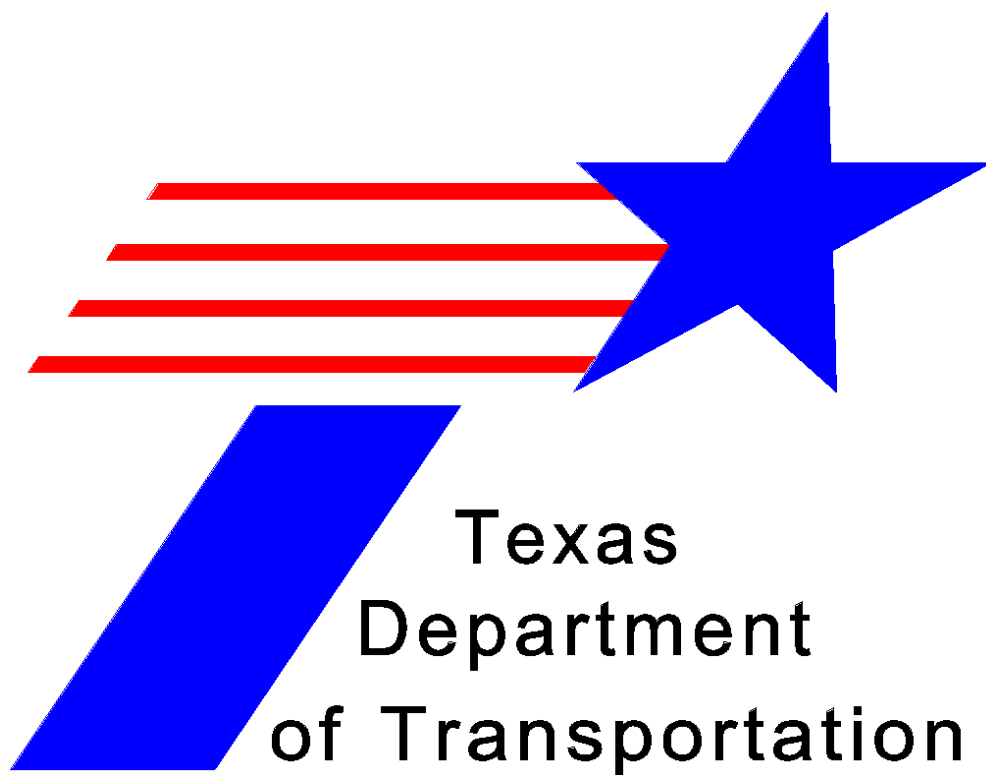


# Records Management



Texas  
Department  
of Transportation

## Manual Notice Archives

Texas Department of Transportation

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## Manual Notice 2014-1

**From:** Dana Glover, Director, Research and Technology Implementation Office

**Manual:** *Records Management Manual*

**Effective Date:** December 15, 2014

### Purpose

The purpose of this manual notice is to issue changes to Chapters 1, 2, 4, 5, 7 and 10 of the *Records Management Manual*.

### Changes

Throughout manual: Revise all references to General Services Division (GSD) to Research and Technology Office (RTI).

Remove references to Regions (DDOR to DDO).

Chapter 1, Program Overview:

- ◆ Section 1, minor text revisions.
- ◆ Section 2, subsection **Program Responsibilities**
  - The Records Management Program is responsible for....
    - Add bullet: oversight and monitoring program compliance by DDOs
    - Revise bullet: training, assisting and consulting with department offices on records management methods, practices and requirements
- ◆ Section 2, subsection **Responsibilities of Districts, Divisions, and Offices**
  - Districts, divisions and offices are responsible for....
    - Add bullet: developing and maintaining office or work unit file plans
- ◆ Section 2, subsection **Employees with Specific Responsibilities**
  - Revise descriptions to include oversight, monitoring and file plan development and maintenance responsibilities for DDO Records Administrators, Custodians and Coordinators.

Chapter 2, Record Copy Responsibility:

- ◆ Section 3, revise reference to General Services Division (GSD) to Procurement Division for example figure.

Chapter 4, File Management:

◆ Section 4, subsection **Definition and Content**

- Add: All TxDOT offices or work units are required to develop and maintain a file plan. Records custodians must certify the currency and accuracy of their file plans to the DDO Records Administrator, who, in turn must certify the currency and accuracy of their organization's file plan to TxDOT Records Management.
- File plans must be reviewed and revised as necessary to maintain their utility for locating files.
- Add reference to standard file plan in an Excel spread sheet. Revise descriptive table to include all fields in standard Excel file plan and provide instructions for cutting and pasting shared drive folder structure into the file plan. Insert new figure illustrating the file plan spreadsheet.

