is an example of a folder file structure associated with Agency Item Numbers:

Figure 9-2. Folder File Structure.

Basic File Arrangements

There are four basic file arrangements:

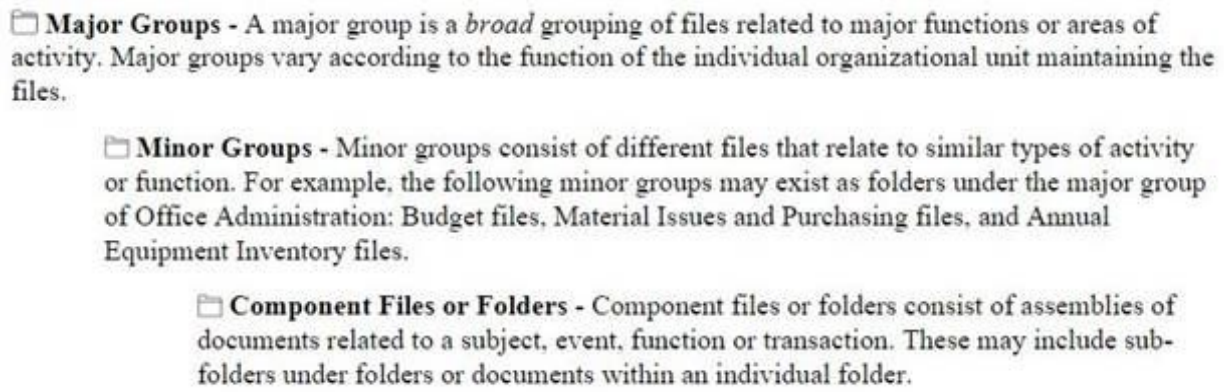
- **Subject** – Is recommended for use when the range of topics is broad such as correspondence, reports, clippings, catalogs, research data, projects, plans and inventory lists. The subject arrangement becomes a logical way to sequence information.
- **Alphabetical** – Is recommended for use when records are retrieved by personal, organization, or agency names such as names, geographic locations, vendors, publications, or things usually filed in alphabetical order.

- **Numeric** – Is recommended for use when the volume of records is large and have unique numbers that naturally sequence the order. i.e., using numbers in various combinations, such as date, control-section, and job, etc.
- **Alpha-Numeric** – Consists of a combination of letters and numbers. i.e., the alpha designation is SAF for the Safety, followed by a primary subject heading in a structured-functional system. SAF-001 Safety Manual (General). Alpha-Numeric can be a decimal numeric (SAF-001), duplex-numeric (SAF-001-GEN), or block-numeric (SAF [100-499]), and Title/Numerical sequence.

Hierarchical Groupings

Typical file organization moves from broad groupings of files through progressively more specific groupings to files or documents. Reasons to use a hierarchical scheme:

- Keep related records and documents together.
- Make it easier to find the information.
- Provide context for individual documents and records.
- Standardize titling terminology for searching.
- Help employees to use the same terminology in organizing records.
- Identify ownership or management responsibility for groups of records.



Section 2: File Life-Cycle Management

File Location

The management and location of files is vital in controlling the life cycle of the documents across TxDOT. Where records are created, reviewed, and published, and how they are retained and disposed of in the ordinary course of business is important. An effective file management process drives compliance for maintaining files regardless of the media. The elements of an effective file management solution contain the following:

- Where to store files at each stage of its life cycle.
- What metadata is required for documents to aid in the organization, identification, location, and access to files.
- What retention policies need to be applied to files so that content can be audited, retained, protected, and disposed of properly.

File Naming and Organization

File and folder (physical and electronic) naming conventions are key to maintaining well-organized electronic directories and file cabinets. Naming records consistently, logically and in a predictable manner will distinguish similar records from one another.

Benefits of Consistent File & Folder Naming:

- They are easily distinguished one from another.
- Their names are easier to browse and search.
- Retrieval is facilitated for all users (not just the file/folder creator).

Electronic File Naming

Electronic file naming should support both retrieval and records life-cycle management for electronic files that are retained on a shared drive. While document and folder names may suggest content, use of dates or numbers in the names can help to graphically organize them on the display.

Date-Based File Organization

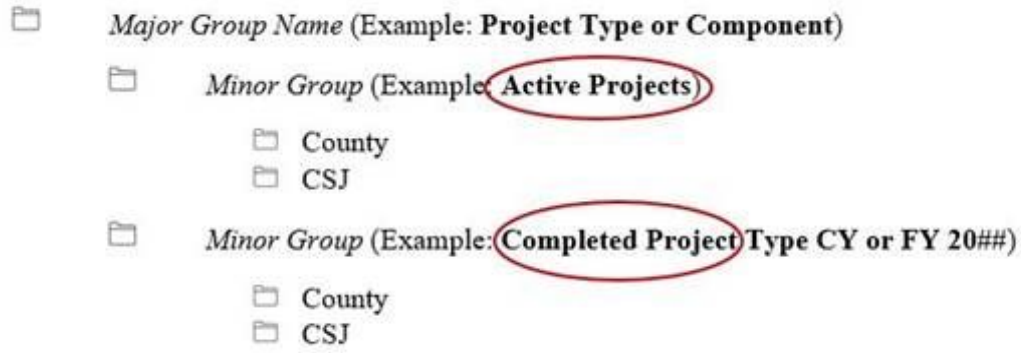
Organize and name date-managed files in the following manner:

Major Group Name. FE 20XX Major Equipment Transfers
- District or Division (DD) Month Constituent File Name (May Be alphabetical, numerical, or alphanumerical)

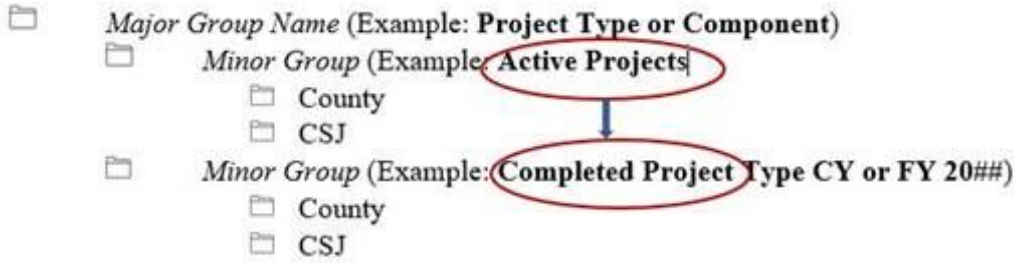
Example: Invoices CY or FY 2021_JAN Purchase Orders

Event-Based File Organization

Employ the same folder structure as the date-based arrangement above, but create separate folders to contain active and completed files, as in the following example:



As the status of records changes from active to completed, move the records from the Active minor group to the appropriate folder in the Completed CY or FY20## Minor Group.



Since records are typically managed on a periodic basis, organization of completed event-based records by year of completion is ordinarily sufficient to accomplish efficient retention and destruction of records. Folder structures can be organized for a closer adherence to minimum

retention requirements for sensitive records by using month folders, or a similar finer level of detail in a date-based minor group.

File Naming

Appropriate file naming is essential to allow accurate identification of content for retrieval. In most functions, using a combination of a date and standard title representing the content or function is sufficient. Document naming conventions can be established as routine procedures for many documents related to operations. Some examples include the following:

- MM-DD-YY Approval Memo (or E-mail or Letter or Form)

  NOTE: It may be helpful for retrieval to include the type of document format, such as e-mail or form, for correspondence.

- MM-DD-YY Status Report (File suffix (.doc, .xls) will identify type of document)
- MM-DD-YY (Recipient Name) E-mail
- MM-DD-YY Form Title-Person Name or another Identifier

Use of the date allows for an easy sequential organization of files related to a process. Numerical suffixes can identify consecutive content related to a document or subject. Managers or supervisors can establish naming conventions appropriate to the needs of their operations and train employees to use them.

CAUTION: Excessively long folder or document names may result in file corruption that prevents document actions, such as moving or copying document files.

E-mail Management

E-mail messages created or received by means of state resources, including employees and contractors, are considered official records. Inadequately managed or uncontrolled e-mail represents a significant legal vulnerability in most organizations. While users may view the medium as a communications utility, much like the telephone, the courts may consider e-mail messages as documentary evidence. Responsibility for appropriate management of e-mail is shared by managers, supervisors, and users.

Basic Guidelines

Several basic measures can reduce unnecessary duplication of records, including the following:

- Identifying and characterizing e-mail subject related to records retention.
- Establishing and enforcing procedures to save e-mail to the appropriate file folder immediately upon completion of the transaction.
- Identify and retain e-mail according to the retention requirements.

Section 3: Hard Copy File Management

Visual Techniques

The principle of organizing files for retrieval also applies to hard copy filing systems. Hard copy file management techniques include the use of file coding and folder labeling as primary retrieval aids.

File Coding

File coding is a shorthand identification of the major and minor group and folder number to identify where records are located and simplify routine filing and retrieval. File codes on folder labels and in File Plans should mean something to users and help identify the contents of the file.

For example, a folder label has 3.CON 2 entered in the upper left corner. This file code represents the second file folder in the minor group Contracts (CON), in major group number 3, which may be business or project records that include contracts as a minor group. The label may also contain the contractor's name, the contract number or other identifying information.

The following table lists acronyms used in file codes of minor groups found in many offices. Create other codes as needed.

Minor Groups and Codes

Minor Groups and Codes

Code	Minor Group	Code	Minor Group
ACC	Accounting, Stock Accounts, etc.	LIC	Licenses
ADM	Administrative Operations, Administration (may include accounting, budget, etc.)	LIT	Litigation
AG	Attorney General’s Office	MAN	Manuals
AGR	Agreements	MAP	Maps and Charts
AUD	Audits	MAT	Material Files, Material Records
AUS	Austin Headquarters Correspondence, Reports, etc.	MGT	Management, Program Management, etc.
BRG	Bridge	MNT	Maintenance
BUD	Budget	PER	Personnel, Human Resources

Minor Groups and Codes

Code	Minor Group	Code	Minor Group
CLM	Claims	PIO	Public Information, Public Relations
CON	Contracts, Contract Monitoring, etc.	PMT	Permits
COR	Correspondence	POL	Policies
CUR	Current Directives, Current Project, etc.	PRE	Preliminary Bids, Preliminary Plans, etc.
DD	Division Director	PRG	Program Files (or files related to ongoing functional programs, etc.)
DE	District Engineer	PRO	Project Files, Procedures
DIR	TxDOT Directives, Administrative Circulars, Administrative or District/ Division Announcements, etc.	PUB	Publications, Purchase Orders
EQP	Equipment (use MAJ or MIN if needed)	REF	Reference
FIN	Financial	REG	Regulations
GEN	General Correspondence, General Reports, etc.	REQ	Requirements, Requisitions, Requests
INR	Internal Reviews, Internal Audits, Sunset	RES	Resident, Research
IPE	Investigation and Planning Expense	RPT	Reports
ISS	Issues	RRX	Railroad Crossing
LED	Ledgers	SAF	Safety
LEG	Legal, Legislative, Legislature	TOR	Tort Claims
LET	Letting Files, Letters	TRN	Transitory Files, Reading Files

Organizing and Labeling File Folders and Guides

Each file folder holds a specific set of related records. There are many ways to arrange file folders within a major or minor group. Keep the following in mind when organizing files:

- Think about retrieving information rather than storing paper.
- Use specific titles for major groups, minor groups, and file folders, leaving no room for misinterpretation. Do not use “Miscellaneous” as a title; it is another word for “lost.”
- Arrange folders functionally and logically. The arrangement should relate directly to office functions and provide the most convenient access to the most active files.

- Use color to distinguish files that are purged routinely from files retained for a long time. Colored labels may identify a specific time, such as calendar or fiscal year. The less that retention periods vary among various folders, the easier it is to manage the files. White labels can identify files that are not routinely purged.
- Include reference to automated or non-standard records and files. Use file guides to tell users that automated or imaged files exist, where they are and how to access them.

Setting Up Files

Steps in organizing hard copy files include:

- Preparing file guides.
- Preparing labels for file folders and drawers.
- Coding records.
- Cross-referencing files.
- Organizing files according to the File Plan.
- Distributing the File Plan.

Preparing File Guides

Prepare a file guide (divider) for each major and minor group of file folders.

Major group guides should include the major group number and title, “1. ORGANIZATION AND MANAGEMENT,” for example minor group guides should include the appropriate major group number, minor group code, and minor group title. For a minor group of audit folders within the major group of organization and management, the guide label would consist of “1. AUD Audits.”

Major group guides should be distinguishable from minor group guides immediately. An easy way to do this is to use a second-position guide (center tab) for major groups and a first-or third-position guide (tab on the left or right) for minor groups.

NOTE: For electronic files, microfilm files or files located away from the file cabinets, prepare a guide that tells where to find the files. For example, if files are maintained electronically on a shared drive, a directory address, such as “SEE T: \Folder\Sub-folder name” may be useful.

When using color coded folder labels as a file management tool, use plain white guide labels to avoid having to prepare new file guides every year.

Preparing Folder Labels and Color Coding

Use color-coded labels to distinguish folders maintained on a periodic (fiscal or calendar year) basis, and white for folders that are not routinely purged which remain in the files year after year.

The folder label describes where a folder belongs in the files and what is in it. Each label should include the file code, folder title or content description and, if needed, a date for the contents.

Although space on labels is limited, including additional information, such as identification of record copies and destruction date can be helpful in file management.

For extensive or complicated filing systems, labeling systems using large, easily visible letters, numbers and dates in varying color combinations and tab configurations are available from commercial vendors.

Bar code technology is also commercially available for large file systems with significant retrieval activity.

Preparing File Drawer Labels

Use file drawer labels to identify the contents of each drawer. If room permits, list the titles and/or codes, dates, or other identifying information for beginning and ending major and minor groups in the drawer.

Coding Records for Filing

Ease of retrieval and successful file management depends on accurate filing. Entering the file code on a document tells at a glance where it belongs in the files. The most effective method of coding is to enter the appropriate file code, consisting of the major group number, three-letter minor group acronym, and appropriate folder number in a prominent place, such as the upper right corner on each document as a routine office procedure when documents are created or received. This can be automated by including the file code in headers or footers on template documents related to functions or activities. It may not be feasible to code all existing files, but when a file is retrieved, it can be coded for accurate refiling.

Documents copied and filed in various locations need more than one code. Circle the code for the file folder where the copy of the document belongs.

Cross-References

Avoid filing multiple copies of records. When a record appears to belong in more than one place, prepare a file guide pointing to the proper location of the record. This method reduces the chance of inadvertently retaining convenience copies after the official record has been destroyed.

Charge-Out Card

When a user removes a file folder from the files, the folder should be replaced with a charge-out record card containing the date of removal, a brief description of the folder removed (label information usually suffices), and the name and phone number of the user.

Charge-Out cards serve as both a placeholder and identification of the person who has removed a file from the principle residence (file room or box). Routine reviews for files removed from centralized or controlled areas should be made to ensure those files marked on the charge-out forms are returned to their proper location as soon as possible.

Standard charge-out record cards are available from TxDOT office supply sources. It is a good idea to keep a few cards at the front of each file drawer. When a user returns a checked-out folder, the user's name can be marked out and the card re-used. An example of a standard charge-out card follows:

Figure 9-3. Example of a Charge-Out Card.

Chapter 10: Inactive Records

Contents:

Section 1: Active Records Opposed to Inactive Records

Life Cycle of Records

Document and record life cycle management is an essential component in records management. Document organization, creation/receipt, classification, use, retention, and disposition (i.e., transfer to state archives, or destruction are all important milestones in a record life cycle.

Active Records

Active records are defined as documents which require access for on-going business activities and are referred to for day-to-day operations. If a record is still being processed or is referred to at least once a month, then it is considered “active”. Records are grouped as a record series for a specific period during which they are most likely to be referenced.

Inactive Records

Inactive records are defined as documents no longer needed to conduct current business; however, they must be preserved until the retention period is met. It is important to purge inactive records from high-cost equipment, office space and on-line servers to control the costs of maintaining records.

Benefits of Utilizing Inactive Storage

The benefits of proper implementation of the TxDOT Records Retention Schedule and use of inactive records storage are as follows:

- Reducing the volume of records, equipment, and space.
- Increases the filing and retrieval efficiency in the office.
- Minimizes the cost of storing official records for the required retention period.
- Preserves accessibility to records during their required retention periods.
- Ensures proper coordination and documentation of the destruction of official records.

Records Eligible for Storage at the TxDOT Records Management Warehouse

Only official records listed on the TxDOT Records Retention schedule are eligible for storage at the Records Management Warehouse. Districts should maintain a similar policy for storing records to conserve resources.

Convenience copies are not eligible for storage since they can be disposed of without formality.

