

# Record Retention and Management

Local Records

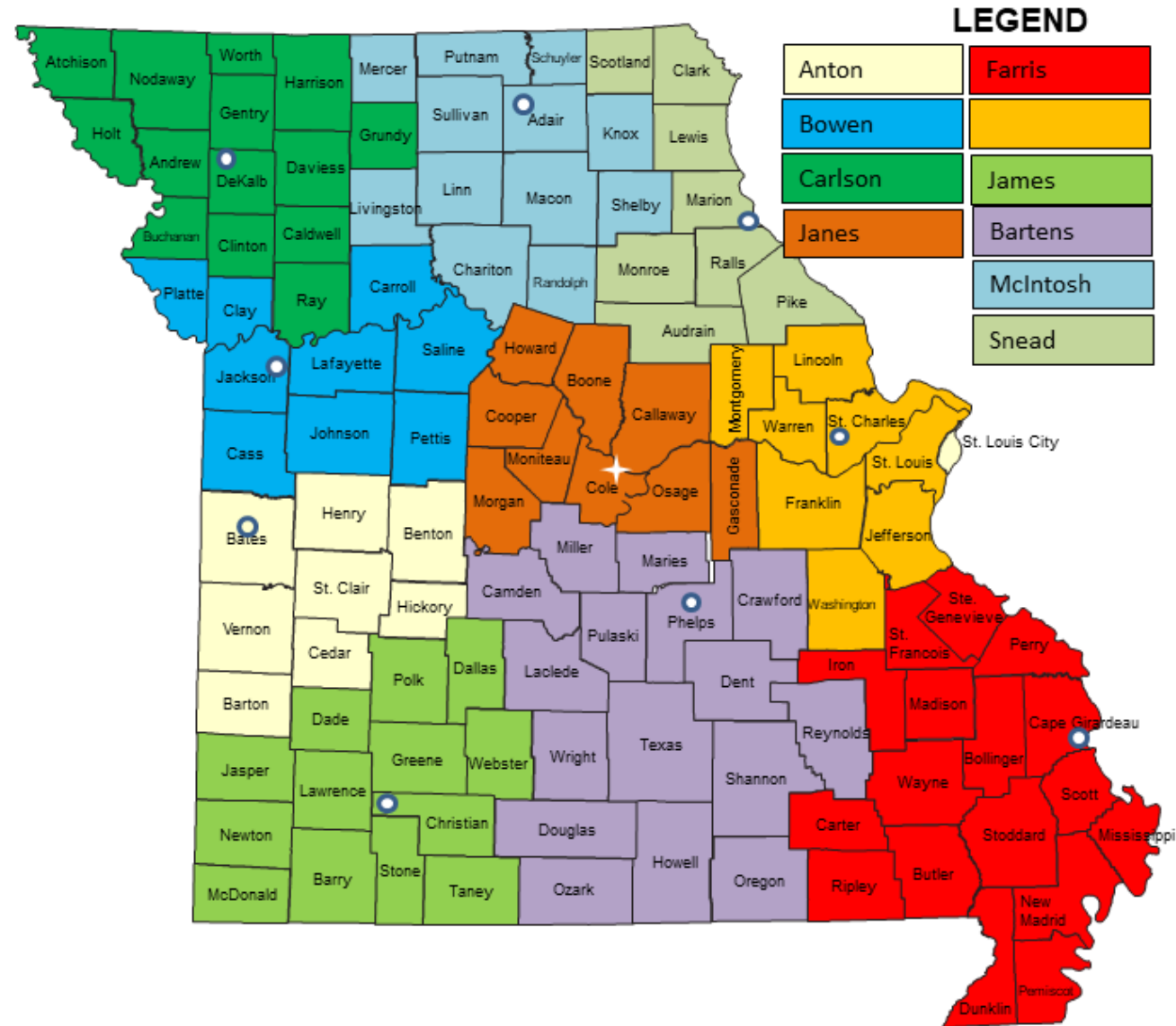
Missouri Secretary of State Office

# Local Records Preservation Program

- Part of the Secretary of State's Office
  - Piloted in 1986 as a part time Local Records Analyst Program, it became the full time Local Records Preservation Program in July 1990
  - Main office in Jefferson City
  - Nine field archivists throughout the state
- Provides free record consultations to local tax supported entities
  - Records management consultations
  - Preservation of permanent, historic records
  - Competitive grant program