◆ Section 4, add new subsection **Certification**

Chapter 5, Electronic Records:

◆ Section 3, subsection **Retaining Electronic Records**

- delete reference to GroupWise email.

◆ Section 4, subsection **Classifying Email**

- Revise bullet in-line title from Operational email to Transaction-Related email.

◆ Section 4, subsection **Capturing Email for Retention**

- Delete sentence "The GroupWise tool bar allows users the option of saving messages directly to the FileNet EDMS."
- Delete "Saving an email message as a document ("save as" to a shared drive or adding to the EDMS) does not preserve more detailed metadata showing the receipt and disposition of the email. It may also result in the loss of formatting of tables, lists, and other email content. However, saving email in this manner...." and revise paragraph to read: "Saving an email message as a document ("save as" to a shared drive or adding to the EDMS) is acceptable as a routine business practice, as it preserves the basic content of the record and the essential properties of sender, recipient and date."

◆ Section 6, subsection **Email Best Practices**

- Revise reference to TSD web site to IT.

Chapter 10, Records Destruction:

◆ Section 2, subsection **Destruction of Records Stored Locally**

- Insert procedure table describing procedure for coordination and Records administrator review and approval process for destruction of locally retained records..

## **Contact**

For additional information or to recommend improvements to this manual, please contact Records Management by email at [GSD\\_Records\\_Management@txdot.gov](mailto:GSD_Records_Management@txdot.gov).

## **Archives**

Past manual notices are available in a [pdf archive](#).

## Manual Notice 2012-1

**From:** Glenn Hagler, Interim Director, General Services Division

**Manual:** *Records Management Manual*

**Effective Date:** September 01, 2012

### Purpose

The purpose of this manual notice is to issue changes to Chapter 5 of the *Records Management Manual*.

### Changes

Chapter 5, Electronic Records:

- ◆ Section 3, General Practices for Managing Electronic Records Subheading Document Imaging--Minor text revisions.
- ◆ Section 4, Document Imaging
  - New section broken out of former Section 3. New content and guidance on Establishing Imaging as a Routine Business Practice, Preserving and Certifying Document Authenticity and Destroying Hard Copy Originals after Scanning added.
  - Subheading “Requirements and Recommendations for Imaged Records” retitled “Technical Requirements and Recommendations for Imaged Records”
  - Subsequent sections renumbered.

### Contact

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## Manual Notice 2010-1

**From:** Scott D. Burford, Director, General Services Division

**Manual:** *Records Management*

**Effective Date:** February 01, 2010

### Purpose

The purpose of this manual notice is to issue changes to Chapters 1-5 and 8-10 of the Records Management Manual.

### Changes

The purpose of this manual notice is to issue changes to Chapters 1-5 and 8-10 of the Records Management Manual.

Chapter changes:

- ◆ The manual has been rewritten to update content and edited without affecting policy to improve its presentation online. Illustrations of forms and documents have been added to the text. Content in Chapter 4 related to file management has been reorganized and expanded to reflect a greater emphasis on electronic file management. Content in Chapter 5 related to managing electronic records has been expanded to include more information on content management technologies, such as SharePoint sites and EDMS, management of email records, and risk management as it relates to electronic records.
- ◆ Chapter 1, Program Overview -- Chapter renamed, rewritten and reorganized.
- ◆ Chapter 1, Section 1, Introduction -- Section renamed. Added cautionary note concerning interpretation of records.
- ◆ Chapter 1, Section 2, Program Objectives, Scope, Roles, and Responsibilities -- Subheadings renamed. Added descriptive content to Program Objectives subheading; added Records Custodian Role and Responsibility content. Edited for conciseness and added link to intranet contact information.
- ◆ Chapter 1, Section 3, Records Management Terms -- New section added.
- ◆ Chapter 2, Record Copy Responsibility -- Minor edits.
- ◆ Chapter 2, Section 1, The Record Copy Concept -- Deleted subheading "Convenience Copies as Public Information" and included information in "Definition" subheading. Added subheading "Electronic Records and the Record Copy Concept."