A record series with a retention code of Administrative Value (AV) is not eligible for Records Management Warehouse storage unless a specific retention period and destruction date is assigned to it.

For assistance contact TxDOT Records Management or reference the Records Management Website.

Storage Locations

Offsite storage for inactive records may be stored locally within a District or Division, or at the Records Management Warehouse in Austin.

Recommended Storage Requirements for Paper Records

Physical offsite storage requires appropriate handling and protection of TxDOT's physical records, including, but not limited to, paper records, audio tapes, video tapes, and photographs. Heat accelerates chemical reactions that can damage paper and photographic media. High humidity, in combination with heat, promotes the growth of mold, fungi, and other contaminants.

The temperature and relative humidity in records storage areas must consequently be controlled, but the nature and extent of required control depends upon the retention period. Generally, the shorter the retention period, the less stringent the environmental controls need to be.

All physical documents with a retention period exceeding ten years must be stored in a well-ventilated open warehouse to prevent stagnant air with temperature less than 80 degrees F and with a relative humidity below 60%. A typical air-conditioned office environment with stable temperature and humidity where paper will have minimum exposure to light and contaminants, is generally adequate for film to be retained for ten years or less.

Make sure storage areas are secure. Provide protection from:

- Elements: Windowless, air-conditioned environment is best.
- Insects, food, drink, and smoking should not be allowed in the storage area.
- Fire: Fire-suppression sprinkler system is ideal. Suitable fire extinguishers should be accessible.
- Do not volatile substances in or near the same place as records.
- Access by unauthorized people.
- Use shelving. Metal shelves are best. Keep the bottom shelf at least two or three inches off the floor. For fast retrieval, you may organize the shelving area by record types, fiscal years, etc. Use shelf labels.
- Stack boxes. If shelving is not practical or available, stack boxes on pallets or some other support that keeps them off the floor. Cardboard document storage boxes may be stacked up to six high. It helps to insert 1/4-inch plywood between boxes. Cut plywood sheets a little larger

than the lids of the boxes. Attach a large label identifying the stacked records to a box on the outside of the stack, or even individual outside boxes. Retrieval is more difficult with this storage method.

For guidelines on how to secure physical records, see “Chapter 4, Protecting and Securing Information”.

Selecting Records for Storage

Points to consider when evaluating whether to transfer inactive records include:

- Volume of records and required minimum retention period.
- The frequency the records are needed or used.
- The urgency of need when they are required.
- Time requirements for retrieval.
- Availability, cost and use of office space and filing equipment vs. the lower cost of offsite storage.
- Viability of imaging (See Chapter 6 “Document Imaging”) as an alternative to hard copy storage.

Section 2: Transferring Physical Records to Storage

Procedural Overview

Transferring records to storage involves preparing boxes for transfer per the 1419 Records Transmittal Form. Contact Records Management prior of transferring boxes for coordination and review of form.

Records Management is the Office of Primary Responsibility (OPR) of the 1419 Form. Districts and Division should retain a convenience copy for their reference for future retrieval.

Steps for Transferring Physical Records to Records Management Warehouse

Step	Action
1	**Verification of Official Records (ONLY) for storage**: Only official records are eligible for inactive storage. No convenience copies are accepted. • If you have questions, contact Records Management.
2	**Ordering Boxes** Coordinate with your District and Division purchaser to submit order for boxes item number: (NIGP # 615-37-13-0850). • Each standard box holds 13 inches of letter-size, or 10 inches of legal-size records (allowing handling room). • Boxes with dimensions outside of the standard box size must be approved before sending to the Records Management Warehouse. • **Records shipped in any other container without approval will be returned to sender.**
3	**Preparation of Records.** Make sure you only packaging official records in the boxes. • Do not pack convenience copies or working papers. • Retrieval is faster if the records are stored in their folders in the original sequence. • It may be helpful to include file guides from the original files.
4	**Packaging of Boxes.** • All boxes must be properly assembled so the bottom does not fall out when the box is filled with records. • There should be two inches of handling room in a full box. • Records will be stored exactly as sent. • Boxes are required to be accompanied by a hard copy of the1419 Records Transmittal Form. • In addition, please attach the electronic 1419 Records Transmittal Form in the IT Ticket (Physical Records Request). • Pack only *one Agency Item Number Record Series* to a Box. • Pack only records with the *same destruction year*. • Be sure to leave handling room. Do NOT overstuff boxes. • Make sure *all information (fields) are addressed* on the 1419 Records Transmittal Form. • Non-standard size boxes can be shipped with prior authorization with the Records Management Warehouse.

Step	Action
5	**Marking of Boxes** **If more than one box is used, mark them with temporary box numbers (1, 2, 3...). For Districts and Divisions with specific box numbering schema – they can continue to use their own box numbers. (example: ROW/HRD).** • Mark the number (about one inch high) to the left of the handhold cutout on the box end. • Number the box, not the lid, because lids are interchangeable. • Do not write any other information on the box. • Make sure the numbers correspond to how boxes are listed on 1419 Records Transmittal Form • Each box should have a corresponding row in the form. For example, if there are 12 boxes being shipped then the form should list 12 rows. (See Chapter 10 “Inactive Records – Transmittal and Storage Documentation” for detailed instructions).
6	**Transferring of Boxes.** Austin headquarters divisions and offices use interoffice mail if there are five or fewer boxes. To schedule larger shipment, prepare a Courier Pick Up/Delivery Form 2539 and email SSD-DeliveryLogistics@TxDOT.gov. If you require additional assistance contact Records Management. If there are enough boxes to ship on a pallet, do the following: • Stack boxes no more than six high. • Stack boxes in numerical order, top to bottom, left to right. • If boxes are stacked more than for high, it is a good idea to shrink-wrap the pallet.
7	**Completing 1419 Records Transmittal Form.** All boxes are required to be accompanied by a hard copy of the 1419 Records Transmittal Form. (See Section 3 “Transmittal and Storage Documentation” of this chapter for detailed instructions) Ensure all required information for the records is identified on the 1419 Records Transmittal Form. After completing the form: • Submit an IT ticket (Other IT Services – Physical Records Request) See example below. • Attach 1419 Records Transmittal Form to the IT Request – Physical Records Request (See Figure 10-1). • Place the printed 1419 Records Transmittal Form on top of the records in Box 1. • Do not tape lids to boxes. • Once the boxes are received by Records Management then the “Storage Location” column will be filled out. The form will be returned to DD as a convenience copy and the Storage Location identification number will be referenced by DD when requesting information.

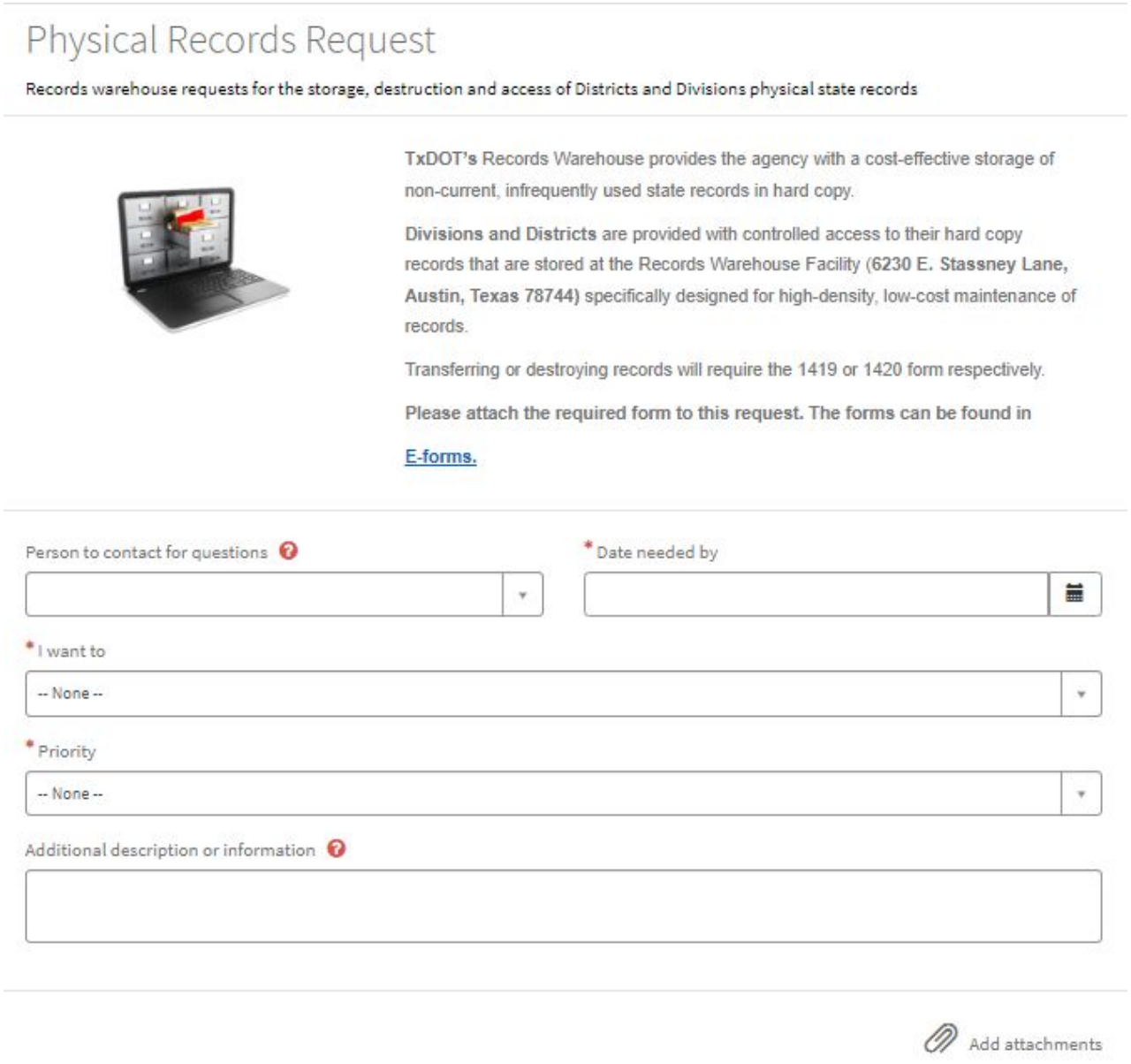


Figure 10-1. Physical Records Request.

Section 3: Transmittal and Storage Documentation

1419 Records Transmittal Form Overview

Districts or divisions sending records for storage at the Records Management Warehouse must use a 1419 Records Transmittal Form, which provides the following:

- Serves as documentation to verify that all records shipped were received.
- Serves as an index and locator for records in storage.
- Is used to provide the Office of Primary Responsibility a detail listing when destruction of the records is coordinated.
- Provides an audit trail to document the storage and disposition of official records in accordance with the agency's approved Records Retention Schedule.

Instructions for Completing 1419 Records Transmittal Form

One 1419 Records Transmittal Form can be used to transmit many boxes of records. Although you may transmit multiple boxes with varying destruction dates with a single 1419 Records Transmittal Form, records management recommends transmitting a single record series with a single destruction date with each 1419 Records Transmittal Form to reduce the possibility of confusion or errors. Following is an example of a completed 1419 Records Transmittal Form:

How to Complete 1419 Records Transmittal Form

1419 Records Transmittal Form

Step	Block Name	Action
1	**District or Division Section/ Location**	**Enter the complete return address of the sender.** Include District or Division section and location. Please provide a phone number to contact the sending Districts and Divisions Records Administrator.
2	**Date of Request**	**Date of Transfer.**
3	**Contact Persons**	The form must include the **District and Division Records Administrator** name (Required), and the Records Coordinator name (Optional) of the District or Division. The Records Management individual receiving the records will enter their name, date, and sign in the appropriate signature block prior to returning a copy of the form to acknowledge receipt of the records.
4	**District and Division Records Coordinator** **(Optional)**	Enter the name of the **Records Coordinator** for the District or Division completing the form and transferring the records.

1419 Records Transmittal Form

Step	Block Name	Action
5	**Additional Information**	**Complete any specific information that may be needed**. (e.g., when transferring records to Texas State Library and Archives Commission)
6	**Request the Accompanying Records Be Sent to Texas State Library and Archives Commission.**	**Check the appropriate box to indicate Archival Review or Archive.**
7	**Request That Accompanied Records Be Stored**	**Check one of the following**: • Until Destruction Date • Permanently • Temporarily
8	**Storage Location (Receiving Organization Only)**	**Leave BLANK**. Completed by Records Management. This is where boxes are stored at the TxDOT Records Warehouse. You will use this number in the future to request boxes once they have been indexed.
9	**Box Number**	**Should contain the temporary box identification numbers** (1, 2, 3, etc.) that were marked on the boxes by the sender. You can send multiple boxes with varying record series and destruction dates on the same transmittal. Each box should have a corresponding row in the form. For example, if there are 12 boxes being shipped then the form should list 12 rows.
10	**Record Series Title**	For each box, enter the **Record Series Title** from the TxDOT Records Retention Schedule. The record series title is a general description. You may describe the records as specifically as necessary for your retrieval needs. • Pack only a single records series with a single destruction date in a box. • In the next column, be sure and include the Agency Item No. from the TxDOT Records Retention Schedule, e.g., ADM 12.
11	**Agency Item Number:**	**For each Record Series, enter the corresponding Agency Item Number from the TxDOT Records Retention Schedule.** This entry is required for records sent for storage at TxDOT Records Warehouse or Texas State Library and Archives Commission. (e.g. ADM09)
12	**Description and Date of Records**	**Description and date of records is self-explanatory.** Include as much detail as necessary to be able to retrieve needed records. The order of listing records in this column should follow the sequence in which the records are placed in the boxes.
13	**Retention Code**	List the **Retention Code as identified on the TxDOT Records Retention Schedule** (i.e.: AC+4)
14	**Date Range**	List the **Start (Month/Year) and End (Month/Year)** of Records.

1419 Records Transmittal Form

Step	Block Name	Action
15	**Archival Code**	For records which have an archival code requirement, check the appropriate box (**Archival Review or Archive**) as identified on the TxDOT Records Retention Schedule. • A - The records must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission. • R - The Archives and Information Services Division must be contacted for an archival review of the records before disposition. Those records determined to be archival must be transferred to the Archives and Information Services Division for long-term preservation. • N/A – No Archival Code, but retention requirements are to store inactive official records.
16	**Destruction Date**	**The date the records can be destroyed in accordance with the sender's approved Record Retention Schedule**. Enter a specific date, i.e., 09/1999. • Do not pack records with different destruction dates in the same box.
17	**Signatures**	**All required signatures must be completed**.

Records Transmittal Form
(See Instructions on last page)

Form 1419 (Rev. 03/21) Page 1 of 2

TO: Records Center
2000 Centimeter Cir. Suite A
Austin, TX 78758

FROM: D/D ROW - Right of Way
Bldg. 118, Riverside Campus | Austin, TX | 512-416-2862

Date of Request: 08/08/2017

D/D Records Administrator: Lesa Golden

D/D Records Coordinator:

Additional Information:

Request the accompanying records be:
STORED
☒ Until destruction date ☐ Permanently ☐ Temporarily

Request the accompanying records be sent to Texas State Library and Archives Commission (TSLAC) for:
☐ Archival Review ☐ Archive
Transfer of Records: ☐ Physical ☐ Electronic

Storage Location (Receiving Organization Only)	Box No.	Record Series Title	Agency Item No. (Ex: ADM03)	Description & Date of Records	Retention Code (Ex: AC+4)	Date Range (Ex: 2016-2017)	Archival Code (R, A, N/A)	Destruction Date (MO/YR)	Add New
3586	1	Closed Right of Way Project Files	ACQ01	ROW Project Material - **RCSJ: 1950-01-034, Dist. 18 (DAL) Special Folders:** Correspondence, Appraiser's Contracts, Outsource Payments **Parcel Folders:** 1 - 17	AC + 4	2017	N/A	5/2021	Delete Row
3587	2	Closed Right of Way Project Files	ACQ01	ROW Project Material - **Parcel Folders:** 18 - 31 **Utility Folders:** U13654	AC + 4	2017	N/A	5/2021	Delete Row
3588	3	Closed Right of Way Project Files	ACQ0	ROW Project Material - District Number 12, RCSJ: 0027-13-142, Harris County, Account Number: 8012-01-060 Financial Mgmt Close out Date: 02/05/2022	AC + 4	2017	N/A	5/2021	Delete Row

Records Management is the Office of Primary Responsibility (OPR) of the 1419 Form per the Records Retention Schedule (RRS) Agency Item Number ADM 38.

Figure 10-2. Records Transmittal Form

Section 4: Receipt and Storage Location

Receipt Procedures

Before transferring physical records to the Records Management Warehouse there should be coordination with Records Management to validate all information is accurate and avoid sending records back.

