



Records Management for Managers



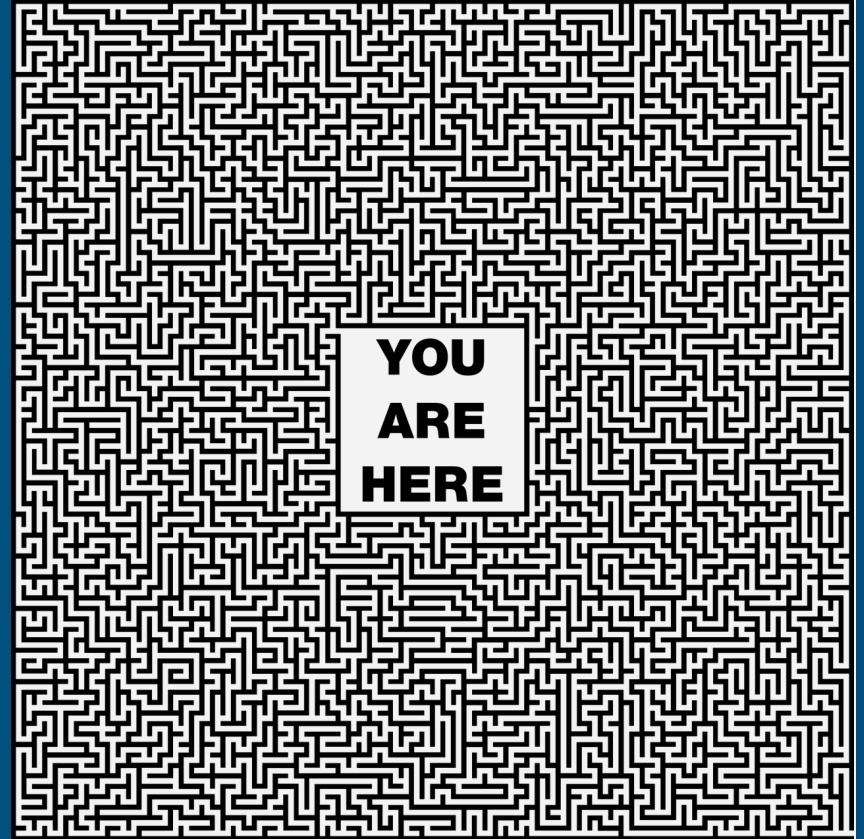
Utah State Archives & Records Service
2020



What questions do you have?

Outline

- Why Manage Records?
- What Counts as a Record?
- What Do You Have To Do?
- Resources



Why Manage Records?

Why manage records?

- Comply with state & federal law
- Transparency / accountability to public
- Historical preservation
- Save money on storage space
- Easier to find records
- Less loss in case of breach or hack
- Safe harbor in litigation
 - Records management isn't important until suddenly it is



Why manage records?

\$1.08 million average cost of a breach in 2020
(in the public sector; \$3.86 million average for all industries)

\$146 average cost per record (all industries)

IBM Corporation, "Cost of a Data Breach Report," 2020, research conducted by Ponemon Institute.
Accessed 10/20/2020 at <https://www.ibm.com/security/digital-assets/cost-data-breach-report/#/pdf>

What Counts as a Record?

What counts as a record?

Utah Code 63G-2-103

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

- (i) that is prepared, owned, received, or retained by a governmental entity or political subdivision; and
- (ii) where all of the information in the original is reproducible by photocopy or other mechanical or electronic means

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What counts as a record?

- Email
- Social media posts/comments
- Text messages
- In-app messages, including chats
- Recorded video messages
- Files on shared drives, hard drives, thumb drives, discs
- Databases



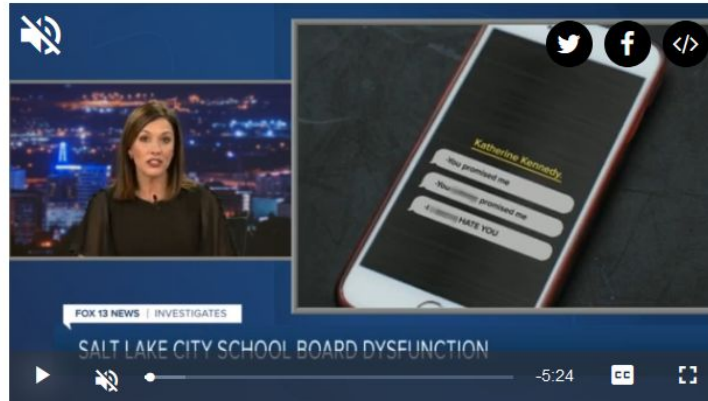
What counts as a record?

