



Records Management

- Charles Stech
 - Records Manager – City of Minneapolis

Welcome

- Laws
 - Records – Create, store, delete
 - Data Practices – Secure and retrieve times
- Best practices
 - High level
 - Little bit down to earth
- Emergencies



Why should you care? Hint it's the law

- Records
- Data practices

Importance of records management

- City records are necessary to document the city's business.
- Municipal records provide necessary information to public officials.
- Records act as check on the honesty, integrity and completeness of official actions.
- Records are a crucial link in the communication chain between city officials and their constituents.



Difference between data and records

- What is the difference [data practices office](#)
- My personal levels – **Talk to your lawyer!**
 - I am NOT a lawyer
 - Is there a legal requirement (city ordinance, state or federal requirement)
 - Did you spend city resources (usually money)
 - Did you commit the city to an action (contracts)
 - Planning (what was the decision and how did you get to the decision)



State records laws – federal laws

- [138.225](#) , [13.09](#) – Why you should care
- [412.151](#) – Statutory cities - Clerks required
- [15.17](#) – Who is in charge
- [138.17](#) – Main records law

- [325L.11](#) – electronic is ok – transaction based – MN only
- [541](#) - ***Most*** statute of limitations [Bar](#) also puts out a book.



Legal/audit holds – No delete until done

- Talk to lawyers about legal holds
- Audits – by contract or audit function
- Either way both tend to be until the hold is done



What determines retention

- Legal mandates – Federal, State, Regulatory
 - Administrative needs
 - Historical value
 - Fiscal requirements
-
- If not above, the **NORMAL COURSE OF BUSINESS!**



Authority to destroy records - options

- Adopt MN city general schedule
- Compile a schedule specific to your city
- Submit a PR1 form to specially destroy something NOT on the schedule.



General Records Retention Schedule for Cities

- The state has reviewed and approved a [general schedule](#) for the retention and destruction of records common to Minnesota cities.
MN Records Disposition Panel (MNHS Director, State Auditor, Attorney General).
- The schedule applies to records and information, regardless of medium or format (paper, microfilm, digital).
- The schedule is a list of official records and how long they should be retained before destruction, and which records must be permanently retained.



Retention Schedule

- Cities adopting the general schedule have continuing authority to destroy listed records after keeping them for the prescribed time.
- A city must not destroy records that are not on the schedule without specific authorization from the Minnesota Records Disposition Panel.
- If you create or collect the information, it must be retained according to the general schedule.
- Retention periods represent the minimum amount of time that you must keep records.
- Some records have a permanent retention.



Modifying the Retention Schedule for your City

- Complete Minnesota Records Retention Schedule Form.
 - Available on [State Archives web site](#)
- Send 3 signed copies to Minnesota Historical Society, State Archives Department.
- Will be reviewed and should be approved by the MN Records Disposition Panel.
- Go to retention schedule handout



One last note on retention (pass thru)

- When doing a business deal, **always**, look at the fine print.
- What we were told
 - The enrollment documents must be retained for one year and can be reviewed by (Agency) to ensure compliance of the program as requested.
- What was in contract...
 - Record Keeping. The Agency shall maintain accurate and complete records and accounts of the sale and distribution of all Money. Pursuant to Minnesota Statutes section [16C.05](#) the records, accounts, and accounting practices of the Agency that are relevant to this Agreement are subject to examination by the Council or the State Auditor **for a minimum of six years.**



Data practices

- There is a group to help [MN Dept of Admin](#)
- Non public and classified must be destroyed in a way that prevents contents from being determined.



DPO is a statewide resource

- Data Practices Office
 - Informal advice/technical assistance
 - Website and info pages: <https://mn.gov/admin/data-practices/>
 - Commissioner of Administration advisory opinions
 - Data challenge appeals
 - Listserv and newsletters
 - Legislative assistance
 - [Training](#)

Data practices as attached to records

- You are bound to keep non public things for only non public uses
- Which means you NEED to make sure non-public and classified information is secured. Notice the information vs **records**...
- Tennessee warnings are good for a year
- You need to produce in 10 business days if the requestor is asking about information about themselves.
- Can ask to correct information
- Go to Data practices handout



What records are created?

- Convention center event: Unicorn World Feb 10-11
- A family friendly Magical wonderland.
 - Unicorns
 - Rides
 - Games
 - <https://www.theunicornworld.com/>
- Finance, Fire Marshal, Police, HR, Maintenance. (Attorney, League)
- Is this any different from what is on the main schedule????



Best practices – ARMA -GARP

- **Accountability** – There should be an employee who's role includes accountability for the records.
- **Integrity** – City Records are what they purport to be.
- **Protection**–Records should be protected from unauthorized access.
- **Compliance**–Records should follow City codes, State, Federal or other external requirements.
- **Availability**– Be able to produce data and info inside of a certain time frame.
- **Retention**– All Records should be scheduled and have a retention policy.
- **Disposition**– Records are disposed of in accordance with their Records Retention Policy.
- **Transparency**– Documented treatment of records.