On receipt of records transferred to storage, Records Management does the following:

- Verifies the records are eligible for storage at a TxDOT Records Warehouse. Validates box count and records retention information with the enclosed 1419 Records Transmittal Form.
- Records will be returned to the sender if:
  - 1419 Records Transmittal Form is missing, incomplete, inaccurate, or illegible.
  - Records transferred are not official records.
  - Records are not packed in standard document storage boxes.
- Verifies the beginning and ending records in each box correspond with the information on 1419 Records Transmittal Form.
- Assigns and enters the storage box number and returns a copy of the transmittal back to the Records Administrator to use for future retrieval.
- Closes the IT Ticket and attaches the final signed 1419 Records Transmittal Form.

Section 5: Requesting Physical Records from TxDOT Records Warehouse

Procedure

To retrieve records from the TxDOT's Records Warehouse, an IT Physical Records Request is required. If you have a copy of the 1419 Records Transmittal Form, it is helpful to attach it to the request. You may request the entire box or a specific folder.

Below is an example of the IT Physical Records Request:

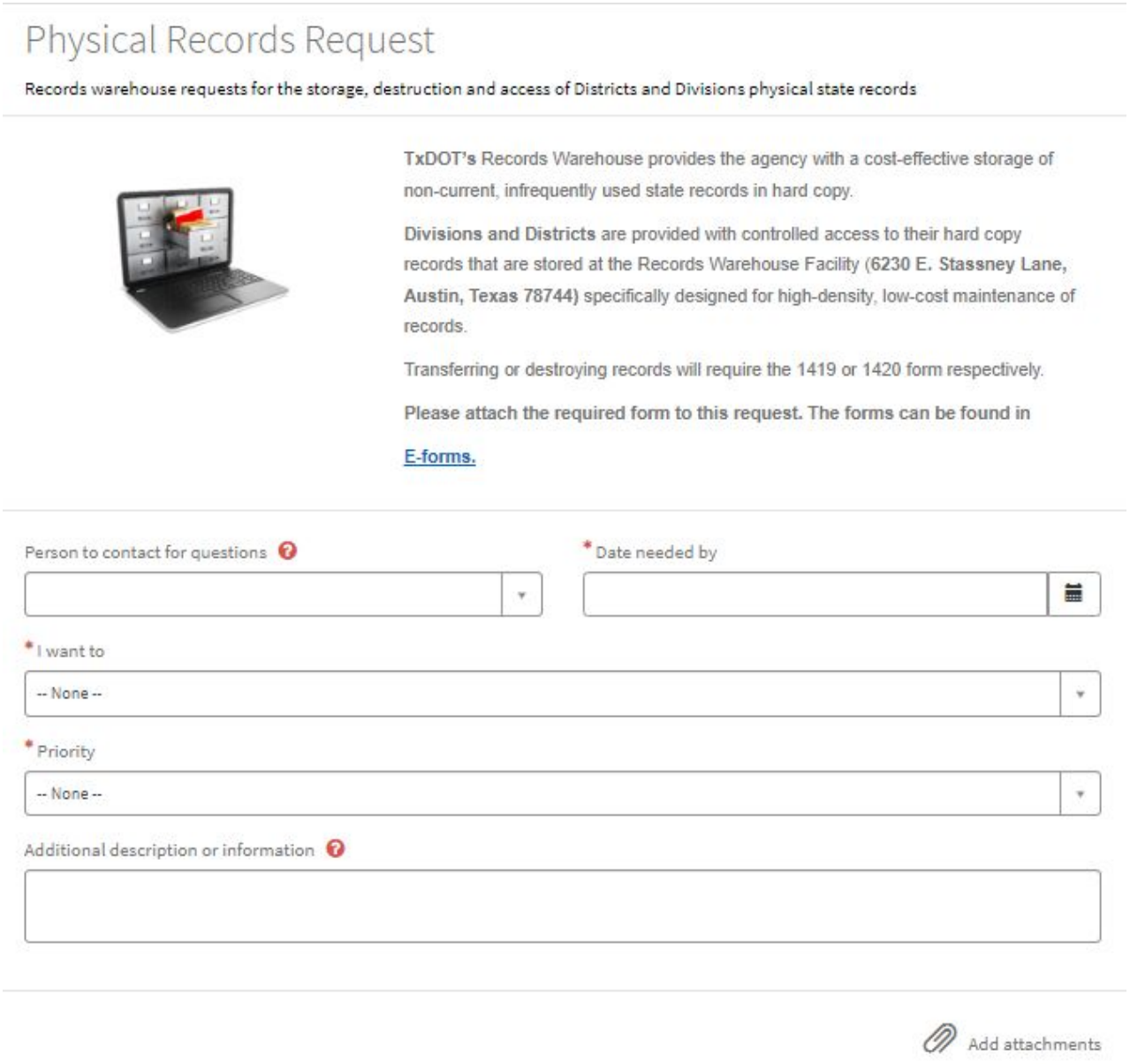


Figure 10-3. IT Physical Records Request

Requesting Microfilm Records from the Records Management Warehouse

Some records are maintained in microfilm format at the Records Management Warehouse. There are two types of micro-types: 1) Project Correspondence, and 2) Project Plans. Project Correspondence requires County, Control-Section-Job (CSJ) and build year. Project plans requires County and CSJ.

The process to view and print images from microfilm requires special equipment and assistance from the Digital Print Center (DPC).

The following steps are required when requesting microfilm records from the Records Management Warehouse:

Steps to Order Microfilm

Step	Who	Action
1	Requestor	• Submits a request for records in TxDOTNow (Physical Records Request)
2	Records Management	• Checks to see if the requested records are at the warehouse. • If not found, then notifies requestor and closes the ticket. • If found, notify the requestor that the microfilm is available.
3	Requestor	• Create a DPC Ticket and provides the DPC ticket number to Records Management.
4	Records Management	• Sends microfilm to Digital Print Center • Insets a check out card where the microfilm was at the warehouse.
5	Digital Print Center (DPC)	• Completes the ticket request. • Returns microfilm to Records Management Warehouse.
6	Records Management	• Refiles microfilm at the Records Management Warehouse and closes the ticket.

Monitoring of Checked-Out Records

The IT Physical Records Request will not be closed until items are returned to TxDOT's Records Warehouse. Records Management will contact employees who have checked out records to verify that the records are still in the possession of that person, and to encourage the return of the records to storage if they are no longer needed.

When you are finished with the records, simply return them to Records Management via interoffice mail.

Section 6: Storage Areas and Equipment

Introduction

For Districts and any offices maintaining an inactive records storage area, this section contains information on:

- Storage area requirements for storing official records.
- How to identify and label boxes.
- Types of storage boxes available.

Record Location Aids

Index stored records in sufficient detail to retrieve them. The 1419 Records Transmittal Form is designed to capture this information.

Include the location (pallet number, shelf location, etc.), a reference to the Agency Item Number on the TxDOT Records Retention Schedule, and the date the records become eligible for destruction on the index.

Furnish a copy of the index in a pending file, arranged by destruction date, to your Records Administrator. The list can serve as a detail attachment when documenting records destruction.

For quick retrieval, attach an index or list of contents to each box. You may also want to place a copy of the index inside the box.

Mark boxes visibly to identify the contents and destruction date. Include only records with the same destruction date in any single box. You may want to use different colored markers for different destruction dates and avoid colors that fade in sunlight.

Mark any boxes that contain either vital records or records requiring review by the State Archives before destruction.

Types of Storage Boxes

Although the standard document storage box is the only type allowed at the TxDOT Records Warehouse or Texas State Library and Archives Commission, there are occasions when other types of boxes may be needed for local use. The table below describes several types of storage boxes.

Storage Box Descriptions

Table Title

Box Types	Descriptions
Standard Document Storage Box	Standard document storage boxes are 1.2 cubic foot in volume, measuring 10 x 12 x 15 inches. They hold letter and legal-size documents and have removable lids. Empty boxes fold flat for storage. Request these boxes from local supply rooms, Regional Distribution Centers, or warehouses (NGIP# 615-37-13-0850)
Permafile Box	These boxes are also known as transfer boxes. The standard size is 10 x 12 x 24 inches, and the legal size is 10 x 15 x 24 inches. These boxes are collapsible and reusable. Each has the same volume as a file drawer. Permafile boxes are commercially available. While useful for storing some types of records such as rolled maps or large documents, Permafile boxes have some disadvantages: • Weight: full box weighs up to 100 pounds. • Hazards: The metal reinforcement strips can cut hands and rip clothing. • Inefficient use of space: Boxes cannot be stacked more than four or five high without crushing the box on the bottom. • Legal-size boxes do not fit standard shelving.
Bankers Box	These cardboard boxes slip into metal-reinforced cardboard shelving units. • They are the same size as standard document storage boxes. Banker's boxes are an inexpensive way to store records. • The shelving units will not support more than seven or eight full boxes in a stack. • You must dismantle an entire stack to replace a worn unit. The units tend to weaken with time and use and may become dangerously unstable.
Custom Box	Some offices make wooden boxes to store construction project records. Each project has its own box, which simplifies moves and transfers.
Other	Cardboard boxes for use with specific media are available under state contract (Commodity Code 640-25-60)

Chapter 11: Archiving and Destroying Records

Contents:

Section 1: Overview

Disposition and Destruction

The final action taken on an official record concludes with destruction, or disposition. Disposition entails transferring, or permanently preserving records as defined in TxDOT's Records Retention Schedule. Formal destruction of official records requires a 1420 Records Destruction Form.

Authorization for Destruction

Texas Government Code §441.187 authorizes TxDOT to dispose of any record listed on the approved TxDOT Records Retention Schedule once the required records retention period has been met.

Records involved with an audit, investigation, litigation, or open record request cannot be destroyed until the conclusion of the action involving those records.

Coordinate with the General Counsel Division to determine the status of any records subject to a litigation hold before authorizing their destruction.

Disposition of Records

Records which require to be reviewed or transferred to the State Archives cannot be destroyed once retention is met. They first need to be reviewed by the State Archivist to consider the archival value of the records to determine destruction or disposition. A 1419 Records Transmittal Form is required for the transfer of records.

Advantages of Timely Disposal

Destroying records as soon as they become eligible after having met their retention requirement benefits the agency by:

Advantages include the following:

- Reducing exposure to legal discovery and open records requests. There are no requirements to produce records that were destroyed in the ordinary course of business, provided there is no anticipated or actual legal action in place at the time of destruction that would require TxDOT to withhold records from destruction.
- Reducing the cost of storage (physical or server/cloud space, equipment, and network performance). The cost of storage will be reduced over time with the increased use of Enterprise Content Management systems.

Records Eligible for Destruction

Official records are eligible for destruction when they have met their total retention period in accordance with the TxDOT Records Retention Schedule.

- Non-records, convenience or information copies and e-mail of a transitory nature **may be destroyed without formality** once their purpose has been served.

Withholding Records from Destruction

Records involved in audit, investigation or an open records request shall not become eligible for destruction until the conclusion of the action and satisfaction of the retention requirements pertaining to records related to the action.

Take steps to preserve records involved in such actions as soon as you become aware of the possibility of the action and include steps to verify conclusion of any actions during review of eligibility for destruction. Coordinate with the General Counsel Division to determine the status of any records subject to a litigation hold before authorizing their destruction.

Section 2: Record Destruction Procedures

Destruction of Records Retained Locally

Districts and Divisions may destroy records retained locally once the total retention period has been met. The Office of Primary Responsibility must document the destruction of official records on a 1420 Records Destruction Form and submit via DocuSign to Records Management for final approval of destruction.

Local Review and Approval Procedures

Step	Who	Action
1	**Records Coordinator** or **Records Administrator**	• **Review's** records File Plan to identify records that have met their retention periods and are eligible for destruction. • **Lists** records for destruction on 1420 Records Destruction Form.
2	**Records Coordinator**	• **Forwards** the completed 1420 Records Destruction Form to the Records Administrator for review/signature.
3	**Records Administrator**	• **Reviews** 1420 Records Destruction Form to verify records have met retention requirements. • **If destruction is denied**, the Records Administrator should explain the reason for denial and return 1420 Records Destruction Form to the Records Coordinator. • **If destruction is approved**, the Record Administrator will submit the 1420 Records Destruction Form to Records Management via DocuSign for final approval of destruction.
4	**Records Management**	• **Verifies** that the records listed on the 1420 Records Destruction Form have met records retention requirements. • **If the destruction is denied**, Records Management should explain the reason for denial and return 1420 Records Destruction Form to the Records Administrator. • **If the destruction is approved**, the destruction of records can be performed. • **The retention requirement** on the 1420 Records Destruction Form is 10 years per OIS05. • **Records Management is the Office of Primary Responsibility for 1420 Records Destruction Form**.

Destruction of Stored Records at Records Management Warehouse

Step	Who	Action
1	**Records Management**	• **Verifies** Records (Boxes) that have met destruction at Records Management Warehouse. • **Submits** an IT Physical Records Request on behalf of the Records Administrator to review records eligible for destruction. • **Attaches** the 1419 Records Transmittal Form to the IT Physical Records Request or emails directly to the Records Administrator.
2	**Records Administrator**	• **If records are approved** for destruction a 1420 Records Destruction Form is submitted to Records Management for final approval of destruction of records. • **If Records Management approves** the 1420 Records Destruction Form, then the Records Administrator attaches the approved Form to the IT Physical Records Request. • **If records need to be retained**, then a new 1419 Records Transmittal Form must be submitted.
3	**Records Management**	• **Remove records from inventory** and coordinate with vendor for destruction. • **Close IT Physical Records Request.**

Electronic Deletion of Records Stored on Devices

Record "deletion" removes the index marker from the device; the record remains to be written over, much like recording over an old audio or video tape. Eventually the record may disappear through fragmentation and overwrites; however, the possibility of forensic reconstruction exists.

Full deletion of obsolete records involves drive formatting and recopying to ensure complete removal, which is generally impractical. A possible solution involves retaining selected high-risk records on a server dedicated to managing volatile records through a combination of file deletion, copying, disk formatting and reloading procedures. If you have a large quantity of e-records, or a device drive to erase or reformat, you should contact IT.

Methods of Deleting Data from Devices:

- **Overwrite** a Hard Drive three (3) times (recommended by the Department of Defense)
- **Degauss** (neutralize with a magnetic field)
- **Physically** destroy the media by
  - Shredding
  - Pulverizing
  - Drilling Holes

Section 3: 1420 Records Destruction Form

Overview

Texas Administrative Code 13 TAC 6.8(b)(3) requires that the destruction of official records be documented.

District and Division Records Administrators must submit a 1420 Records Destruction Form for all official records destruction. Records Administrators can compile multiple record series into one 1420 Records Destruction Form to submit to Records Management. Each District and Division should submit at least one 1420 Records Destruction Form to Records Management annually.

Records management maintains the official 1420 Records Destruction Forms for the Agency. The 1420 Records Destruction Forms are retained for the 10-year retention period per the TxDOT Records Retention Schedule.

Information on the 1420 Records Destruction Form

A sample of a completed 1420 Records Destruction Form and table of field definitions follows:

DocuSign Envelope ID: AE4A5715-3B1F-45A8-A634-93A5670D69B4

Records Destruction Form

Form 1420 (Rev. 6/22) Page 1 of 1

CAUTION: *A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of a retention period for the record set by the Texas State Library and Archives Commission or in the approved records retention schedule of the agency until the completion of the action and the resolution of all issues that arise from the action, or until the expiration of the retention period, whichever is later. Texas Government Code § 441.187(B).*

A duplicate (convenience, information or reference) copy of a document may become a record by default if it replaces an original that has been lost or destroyed per retention requirements.

DD: FOD - Fleet Operations **Section:** Bryan District

Records Administrator: Edwin Baez **Requestor:** Cassandra McKibben

Agency Item Number	Record Series Title and Description	Date Range	Total Retention	Volume*	Archival Code (R or N/A)	Method of Destruction**
FOD07	Daily Equipment Pre Trip Checklist	2/2020-3/2022	3 MO	54 files	N/A	Shred
FOD01	Master Equipment Files, Part 1 - see attached	9/2015-8/2019	LA3	179 Files	N/A	Shred
FOD02	Repair Order Equipment Files, Part 2 - see attached	9/2015-8/2019	LA3	179 Files	N/A	Shred

*Total number of records to be destroyed. For electronic records, fill out total number of files and the total number of bytes (KB, MB, GB); ex: (120 files = *8 MB).
For physical records, fill out total number of files, or boxes; ex: (1 box or 50 files)..
**Indicate method of destruction such as shredding, recycling, or deletion.

Before Destruction

Signatures must be completed in order to certify the above described state records are past the retention period specified by the TxDOT Records Retention Schedule and have met all audit and administrative requirements.