# LR Field Archivist Territories

## (General)





# Local Records Board

- Establishes retention schedules for local government
- Derives authority from RSMo 109.230 and 109.255, Missouri's Business and Public Records law
- At least 12 members, as outlined by statute
- Members serve for three years, board meets once a year in August

# What is a record?

- A record is defined as any “document, book, paper, photograph, map, sound recording or other material, regardless of physical format or characteristics, made or received pursuant to law or in connection with the transaction of official business.”
- RSMo 109.210(5)

# Retention Schedules

- Retentions schedules dictate the *minimum* legal period a record must be retained and accessible
- Retentions are formalized by Local Records Board as authorized by RSMo 109.
- Based on input from local government officials and organizations
- Retentions can change—review the schedules periodically





**John R. Ashcroft**

Missouri Secretary of State



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## RECORDS & ARCHIVES



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## Local Government Records Retention Schedules

Missouri Revised Statutes Chapter 109 (Public and Business Records) Section 255 authorizes the [Local Records Board](#) to establish minimum retention periods for the administrative, fiscal and legal records created by local governments.

Retention and disposition of records that are common to many offices are included in the General Schedule. Records unique to particular offices are addressed in individual office schedules.

For more information on using the retention schedules, Local Records has prepared a short video: [Retention Basics-Using the Retention Schedules](#) (New, 05/2020)

The Local Records Program welcomes all comments and suggestions concerned with improvement of record retention schedules.

- [General Records Retention Schedule](#) (Revised, 08/2022)
  - [Ambulance District](#) (New, 08/2020)
  - [Assessor](#)
  - [Auditor](#)
  - [Collector](#)
  - [Community College](#) (Revised, 08/2018)
  - [County Board \(Senate Bill 40\)](#)
  - [County Clerk](#)
    - [Election Authority](#) (Revised, 01/2016)
  - [Fire District](#) (Revised, 08/2018)
  - [Highway Engineer](#)
  - [Health District and Hospital](#) (Revised, 08/2016)
  - [Medical Examiner/Coroner](#) (New, 08/2021)
  - [Multimodal and Transit](#) (New, 08/2019)
  - [Municipal Government](#) (Revised, 08/2022)
  - [Police Clerks](#) (Revised, 08/2017)
  - [Prosecutor](#) (Revised, 08/2022)

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<https://www.sos.mo.gov/archives/localrecs>

<https://www.sos.mo.gov/archives/localrecs/schedules>

# Introduction to Records Retention

- Your legal obligation & statutory authority to manage your records
  - Exceptions & limitations
  - Local governments are responsible for their records
- Defines records and non-records
- Benefits of microfilming
- Electronic records



# Using Retention Schedules

- Multiple schedules for prosecutor clerks
  - General Retention Schedule
  - Water District Schedule
  - Municipal Schedule
- Your office may not have every record listed in a schedule
- Ctrl F command searches electronic versions
- Print, highlight and flag retentions used frequently

# General Records Retention Schedule

- Records common to all offices
  - Administrative Records
    - Reports
    - Correspondence
    - Meeting Records
  - Building Records
  - Environmental/Health/Safety Records
  - Financial Records
  - Legal Records
  - Personnel Records

# Retention Schedule Entries

- General Schedule is organized by function headings
  - **ADMINISTRATIVE RECORDS**
  - **FINANCIAL RECORDS**
  - **LEGAL RECORDS**
  - **PERSONNEL RECORDS**
- Designed to be user-friendly
  - Record Series Name
    - *Also called* identifies alternate titles
    - *Function* describes use of the record
    - *Content* gives information contained in record

(There are additional headings)



## GS 022 Public Notice Records

*Also Called:* Affidavits of Publication, Notice of Meetings, Public Notices, Proof of Publication, Zoning Notices, Written Notice of Public Hearing

*Function:* Records documenting compliance with laws requiring public notice of governmental activities

*Content:* May include: public or legal notices, certificates, affidavits of publication, and similar documents

*Minimum Retention:* 3 years

*Disposition:* Destroy

*Note:* See also: GS 055 Bid Records

*Approval Date:* August 19, 2003, Updated August 25, 2020

## **Pros 002 Criminal Case Files**

*Also Called:* Felony Case File; Misdemeanor Case File; Extradition Files; Driving While Intoxicated File; Municipal Offenses