Any of this can be requested in a GRAMA request

NEWS > FOX 13 INVESTIGATES



FOX 13 Investigates: Salt Lake City school board members caught sending unprofessional, profane messages



Over the past few weeks, the FOX 13 Investigates team has reviewed hundreds of emails and text messages sent between members of the Salt Lake City School District, revealing a dysfunctional system that distracts from the work being done to help students.



Keeping You Safe

ADVERTISEMENT



What's not a record?

- Personal email
- Temporary drafts created for personal use
- Junk mail / spam
- Computer programs
- Books in a library



What Do You Have To Do?

What do you have to do?

- Utah Code 63A-12: Public Records Management Act (PRMA)
Establishes records management requirements for all government entities
- Utah Code 63G-2: Government Records Access and Management Act (GRAMA)
Establishes legal requirements for providing access to government records

What do you have to do? (1 of 12)

The chief administrative officer must **appoint a records officer(s)** who will **work with the State Archives** in the care, maintenance, scheduling, disposal, and preservation of records (Utah Code 63A-12-103(2)).



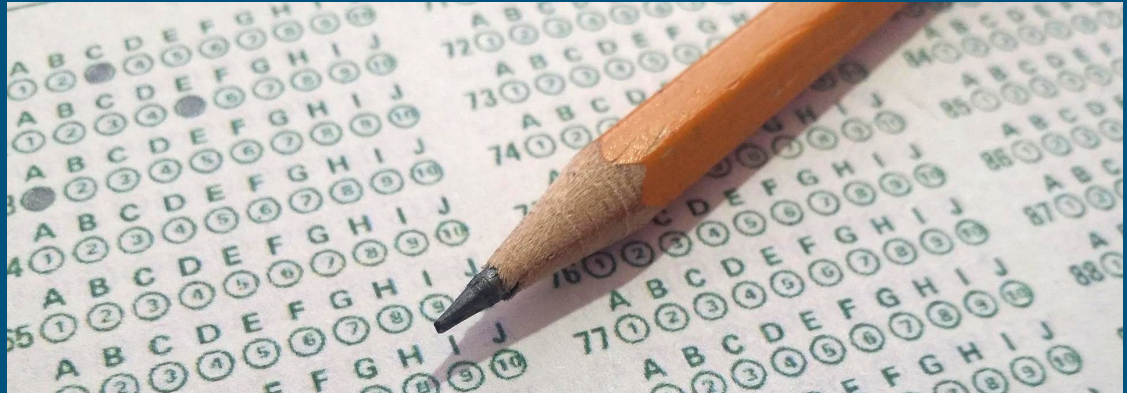
What do you have to do? (2 of 12)

The chief administrative officer must ensure that records officers and other employees who process GRAMA requests receive **training on the requirements of GRAMA** (Utah Code 63A-12-103(3)).



What do you have to do? (3 of 12)

Appointed records officers must be **certified annually** by completing online training through the Utah State Archives (Utah Code 63G-2-108)



What do you have to do? (4 of 12)

Appointed records officers must **receive and respond to records requests** within ten business days and, if applicable, accept requests through the Open Records Portal (Utah Code 63G-2-204(3)); (Utah Code 63A-3-403(11)).



What do you have to do? (5 of 12)

The chief administrative officer must **respond to appeals** by providing written notice of the governmental entity's access decision. This responsibility may be delegated (Utah Code 63G-2-401(2)).

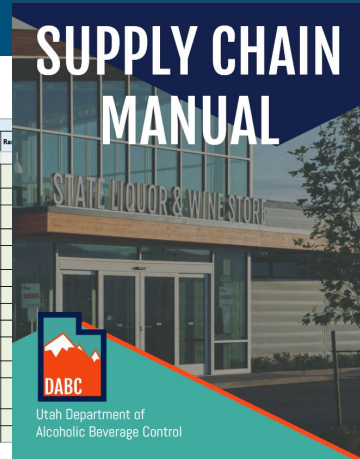
What do you have to do? (6 of 12)

Governmental entities should make **public records available for public inspection** during normal business hours (Utah Code 63G-2-201(1)).