I hereby acknowledge by my signature below, that I am responsible for the secure destruction of all physical and electronic records identified on this form to prevent the recovery of these records in accordance to the Records Retention Schedule.

D/D Records Administrator Signature: DocuSigned by: Edwin G Baez 3003C63966F243E... Printed Name: Edwin G Baez Date Approved: 8/2/2022

TxDOT Records & Data Manager Signature: DocuSigned by: Nohemi Ruiz 2B22A605C2EE4BF... Printed Name: Nohemi Ruiz Date Approved: 8/2/2022

The retention for this Records Destruction Form is 10 years in accordance to the Agency Item Number, OIS05 per the TxDOT Records Retention Schedule.

Figure 11-1. 1420 Records Destruction Form.

How to Complete the 1420 Records Destruction Form

The 1420 Records Destruction Form includes the following information about the records that are destroyed.

See the following table for specific descriptions of each field on 1420 Records Destruction Form:

Step	Block Name	Action
1	**District or Division Section**	• Enter the District or Division section and location.
2	**Contact Persons**	• The form must include the Records Administrator name (Required), and the Requestor name (Optional) of the District or Division. • The Records Manager reviewing and approving the destruction of records will enter their name, date, and sign in the appropriate signature block prior to returning a copy of 1420 Records Destruction Form to acknowledge approval of destruction of the records.
3	**District or Division Records** Administrator (Contact Person)	• Enter the name of the Records Administrator for the District or Division completing 1420 Records Destruction Form and requesting approval.
4	**Requestor** (Optional)	• Enter the name of the Requestor for the District or Division requesting destruction of records.
5	**Agency Item Number:**	• For each record series, enter the corresponding Agency Item Number from the Records Retention Schedule.
6	**Record Series Title and Description**	• List the record series title from the Records Retention Schedule with a brief description of contents. • List a single records series with a single destruction date per line.
7	**Date Range**	• List the Start (Month/Year) and End (Month/Year) of Records.
8	**Total Retention**	• The total retention period identified in the Records Retention Schedule.
9	**Volume**	• List the number of records to be destroyed. • For electronic records, fill out total number of files and the total number of bytes (KB, MB, GB); ex: (120 files = *8 MB). • For physical records, fill out total number of files, or boxes; ex: (1 box or 50 files).

Step	Block Name	Action
10	**Archival Code (R, A, or N/A)**	• For records which have an archival code requirement, identify Archival Review (R) or Archive (A) or Not Applicable (N/A) as identified on the Records Retention Schedule. • A - The records must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission. • R - The Archives and Information Services Division must be contacted for an archival review of the records before disposition. Those records determined to be archival must be transferred to the Archives and Information Services Division for long-term preservation. • N/A – No Archival Code is associated with the record series identified on the 1420 Records Destruction Form.
11	**Method of Destruction**	• Indicate method of destruction such as shredding, recycling, burning or deletion.
12	**Signatures**	• All required signatures must be completed. The Records Administrator is required to sign before submitting to the Records Manager.

Section 4: Confidential Records

Destruction of Confidential Records

Shredding is the method of destruction to be used for **all** confidential records.

Follow these procedures to shred confidential records in any media:

Districts:

- Use private shredding facilities or shred records on-site.
- If records are to be recycled after shredding, make sure that recycling contractors certify confidentiality from pickup through ultimate disposition.

Austin Office Locations:

Office locations can arrange for secure destruction with the approved vendor and/or contact Records Management for handling. Records management will arrange for secure shredding services with a TxDOT vendor.

If no shredder is available and the quantity of records is small, dispose of confidential records in the following way:

- Cut or tear records by hand into small pieces.
- Mix pieces thoroughly and place them in several different containers with other trash.
- Discard containers separately at varying intervals.

Destruction of Non-Confidential Records

Recycling is the preferred method of destruction for non-confidential records. Non-confidential records do not need to be shredded before recycling. Other methods of destroying non-confidential records are:

- Pulping or burning
- General disposal (commercial trash removal, bulk disposal, use of local landfills)
- Erasure or re-recording over magnetic media, audio, or video media.

NOTE: Methods other than burning records and depositing them in landfills are preferable.

Section 5: Archival Review

Archival Records

Texas Government Code §441.186 requires that certain records series, identified on the Records Retention Schedule with an archival code "R," be dispositioned and reviewed by the Texas State Library and Archives Commission State Archives to determine whether the records may have sufficient historical value to be retained by the State Archives. Other records, identified with an archival code "A," must be sent to the State Archives.

The following table lists records that are subject to archival review. An asterisk (*) indicates that archival review requirements are frequently satisfied by the deposit of copies of published documents with the State Publications Clearinghouse.

Common Groups	Record Series	A/R	AIN
Administrative Records	Administrative Correspondence (Executive Staff, Board or Commission Members, District Engineers, Division Directors, and Program Heads)	R	ADM01
	Administrative Hearings	R	ADM34
	Agency Rules, Policies, and Procedures - Final (Agency Rules, Procedures, including manuals)	R	ADM27
	Agency Rules, Policies, and Procedures - Working (Agency Rules, procedures, including manuals)	R	ADM28
	Biennial Narrative Reports	A	ADM17
	Calendars, Appointment Books or Programs, and Scheduling or Itinerary Records (Executive Staff, Board or Commission Members, District Engineers, Division Directors, and Program Heads)	R	ADM47
	Commission Agendas and Meeting Minutes and Supporting Documents	A	DED02
	Executive Orders (Documents that Initiate, Rescind, or Amend Regulations, Policies or Procedures Governing Programs, Services or Projects of an Agency)	A	ADM03
	History Files	R	ADM25
	Legislative Appropriation Requests	A	FBF01
	Meetings – Supporting Documentation	A	DED08
	News Releases and Media Advisories	R	CMD01
	Organization Charts	A	ADM24

Common Groups	Record Series	A/R	AIN
	Plans and Planning Records (non-construction)	R	ADM12
	Public Information Products	R	CMD02
	Public Relations Records	R	ADM21
	Publications Development Files (Does not apply to drafts or texts, production paste-ups or production materials for routinely distributed publications or brochures.)	R	ADM19
	Reports and Studies (Non-Fiscal) Completed by Agency Personnel or External Consultants	R	ADM15
	Speeches, Papers and Presentations (including notes and/or text) delivered in conjunction with agency work.	R	ADM22
	Strategic Communication Plan (SCP)	R	CMD04
	Strategic Highway Research Program Records	R	PAV03
	Strategic Plans	A	DIR01
	Sunset Review	R	ADM32
Facilities and Transportation Planning and Operations	Aerial Photographs and Map Files	R	PGM02
	Aerial Photographs and Maps of Locations in Districts	R	DES07
	Applications for New Air Carriers	R	AVS02
	Building Construction Project Files	R	DEC02
	Building Construction Technical Correspondence	R	FMS02
	Building Plans and Specifications	R	DEC03
	Building Plans/Specifications - State Owned	R	FMS04
	Building Site Plats	R	FMS01
	Contracts Related to Architectural Building Construction	R	CCP02
	Cultural Resources Photographic Records	A	CRM02
	District Buildings	R	DMT03
	Environmental Studies	R	ENV11
	Final ROW Project Files	A	REM01
	Historic Bridge Project Records	R	DBR05
	International Bridge Crossings	R	TSP08

Common Groups	Record Series	A/R	AIN
	Major Investment Studies	R	TSP06
	Map Files	R	DMS03
	Master Plan Drawings	R	FOD08
	Metropolitan/Rural Transportation Files	R	TSP02
	Minutes of Aviation Commission Meeting	A	ADI01
	Quarry and Pit Files	R	MNT19
	Statewide Transportation Plan	R	TSP01
	Transportation Studies and Proposed Project Feasibility Studies	R	TPD05
	Vessel (Ferry Boats) Blue lines, Blueprints, electrical diagrams, revisions	R	MOP03
Legal and Legislative Records	Case Files - Out of State Services Records	R	GCD06
	Contested Case Files	R	GCD01
	Legal Case Files	R	ADM33
	Legal Opinions and Advice	R	GCD03
	Liability Lawsuit Files	R	TAR03
	Research Project Records	R	RTI01
	Sunset Review	R	SLA03

Identifying Archival Records

The best time to identify records with archival requirements is when listing them on a File Plan. It is important to identify records requiring archival review in the remarks block on 1419 Records Transmittal Form, and on any index documentation when preparing records for storage. See Chapter 10 “Inactive Records” for procedures for completing 1419 Records Transmittal Form.

Transfer of Archival Records

The archival requirement for some records is met when required copies are sent to the State Library Publications Depository Program. Records Management has annotated the Records Retention Schedule to indicate that an archival copy of eligible documents be furnished to Records Management for archival deposit at the time the documents are produced. This step applies particularly to records that are not necessarily “published,” and is intended to satisfy the archival

requirement without the producing office having to perform extra steps at the end of the record/ document's life cycle.

Records Management coordinates archival review for applicable records with Texas State Library and Archives Commission State Archives. Districts and Divisions processing records with an archival requirement at the end of their retention must prepare a 1419 Records Transmittal Form.

- Physical records must be packed in a suitable unmarked document box and ship the records to Records Management for further coordination with the State Archives.
- The State Archives started accepting electronic records for review or archival deposit in 2017. They have placed the responsibility for retention of these records on the individual agency. Records will be exported electronically and submitted to Texas State Library and Archives Commission State Archives for review for permanent archival.

Chapter 12: Vital Records

Contents:

Section 1: Identifying Vital Records

Vital Records

Vital (essential) records, as defined in the Texas Government Code §441.180(13). "Vital Record" means any official record necessary to:

- Resumption or continuation of state agency operations in an emergency or disaster.
- Re-creation of the legal and financial status of the agency.
- Protection and fulfillment of obligations to the people of the state.

Although all official records serve a purpose, only about 5 percent of an agency's records are truly vital as defined above. It is important to identify vital records, and to be able to rapidly reconstruct vital records from backup copies after a disaster.

Chapter 13, "Disaster Recovery Planning," describes procedures that can help to reconstruct records quickly following a disaster.

The essential function of each District and Division determines what records are essential. This chapter contains information on identifying and protecting vital records.

Identifying Vital Records

Vital records are only those records that are essential for the Agency to operate their assigned responsibilities following a disaster.

Vital records may consist of:

- **Operational** records necessary to resume or continue operations.
- **Legal** records for proof of authority or activity.
- **Fiscal/Financial** records, especially those related to receivables.
- **Governmental** records necessary to protect the rights and interests of the department, it's employees and the public.

Responsibility for Vital Records

Offices that maintain vital records are responsible for:

- Identifying vital records and making sure they are listed as vital on the Records Retention Schedule.

Following is an example of vital records in the Records Retention Schedule:

DMT04	5.4.011	Building Security Records	Badge and identification lists, documentation.		3					Certain security records may contain confidential information and may be protected as vital records. NOTE: Retain copies of Visitors Registration/Building Security forms to meet this requirement.	

Figure 12-1.

- Implementing protection procedures to back-up vital records.

Common Vital Records

Vital records are not necessarily permanent records or records with archival value. Vital records may be vital for only a part of their total retention.

Common vital records include the following:

- Active contracts and agreements, with all amendments and supporting documentation
- Financial records
  - Accounts receivable (vendors will provide copies of lost or damaged accounts payable)
  - Loans or money transactions
  - General ledgers
  - Records proving payment
- Employee records
  - Payroll
  - Benefits
- Operations and manufacturing records
  - Engineering drawings
  - In-process project records
  - Research and development notes, reports, plans, formulae
  - Production/design specifications
  - Equipment inventory
- Negotiable instruments
  - Checks
  - Bonds
  - Notes
- Ownership records

- Deeds
- Titles
- Leases
- Patents and trademarks
- Licenses

- Insurance policy information

If a record is vital, annotate your File Plan and/or Office of Primary Responsibility list to make employees aware of the need for special handling for the records.

Figure 12-2.

You may also include the following:

- Special instructions - For example, the record may be vital only for a specific period within a longer retention period.
- Vital records are to be protected through a prescribed back-up process.
- Persons authorized to access the records - If the records are kept in secured storage, include information on contact persons for access.

Section 2: Threats and Protection

Introduction

This section contains information on potential threats to vital records, methods of protection, storage equipment and conditions. TxDOT must carefully consider the maintenance, storage equipment, and conditions of archival and vital records. They should adhere to established procedures to protect against potential threats.

Potential Threats to Records

Potential threats to records include the following:

- Fire
- Water
- Theft and sabotage
- Natural disaster
- Civil disaster
- Accidental destruction
- Neglect
- Misplacement
- Age

Methods of Records Protection

Districts and Divisions that are the Office of Primary Responsibility for vital records are accountable for taking measures to protect, maintain and store those records for the period established in the Records Retention Schedule.

Below is a list of four effective methods of protection in the order of their expenses:

Method	Description
Duplication and Dispersal	• Dispersal is the practice of maintaining convenience copies of a vital record in more than one location on the assumption that a disaster is unlikely to affect two different locations at the same time. • There are two types of dispersal: Routine and Planned. Either way, you should document specific remote storage locations in Disaster Recovery Procedures (see Chapter 13 "Disaster Recover Planning") • Routine dispersal is frequently used in an agency with more than one office location. During regular business, vital records are sent to several different locations for use and reference. If these records are maintained at two or more locations, and employees are aware that the records are vital, additional protection may not be required. • Planned dispersal is the distribution of a convenience copy of a vital record specifically for protection purposes. The convenience copy can be in any media or format. The secondary convenience copy is sent to another storage location until the records are no longer considered vital or retention requirements are met. • Periodic inspection and duplication can arrest the aging process to some degree.
On-Site Storage	• On-site storage involves storing back-up convenience copies in special storage equipment in, or near the office location. Fire-resistant files or vaults are used most often. Use storage equipment designed specifically for the record medium (paper, film, electronic) and use it only for vital records. • Place equipment carefully, with disaster prevention in mind. Equipment should be on an outside wall, if possible. In fires, structures tend to collapse toward the center, where the fire burns hotter and longer. Do not store vital records in a basement. Basements collect water from efforts to extinguish fires, and flooding is an obvious danger.
Off-Site Storage	• Off-site storage involves storing back-up convenience copies in a remote location and is best for official records that are referenced infrequently. Off-site storage locations in Austin include the Records Warehouse and the State Records Center. • Districts may develop storage areas or choose to use a commercial off-site storage facility. Considerations in selecting a commercial facility include the following: ◦ Speed of access to the records. ◦ Access control and security at the facility. ◦ Environmental conditions (temperature, humidity, protection from outside air infiltration and electromagnetic fields, insect, and rodent control) related to the type of record media stored. ◦ Whether the facility meets National Fire Protection Association/American National Standard Institute standards for off-site storage. ◦ Availability of auxiliary power to maintain environmental conditions in the event of utility power failure. ◦ Availability of insurance for the center and the records. ◦ Type of fire prevention, detection and suppression-systems used. ◦ Type of filing index system used. ◦ Procedures for receipt, transfer, and disposal of records. ◦ Existence of an established Disaster Recovery Plan. ◦ Availability of duplication and reproduction equipment. ◦ Client references.

Method	Description
Microfilm or Imaging	• Microfilming or imaging offer back-up protection by creating duplicate convenience copies. Because of the expense and labor involved in imaging, this alternative should only be considered for records that are vital through a lengthy retention. NOTE: Do not store microfilm or CDs in fire-resistant cabinets. In a fire, the insulation in the cabinet creates steam on the inside of the cabinet. Moisture and heat at relatively low temperatures will destroy film and plastic while not harming paper. Microfilm and electronic back-up media require periodic inspection and possibly duplication when used to retain records for lengthy periods of time, especially if the media is stored in unfavorable conditions.

Storage Equipment and Conditions

Records protection equipment, such as fire-resistant file cabinets, safes, or vaults, is rated for safety and damage resistance. Labels on the equipment certify that it has been tested for its capacity to withstand specified levels of intense heat, sudden cooling, and severe impact.

Texas State Library and Archives Commission State Agency Bulletin 2 “Microfilming Standards and Providers”, Section 6.26 “Storage of Original Microfilm” requires the following storage climate conditions for microfilm:

1. For microfilm of records with a retention of 10 years or more, temperature must not exceed 70 degrees Fahrenheit, and a constant relative humidity of 35% must be maintained with a maximum variance of plus/minus 5.0% relative humidity in a 24-hour period.
2. For microfilm of records with a retention of less than 10 years, the maximum temperature must not exceed 77 degrees Fahrenheit, and a relative humidity range between 20% and 50% must be maintained with a maximum variation of plus/minus 5.0% relative humidity in a 24-hour period.