- ◆ Chapter 2, Section 2, Record Copy Responsibility -- Revised text in subheadings “Coordinating Responsibility” and “Records Retention Policy” to eliminate redundant information.
- ◆ Chapter 2, Section 3, Record Copy Responsibility Lists -- Edited text in subheading “Record Copy Responsibility List.”
- ◆ Chapter 3, Records Retention Schedule -- Minor edits and addition of illustrative figures.
- ◆ Chapter 4, File Management -- Chapter rewritten and reorganized to add focus on electronic file management.
- ◆ Chapter 4, Section 2, File Management on Shared Drives -- New section added.
- ◆ Chapter 4, Section 3, File Management in an EDMS -- New section added.
- ◆ Chapter 4, Section 4, Using a File Plan -- Revised with information from former Sections 2 and 3.
- ◆ Chapter 4, Section 5, Hard Copy File Management -- Revised and reorganized with information from former Sections 1 and 3.
- ◆ Chapter 4, Section 6, Conducting Routine File Closing Procedures -- Added new section to incorporate information from former Section 4.
- ◆ Chapter 5, Electronic Records -- Chapter rewritten and reorganized.
- ◆ Chapter 5, Section 1, Definition and Overview -- Minor edits.
- ◆ Chapter 5, Section 2, Requirements for Managing Electronic Records -- Major edits. Revised subheading “Destruction of Electronic Records.” Relocated “Records Management in an EDMS” to Section 3.
- ◆ Chapter 5, Section 3, General Practices for Managing Electronic Records -- Section renamed. Added subheading on “Requirements and Recommendations for Imaged Records.” Subheading on Email moved to separate section.
- ◆ Chapter 5, Section 4, Managing Email Records -- New section added.
- ◆ Chapter 5, Section 5, Records Management in an EDMS -- Former Section 4 reorganized to broaden the discussion of planning for an EDMS to include both planning for operational impacts and records management.
- ◆ Chapter 5, Section 6, Risk Management and Electronic Records -- Former Section 5 renamed and new subsection “Preparing for E-Discovery” added.
- ◆ Chapter 8, Inactive Record Storage -- Minor edits.
- ◆ Chapter 8, Section 3, Transmittal and Storage Documentation -- Revised Form 1419 title and added illustration.
- ◆ Chapter 9, Microfilming Guidelines -- Chapter renamed and edited to reflect general customer/vendor roles in microfilming projects.

- ◆ Chapter 9, Section 1, Overview -- Added text that offices may obtain microfilming services through purchase of service and edited discussion in subheading on “Storing, Scanning or Filming.”
- ◆ Chapter 9, Section 2, Procedural Outline -- Section renamed and revised to provide an overview of customer/vendor roles in microfilming projects and to delete text containing obsolete procedures. Added illustration of oversize target.
- ◆ Chapter 10, Section 1, Overview -- Revised subheading “Advantages of Timely Disposal” with cautionary note concerning records that must be withheld from destruction.
- ◆ Chapter 10, Section 2, Destruction Procedures -- Added information on coordinating local destruction procedures, a new subheading “Destruction of Electronic Records,” and renamed subheading “Extended Retention Procedures.”
- ◆ Chapter 10, Section 3, Records Destruction Log -- Added illustration of Form 1420.
- ◆ Chapter 10, Section 5, Archival Review -- Added explanation of archival codes and a table of records subject to State Archives review.

## **Supersedes**

The revised manual supercedes prior versions of the manual.

## **Contact**

For additional information or to discuss improvements to this manual, please contact Tom MacMorrان, TxDOT Records Management Officer, at [tmacmorr@dot.state.tx.us](mailto:tmacmorr@dot.state.tx.us).

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## **Manual Notice 2004-1**

*To:* Administration, Districts, Divisions and Offices  
*From:* Scott D. Burford, Director, General Services Division  
*Manual:* *Records Management Manual*  
*Effective Date:* December 1, 2004

### **Purpose**

The *Records Management Manual* has been rewritten for easier use in the online format. Some section titles and subheadings have been renamed to enhance user access from the contents window and in some cases reorganized to fit the logical flow of topics. Text has been edited for conciseness and to reduce redundancies between chapters. Links to relevant documents and online information resources have been updated. Procedures in Chapter 4, "File Management," Chapter 5, "Electronic Records," Chapter 8, "Records Storage," and Chapter 10, "Records Destruction," have been revised to include discussion of records management within the context of electronic document management systems (EDMS).

No significant policies or procedures have been revised.

### **Contents**

A summary of the revisions by chapter follows.