UTAH DEPARTMENT OF ALCOHOLIC BEVERAGE CONTROL
SALES ANALYSIS WORK REPORT
Unblended Sales from August 10, 2018 to August 10, 2019

Class Code	Item ID	Bottle Size	Product Name	Status	Price	Cost	Gross Sales			Bottle Count			Case Count (BL)	Rate
							Total	Percent	YOY	Total	Percent	YOY		
001	0000	1000	TITLE HANDBRAND VODKA 100ml	1	\$25.32	\$13.39	\$2,186,937.90	1.18%	7.00%	109,610	0.03%	6.21%	11,179	
001	0000	1000	SMIRNOFF VODKA 100ml	1	\$18.49	\$9.76	\$657,886.41	0.30%	12.87%	35,580	0.23%	14.89%	3,345	
001	0000	1000	GREY GOOSE VODKA 100ml	1	\$45.49	\$22.45	\$805,594.71	0.38%	3.80%	14,507	0.09%	3.47%	1,559	
001	0000	1000	BUT VODKA 100ml	1	\$26.99	\$11.88	\$382,991.20	0.20%	11.28%	28,980	0.18%	11.64%	3,120	
001	0000	1000	MONSIEUR POTATO VODKA 100ml	1	\$15.99	\$8.45	\$245,632.34	0.12%	5.48%	22,024	0.21%	5.33%	2,775	
001	0000	1000	BACON VODKA 100ml	1	\$9.99	\$5.64	\$309,033.16	0.14%	9.80%	25,084	0.47%	6.07%	8,400	
001	0000	1000	ABSOLUT VODKA 100ml	1	\$25.49	\$13.48	\$436,213.39	0.21%	13.87%	17,580	0.11%	14.67%	1,954	
001	0000	1000	TANAKA VODKA 100ml	1	\$4.99	\$3.44	\$411,954.64	0.20%	6.31%	63,796	0.39%	6.40%	6,840	
001	0000	1000	RTTEL ONE 100ml	1	\$28.32	\$14.99	\$484,714.77	0.19%	1.27%	13,839	0.09%	1.87%	1,536	
001	0000	1000	STOUT TRAVIA VODKA 100ml	1	\$24.99	\$13.22	\$245,584.84	0.12%	4.71%	16,716	0.07%	4.17%	1,191	
001	0000	1000	SWEKA 40 PROOF VODKA 100ml	1	\$17.99	\$9.49	\$203,089.11	0.09%	3.67%	11,289	0.07%	3.67%	1,254	
001	0000	1000	BACON BUTTERFLIED VODKA 100ml	1	\$7.95	\$4.15	\$147,833.25	0.07%	16.67%	18,495	0.12%	17.16%	2,095	
001	0000	1000	PURCH VODKA 100ml	1	\$10.32	\$5.41	\$115,637.77	0.05%	23.91%	11,528	0.07%	43.18%	1,218	
001	0000	1000	POTTERS VODKA 100ml	1	\$8.99	\$4.70	\$85,162.01	0.04%	28.17%	9,440	0.06%	18.91%	1,045	



What do you have to do? (7 of 12)

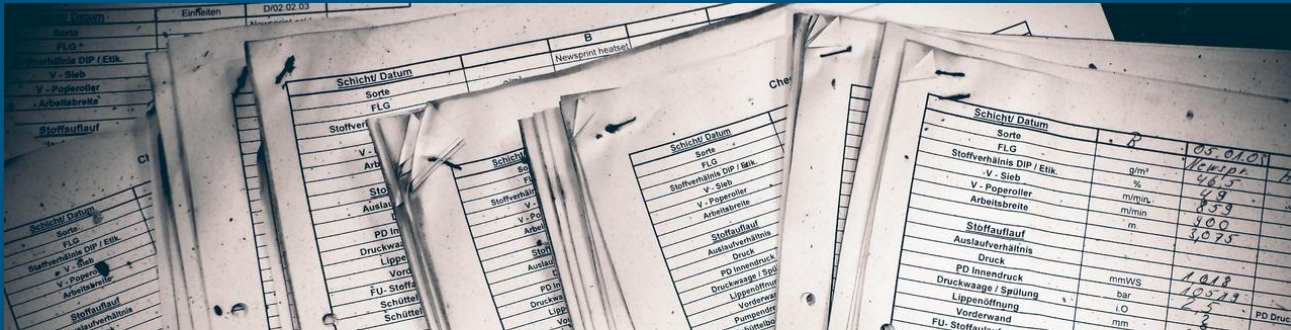
The chief administrative officer must **ensure adequate documentation** of functions, decisions, policies, and government transactions in order to **protect the legal and financial rights** of persons affected by government actions (Utah Code 63A-12-103(4)).

What do you have to do? (8 of 12)

Governmental entities should evaluate the records they maintain and **report designations** to the State Archives. (Utah Code 63A-12-103(8)(9)). Classification is not required until a request is received (Utah Code 63G-2-307).

What do you have to do? (9 of 12)

Governmental entities must **file with the Records Management Committee proposed schedules** for the retention and disposition of the records they maintain (Utah Code 63G-2-604(1)).



From PRMA Compliance Checklist 2020, archives.utah.gov/opengovernment/PRMA-Compliance-Checklist.pdf

What do you have to do? (10 of 12)

Appointed records officer(s) must maintain and **dispose of the record copy** of all records **in accordance with approved retention schedules**, or alternately in accordance with the State Archives model retention schedules (Utah Code 63G-604(1) and Utah Code 63A-12-105(1)).