Chapter 13: Disaster Recovery Planning

Contents:

Section 1: Overview

General – Steps in Disaster Recovery Planning

A disaster is generally defined as an event that causes widespread destruction and distress. When a disaster causes the irreparable loss of information, it may be called a catastrophe. This chapter contains information to help Districts and Divisions plan and respond for disasters.

Disaster recovery planning includes the following steps:

- Disaster prevention measures.
- Development of a Disaster Recovery Plan.
- Development of disaster recovery and records salvage procedures.

Vital Records Protection

The Texas State Library and Archives Commission requires each state agency to provide for the economical and efficient storage, accessibility, protection, and final disposition of vital records. It is important to identify and take adequate steps to protect confidential and vital records, in order to rapidly retrieve records from backup convenience copies after a disaster.

TxDOT has a legal responsibility to protect all records; however, confidential, vital, or essential records require extra consideration and protection because they are the records that are necessary to resume or continue essential business operations in the event of a business disruption.

The risk management process involves understanding the business impact, risk analysis and assessment of records to determine the proper strategy to protect vital records. Methods of protection will vary depending on the format of the vital or essential record and the accessibility timeframe.

General Risk Assessment

Records risk assessment is the process of evaluating the existing or potential risks to official records and information. The baseline assessment involves the following:

- Conducting physical site surveys of any or all storage sites to determine existing security and controls.
- Evaluating existing security and control measures to identify threats to official records.
- Identifying the natural and other community-wide disasters to which the agency is susceptible.
- Identifying vulnerability to acts of deliberate destructiveness, building failure, equipment failure, and human error or carelessness.

Section 2: Disaster Prevention

Recognizing Threats to Records

Recognizing potential threats to records can help plan for disasters.

The four most common threats to records include the following:

- Fire
- Water
- Theft and sabotage
- Adverse environmental conditions
  - Flood
  - Tornado or hurricane
  - Earthquake

Other threats include the following:

- Disgruntled Employee
- Civil disaster
- Accidental destruction
- Neglect
- Misplacement
- Deterioration by age

Methods of Protection

The table below lists the four most common threats to records and ways to protect records from damage:

Record Threats and Methods of Protection

Threat	Protection
Fire	To minimize chances that a fire will start and maximize chances for quickly extinguishing and fires that do start: • Do not store records near a heater, radiator, or other heat source. • Prohibit smoking in buildings where records are stored. • Do not store records near chemicals, such as cleaning supplies, etc. • Remove paper clutter from storage areas. • Observe approved records retention periods to ensure the timely destruction and removal of records. • Make sure electrical wiring is safe. When possible, avoid the extended use of lighting or equipment with cords around storage areas. If appliances are used, unplug them before leaving the area. • Comply with all fire, electrical, plumbing, heating and construction codes. • Have fire extinguishers available near the records. Have them inspected regularly, and train staff to know where they are located and how to use them. • Keep escape routes and exits clear. Hold regular fire drills to practice emergency procedures. • Periodically evaluate fire prevention systems in use, such as smoke detectors and/or sprinkler systems. • Try to store records against and outside wall. In fires, structures tend to collapse towards the center where fires burn hottest and longest.
Water	Water damage may occur because of other forms of disaster. Water damage and flooding often occur because of efforts to extinguish a fire. Wind and wind-driven rain can break windows and damage records. Backed-up drains and sewers, or broken pipes, can also cause water damage to records. Also, some geographical areas are prone to flooding due to heavy rain events. To reduce the likelihood of water damage to records, do the following: • Avoid storing records in basements, under water pipes, or directly on the floor. • Locate all drains and have them checked regularly. • Regularly inspect the sprinkler system and check the general condition of the records storage site for susceptibility to flooding or potential standing water. • Look for any potential water hazards during routine inspections of plumbing. • Try to store records in an area without windows.

Record Threats and Methods of Protection

Threat	Protection
Threats and Sabotage	Security is the key to protecting records from theft and sabotage. Consider the following when determining who will have access to individual record series: • Are the records classified as “open” or “confidential”? • What are the characteristics of the records medium? • Are the records classified as “vital”? • What are the physical features of the building where the records are used or stored? Conduct an initial security analysis and periodic evaluations of security in records storage areas and active file areas. The following basic protective measures will improve security: • Determine who needs access to specific record series and limit the number of employees who handle these records. • Limit access to records storage areas. • Be aware that terminated employees may pose security risks. Be sure they turn in all relevant identification and keys before leaving. • Ensure all access control, intrusion detection and alarm systems receive regular maintenance. • Conduct security checks at closing time to ensure all exits and windows are locked, equipment has been turned off or unplugged, all lights and water faucets are off, no cigarette are smoldering in ashtrays and no unauthorized persons are in the building. • Keep the exterior of the facility well-lit at night. • Establish procedures to follow in the event of theft or vandalism.
Environmental Conditions	The most important factor in protection from environmental conditions is avoidance of extremes. Avoid storing records in attics, basements or warehouses that are not in some way climate controlled. To help delay natural deterioration, provide at least the following: • Air-conditioning • Air circulation • Temperature stabilized within a range of 60-75 degrees Fahrenheit. Most modern paper deteriorates continuously due to high levels of paper acidity. Atmospheric pollution intensifies this problem. Microforms and magnetic media may deteriorate unless they are controls for temperature, humidity, pollution, and light. Some protective measures in addition to the above are to: • Avoid storing records in areas where there is smoke, dust or chemical fumes produced by paints. • Protect all records from direct sunlight and bright lights. • Keep the storage area free of food, beverages, and plants to avoid soiling the records or attracting insects or rodents.

Section 3: Developing a Disaster Recovery Plan

General - What the Plan Involves

Districts and Divisions should develop a written Disaster Recovery Plan appropriate to their own operation. Even minimal preparation can have a significant impact on the success of efforts to recover TxDOT records. Below is information provided by Texas State Library and Archives Commission on disaster recovery procedures which states the following:

- Create written disaster recovery procedures for accessing vital electronic official records during a disruptive event.
- Address vital electronic official records in continuity of operations, business continuity, and/or disaster recovery plans as part of the agency's overall continuity program, as required in Texas Labor Code §412.054 “Title 5. Workers’ Compensation Act, Subtitle A. Workers Compensation Act.
- Require all third-party custodians of official records, holding records on behalf of the state, to provide the state with descriptions of their business continuity and/or disaster recovery plans as regarded to the protection of the state agency's vital electronic official records.
- When a disaster occurs where official records are prematurely destroyed or are not identified on TxDOT's approved Records Retention Schedule an RMD 102 Form, Request for Authority to Dispose of Official Records is required to be submitted to Texas State Library and Archives Commission to obtain approval for disposal of records. Contact Records Management to coordinate the submission of the RMD102 Form.
- Must be submitted to Texas State Library and Archives Commission for approval for destruction, (due to weather conditions i.e. water-damaged) before the retention period has not been met.

Developing a Disaster Recovery Plan involves:

- Stockpiling emergency supplies and arranging services.
- Establishing a disaster recovery team.
- Developing disaster recovery and records salvage procedures.
- Contingency planning.

Emergency Supplies and Services

In an emergency, self-reliance is critical. In any major disaster, TxDOT is likely to have to assist with recovery efforts for other agencies and the public while managing its own recovery.

Check supplies and re-confirm vendor relations and service agreements periodically. After a wide-scale disaster, these resources may not be readily available. Suppliers or service organizations may have their own damages to deal with, or they may be helping someone else.

Disaster Recovery Team

Districts and Divisions should establish in-house disaster recovery teams to resume or sustain operations after a disaster, including handling recovery of their records. The teams should develop and practice disaster recovery and records salvage procedures. Employees should be trained in the processes included in the Disaster Recovery Plan.

Each team member should have two copies of the Districts and Division's Disaster Recovery Plan, one at the office and another at home.

Recovery Team Responsibilities

Ideally, a disaster recovery team should consist of at least four members, including a team leader. Each team member should have an alternate. Responsibilities of team members are as follows:

- Team Leader: Acts as point of contact for local emergency service agencies; performs overall management of the team's disaster recovery and records salvage procedures; coordinates with other offices; authorizes expenditures for wages, supplies, transportation, and services; and is liaison with TxDOT customers and/or the public.
- Recovery and Salvage Supervisor: Assembles, trains, and directs work crews for recovery and salvage procedures. Controls the flow of work and materials.
- District/Division Executive Assistant: Coordinates with the District or Division to gather supplies and equipment and may arrange such things as food for work crews.
- Records Administrators/Coordinators: Inventories damaged records. Assesses damage and salvage processes required to restore records. Performs or supervises recovery and salvage procedures.

Disaster Recovery and Records Salvage Procedures

Each District and Division is responsible for developing emergency procedures to follow in a disaster and making sure employees are familiar with them.

Include these essential procedures in any Disaster Recovery Plan:

1. **Establish Security and Safety -** For security and safety, restrict access to damaged area(s), allowing only essential personnel to enter. This minimizes opportunities for further damage to records and injuries to personnel. Use security guards, sign-in/out registers, and/or identification badges to restrict access.

   Basic safety precautions include the following:

- Inspect disaster areas for hidden hazards, such as shorted motors or broken electrical wires.
- Avoid standing water and wet carpets, which make it dangerous to use electrical equipment.
- Install and use temporary wiring properly.
- Handle fire or water-damaged files carefully. Wet records are heavy and fragile. Use care lifting record boxes or opening file cabinets.
- Use face masks and protective gloves. Wash or clean clothing as soon as possible to reduce health hazards from fungi and bacteria.

2. **Activate Recovery Team -** Once the building has been declared safe to enter, the team leader should contact the team and brief them on procedures and priorities to be met. The recovery team should then:
   - Assign specific responsibilities to members.
   - Set up a communications center and obtain services, supplies, and equipment.
   - Plan to take care of physical needs (food, water, hygiene) of personnel involved in the recovery.
3. **Assess Damage** - Inspect damaged areas as quickly as possible. Avoid handling records, if possible. Take photos to document record damage. Keep the following questions in mind:
   - How much damage has occurred?
   - What type of damage has occurred (fire, smoke, soot, clean or dirty water, heat, humidity)?
   - Is it confined to one area or is the entire building damaged?
   - How much of the records holdings are affected?
   - What type(s) of records media have been damaged (paper, microforms, photographs, magnetic tapes, diskettes)?
   - Are the damaged records easily replaced? (Are backup copies stored off-site? Are the damaged records convenience copies? Can they be replaced with copies from other offices?)
   - If the damaged records are irreplaceable, what is their retention/value? (How valuable/ important are these records to the business of TxDOT?)
   - What is the order of priority to recover damaged vital/essential records?
   - Can the in-house recovery team salvage records or is outside help needed?

     NOTE: Take steps to stabilize the environment while assessing the damage (see below).

4. **Stabilize Environment** - Take steps to stabilize the environment while the damage assessment is taking place. Mold can appear on records in 48 hours and is encouraged by high humidity and temperatures. Quickly reducing the humidity and temperature can reduce the risk of mold and buy time for recovery.

   The following procedures will help stabilize the environment:

   - Keep the air constantly circulating.
   - Arrange fans to expel humid air outside.
   - Use dehumidifiers if they are helpful. (Dehumidifiers may help in small, enclosed areas. Operating them may raise the temperature, however, and they tend to freeze up in colder temperatures.)

   Immediately pump standing water from the area. Use caution -- standing water can conceal hazards. Remove wet debris and carpeting. The following equipment should be readily accessible:

   - Portable generators, in case of power failure.
   - Shop vacuums capable of handling water (pumps may be needed to remove large quantities of standing water).
   - Fans to circulate the air.
   - Thermometers, hygrometers, or other tools to measure temperature and humidity.

5. **Treat Water-Damaged Records** - Water-damaged records are the records most likely to be salvaged. Methods of treating water-damaged records are listed in the “Salvaging Water-Damaged Records” below.

6. **Perform Post-Disaster Assessment** - Assessing the Disaster Recovery Plan is essential. Share the results with Districts and Divisions and revise the plan if needed. Assess the following:

   - Effectiveness of recovery procedures
   - Areas for improvement
   - Sources and supplies
   - Any off-site facilities or vendors used

Salvaging Water-Damaged Records

The records most likely to be salvaged after a disaster are those that have water damage. Several options are available for treating water-damaged records. The steps to follow vary according to the record medium and are described below.

Paper - When paper records are slightly damp, air-drying (natural drying) may suffice. If records are soaked, they should be freeze-dried, regardless of quantity.

- Air-drying: To air-dry paper records, hang the paper on lines. You may want to interleave pages with special blotter paper as a preliminary step before hanging the paper.
- Rooms used for drying areas should have good air circulation and low humidity. Use fans, dehumidifiers and/or air conditioning. Handheld hair dryers (set on cool) may be used to speed drying.
- Freeze-drying: The most effective procedure for stabilizing water-damaged records and archival materials is to blast-freeze them to a temperature of -20 degrees F, and then dry them using a thermal vacuum process.

Freezing allows time to estimate recovery costs, prepare and coordinate subsequent steps in the drying and recovery operation, and clean up the disaster site. In addition, freezing stabilizes water-soluble materials (inks, dyes, etc.), that may disperse during air drying.

Thermal vacuum drying causes water to pass from a frozen state to a vapor without returning to a liquid form. It reduces stains and removes the odor caused by smoke. Determining a source for thermal-vacuum drying services should be part of disaster planning. It is recommended to use available recovery services which comply with state procurement standards.

Microfilm - In recovering microfilm or microfiche, speed is essential to avoid the breakdown of film emulsions and the onset of bacterial growth which destroys images.

- Immerse the film in clean, cold, preferably distilled water. Send the film to a professional laboratory for cleaning. Generally, film should not be frozen because ice crystals may harm it.

Electronic Media - Off-site storage of backups is the best possible disaster recovery strategy for electronic records. If electronic records on portable media are water-damaged, do not use them until they are thoroughly clean and dry, and their housing or containers have been replaced. This reduces the possibility of damage to equipment, especially for disk drives.

Diskettes require the following steps:

- To clean and dry, do the following:
  - Drain.
  - Remove from jackets.
  - Rinse in distilled water.
  - Blot with lint-free cloth.
  - Air-dry approximately eight hours.
- When diskettes are dry, do the following:
  - Insert into a new jacket.
  - Copy information on damaged diskettes onto new diskettes.

- If information copies correctly, discard damaged diskettes.
- Clean copy equipment drive heads frequently to prevent permanent damage to the heads.

Magnetic Tape that has become wet has a good chance for recovery through these steps:

- Hand dry all external surfaces with a soft, lint-free cloth.
- Air-dry the tape using a tape cleaner or winder to run the tape from reel to reel.
- Consult a company that does magnetic tape restoration.

Compact Disk or other Optical Media require these steps:

- Clean any dirt or debris from the disk using a disk cleaning solution.
- Hand dry all external surfaces with a soft, lint-free cloth.

Contingency Planning

Contingency planning combines emergency preparation with routine office procedures to help the office continue operations with as little interruption as possible after a disaster.

The real disaster is failure to prevent avoidable situations.

For effective contingency planning, do the following:

- Keep your office File Plan up to date. Know which records you are the Office of Primary Responsibility and be ready to carry out disaster recovery and salvage procedures for those records.
- Be aware of alternate locations for the records. This information can be used to replace records quickly after a disaster. Districts and Divisions that are related by function are often alternate locations for the same record, even though only one office may be designated as the Office of Primary Responsibility.
- Part of a Disaster Preparedness Plan could include:
  - Notation of alternate locations on the File Plan, or
  - Securing a copy of any procedure manuals or internal office procedural materials that may include information on alternate locations for records.
- Keep a current list of contact persons for various types of records.
- Keep identification and protections for vital records current. Carry out vital records protection as described in Chapter 12, “Vital Records” in a disciplined manner.
- Back up electronic records routinely and frequently. Dispersal of a second backup copy at another, off-site location is a good protective measure.

Chapter 14: Microfilming Records

Contents:

Section 1: Overview

Introduction

Texas Government Code Section 441.188 and 441.189 and Texas State Library and Archives Commission Bulletin 2 "Microfilming Standards and Procedures" authorizes agencies to retain records on microfilm or electronically stored images. Microfilm is a high-resolution film in roll or fiche form or mounted onto aperture cards containing micro-images. Document imaging involves the conversion of hard copy original documents or records to an alternative media.

Records with permanent or long term (more than 20 years) retention periods or archival requirements may be retained on microfilm. Offices choosing to microfilm records may obtain those services through a purchase of services. This chapter contains guidelines for microfilming. See Chapter 7, "Electronic Records," for information on electronic imaging.

NOTE: Imaging records has replaced the practice of microfilming at TxDOT.

