

# Belton I.S.D.



## Records Management Policy and Procedural Manual

Compiled by:  
Record Management Committee

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## I. DEFINITIONS AND PURPOSE

### 1.01 OBJECTIVE/SCOPE

The purpose of this manual is to provide the policies and procedures for records management within Belton Independent School District under Board Policy CPC (LEGAL) and CPC (LOCAL), Texas Government Code and other administrative, procedural, federal, and state guidelines. The implementation of these procedures will provide criteria for the location, organization, management, storage and ease of retrieval of documentation both manually and electronically. These policies and procedures are designed to reduce the costs and improve the efficiency of recordkeeping, to adequately protect the essential records of the District, and to properly preserve those records of the District that are of historical value.

### 1.02 RECORDS DECLARED PUBLIC PROPERTY

All records as defined in this plan are hereby declared to the property of the Belton Independent School District. No official or employee of the Belton Independent School District has, by virtue of his or her position, any personal or property right to such records even though he or she may have developed or compiled them. The unauthorized destruction, removal from files or use of such records is prohibited.

### 1.02 DEFINITIONS

Active Record: A record that is generated or received in the current year or the preceding years which must be referenced or inspected once a month or more by its creator. These records should be maintained in office areas.

Administratively Valuable (AV): Documents with this designation are to be retained as long as determined to be administratively valuable.

Department Head: The officer who by ordinance, order, or administrative policy is in charge of an office of the Belton Independent School District that creates or receives records.

District: The District where used herein refers to the Belton Independent School District.

Electronic Media: All media capable of being read by a computer including computer hard disks, magnetic tapes, optical disks or similar machine-readable media.

Electronic Record: Any information that is recorded in a form for computer processing and that satisfies the definition of local government record date in the Texas Local Government Code, Section 205.001.

Electronic Records System: Any information system that produces, manipulates, and stores school district records by using a computer.

Electronic Storage: The maintenance of District data in the form of digital electronic signals on a computer hard disk, magnetic tape, optical disk, or similar machine-readable medium.

Inactive Record: A record which is no longer required for current business, and which may be transferred to a secondary storage facility for temporary storage and ultimate destruction at the end of its retention period. Alternatively, if an inactive record has enduring value in accordance with the Texas State Retention Schedule, it will be transferred to an archive for permanent retention.

Permanent Record: Any record of the District for which the retention period on a records control schedule is given as permanent.

Record: All documents, papers, letters, books, maps, photographs, sound or video records, microfilm, magnetic tape, electronic media, or other information recording media, regardless of physical form or characteristic and regardless of whether public access to it is open or restricted under the laws of the state, created or received by the District or any of its officers or employees pursuant to law or in the transaction of public business are hereby declared to the records of the District and shall be created, maintained, and disposed of in accordance with the provisions of this policy or procedures authorized hereby and in no other manner. This definition does not include:

- Duplicate Copies: extra, identical copies of documents created for convenience, reference or research by District employees. Copies can bear no hand written notes. If the copy has been changed, then the altered copy becomes an original document;
- Personal Notes, Journals, Diaries, and similar documents: Any documents created by a District employee for his or her own personal convenience;
- Blank forms acquired solely for the purpose of reference or display; and
- Copies of documents in any media furnished to the public under the Open Records Act or other state law.

Records Control Schedule: A document prepared by or under the authority of the Records Management Officer listing the records maintained by the District, their retention periods, and other records disposition information that the records management program may require.

Records Management: The application of management techniques to the creation, use, maintenance, retention, preservation, and disposal of records for the purposes of reducing the costs and improving the efficiency of recordkeeping. The term includes the development of records control schedules, the management of filing and information retrieval systems, the protection of essential and permanent records, the economical and space-effective storage of inactive records, control over the creation and distribution of forms, reports, and correspondence, and the management of electronic and other records storage systems.

Records Management Officer: The Superintendent, or his or her designee, shall serve as the Records Management Officer for the District.

Retention Period: the minimum time that must pass after the creation, recording, or receipt of a record, or the fulfillment of certain actions associated with a record, before it is eligible for destruction.