*Function:* Record of proceedings against given defendant

*Content:*

*Retention:* From final disposition,

- Murder 1 or 2 - 75 Years;

- Manslaughter - 20 Years;

- Chapter 566 Crimes - 30 Years;

- All DWIs - 10 Years;

- Other A and B Felonies - 10 Years;

- Other Felonies - 5 Years;

- Enhanceable Misdemeanors - 10 Years\*;

- Misdemeanors, Infractions, Ordinance, or Other Violations - 3 Years

*Disposition:* Destroy

*Note:* See also: Pros 006 for Child Support Cases; Enhanceable Misdemeanor—any misdemeanor offense that would be a felony offense upon subsequent findings of guilt.

*Approval Date:* August 28, 2012; Revised August 20, 2013; Revised August 19, 2014;  
Updated June 28, 2018



# Retention Length

- Completion of Audit (COA)
- Destroy in Current Area (DCA)
- Reference
- Destroy when superseded or obsolete
- 1(or more) year(s)
- Permanent




# Record Format


- The format of the records can be either physical or digital
- The retention schedules must be followed regardless of format
- Electronic communications can be records
  - Text messages
  - E-mail
  - Social media

# Guidelines & Publications


<https://www.sos.mo.gov/archives/pubs>




**John R. Ashcroft**  
Missouri Secretary of State




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Publications & Forms

**RECORDS & ARCHIVES**



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Local Records :: Publications

## Publications

**Conservation Notes**

- [Care of Scrapbooks](#)
- [Conservation Terms](#)
- [Encapsulating Documents](#)
- [Guidelines for Selecting Plastic Enclosures for Collections Storage](#)
- [Humidification and Flattening of Documents](#)
- [Integrated Pest Management](#)
- [Mending Paper](#)
- [Sources for Preservation Information](#)
- [Storage and Housing of Archival Collections](#)
  - [Creating a 4-Flap Enclosure](#)
- [Surface-Cleaning of Paper](#)

- [Guidelines for Creating an Agency Social Media Policy](#) 
  - [National Archives Best Practices for Social Media Capture](#) 
- [Digitization Guidelines for Small Historical Institutions and Repositories](#)
- [Digital Imaging Guidelines](#)
- [E-Mail Records Guidelines](#) (Superseded by Electronic Communications Guidelines--May 2019)
- **[Electronic Communications Guidelines](#)**
- [Guidelines for Microfilming Public Records](#)
- [Missouri Local Government Records Management Guidelines](#) 

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# Records Disposition

- Disposal should be done in the normal course of business
  - Create list of records destroyed
  - Disposal lists are permanent records
- Destroy closed records securely
  - Shred
  - Burn
  - Pulp

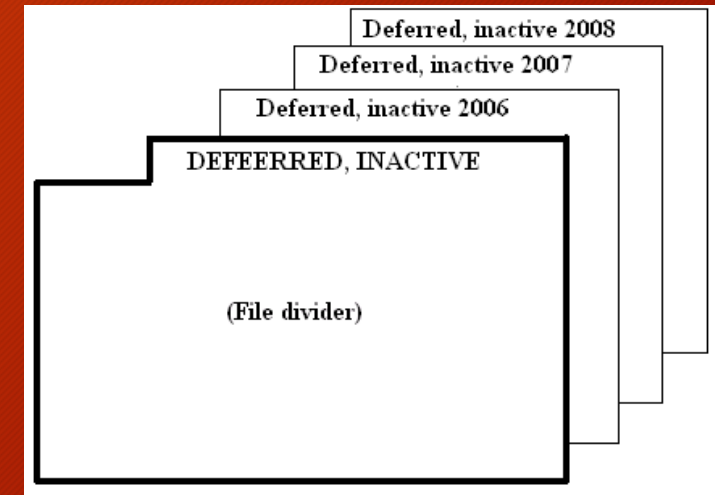


# Retention Schedules as Organizational Tools

Use retention headings as file headers, add destruction date to folder

Example:      Deferred Prosecution Case File  
                    Traffic Enforcement Records

This facilitates reference to the retention schedule and separates records with differing retentions.