Microfilmed Records

Texas Government Code 441.188 states the following:

- Any official record may be maintained on microfilm.
- The microfilming of any official record and the maintenance of an official record on microfilm must be in accordance with standards and procedures adopted as administrative rules of Texas State Library and Archives.
- A microfilmed record created in compliance with the rules of Texas State Library and Archives is considered an original record and the microfilmed record or a certified copy of it shall be accepted as such by any court or administrative agency of Texas.
- A microfilmed record that was produced in accordance with any state law in force before September 1, 1997, is considered an original record.

General Guidelines

This section applies to the microfilming of any official record that is to be maintained solely on microfilm format.

- Microfilming of records must follow the Records Retention Schedule,
- For microfilm retained as roll film, no more than one record series is permitted on each roll of microfilm.
- For essential records that are microfilmed, there must be a security copy stored offsite.

- The originals of records or source documents that have been microfilmed may be destroyed prior to the expiration of their retention periods only if the microfilm complies with these sections and in accordance with Government Code, Section 441.189.
- After the completion of the production tests and inspections, original microfilm must not be unwound and used for any purpose except:
- To produce copies of the film.
- To carry out inspections, expunge or destroy records as identified in Texas State Library and Archives Commission "Microfilming Standards – Bulletin 2", Sections 6.27, 6.32 and 6.33.
- If a service provider is used for the filming, processing, and/or storage of official records, a written agreement must be in place to provide access in compliance with local, state, and federal laws or delivery of the records as needed by TxDOT and to allow inspections of microfilming facilities by Records Management, Records Administrator or Records Coordinators, or another authorized representative of TxDOT.
- All microfilm produced before prior to 1997 is validated to the extent the microfilm was produced in the manner and according to the standards prescribed by prior law.

Microfilming and Microfilm Formats

Most department records require retention for fewer than five years. For all but permanent or archival records, storage in the original format is the easiest and cheapest way to retain hard copy inactive records until their destruction date.

The space-saving and distribution advantages of microfilm can be achieved by electronic imaging without incurring the limitations of film. Microfilming is labor-intensive and expensive. Managers should carefully evaluate the actual need to use microfilm. Considerations include the manpower to prepare and index the records for microfilming, to inspect the microfilm product after filming and the cost, availability, and maintenance of equipment to store and read or print copies from the microfilm.

Advantages and Limitations of Microfilm

Advantages	Limitations
Space savings. Microfilm concentrates a large volume of information in a small package. One 250-foot roll of 16 mm microfilm can hold the equivalent of a document storage box of records (up to 4,200 8 ½"x11" pages or images). Nine 100-foot rolls can store the equivalent of one five-drawer file cabinet (5,000 8 ½"x11" pages or images). **Low-cost distribution**. Microfilm is inexpensive to duplicate. **File integrity**. Once filmed, all records in a file are together, and individual records cannot be physically removed, lost, or misfiled. Any alteration is apparent. **Security**. Duplicative security copies can be stored in a separate place. **Archival preservation**. Microfilm may be used for reference in place of original documents and can offer an increased life span. **Convertibility**. Microfilm images may be converted to paper, or with proper equipment, digitized.	**Expense**. Microfilm is expensive and labor-intensive to create **Unclear copy**. The quality of the original record affects the quality of the filmed image. Old, faded, or damaged documents may not reproduce clearly. Colors do not appear, and it may be difficult to tell whether a filmed record is the original. Official certifications and explanatory notes filmed with the records on target sheets can address these limitations to some extent. **Equipment requirements**. Microfilm will deteriorate if it is stored in an environment that does not have temperature and humidity controls. See Section 3 "Microfilm Storage Environment and Requirements, Equipment and Maintenance" in this chapter. The product of deterioration, acetic acid, may present a workplace hazard to employees. **User resistance**. Using microfilm and microfilm equipment for any length of time can be tedious.

Microfilm Formats

The most common used microfilm formats include:

- **Roll film**: The most economical microform, 16 mm width is typically used for documents, and 35 mm widths are used for larger format documents such as drawings or maps. Roll film ensures file integrity and is best used for long-term storage of inactive records.

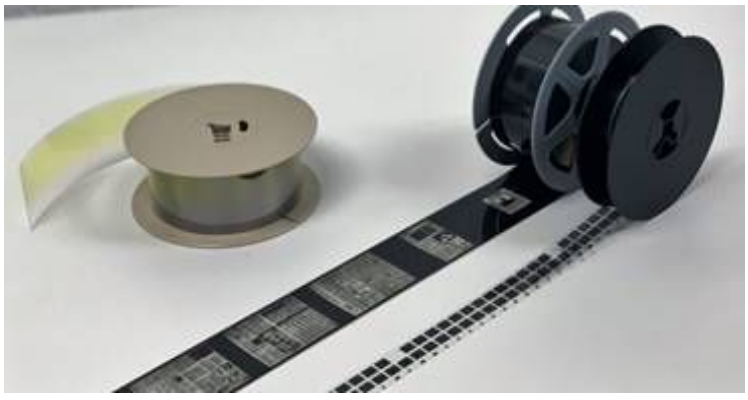


Figure 14-1. Roll Film

- **Microfiche**: A sheet of 105mm film (usually 4 inches by 6 inches) that can contain at least 98 images (depending on the size of the originals), microfiche is best used for frequently referenced files. An eye-readable label makes retrieval easier. Because a microfiche is a single unit, it provides reasonable file integrity. It is moderately expensive to produce, although a microfiche reader is the least expensive type of microfilm reader. Microfiche, jackets (transparent cards 4 inches by 6 inches with chambers for the insertion of individual frames or strips of microfilm) are typically produced and the customer is furnished a microfiche duplicate for active use.

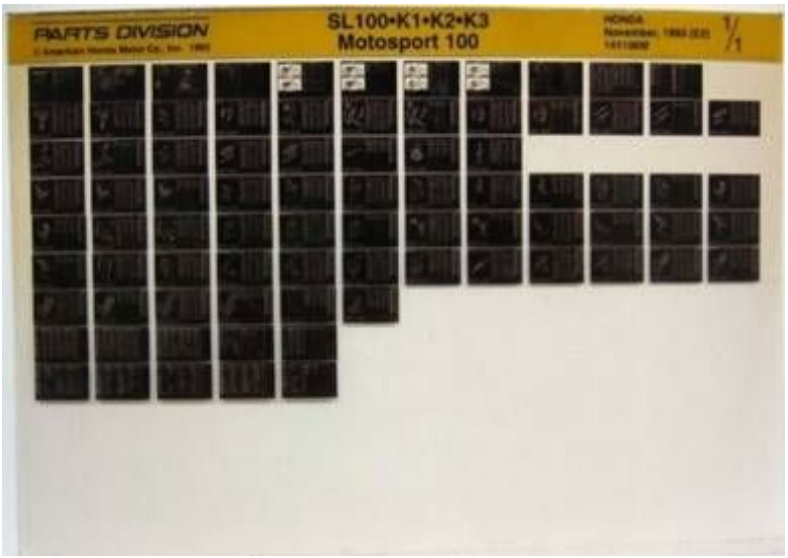


Figure 14-2. Microfiche

- **Microfiche Jackets** (transparent cards 4 inches by 6 inches with chambers for the insertion of individual frames or strips of microfilm) are typically produced and the customer is furnished a microfiche duplicate for active use.

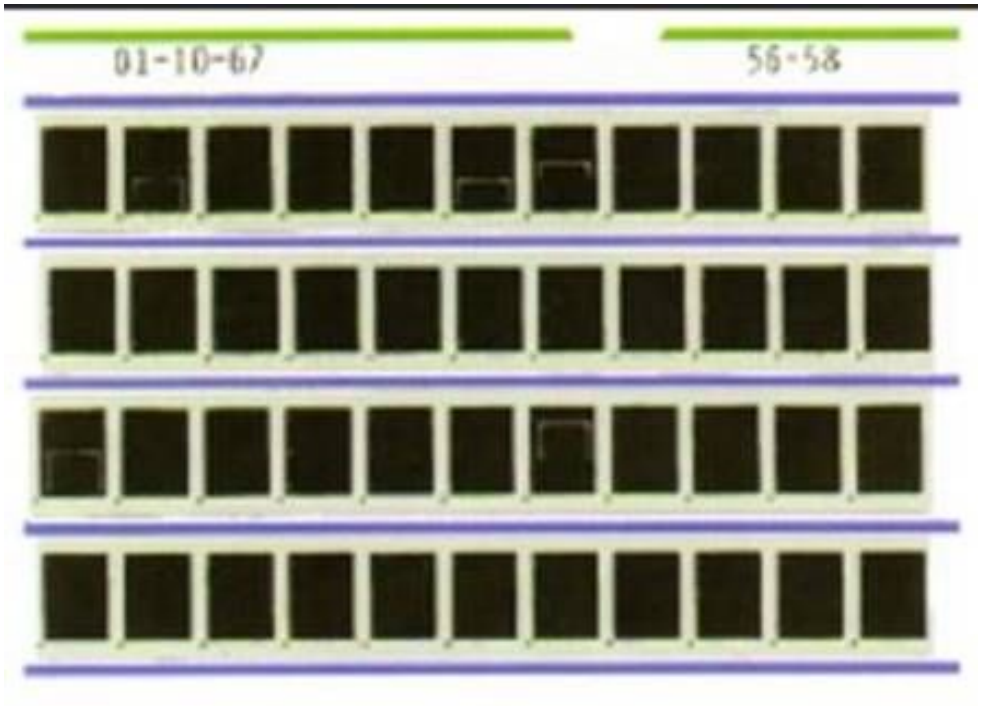


Figure 14-3. Microfilm Jackets

- **Aperture Cards** – An electronic data processing card with an opening that contains one frame of microfilm. This frame is usually cut from a roll of film.

Figure 14-4. Aperture Cards

Section 2: Microfilm Procedures

The following table describes the procedures involved in a typical microfilming project. Depending on the details of the service purchase, individual steps may be performed by either the customer or the vendor. Vendors who perform the service of microfilming for TxDOT official records should follow the recommended practices issued by American National Standards Institute (ANSI) and/or the Association for Information and Image Management (AIIM) as minimum requirements for all microfilming of official records where this chapter does not specify a standard or practice. Texas State Library and Archives Commission Bulletin Number 2 - Adopted National Standards.

Standards for Original Microfilm

The following standards are established for first-generation “silver microfilm” also known as Silver halide. Silver halide is a specific type of silver gelatin film composed of very finely divided grains of silver. Silver halide is the most light-sensitive of all the films used in microforms, hence it can record the greatest amount of detail and provides the richest tonal variance. It provides the most faithful reproduction of the source document. American National Standards Institute and/or the Association for Information and Image Management have established standards for the production, processing, and storage of this film as an archival medium:

- First-Generation, silver microfilm – ANSI/AIIM MS23
- Microfiche – ANSI/AIIM MS5
- Roll Microfilm – ANSI/AIIM MS14
- Splices of Microfilm – ANSI/AIIM MS18
- Quality-Index Graph – ANSI/AIIM MS23

The quality-index graph is standard ANSI/AIIM MS23 must be used to determine the minimum quality index for all microfilm of essential and permanent records and for 10% of the total volume of microfilm of other records. All microfilm of permanent and essential records must meet a minimum quality index level of 5.0. Microfilm of other records must meet a minimum quality index level of 3.6

Standards for Microfilm Duplicates

Microfilm duplicates can be a variety of film, including diazo, vesicular, or silver-halide types. The following standards are required for duplicate film as applicable:

- Duplicate Baseline - ANSI/AIIM MS43
- Diazo Film – ANSI IT9.5
- Vesicular Film – ANSI IT9.1

- Silver Film – ANSI/NAPM IT9.1

Film Specifications

Original microfilm must meet Standard ANSI/NAPM IT9.1. Film with a polyester base must be used for records having a retention period of 10 years or more. Any film type may be used for official records having a retention period of less than 10 years, provided the microfilmed records will last for the required retention period.

Microfilm Project Procedural Outline

The steps TxDOT (Customer) should consider when selecting the microfilming vendor to ensure specifications are established for the filing project include the following:

Procedural Outline

Step	Responsible	Action
1	**Customer and Vendor**	Develop specifications for the film job to include the following: • Film type (roll film or microfiche). • Reduction ratio. • Orientation of documents on film. • Indexing and electronic image count (blip) marking. • Density or resolution requirements. • Number of duplicate (back-up copies).
2	**Customer or Vendor (According to Service Agreement)**	Prepares records for filming by • Removing fasteners, buck slips, and unnecessary documents, repairing torn pages, taping small documents to letter-sized sheets and photocopying photographs on a copier capable of producing a usable image. • Preparing targets to certify record authenticity, identify the job/file and specific files or folders and places them in front of the folders. • Preparing a detailed index of folders. • Boxing and shipping records to the vendor.
3	**Vendor**	• Films the records and enters the blip (frame) count on the index, which is then filmed and spliced onto the beginning of the roll. • Sends the filmed product to Records Management. • Retains the records in case any document needs to be re-filmed.
4	**Customer**	• Inspects the microfilm and advises vendor of acceptance of the microfilm or corrections needed. • Arranges disposition of the hard-copy originals.
5	**Service Bureau**	• Films the records and enters the blip (frame) count on the index which is then filmed and spliced onto the beginning of the roll. • Sends the film product to Records Management. • Retains the records in case any documents need to be re-filmed.

Microfilm Job Specifications

Microfilm job specifications direct the vendor on job requirements and should include information describing:

- Record series.
- Microfilm format (roll film, microfiche, or another microform type).
- Reduction ratio (size of the microfilmed image), which is related to the user's microfilm reading equipment.
- Orientation (arrangement of images on the film).
- Filming cycles (if appropriate for frequently scheduled jobs).
- Distribution of microfilm original copies.
- Special filming, indexing, or handling instructions.

Preparing Records for Microfilming

Documents are normally filmed on an automatic camera that works like a high-speed copier. Remove any fasteners and use transparent tape to repair tears that will jam the camera. Tape small documents to an 8½ x 11- inch sheet of paper and make photocopies of photographs on a copier with a setting that will produce a usable image.

Purge and Organize - Remove all duplicate copies and unnecessary materials. If there is a choice between original documents, carbons or photocopies use the original documents to ensure optimal image quality. Arrange all folders in the sequence in which they are to be filmed.

Prepare an index of the records - List each folder or subdivision of records to be microfilmed in its proper order. It is convenient to create and insert target sheets while indexing the records.

Original Microfilm and Security Back-Up

Typically microfilm jobs specify production of an original and a duplicate. Use the duplicate for any reference purposes and store the original in a separate location as a security backup.

Disposition of Source Documents

All official records may be maintained on microfilm. Microfilmed records created in compliance with this Records Management Standard is an original record and the microfilmed record or a certified copy of it shall be accepted as such by any court or TxDOT. A microfilmed official record that was produced in accordance with any state law in force before September 1, 1997, is considered an original record.

TxDOT may arrange for the vendor to destroy the original records on acceptance of the microfilm job or may choose to have the originals returned and to manage the destruction internally. The destruction does not have to be documented on the 1420 Records Destruction Form, since the records themselves still exist, and only the media containing them has changed.

Section 3: Microfilm Requirements

Storage Environment

Storage of original microfilm must be stored in a separate building from that which duplicate copies, if any, or the original records are housed. All original microfilm must be handled microfilmed records with a retention period exceeding ten years must be stored in a temperature that does not exceed 70 degrees Fahrenheit, and a constant relative humidity of 35% must be maintained with a maximum variance of +/- 5.0% relative humidity in a 24-hour period.

- For microfilm of records with a retention of 10 years or more, temperature must not exceed 70 degrees Fahrenheit, and a constant relative humidity of 35% must be maintained with a maximum variance of plus/minus 5.0% relative humidity in a 24-hour period.
- For microfilm of records with a retention of less than 10 years, the maximum temperature must not exceed 77 degrees Fahrenheit, and a relative humidity range between 20% and 50% must be maintained with a maximum variation of plus/minus 5.0% relative humidity in a 24-hour period.

A typical air-conditioned office environment with stable temperature and humidity where microfilm will have minimum exposure to light and contaminants, is generally adequate for film to be retained for ten years or less.

Storage Facility Requirements for Original Microfilm Media

Original microfilm must be stored in a separate building from that in which duplicate copies, if any, or the original records are housed, and under conditions that meet the requirements of this section. Microfilm must be stored in a storage room or vault that complies with the following:

- Films of different generic types, such as silver-gelatin, diazo, and vesicular films, must not be stored in the same storage room/vault or in rooms sharing common ventilation.
- Pack microfilm tightly to prevent oxidation.
- Store your records in a dark place and limit exposure to light.
- Is stored separate from other types of storage, offices, or work areas and offers protection from fire, water, steam, structural collapse, unauthorized access, and other potential hazards.
- Is equipped with a fire alarm system and capable of preventing temperatures inside the storage room/vault from exceeding 150 degrees Fahrenheit and the relative humidity inside the storage room/vault from exceeding 85% for up to two hours in the event of a fire external to the storage room/vault.
- If constructed or readapted after 1991 to serve as a microfilm storage facility, is equipped with a fire suppression system and with automatic fire control dampers in ducts carrying air to and from the storage room/vault.