## II. ROLES AND RESPONSIBILITIES

- 2.01 Records Management Committee. The Records Management Committee shall be comprised of the Asst. Superintendent for Student Services and Administration/Records Management Officer, the Executive Assistant to the Asst. Superintendent for Student Services and Administration, the Director of Technology and General Counsel. This committee shall meet annually to review this policy and Record Retention Control Schedules.
- 2.02 Records Management Officer. In addition to other duties assigned in this Policy, the Records Management Officer shall:
- a. Administer the Records Management Program and provide assistance to the Department Heads in its implementation;
  - b. Assist in establishing and developing policies and procedures for the District's Records Management Program;
  - c. Monitor records retention schedules and administrative rules issued by the Texas Library and Archives commission to determine if the Records Management Program is in compliance with the state regulations;
  - d. Plan, formulate, and prescribe records disposition policies, systems, standards and procedures;
  - e. Establish a uniform filing system for all District offices and campuses;
  - f. In cooperation with Department Heads, identify Essential Records and establish a disaster plan for each District office and department to ensure maximum availability of the records in order to re-establish operations quickly and with minimum disruption and expense;
  - g. Develop procedures to ensure the permanent preservation of the historically valuable records of the District;
  - h. Establish standards for filing and storage equipment and for recordkeeping supplies;
  - i. Maintain this policy manual;
  - j. Disseminate to District employees information concerning state laws and administrative rules relating to District records;
  - k. Instruct District personnel of the records management plan and their duties in the records management program;

- m. Establish procedures to ensure that handling of records is carried out with due regard for the duties and responsibilities of District personnel that may be imposed by law and the confidentiality of information in records to which access is restricted by law;
  - n. Standardize the media by which records will be stored;
  - o. Direct the approval process for the destruction of records that have reached the end of the retention period in accordance with the Authorization for Destruction Request prepared by a Records Management Officer; and
  - p. Ensure the maintenance, preservation, scanning, destruction or other disposition of records is carried out in accordance with the District's Record Management Program and legal requirements.
- 2.03 Department Heads. Each Campus Principal and Department Head shall be responsible for compliance with this policy although he or she may designate a member of her or her staff to act as a liaison between the campus/department and the Records Management Officer. In coordination with the Records Management Officer, Department Heads are responsible for the following:
- a. Carrying out the policies, guidelines and procedures established by the Board, District and campus/department for the secure, efficient and economical management of inactive and active records;
  - b. Adequately document the transaction of District business and the services, programs, and duties for which the Department Head and his or her staff are responsible;
  - c. Maintain the records in his or her care and carry out their preservation, destruction or other disposition only in accordance with these policies and procedures;
  - d. Ensure that active records are properly boxed and pulled prior to transfer to elementary, middle and high school campuses;
  - e. Ensure, annually, that records that are no longer Administratively Valuable, but subject to retention according to the retention schedule are properly labeled and stored in a secure location on your campus or in your department.
  - f. Disseminate information to the department/school staff concerning the records management program;
  - g. Train department/campus staff on what records must be maintained and stored and in what format; and

- h. By June 15<sup>th</sup> of each year, provide an inventory of all active and inactive records which your campus or department is responsible for maintaining to the Records Management Officer.
- 2.04 Director of Technology. The Director of Technology is responsible for ensuring compliance with the Electronic Records Standards and Procedures set out in the Texas Local Government Code Chapter 205 as well as the following duties:
- a. Establishing a secure program for office and storage areas;
  - b. Ensuring that duplicate copies of essential records, software and documentation is stored in a separate building;
  - c. Ensuring read/write privileges are controlled and audit trails are maintained for rewritable media;
  - d. Periodically recopying or transferring data from obsolete technology to supportable technology;
  - e. Maintaining storage areas for magnetic tapes or optical disks at specified temperature and humidity levels;
  - f. Overseeing the retention of hardware, software and documentation for life of records or migrate records to new media/systems for life of records;
  - g. Overseeing the annual destruction of electronic records as approved by the Records Retention Control Schedule;
  - h. Maintaining the security and confidentiality of electronic records;
  - i. Ensuring that electronic systems are not an impediment to the public's access to public records;
  - j. Maintaining an inventory of electronic records and digital imaging systems;
  - k. Training District personnel on the maintenance and security of electronic records annually;
  - m. Annually provide an inventory of all electronically stored data and the hardware and software necessary to provide access to it;
  - n. Administering a program for the management of records created, received, maintained, used, or stored on electronic media; and
  - o. Establishing procedures for addressing records management requirements, including recordkeeping requirements and disposition.

### III. ACTIVE RECORDS

This section does not address the maintenance, storage and transfer of all active records required to be maintained by campuses, departments and administrative offices. To the extent a particular type of record is not addressed particularly, it is the responsibility of the Department Head and the Records Management Officer to identify records which are subject to the Record Retention Schedule as identified in the Appendix attached hereto and ensure that such records are maintained and stored according to the retention schedule.