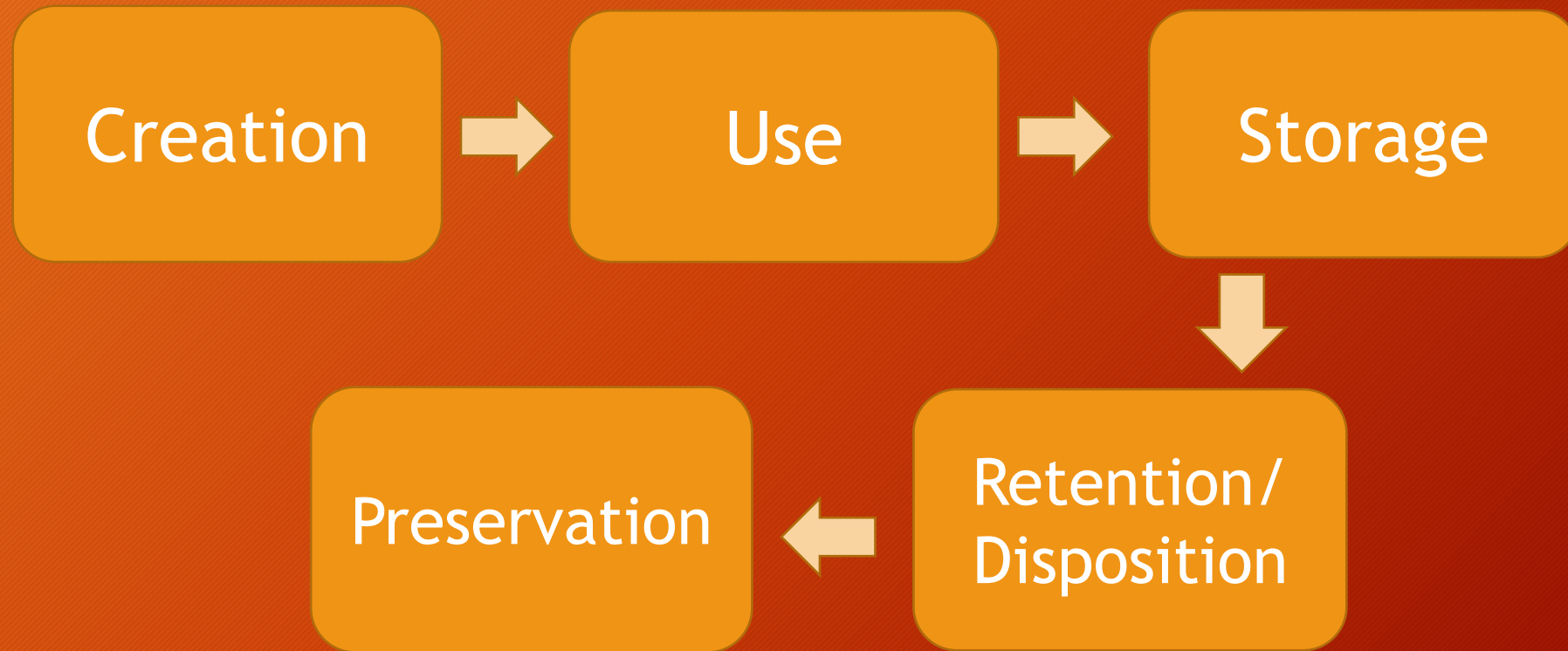


# What is records management?

A system used to manage paper or electronic records from the moment they are created or received throughout their use, storage, and disposal.

The system should ensure that records are maintained and accessible.

# Manage records throughout their life cycle





# Records management training

- Seek out training opportunities for yourself and your staff
  - Find out what resources are available
  - Training for both paper/physical and electronic records
  - Records management policy training
- 
- Local Records is available to assist with training

# Develop a records management policy

- Use the retention schedules established by the Local Records Board
  - Establish procedures for record storage
  - Determine when and how often to purge records
  - Establish a record disposition procedure
  - Create a disposition list
  - A policy provides your office with documentation
  - Policy is legal protection for your actions
- The benefits of a policy include:
    - Describes staff responsibilities
    - Shows competence and intent
    - Defines the process
    - Demonstrates consistency