- If needed, is equipped with a system capable of removing those gaseous impurities in the surrounding environment as specified in standard ANSI IT9.11.
- If subject to invasion of solid particles that can abrade film or react on the images, has mechanical filters or electrostatic precipitators installed with a cleaning efficiency of at least 80% when tested with atmospheric air in accordance with standard ANSI IT9.11.
- Has approximately 0.05 inch of pressure above atmospheric pressure, e.g., a positive air pressure is maintained within the storage room or vault.
- Has adequate temperature and humidity controls.
- Keep your storage facility clean.
- Don’t paint rooms without removing your microfilm first. Allow three months for paint to dry before replacing film in storage.
- Handle your microfilm carefully and use gloves as much as is logical to reduce oil residue transferring from your hands to the film.
- Place acid-detection strips (A-D strips) next to your microfilm to catch increases in acetic acid as soon as possible.
- If film shows signs of degradation, determine which form of decay is happening and separate and quarantine film that is affected. This will help mitigate the possibility of other records contracting the issue.

Standards for Microfilm Containers

A microfilm container must be used for processed microfilm to protect the film and facilitate identification and handling. Chemically stable materials such as non-corrodible metals (anodized aluminum or stainless steel), peroxide-free plastics, and acid-free paper must be used for containers to ensure no degradation is caused to the image. If an adhesive is used, it must have no harmful effect on the photographic images. When transporting Microfilm Records 16mm and 35mm) to the Records Warehouse, make sure they are packed in individual acid-free containers.

Inks used on the container and on the label, must not be a source of products that may damage the film or the enclosure itself. Paper that is free of chemicals harmful to the film may be used to secure roll film, if needed. Microfilm must be stored in a closed housing or may be stored on open shelves or racks if the film is in closed containers.

Inspection of Stored Original Microfilm.

Microfilmed records must be retained and maintained in compliance with “Microfilming Standards and Procedures – Bulletin 2” established by Texas State Library and Archives Commission and TxDOT Districts and Divisions An inspection of stored microfilm must be conducted every two years, except if the microfilm has been stored under temperature and/or humidity conditions other than those specified in these sections, it must be inspected yearly.

When inspection is done, the sample of microfilm to be inspected for each storage room or vault, if more than one, must be 1/1000th of the total volume of stored microfilm or at least 100 microforms (rolls, jackets, microfiche, aperture cards, COM, etc.) whichever is greater. Sampling procedures must be established that will assure that all parts of the group of microfilm are represented.

If deterioration is found, a more extensive inspection must be conducted to locate all deteriorating film. Any deteriorating film must immediately be removed from the storage area and the problem corrected before returning the film to storage.

Vinegar Syndrome

Vinegar syndrome is a chemical of degradation that occurs with cellulous acetate film and is characterized by an obvious vinegar smell. Vinegar syndrome is a slow form of chemical deterioration that causes film to shrink, buckle, and emit a strong vinegar odor. This applies to media (microfilm) made with acetate backing; most film of this type was made prior to 1980. The degradation process releases acetic acid, the same substance in vinegar that gives it its smell which is the identifying characteristic of the degradation process.

There are three basic strategies for dealing with vinegar syndrome:

- Improve storage conditions by reducing moisture and lowering the temperature.
- Quarantine any films identified as having vinegar syndrome to prevent the spread.
- Duplicate the film or convert it to a digital media.

A-D Strip Testing

A-D Strips provide a simple and safe method for detecting, measuring, and recording the severity of "vinegar syndrome" in your acetate photographic film collections. A-D Strips are dye-coated paper strips designed to detect and measure the severity of acetate photographic film deterioration ("vinegar syndrome") in film collections. These acid-base indicator papers change color in the presence of acidic vapor given off by degrading film, providing an objective method to document the extent of vinegar syndrome and to determine when microfilm should be duplicated.

A-D Strip Level	Film Condition	Recommended Actions
0	**Good**—no deterioration	Cool or cold storage
1	**Fair to Good**—deterioration starting	Cold storage Monitor closely
1.5	**Rapid decay starting**—point of autocatalytic decay	Cold or frozen storage
2	**Poor**—actively degrading	Freeze Copying advisable
3	**Critical**—shrinkage and warping imminent, possible handling hazard	Freeze immediately Copy

Figure 14-5. A-D Strips Level, Condition and Actions.

Microfilm Equipment

Districts and Divisions using microfilmed records need a means of reading the microfilm. The two basic types of microfilm equipment are:

- Readers. Readers are only for viewing microfilm, microfiche, or other microforms. The least expensive readers are for microfiche. More expensive readers have interchangeable carriages for viewing different microforms. Readers may have various other features, including motorized carriages for high-speed searching and retrieval, and/or digital displays for frame counters.
- Reader/printers. Reader/printers combine a reader with the capability to produce a paper copy of the image that is on the screen. They may be purchased with the same options described above.

Microfilm equipment, supplies are is available to purchase under PeopleSoft/Finance & Supply Chain module. Use the following Item IDs:

- Microfiche/Microfilm Readers/Printers: Item ID # 57576000000
- Microfiche/Microfilm Readers: Item ID # 57572000000
- Microfilm Accessories and Supplies: Item ID #s 57547000000, 57547140000, or 5747140000

Selecting Equipment

In addition to cost, consider these factors in selecting microfilm equipment:

Screen size – The reader screen should display an entire page of information at or near the original size of the record. The screen image will be the same size as the original record if the magnification of the lens on the reader equals the reduction ratio of the microfilm. (The reduction

ratio is the amount a record is reduced on film. For example, a reduction ratio of 24:1 or 16:1 means a record is reduced to 1/24 of its original size.)

An 8½ by11-inch record filmed at a reduction ratio of 24:1 will be the same size as the original when viewed on a reader with a 24X lens.

A screen smaller than the original record will display a full page from the original if the magnification of the lens on the reader is less than the reduction ratio of the microfilm. An 8½ by 11-inch record filmed at a reduction ratio of 24:1 can be viewed in its entirety on a 7¼ by 9½-inch screen if the reader has 20X magnification. The entire image will be proportionately smaller than the original.

NOTE: A reader with a lens magnification greater than the reduction ratio of the microfilm will not display a full page from the original record unless the screen is proportionately larger.

Screen color - Neutral viewing screens are standard. They are available in tints of blue, green, and gray. Tinted screens reduce eyestrain, particularly in high-use situations.

Screen type - Most readers and reader/printers are the rear-projection type. They project the image from the rear of the unit onto the back of a translucent screen. Some of these screens are reversible. One side has a matte finish to reduce glare and reflections, and the other has a shiny surface for sharper images.

Unit size - The size of microfilm equipment varies. Small, portable readers fold into a traveling case. Desktop equipment is larger in size and most common. Larger freestanding units have many features, functions, and controls. Prices vary according to size and features.

Optics - Readers and reader/printers are specified by image magnification. For example, 24X means that the image is magnified 24 times. Lower-priced equipment has a fixed magnification. When selecting equipment for viewing different microforms, make sure the magnification of the equipment or lens is compatible with the reduction ratios of the microforms to be viewed. Equipment capable of handling a variety of microforms usually provides variable magnification through one of the following methods:

- Interchangeable lenses
- Dual lenses controlled by a lever or other mechanism
- Zoom lenses
- Special features. A device called a blip-chip is helpful on readers that have a motorized carriage and are used in high-retrieval situations. Electronic frame counters, or blips, are inserted on roll film as it is shot. The blip-chip reads the blips and displays the frame numbers as the motorized carriage goes through the film. When the desired frame number is displayed, the user can stop the film. (Frame numbers are identified in the index at the beginning of the film.) Most mid-priced to high-priced equipment with motorized carriages comes with a digital dis- play already installed.

Maintenance of Equipment

The quality of a microfilmed image, or a paper copy produced from the image, depends on the cleanliness of the optical system and printing mechanism. Dust on screens, mirrors or lenses reduces light and clarity. Dust particles can damage film and impair readability.

Prolong the life of microfilm equipment as follows:

- Use a dust cover when the equipment is not in use.
- Clean screens and optical systems routinely, following the manufacturer's recommendations.
- Take care in loading paper, chemicals, and toner into reader/printers.
- When a bulb begins to darken, replace it.
- **Never touch halogen bulbs**. They burn extremely hot and can ignite any residue of oil from human skin.
- Inspect and clean equipment routinely. A small, handheld vacuum cleaner with a long, thin nozzle works well.

Integrating Microfilm and Emerging Technologies

With the proper equipment, microfilm images may be scanned to digital images. Large back-file conversions of microfilmed records to digital images are generally not practical unless the records are subject to a high rate of retrieval and reproduction or the scanning is necessary to arrest deteriorating images.

Large scale imaging projects are best handled by using a vendor who specializes in them. Microfilmed records converted to digital are subject to the requirements for electronic records described in Chapter 7, “Electronic Records”

Appendix A: Terms and Definitions

– A –

After Closed (AC) – AC stands for "After Closed" (terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date. AC is used to trigger the retention event start date.

Active Records – Active records are defined as documents which require access for on-going business activities and are referred to for day-to-day operations. If a record is still being processed or is referred to at least once a month, then it is considered "active".

Administrative Email – Administrative email messages are typically subject to State Archives review per the Records Retention Schedule, Agency Item Number ADM01.

Administratively Valuable (AV) – A record series with a retention code of AV (as long as administratively valuable) is not eligible for Records Management Warehouse storage unless a specific retention period and destruction date is assigned to it.

Agency Code – The State Agency Code for TxDOT is assigned number 601 on the Records Retention Schedule.

Agency Item Number (AIN) – A location reference on the TxDOT Records Retention Schedule (RRS) used for indexing and citation of official records described in the schedule. The Agency Item Number (AIN) is a unique alpha-numeric code assigned by TxDOT for each record series on the TxDOT Records Retention Schedule (RRS). The elements of this number are a three-letter acronym describing the type of record or the responsible office, followed by two digits indicating the sequence of the record series in the schedule.

Agency Name – The State Agency Name for Texas Department of Transportation is identified as TxDOT.

Alphabetical File Order – A filing system in which files and documents are arranged in alphabetical order from A to Z.

Alpha-Numeric File Order – A filing system that uses a combination of letters and numbers usually in combination to develop codes for classifying and retrieving information.

American National Standards Institute (ANSI) – The American National Standards Institute (ANSI) is a private, non-profit organization that administers and coordinates the U.S. voluntary standards and conformity assessment system. ANSI works in close collaboration with stakeholders from industry and government to identify and develop standards- and conformance-based solutions to national and global priorities.

Aperture Cards – An electronic data processing card with an opening that contains one frame of microfilm.

Archival Codes – Archival codes (A/I, R/O, A and R) are to be transferred or reviewed as indicated by the Records Retention Schedule to Texas State Library and Archives Commission (TSLAC).

Archival Records – Archival indicates requirements for records to be sent to archives for long-term preservation or reviewed by the State Archives before destruction.

Association of Intelligent Information Management (AIIM) – Association for Intelligent Information Management (AIIM) is a professional organization helps organizations improve their performance by transforming the way they manage their information.

– B –

Bar Codes – A predetermined pattern of vertical lines that can be converted to machine-readable language. Bar Codes are typically used (as a license plate) to identify and manage physical records and equipment.

Biometric Data – The two main types of biometric identifiers are either physiological characteristics or behavioral characteristics. Physiological identifiers relate to the composition of the user being authenticated and include facial recognition, fingerprints/geometry, iris or retina scanning, vein recognition, etc.

Blip – An optical mark that is recorded below a digital image and used for counting or indexing automatically.

– C –

Certified Copy – A copy of a document attested to be a true copy by the official custodian of the official record.

Check-Out Card (Charge Out) – A control procedure designed to identify the current location of a record or information that has removed from its assigned location, or if digital, has been reserved for authorized users.

Color-Coding – The use of color in a filing system to identify file folder or records with certain characteristics to improve speed of access and to reduce the chance of misfiles.

Confidential – A document containing information, the disclosure of which contains personally identifiable information such as government-issued ID number, social security number, address, credit card, or combination of birthdate and name, etc.

Contingency Planning – Contingency planning combines emergency preparation with routine office procedures to help the office continue operations with as little interruption as possible after a disaster.

Convenience Copy – Convenience copies or non-records are exact duplicates of an official record. They are not subject to retention requirements and may be destroyed without formality of a 1420 Records Destruction Form when they are no longer needed.

– D –

Date-Based Organized – A filing system in which files and documents are arranged in date Order such as Year/Month/Day.

Department of Information Resources (DIR) – The Texas Department of Information Resources provides statewide leadership and oversight for management of government information and communications technology.

Destruction – The definitive obliteration of records, regardless of media beyond any possible reconstruction including shredding, recycling, pulping, burning, overwriting, degaussing, or pulverizing to ensure information is unrecoverable.

Diazo Film (Microfilm) – A type of non-archival quality microfilm processed by exposure to ammonia and used as a medium for use of copies of master silver-halide microfilm.

Digitized Images – Any official record may be created or stored electronically. Certified output from electronically digitized images or other electronic data compilations is accepted as official records by any court or administrative agency of this state unless barred by a federal law, regulation, or rule of court.

Disaster Recovery Plan – A Disaster Recovery Plan (DRP), disaster recovery implementation plan is a recorded policy and/or process that is designed to assist TxDOT in executing recovery processes in response to a disaster to protect business IT infrastructure and more generally promote recovery.

Disaster Recovery Team – The Disaster Recovery Team is responsible to resume or sustain operations after a disaster, including handling recovery of their records. The teams should develop and practice disaster recovery and records salvage procedures.

Dispersal – The transfer of duplicate copies of vital records to locations beyond those where the originals are stored. This is a method of protection and back up of vital records if the facility is crippled.

Disposition – The process of disposition in when an official record is destroyed or transferred to Texas State Library and Archives Commission (TSLAC) - State Archives. Dispositioning data in the ordinary course of business is a cost benefit, as well as a way of protecting and securing records for the agency and the public.

Districts and Divisions (DD) – Districts and Division are geographic areas or specific disciplines who oversee projects, services, or administration.

Dots Per Image (DPI) – DPI is used to describe the resolution number of dots per inch in a digital print and the printing resolution of a hard copy print dot gain, which is the increase in the size of the halftone dots during printing.

Drafts – The work-in-progress or preliminary form or version of a document before it becomes a formal record.

Duplicate – An exact copy of the original document.

– E –

Electronic Records – An electronic record is any information created, used and retained in a form that only a computer can process. Electronic records include email, text messages, disaster recovery backup tape, and records that exist on portable media, such as memory sticks, mobile devices, laptops, or computers.

Email Management – E-mail messages created or received by means of state resources, including employees and facilities, are considered official records. Responsibility for appropriate management of e-mail is shared by managers, supervisors, and users.

Enterprise Content Management System – An Enterprise Content Management (ECM) system is a combination of strategy, methods and tools used to capture, manage, store, preserve and deliver information supporting key processes throughout the lifecycle of the record.

Event-Based Organization – A concept wherein once a registered event occurs, the disposition schedule starts. Also see “AC Definition”

Executive Email – Executive email messages are subject to State Archives review per the Records Retention Schedule, Agency Item Number ADM01.

External Device – Any peripheral device that is not housed inside the computer cabinet. Monitors, keyboards, mice, and printers are inherently external devices; however, drives, network adapters and modems may also be external.

– F –

Federal Rules of Civil Procedure (FCRP) – The Federal Rules of Civil Procedure govern civil procedure in United States district courts.

Fiche – See microfiche.

File Guides – A separation device that denotes a section of a records or file and directs the user to that section quickly.

File Management – An effective file management process drives compliance for maintaining files regardless of the media.

File Plan – An index and a location guide to the information in files. It identifies record copy files to manage in accordance with the records retention schedule, retention requirements, and includes records being retained.

Film – See Microfilm

Form (TSLAC) RMD 102 Request for Authority to Dispose of State Records – The RMD 102 form is used for items such as Records Series not identified on the TxDOT Records Retention Schedule (RRS) and for damaged records that have been destroyed before retention due to unforeseen events.

Form (TSLAC) SLR 105 – State of Texas Records Retention. A document prepared for submission of Records Retention Schedules for Certification by using form SLR 105.

Form (TSLAC) SLR 105C – Records Retention Schedule re-certification. After initial certification, a Records Retention Schedule must be submitted to the state records administrator by using Form SLR 105C.

Form (TSLAC) SLR 122 – State Agency Records Retention Schedule Recertification. SLR 122 must be used by all state agencies to submit an amendment to an approved (certified/recertified) agency records retention schedule.