#### 3.01 Student Records.

- a. Maintenance. Student records, including those maintained electronically, are to be maintained in secure locations with access limited by job description and on a need to know basis.
- b. Transfer to Other Campus or District. When student records are transferred to another campus or school district, unnecessary documents are to be pulled and made available to the parents or legal guardians, and otherwise, destroyed.
- c. Those student records maintained electronically must be copied or backed up in accordance with instructions and policy of the Director of Technology.
- d. Transfer to Storage.
  1. Withdrawn Students. Student records which must be maintained according to the record retention schedule after the withdrawal of a student, in most cases for 6-8 years, shall be maintained on the campus which the student last attended. However, if storage is an issue on a particular campus, these documents may be transferred to the District's storage facility by following the instructions found in Section IV, "Inactive Records."
  2. Permanent Student Records. Records which must be maintained permanently shall be transferred annually to storage by following the guidelines set forth in Section IV, "Inactive Records."

#### 3.02 Cumulative Folders Paper Documents

- a. Required Content:
  1. Transcripts including school records from outside the District
  2. Test Scores
  3. Signed Original Registration Form (only those not submitted online)

4. Home Language Survey (only those not submitted online)
  5. Copy of Social Security Card
  6. Copy of Birth Certificate
  7. Legal Documentation including Court Orders of guardianship, Divorce Decrees, and legal name changes.
  8. At-Risk Identification Form.
- b. Electronic Student Records
1. Registration Form
  2. Home Language Survey
- c. Recommended Content:
1. Proof of Residency
  2. Grade Level Placement Letter
  3. LPAC Folder including the IDA Oral Proficiency Test if a language other than English is indicated as well as other documentation required if the student is in a Bilingual or ESL Program.
- d. Documents Not Maintained in Cumulative Folder:
1. Samples of student work
  2. Discipline Records (Skyward #3350-01 see retention schedule)
  3. Medical Records (Nurse)
  4. Immunization Records (Skyward #3300-08 date of withdrawal + 2 years)
  5. Special Education Information (Special Ed #3250-02 cessation of services + 7 years)
  6. 504 Documentation (Special Ed #3250-20 cessation of services + 5 years)
  7. Gifted and Talented Information (Advanced Academics #3250-16 cessation of services + 5 years)
  8. Dyslexia Program documentation (Special Ed #3250-27 cessation of services + 5 years)

9. Counseling Files (Counselors #3350-02 AV)
10. Drug Consent Forms (HS Principals #3225-02 until the student is 18)

### 3.03 Discipline Records.

- a. Any records relating to forms of discipline other than removal to a Disciplinary Alternative Education Program, suspension or expulsion should be kept on the campus for one year and annually destroyed.
- b. Records relating to removal to a Disciplinary Alternative Education Program, suspension or expulsion should be kept on the campus for five years and annually destroyed.

### 3.05 Withdrawn Student Files

#### a. Required Content PK-8

1. Enrollment or Registration Forms (#3200-04 date of withdrawal + 5 years)
2. Home Language Surveys (Paper Copies #3200-05 Date of withdrawal + 5 years)
3. Withdrawal From or No Show Leave Form (#3200-08 AV)
4. Testing Results (#3200-09 1 year after recording of data in academic achievement or cumulative record or if not recorded in academic achievement or cumulative record keep permanently)

#### b. Required Content 9-12:

1. Transcripts (#3200-01 Permanent)
2. Testing Results (#3200-09 1 year after recording of data in academic achievement or cumulative record or if not recorded in academic achievement or cumulative record keep permanently)
3. Academic Achievement Record/Permanent Record Card (Permanent if testing results are attached to it)
4. Enrollment or Registration Forms (Paper Copies #3200-04 date of withdrawal + 5 years)
5. Home Language Surveys (Paper Copies #3200-05 date of withdrawal + 5 years)
6. Withdrawal or No Show Leave Form (#3200-08 AV)

## 1. IV. INACTIVE AND PERMANENT RECORDS

### 4.01 On-Site Storage.

a. Permanent records should not be stored on campuses or in administrative offices, but rather, should be transferred to the Records Management Officer or saved electronically in the R: drive for permanent storage. If necessary, one year of permanent data may remain on the campus or in the administrative offices for reference.

b. Inactive records should be stored on the campus or in the department for the duration of the retention period unless space limitations make such storage impractical.