What do you have to do? (11 of 12)

Governmental entities which no longer wish to maintain records which must be maintained according to a retention schedule, can **transfer those records** to the State Archives (Utah Code 63A-12-105(2)(c)).



What do you have to do? (12 of 12)

Governmental entity must **cooperate with the State Archivist** in conducting surveys, and work with the State Archives to **preserve objects** of historical or evidentiary value that are not defined as records (Utah Code 63A-12-103(6) and (10)).

What do you have to do?

Under PRMA, the CAO must:

- Establish & maintain a records management program (63A-12-103(1))
- Appoint records officer(s) to work with Archives (63A-12-103(2))
- Ensure GRAMA responders receive GRAMA training (63A-12-103(3))
- Submit proposed retention schedules to state archivist (records officer usually does this) (63A-12-103(5))
- Report designation & classification of records (records officer usually does this) (63A-12-103(8,9))

What do you have to do?

Under PRMA, the CAO must:

- Ensure adequate documentation of functions, decisions, policies designed to protect people's (legal & financial) rights (63A-12-103(4))
- Cooperate with state archivist in conducting surveys (63A-12-103(6))
- Comply with DAS administrative rules (63A-12-103(7))
- Establish retention schedules for non-records that have historical or evidentiary value

What do you have to do?

Under PRMA, the records officer(s) must:

- Work with Archives in the care, maintenance, scheduling, disposal, classification, designation, access, and preservation of records (63A-12-103(2))
- Receive GRAMA training (applies to GRAMA responders) (63A-12-103(3))
- Certify annually (63G-2-108)

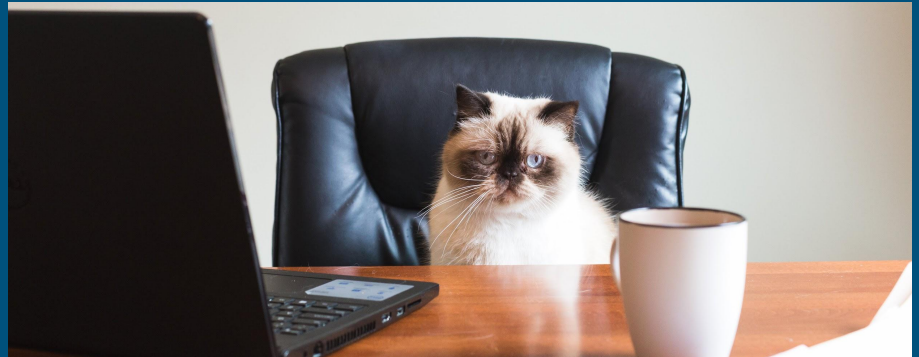
What do you have to do?

PRMA checklist: Agencies must:

- Submit proposed retention schedules to the Records Management Committee for approval (63G-2-604(1)(a), 63A-12-113(1)(b))
- Maintain and destroy records according to approved retention schedules (63G-2-604(1)(b))
- Not intentionally destroy a record contrary to the approved retention schedule (63A-12-105)

Where to go from here?

- Review current records officer assignments (GRAMA & records management)
- Review retention schedules on a yearly basis
- Inventory your records
- Create records policies



Resources

DABC Retention Schedules

ABC Commission: [Records officers](#) | [Retention schedules](#)

DABC: [Records officers](#) | [Retention schedules](#)

Accounting: [Records officers](#) | [Retention schedules](#)

Purchasing: [Records officers](#) | [Retention schedules](#)

Licensing and Compliance: [Records officers](#) | [Retention schedules](#)

Additional Links

- PRMA Compliance Checklist
<https://archives.utah.gov/opengovernment/PRMA-Compliance-Checklist.pdf>
- GRAMA Compliance Checklist
<https://archives.utah.gov/opengovernment/GRAMA-Compliance-Checklist.pdf>
- Public Records Management Act (PRMA) law
<https://le.utah.gov/xcode/Title63A/Chapter12/63A-12.html>
- Government Records Access and Management Act (GRAMA) law
<https://le.utah.gov/xcode/Title63G/Chapter2/63G-2.html>

Rosemary Cundiff

Government Records Ombudsman, State
Archives

rcundiff@utah.gov

801-531-3858

- GRAMA
- GRAMA requests
- Mediation
- Classification (public, private, etc.)



Renée Wilson

Records and Information Management (RIM)
Specialist, State Archives

reneewilson@utah.gov

801-531-3842

- Retention schedules
- Transfers
- Records officer assignment updates



What questions do you have?