# Conduct an inventory

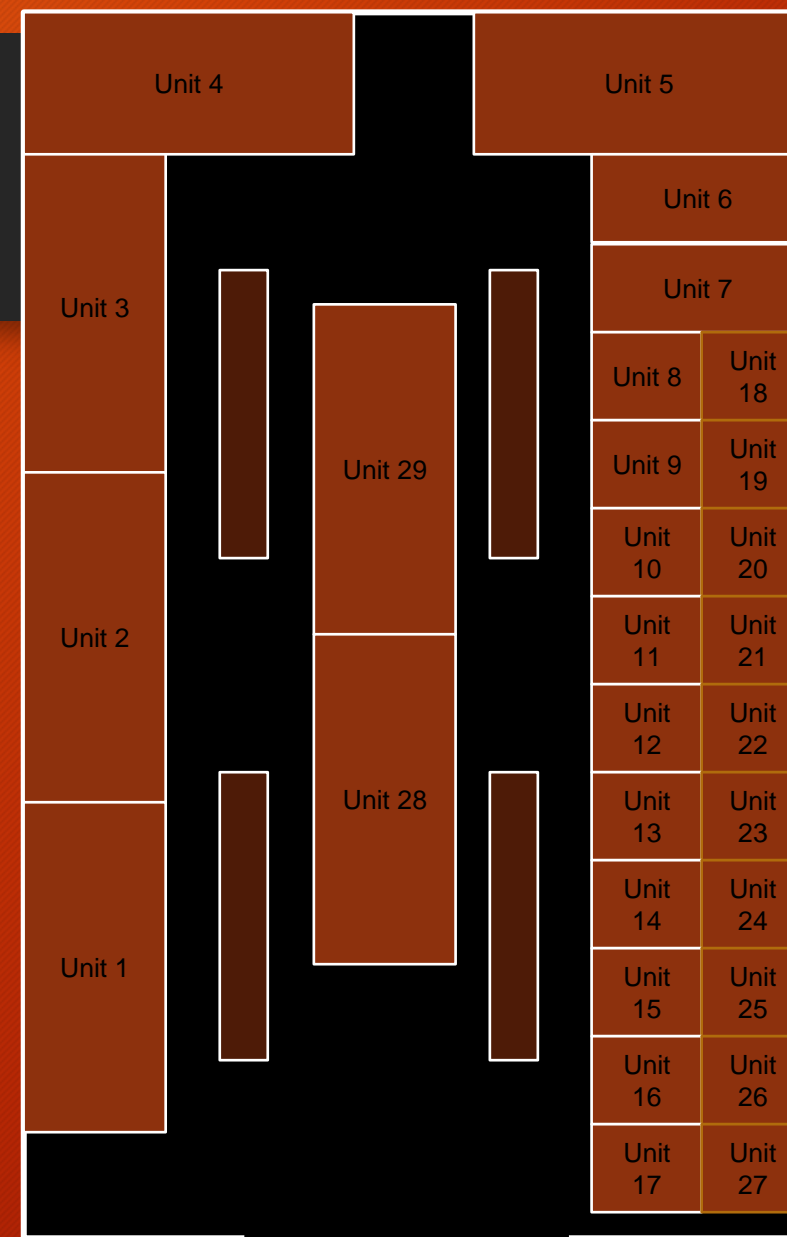
- Determine what records are being stored
- Determine where the records are
- Use the inventory to track retention/location
- Gain control over the records

Unit 1: Metal/Wood Shelving  
Unit 2: Metal/Wood Shelving  
Unit 3: Metal/Wood Shelving  
Unit 4: Metal/Wood Shelving  
Unit 5: Metal/Wood Shelving  
Unit 6-Unit 27: Standard File  
Unit 28: Metal/Wood Shelving  
Unit 29: Metal/Wood Shelving

Units 18-27 are on top of Units 8-17

Dark Grey boxes: light fixtures

Room is 18ft 1in x 11ft 6in





# Records storage

- Secure storage area
- Shelving/cabinets
- Hard drive/external drive/cloud storage
- Organize by record series/retention
- Clearly and completely label boxes
- Clearly label files
- Include destruction date



Retention schedules can be accessed through the Secretary of State website at <http://www.sos.mo.gov/archives/localrecs/schedules/>



# Local Records Preservation Program

Please do not hesitate to contact us for help.

Phone: 573 751-9047

Email [local.records@sos.mo.gov](mailto:local.records@sos.mo.gov)

Website:

<http://www.sos.mo.gov/archives/localrecs/>