**Chapter 1** – Chapter title and Section 1 title renamed, redundant text and subheadings edited and consolidated and links updated. In Section 2, bulleted items revised to reflect current scope of records management. Under subheading, "Responsibilities," added citation to Administrative Order 4-77 that assigned records management program to the General Services Division. Updated bulleted items under subheading, "Responsibilities of Records Management Unit." Under subheading, "Employees with Specific Responsibilities," added bulleted items related to taking measures to protect vital records under Records Coordinators, and added definition of Record Custodian.

**Chapter 2** – Chapter title and Section titles renamed. Subheadings reorganized, consolidated, and renamed to enhance access from online contents. Former subheading, "Record Copy Responsibility Lists," made into new Section 3.

**Chapter 3** – Section titles and subheadings renamed to enhance access from online contents. Hyperlink added to the current approved records retention schedule.

Obsolete references and redundant subheadings deleted. Revised the table describing the records retention schedule to include all blocks on the schedule form. Information on interpreting a retention code added. Reorganized Sections 4 and 5 and consolidated content from former Sections 6 and 7, which have been deleted.

**Chapter 4** – Sections and subheadings reorganized, links updated, and added a procedural table with general information, including electronic records and EDMS, under Subheading “Purging Files,” in Section 4.

**Chapter 5** – Former Sections 1 and 2 have been consolidated into new Section 1. Subheadings reorganized and renamed for conciseness. Former Section 3, moved to Section 2 and subheadings reorganized, consolidated and renamed, with redundant subheadings deleted. Updated a link to e-mail policy in the Information Security Manual. Added new Section 3 to address records management planning for electronic document management systems (EDMS). Added a new subheading, “E-mail Best Practices” in Section 4.

**Chapter 6** – Former Sections 1 and 2 have been consolidated and retitled. Link to GSD Records Management intranet site updated. Deleted and consolidated redundant subheadings, and added text on noting vital records on local file plans and record copy responsibility lists. In Section 2, revised text on microfilming and scanning as methods of protection.

**Chapter 7** – Updated a linked Word document.

**Chapter 8** – Updated links to the intranet and to other chapters in the manual. Renamed Section 3 and deleted references to paper copy of Form 1419.

**Chapter 9** – Revised chapter title. In Section 1, updated statutory citations and link to information on document imaging in Chapter 5. Deleted and consolidated redundant subheadings. Subheading, “Microfilm Formats,” edited to include only those formats commonly used in TxDOT. Section 2 completely rewritten to render procedures more simply and concisely. No significant changes to policy or procedure made

**Chapter 10** – Reorganized and renamed subheadings. Added subheading, “Records Ineligible for Disposal,” to Section 1. Retitled Section 2 and added subheading, “EDMS Procedures.” Revised Section 5 to describe procedures for coordinating archival review through records management and added subheading, “Archival Records in EDMS.”

## **Supersedes**

The revised manual supercedes prior versions of the manual.

**Contact**

If you have a question or need more information, please contact the Records Management Unit of the General Services Division at (512) 836-0507 or TMACMORR via GroupWise.

## **Manual Notice 2000-1**

*To:* Administration, Districts, Divisions and Offices

*From:* Lawrence J. Zatopek, General Services Division

*Subject:* Revision to *Communications Manual*

*Functional Manual:* *Records Management Volume*

*Effective Date:* April 1, 2000

### **Purpose**

- ◆ To issue the *Records Management Volume* of the *Communications Manual* as an electronic manual
- ◆ To provide reference to records management statutes and rules accessible through the Internet
- ◆ To provide department access to the current approved TxDOT Records Retention Schedule and related documents posted on the department Intranet
- ◆ To provide electronic access to downloadable records management-related forms and documents.

### **Content**

The entire volume has been rewritten using the electronic manual template. The text has been edited to be more user-friendly in an online environment. Chapters have been consolidated and reorganized to provide a better flow of procedural information to users. Links have been established to records management-related documents and forms in the text, as well as to the Records Management Intranet page for access to the current approved TxDOT Records Retention Schedule and to Records Management e-mail addresses for specific services.

No significant changes to department policy or procedures were made to the text.

### **Instructions**

This electronic *Records Management Volume* supersedes all previous hard copy versions of the *Records Management Volume* of the *Communications Manual*, which should be recycled.

**Contact**

Tom MacMorrان, Records Manager, Printing and Document Services Branch,  
Administrative Services Section, General Services Division, at (512) 836-0507 or by  
e-mail to tmacmorr@dot.state.tx.us.