Best practices – 2 people

- Two people can get to and understand the information
 - Know where the information is stored
 - Know how to properly use the information



Best practices language

- What is the green sheet?
 - Invoice
 - Bill of lading
 - Account payable
 - Manifest
- What is the best way to store
 - Year
 - Account
 - Money flows



Best practices-Storage location

- Where is my info stored
 - Paper
 - Cloud Computing
 - Other agencies
- Can I get to the information
 - Invoices filed with finance – what if I cant see finance
 - Contracts – With all the amendments



Best practices

- Benchmarking – Lots of ways to benchmark
- Digital formats [MHS](#)
- For the retention schedule
 - Assign managers for each line
 - Educate staff – Normal course of business NOT whatever you, the employee, wants
- Daily workflows
 - Know the daily course of business



Best practices - Process

- Handout for the app systems at MnDOT
- Helping to improve processes
- Standardization of data and data collection
- Workflows
- Searchability of data
- Reliability of data



How to deal with emails

1. Emails are not a content type
2. Move RECORDS to the right spot
3. Have a procedure –FOLLOW IT
4. Everyone knows the procedure
5. Have training and follow-ups from the procedure starting
6. Clean out non records in the normal course of business



Essential records - MHS

1. Are necessary for emergency response
2. Are necessary to resume or continue operations
3. Protect the health, safety, property, and rights of residents
4. Would require massive resources to reconstruct
5. Document the history of communities and families



Emergencies

- Emergency cell access
- Snow
- Flood
- Fire
- Tornado

To protect essential records, cities must know where they are, what they contain, and how they are stored.

Cities must also recognize their relative importance, so responders know what to rescue and what to leave behind if tough choices must be made in a crisis



Essential Records

Are records that:

Examples include:

(1) Are necessary for emergency response

- . copy of emergency plan/COOP
- . infrastructure and utility plans
- . maps and building plans
- . emergency contact information

(2) Protect the health, safety, property, and rights of residents

- . deeds, mortgages, land records
- . birth and marriage records
- . medical records
- . active court proceedings
- . military service records

(3) Are necessary to resume or continue operations

- . delegations of authority
- . contracts
- . leases
- . payroll
- . jail and parole records
- . insurance records

(4) Would require massive resources to reconstruct, or

- . Geographic (GIS) data
- . tax records

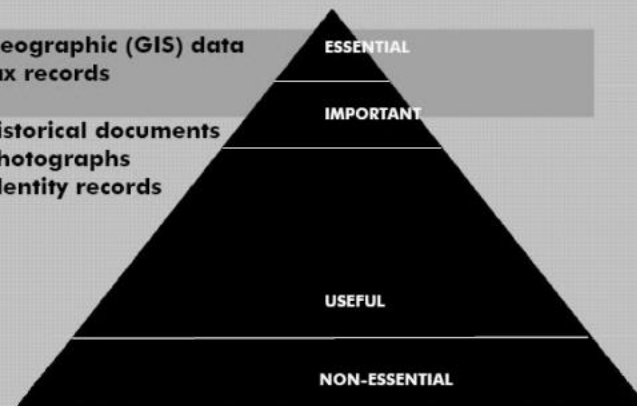
(5) Necessary to restore order and community

- . historical documents
- . photographs
- . identity records

. Only a small percentage (typically, less than 5%) of all government records are essential

. As disruption time increases, more records become essential

. "Records" can be paper or electronic



Priorities

1. Priority 1—First 12 hours
 1. Needed immediately, to respond to the incident
 2. Necessary to resume or continue operations
2. Priority 2—First 12–72 hours
 1. Needed to manage the incident and resume operations
 2. Protects the health, safety, property, and rights of residents
3. Priority 3—After first 72 hours
 1. Needed to continue essential functions and for long-term recovery
 2. Requires massive resources to reconstruct
 3. Documents the history of communities and families



There are more emergency “helping forms”

- [EMI - FEMA - Emergency Management Institute \(EMI\) Home Page](#)
- [EMI - Emergency Management Institute - National Incident Management System \(NIMS\) \(fema.gov\)](#)



Policies

1. Policies vs procedures
2. MnDOTs [policy](#)
3. Minneapolis [policy](#), [ordinance](#)
4. State clearly what you want
5. Who is responsible
6. Where is everything to be stored



Training - Records

1. Know your audience
2. Keep it short – 15 to 30 minutes
3. Connect to employees where they are
 1. At home
 2. At work
 3. At a work site
4. Keep it pertinent
5. Show how it can benefit, not just because I said so.
6. Add humor and connections



MHS- Minnesota historical society

1. Responsible for the history of Minnesota
2. State archives
 1. On the Records Disposition Panel
 2. Get first dibs on any historical data the city does not need or has met retention
 3. A good list is [here](#)
 4. They have a help list. [Government Records Services | Minnesota Historical Society \(mnhs.org\)](#)



Questions



Year 2: Records & Info Management

May 9, 2024, 7:30 AM – 10:00 AM



Scan code to check out of your session

Read directions below

DO NOT USE YOUR CAMERA APP