Form (TxDOT) 1419 – Transmittal inventory form used to transfer official records to TxDOT Records Management Warehouse or TSLAC State Archives for archival storage.

Form 1420 – Records Destruction Form used to document the destruction of official records.

– G –

General Counsel Division (GCD) – The General Counsel Division provides legal counsel to the Texas Transportation Commission, TxDOT administration, districts, and divisions. The division drafts administrative rules, testify before legislative committees and serves as legal counsel at commission meetings.

Government Penal Code – Government Penal Code, Section 37.10 specifies a person who intentionally destroys, conceals, removes, or otherwise impairs the verity, legibility, or availability of a government record is considered tampering.

– H –

Hard-Copy – a physical paper media of a document.

Hierarchical – A hierarchical file system is how drives, folders, files, and other storage devices are organized and displayed on an operating system.

– I –

Inactive Records – Inactive records are defined as documents no longer needed to conduct current business; however, they must be preserved until the retention period is met. It is important to purge inactive records from high-cost equipment, office space and on-line servers to control the costs of maintaining records.

Information Reference Copies – See Convenience Copies

Instant Messages – Instant messaging technology is a type of online chat allowing real-time text transmission over the Internet or another computer network. Messages are typically transmitted between two or more parties, when each user inputs text and triggers a transmission to the recipient, who are all connected on a common network. (See Jabber and MS Teams)

International Standards Organization (ISO) – A recognized global professional organization that develops and publishes International Standards for public and government use.

– J –

Jabber – Cisco Jabber delivers instant messaging, voice and video calls, voice messaging, desktop sharing, conferencing, and other collaboration tools.

– L –

Legal Citations – References to cite applicable federal or state laws or regulations affecting retention.

Legal/Litigation Hold Management – A legal hold (also known as a litigation hold) is a notification sent from an organization's legal team to employees instructing them not to delete electronically stored information (ESI) or discard paper documents that may be relevant to a new or imminent legal case.

– M –

Media (Medium) – A general term referring to the material onto which information or data has been recorded and may subsequentially be used. (i.e. Physical Paper, Digital, Microfilm, etc.)

Metadata – Data that summarizes basic information about a record, and which can facilitate tracking, locating, verifying authenticity, or working with specific records or data. Examples include but are not limited to author, date created, date modified, file extension, and file size.

Microfiche Jackets – A flat, transparent, plastic sleeve carrier with single or multiple film channels made to hold single or multiple microfilm strips.

Microfilm – Roll microfilm, microfiche, computer output microfilm (COM), and all other formats produced by any method of microphotography or other means of miniaturization on film.

Mobile Devices – A portable, wireless computing device that is small enough to be used while held in the hand; a handheld: a large selection of laptops, smartphones, PDAs, and other mobile devices.

MS Teams – Microsoft Teams is cloud-based team collaboration software that is part of the Microsoft 365 and Office 365 suite of applications. The core capabilities in Microsoft Teams include business messaging, calling, video meetings and file sharing.

– N –

Non-Confidential Information – Non-Confidential information means the information is considered “public” and has no restrictions for protecting privacy or intellectual property.

Non-Record – Library or museum material made or acquired and preserved solely for reference or exhibition purposes. Items may include extra copies used for convenience or reference, stocks of publications and library materials such as reference books.

Non-Transitory – All other Agency Item Numbers (AINs) identified in the Records Retention Schedule (RRS) are considered non-transitory. All non-transitory information should be

memorialized or produced, transcribed, and preserved on a government-designated storage location.

– O –

Office of Primary Record (OPR) – Office of Primary Record (OPR) is the organizational unit or individual(s) responsible for the creation of the official record or has primary responsibility for the operations related to the official record. OPRs are responsible for the management, care, oversight and classification of the records. OPRs can also be the work group that performs the final action on a form, document, or other records.

Official Record – An Official Record (or file) is composed of single or multiple documents, books, papers, photographs, computer-generated or stored data, videos, sound recordings, or other materials, regardless of physical form or characteristics made or received by a state department or institution according to law or in connection with official state business (§441.180(11) Government Code).

Original – The primary or first-generation records that is designated as the official record.

Offline Media – A storage device that is not connected to a server or network.

Offsite Storage – A location, remote from the primary location, at which records are stored, regardless of their format.

OnBase – TxDOT approved system of record (OnBase) with records retention, used for storing non-structured records. Also known as Enterprise Content Management.

On-site Storage – Onsight storage involves storing backup convenience copies in special storage equipment in, or near the office location.

Open Records Request – An Open Records Request is compliance with the Public Information Act, Government Code, Chapter 552, and other statutes relating to the availability of public information.

– P –

Payment Card Industry Data Security Standard (PCI/DSS) – PCI DSS is a security standard, not a law. Compliance with it is mandated by the contracts that merchants sign with the card brands (Visa, MasterCard, etc.) and with the banks that actually handle their payment processing.

PCI Compliant – PCI compliant means that any company or organization that accepts, transmits, or stores the private data of cardholders is compliant with the various security measures outlined by the PCI Security Standard Council to ensure that the data is kept safe and private.

Personally Identifiable Information (PII) – PII is information about an individual that can be used to distinguish or trace an individual's identity. This can include medical, education, financial, and employment information. PII information can either exist as stand-alone content or can be groups of content.

Physical Records Request – Records warehouse requests for the storage, destruction and access of Districts and Divisions physical official records.

Post-Disaster Assessment – Assessing the Disaster Recovery Plan includes evaluating the effectiveness of the recovery procedures, areas of improvement, vendor relations including source services and supplies.

Privacy – The protection of that information more critical to maintain confidentiality and privacy. It is critical to maintain confidentiality and privacy to protect from data breach, stolen identities, loss of privacy and property.

ProjectWise – ProjectWise is a document management (ECM) system used to manage, share and distribute project content within a single platform. ProjectWise streamlines team collaboration and manages engineering and construction documents in a common data environment.

Protected Health Information (PHI) – Health and Safety Code, Title 2 (I), Chapter 181 Medical Records Privacy Protected health information includes all individually identifiable health information, including demographic data, medical histories, test results, insurance information, and other information used to identify a patient or provide healthcare services or healthcare coverage.

Public Information Act (PIA) – The Public Information Act (PIA) focuses on the nature of the communication or document. If the information was created, transmitted, received, or maintained in connection with the transaction of "official business," defined as "any matter over which a governmental body has any authority, administrative duties, or advisory duties," the information constitutes public information subject to disclosure under the PIA.

– R –

Record Integrity – Process to ensure that official records are not changed, damaged, or destroyed before their retention period has expired.

Record Life-Cycle – Refers to the stages of document creation, active use, inactive retention/ storage and final disposition.

Record Series – Describes the type of record, which may consist of a single specific type of record or file or a group of files that are similar in function and have similar retention requirements.

Record Series Item Number – Records Series Item Numbers (RSIN) are assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission. It references specific types of records on the State of Texas Records Retention Schedule (13 TAC §6.10). The first two digits identify groupings of categories of records. For example, 3.1 refers to employee records. If a record series item number consisting of five digits appears, the record series is specifically identified in the state retention schedule.

Records Administrators (RA) – District and Divisions Records Administrators are appointed by the district engineers, division, and office directors to implement and manage the records management program in their respective organizations. This includes the development and maintenance of work unit file pans, coordination and management of routine periodic procedures, oversight and annual submission of current file plans, as well as the verification of the records

retention and destruction authorizations of records with supporting documentation as provided by Records Custodians.

Records and Data Manager – Records & Data Manager is designated by the Records Manager Officer. The Records and Data Manager is responsible for the administration, oversight, and adherence to the Records Management Program for TxDOT. This includes the certification of the Records Retention Schedule (RRS) at least every five (5) years, ongoing training and communication with the DD Records Administrators, Records Coordinators and Records Custodians. The Records and Data Manager is responsible for providing consultation to and soliciting feedback and advice from the Records Management Office (RMO), DD Records Administrators and Records Coordinators.

Records Coordinators – District and Divisions Records Coordinators are designated employees who perform recordkeeping tasks under the direction of the Records Administrators for both physical and digital file management. Records Coordinators are accountable for securing and disposing of records and information in their custody and control. This includes the creation, monitoring, and maintenance of the work unit file plan, records storage, records eligible for destruction, and documenting records for destruction by completing the Records Disposition Form (1420) with proper approvals/signatures for execution.

Records Custodian – District and Divisions Records Custodians are Subject Matter Experts (SMEs) responsible for official records related to their respective functional areas or work units/ offices. SMEs are responsible for the effective collaboration with DD Records Administrators and Records Coordinators to ensure records are properly classified per the Records Retention Schedule (RRS) and dispositioned according to TxDOT policies, standards, and processes.

Records Management – The application of management techniques to the creation, use, maintenance, retention, preservation, and destruction of state records for the purposes of improving the efficiency of recordkeeping, ensuring access to public information under Chapter 552, and reducing costs. See Section 441.80 for more detail.

Records Management Officer – The person who administers the Records Management Program established in each state agency under Section 441.183.

Records Management Program – The TxDOT Records Management Program is responsible for the administration, oversight, support, and execution of the agency's records.

Records Management Warehouse – TxDOT headquarters storage facility for the storage of inactive records for divisions and offices physical document boxes. Physical offsite storage requires appropriate handling and protection of TxDOT’s physical records, including, but not limited to, paper records, audio tapes, video tapes, and photographs.

Records Management Warehouse Coordinator – Records Management Warehouse Coordinator - is responsible for managing the retention of the physical official records stored at TxDOT’s Records Management Warehouse. Coordinator also manages DD requests for transfer, destruction, and onsite access of physical official records.

Records Retention Schedule – A Records Retention Schedule (RRS) is a document that identifies and describes a state agency's records and the lengths of time that each official record must be retained. The Records Retention Schedule (RRS) must be recertified by the Texas State Library and Archives Commission every five years. Recertification of the Records Retention Schedule (RRS) requires a submission of a SLR 105 Form.

Reduction Ration – The relationship between the dimensions of the original or master and the corresponding reduction dimensions of the microfilmed, imaged or digital files.

Resolution (Imaging) – The number of distinct pixels in each dimension on an image or video. It often refers to the distinct pixels on a line, since formats define the number of lines per field.

Retention Code – The retention code indicated the requirement or event to trigger the retention period which is referred to as the retention code to consider before the retention clock can begin. (e.g., AC, FE+3, US+5).

Retention Period – The amount of time a records series must be retained before destruction or archival preservation. The retention period can be broken down into years (Y), months (M) or days (D), or a combination of time periods as required. For example, FE+3 means records must be retained until the end of the fiscal year plus three years, becoming eligible for destruction after September 1 of the third year of its retention.

Return on Investment – Return on Investment (ROI) is used to evaluate the efficiency of a process or program.

– S –

Sensitive Personal Information (SPI) – Sensitive Personal Information (SPI) is subject to Texas Public Act, section 552, “Public Information” and Texas Business and Commerce Code 521.002, “Unauthorized Use of Identifying Information”.

Silver Halide Film (Microfilm) – Microfilm that has a photosensitive layer composed of silver halides. It is generally considered original microfilm.

State and Local Records Management Division (SLRM) – TSLAC is designated as the State and Local Records Management Division (SLRM). Responsibilities include providing an infrastructure for managing Texas public records by assisting state and local officials with training, resources, guidelines, and consultation to ensure government information is stored, retained, and made accessible.

Standard Operating Procedure – A Standard Operating Procedure is a set of step-by-step instructions compiled by TxDOT to efficiently perform routine operations.

Subject Matter Expert (SME) – Subject Matter Experts (SMEs) responsible for official records related to their respective functional areas or work units/offices. SMEs are responsible for the effective collaboration with DD Records Administrators and Records Coordinators to ensure records are properly classified per the Records Retention Schedule (RRS) and dispositioned according to TxDOT policies, standards, and processes.

Subject Organization – A filing system in which each document relates to a specific subject matter and is arranged in alphabetical order by subject.

– T –

Temporary Custodian – Temporary Custodian refers to a past or present government official who, in the transaction of official state business, creates or receives public information that they have not provided to the officer for public information of the governmental body.

Texas Administrative Code (TAC) – The Texas Administrative Code (TAC) is a compilation of all state agency rules in Texas. There are 17 titles in the TAC. Specific rules related to managing state records are published in the Texas Administrative Code, Title 13, Chapter 6 as required by the State of Texas Records Retention Schedule (RRS).

Texas Government Code – The Texas Administrative Code (TAC) is a compilation of all state agency rules in Texas. Each title represents a subject category and related agencies are assigned to the appropriate title. In 1977, the TAC was created by the Texas Legislature under the Administrative Code Act (Government Code, §§2002.051-2002.056). Texas Government Code, Subchapter C, Sec. 441.183 requires state agencies to establish and maintain a Records Management Program on a continuing and active basis.

Texas Labor Code – The Texas Labor Code is a broad and diverse body of employment laws that governs labor standards in Texas. It includes standards for issues like wages, fair work practices, discrimination, wage payments, and worker's compensation.

Texas Rules of Civil Procedure (TRCP) – The Texas Rules of Civil Procedure (TRCP) is a set of rules which govern the procedure in the justice, county, and district courts of the State of Texas in all actions of a civil nature.

Texas Senate Bill 944 – Texas Senate Bill 944 was created to ensure an officer, employee, or contractor of a government agency who creates or receives records on a privately-owned device or account provides that information to the government's public information officer or officer's agent for the purposes of protecting information and ensuring transparency.

The Commission – Texas State Library and Archives Commission (TSLAC), also known as “The Commission” - is the governing body over records management for state and local agencies. TSLAC approves TxDOT's Records Retention Schedule and provides records management support and guidance to the agency.

Transitory Information – Records of temporary usefulness that are not an integral part of a records series of an agency. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, text and instant messaging, etc.) are routine messages; fax transmittal verification printouts, telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.

Texas State Library and Archives Commission (TSLAC) – Texas State Library and Archives Commission (TSLAC) also known as "The Commission", is the governing body over records management for state and local agencies. TSLAC approves TxDOT's Records Retention Schedule and provides records management support and guidance to the agency.

– U –

Uniform Electronic Transaction Act (UETA) – The Uniform Electronic Transaction Act (UETA), Business and Commerce Code, Chapter 322, is the Texas law that governs the use of electronic signatures.

– V –

Vesicular Film (Microfilm) – A duplicating film made with light-sensitive diazonium salts suspended in a thermoplastic base and developed with heat.

Vinegar Syndrome – Vinegar syndrome is a chemical of degradation that occurs with cellulous acetate film and is characterized by an obvious vinegar smell. Vinegar syndrome is a slow form of chemical deterioration that causes film to shrink, buckle, and emit a strong vinegar odor.

Vital Records – A record which is necessary for TXDOT to do any of the following after a disaster: resume or continue operations, reaffirm authority and activity, including legal and financial positions, and/or protect the rights and interests of the departments and their customers.

– W –

Working Copy – See "Draft"

Appendix B: Acronyms

A – Transfer to Archives

A/I – Transfer to State Archivist

AC – After Closed

AIIM – Association for Intelligent Information Management

AIN – Agency Item Number

ANSI – American National Standards Institute

AV – Administratively Valuable

CD – Compact Disk

CY – Calendar Year

CLM – Contract Life Cycle Management

CSR – Control Section Job

D – Days

DD – Districts and Divisions

DIR – Texas Department of Information Resources

DPC – Digital Print Center

DPM – Dots Per Image

DVD – Digital Versatile Disk

ECM – Enterprise Content Management

ESI – Electronically Stored Information

FE – Fiscal Year End

FCRP – Federal Rules of Civil Procedures

GCD – General Counsel Division

GIS – Geographical Information Services

ISO – International Standards Organization

LA – Life of Asset

M – Months

M-Disk – Millennial Disk

NCO – New, Change, Obsolete Records Series codes for RRS

OGC – Office of General Counsel

OPR – Office of Primary Responsibility

PCI – Payment Card Industry/ Data Security Standard

PHI – Personal Health Information

PIA – Public Information Act

PII – Personally Identifiable Information

R – Requires Review from State Archivist

R – Review by State Archivist

R/O – Records Administrator

RC – Records Coordinators

RM – Records Management

RMO – Records Management Officer

ROI – Return on Investment

RRS – Records Retention Schedule

RSIN – Records Series Item Number

SDC – Secure Digital Card

SME – Subject Matter Experts

SOP – Standard Operating Procedure

SPI – Sensitive Personal Information

TAC – Texas Administrative Code or Texas Government Code

TLC – Texas Labor Code

TRCP – Texas Rules of Civil Procedure

TSLAC – Texas State Library and Archives Commission

UETA – Uniform Electronic Transaction Act

US – Until Superseded

USB – Universal Serial Bus