### 4.02 Time of Transfer.

a. Permanent paper records should be forwarded to the Records Management Officer for permanent storage by submitting a Request for Permanent Records Storage form to the Records Management Officer. Permanent paper records should be transferred on an annual basis.

b. Ensure, annually, that inactive records which are subject to retention according to the retention schedule are properly labeled and stored in a secure location on your campus.

4.03 Procedure for Transfer. A Request for Permanent Record Storage form for paper records should be filled out and sent to the Records Management Officer for both inactive and permanent records. Once approved, a copy of the request and storage labels will be returned to the requestor. The label must then be affixed to the outside of the box. It is the responsibility of the requestor to coordinate the pickup of the boxes with the maintenance department and make sure the records are taken to the records room and placed in the proper location.

4.04 Accessing Inactive or Permanent Records. If at any time a paper record that is in storage needs to be accessed, you may go to the Belton ISD records room and retrieve the document. If the record needs to be taken back to the campus/department please make sure to sign it out. Otherwise, a copy of the information needed can be made onsite. Electronic record storage may be requested from the Records Management Office.

4.05 Procedure for Destruction of Inactive Records. When records are ready to be disposed of in accordance to the Record Retention Schedule, each responsible group must be notified thirty days prior to the destruction for their approval. If at any time records are the subject of litigation or potential litigation they must be returned to the General Counsel for safekeeping.

4.06 Time for Destruction of Inactive Records. Documents shall be destroyed according to the Records Retention Schedule for your Department or Campus according to the attached Appendix. A record that has not yet been listed on an

approved records control schedule may be destroyed if its destruction has been approved in the same manner as a record destroyed under an approved schedule. A record whose retention period has expired on a records control schedule shall be destroyed unless an open records request is pending on the record, the subject matter of the record is pertinent to a pending lawsuit, or the department head requests in writing to the Records Management Officer that the record be retained for an additional period. Any of these documents, should be submitted to the General Counsel for safekeeping.

- 4.07 Approval for Destruction. Prior to the destruction of a paper record under an approved records control schedule, authorization for the destruction must be obtained by submitting a Request for Records Destruction form to the Records Management Officer.
- 4.08 Electronic Archive. Certain records that require permanent storage should be saved electronically to the extent possible.
- 4.09 Record Formats. The following formats are acceptable for permanent electronic storage:
  - PDF – Portable Document Format
  - GIF – Graphic images
  - JPG – Photographs
  - DOC – Microsoft Word documents
  - XLS – Microsoft Excel documents
  - MSG – Microsoft Outlook email message
- 4.10 Permanent paper records may not be edited nor destroyed. If a record is inadvertently filed in the permanent records electronic archive, only the Records Management Officer will be able to remove the file.

## V. ELECTRONIC RECORDS

- 5.01 Email Policy. The District will exercise its “best efforts” to maintain the integrity and efficient operation of its electronic mail systems, but users are advised that those systems should, in no way, be regarded as a secure medium for the communication of sensitive or confidential information. The District can assure neither the privacy of an individual user’s use of the District’s electronic mail nor the confidentiality of particular messages that may be created, transmitted, received or stored thereby. See Employee Handbook Section 6.22 and Board Policy CQ for more information about email correspondence and District policy.
- 5.02 Retention. The retention and disposal of electronic records are the responsibility of all employees who create, send or receive electronic records.
- 5.03 Electronic Records subject to Retention. Note that electronic records, including email correspondence, constitute a record subject to retention requirements. To the extent the records include such documents, the electronic record must be securely stored and maintained either in electronic or printed form, and must be destroyed or archived according to the retention schedule. For detailed instructions on properly storing electronic records contact the Assistant Superintendent for Student Services and Administration/Records Management Officer at 215-2004.
- 5.04 Email and Public Information Act Requests. Texas law provides that electronic communications of District personnel may constitute “correspondence” and, therefore, may be considered public records subject to public inspection under the Texas Public Information Act.
- 5.05 Storage Location. Electronic records should be saved in the user’s records retention folder (R:). Once a file has reached the end of its retention period, the file should be deleted.
- 5.06 File Organization. Inside the records retention folder (R: drive) create folders for each applicable classification of records according to the applicable record retention schedule. Within each classification folder, a folder should be created and titled by the appropriate year. Records should be stored in the folder that corresponds to the appropriate year. For example:

 R:

-  1050-56 Leave Request Forms
  -  2008
  -  2009
-  1075-15 Damage Reports to Equipment
  -  2007
    -  Sample File 1.doc
    -  Sample File 2.doc
    -  Sample File 3.doc
  -  2008
    -  Sample File 1.doc
    -  Sample File 2.doc

 2009

5.07 Record Formats. The following formats are acceptable for permanent electronic storage:

- PDF – Portable Document Format
- GIF – Graphic images
- JPG – Photographs
- DOC – Microsoft Word documents
- XLS – Microsoft Excel documents
- MSG – Microsoft Outlook email message

5.08 Procedure for Filing Email. In order to retain all email message header information, the message should be copied from Outlook directly into the appropriate folder on the H: or R: drive. Once copied, the message will remain in the native Outlook email format. Or you can create folders in Outlook for each applicable classification of records according to the record retention schedule. All sent and deleted email are removed from Outlook after 2 years. See detailed instructions on the Technology Tutorials website.

## VI. OPEN RECORDS REQUESTS AND SUBPOENAS

- 6.01 Open Records Requests. All Open Records Requests MUST be forwarded to the Director of Communications. No requests will be administered and fulfilled by campus or department personnel.
- 6.02 Subpoenas. No campus or department shall accept the service of a subpoena. All process servers shall be directed to the General Counsel.

## VII. RECORDS CONTROL SCHEDULES

- 7.01 The Records Management Officer, in cooperation with Department Heads shall prepare records control schedules on a department by department basis listing all records created or received by the department and the retention period for each record. Records control schedules shall also contain such other information regarding the disposition of District records as the records management plan may require.
- 7.02 Each Records Control Schedule shall be monitored and amended as needed by the Records Management Officer on a regular basis to ensure that it is in compliance with records retention recordkeeping procedures and needs of the department and the records management program of the District.
- 7.03 Before its adoption a records control schedule or amended schedule for a department or campus must be approved by the Department Head and the members of the Records Management Committee.
- 7.04 Before its adoption, a records control schedule must be submitted to and accepted for filing by the Texas State Library and Archives Commission as provided by state law. The Records Management Officer shall submit the records control schedules to the Texas State Library and Archives Commission.
- 7.05 The approved Records Control Schedule is available by request to the Asst. Superintendent for Student Services and Administration.

**BELTON INDEPENDENT SCHOOL DISTRICT****REQUEST FOR RECORDS STORAGE**

PLEASE PREPARE A SEPARATE FORM FOR EACH FILE OR STANDARD STORAGE BOX TO BE SENT. BOXES MUST BE 15X12X10 ONLY, NO LEGAL SIZE BOXES.

Date of Request \_\_\_\_\_

Department/School/Office \_\_\_\_\_

Individual Requesting \_\_\_\_\_

Phone Number \_\_\_\_\_

Type of Document  Electronic  Box

Electronic files should be sent with this form in a format listed in the *Records Management Policy and Procedural Manual*.

Contents of Box/File:

<b>Content-including school year(s)</b>	<b>Retention #</b>	<b>Retention Period</b>
1.		
2.		
3.		
4.		

**\*\*All information must be filled in before submitting to Records Management Office\*\***

After approval of your request to store standard boxes, it is your responsibility for coordinating the pickup of the boxes with the Maintenance Department and making sure that the records are taken to the Records Room and placed in the proper location.

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**TO BE COMPLETED BY RECORDS MANAGEMENT OFFICE**

APPROVAL \_\_\_\_\_ DATE \_\_\_\_\_

BOX NUMBER \_\_\_\_\_ FILE NAME \_\_\_\_\_

PERMANENT \_\_\_\_\_ DESTROY YEAR \_\_\_\_\_

# BELTON INDEPENDENT SCHOOL DISTRICT

## REQUEST FOR RECORDS DESTRUCTION

Date of Request \_\_\_\_\_

Department/School/Office \_\_\_\_\_

Individual Requesting \_\_\_\_\_

Phone Number \_\_\_\_\_

Type of Document       Electronic       Box

Contents of Box/File

Content-including school year(s)	Retention #	Retention Period
1.		
2.		
3.		
4.		

Principal/Director Approval: \_\_\_\_\_

**\*\*All information must be completed before submitting to Records Management Office\*\***

*TO BE COMPLETED BY RECORDS MANAGEMENT OFFICE*

APPROVAL \_\_\_\_\_ Date \_\_\_\_\_

DESTRUCT YEAR \_\_\_\_\_

DISAPPROVAL/REASON \_\_\_\_\_