

Records Management in a Hybrid Work Environment: Best Practices and Tips for You!

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Agenda

- Basic review of public records law and records retention policy
- Overview of the records retention policy
- Overview of the newly revised System Retention Schedule
- Best practices on records management in hybrid environment
- Tips to help you manage records



First the basics – What is a public record?

- All documents of any type “regardless of physical form or characteristics...**made or received in the connection with the transaction of public business** by any agency of North Carolina. (**NCGS 132-1(A)**)
- Note:
 - UNC Charlotte is **considered a state agency**
 - Disposition of records are governed by law: NCGS 121 (Archives & History) & 132 (Public Records Act)



What if you deny public access?

- Anyone who is denied access to a public record may seek a court action to compel the State agency to turn over the records (**NCGS § 132-9(a)**)
- Burden is on the State (**NCGS § 132-9(b)**)
- Presumption is that **all State records are open to the public**



What is Records Management?

- Methods to **efficiently**, **effectively**, and **economically** create, use, maintain, preserve, and dispose of official records



What is University Archives?

- Located in Atkins Library
- Collective memory of UNC Charlotte
- Collect, preserve, make available historical records
- Charged by the Chancellor to guide records management activities on campus (see University Policy 605.3)



Definitions

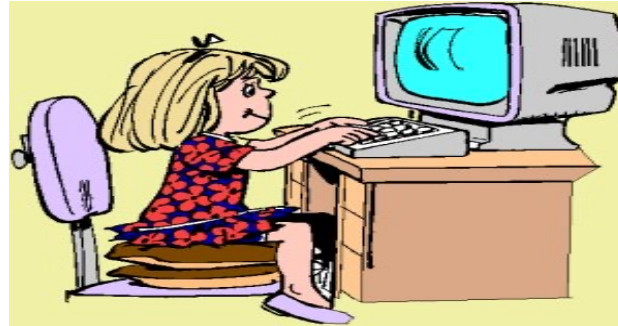
- **Transitory record** – records that have little or no documentary or evidential value and do not need to be set aside for the future (meeting invites, routing slips, transmittal sheets, etc.)
- **Reference value** – a record held by an office for its own reference and not the official record for the University that hold limited value, typically documenting routine operations within the office (templates, instruction manuals, newsletters, etc.)
- **Record series** – a group of records that are related (personnel files, student files, contracts, business correspondence, financial statements, etc.)
- **Retention period** – length of time a record should be kept before disposing (ex.: transfer to university archivist after 5 years)
- **Disposition** – what happens to a record when it is no longer needed for current University business (3 steps: review, archive, destroy)



Life Cycle of a Record

3 stages:

Creation



Use



Disposition



Why do we have Records Management?

- To comply with North Carolina law
- Preserve certain history records (ongoing administrative or research value)
- Space (disposed of records that no longer have administrative value to make room for those of current and continuing value)
- Improves efficiency and costs savings (limited record storage facilities for permanent non-historical records)



Why all the fuss?

- State law requires agencies to retain public records and prohibits the destruction EXCEPT in accordance with the guidelines established by the North Carolina Department of Cultural Resources
- Rule applies to all UNC Charlotte employees
- **Remember:** All UNC Charlotte employees are responsible for the records they create and maintain



Where do I find the retention schedule?

- **Newly revised in every year**
 - UNC General Records Retention and Disposition Schedule found [here](#) on the NCDRC website.
 - Here you can find the current approved schedule, as well as previous amendments to the schedule
 - Also can be found here: [University Policy 605.3, Retention, Disposition, and Security of University Records](#) or on [Special Collections and University Archives' site](#)



Why do we have a records retention schedule?

- Identifies which records have permanent value and which ones do not
- Provides descriptions of records and when to dispose of them
- Identifies confidential or restricted records



What's new in the retention schedule?

- Some highlights (more found at each link below)
 - [2021](#): Added a series for Class Recordings (12.5); amended Leave File (10.29) to include records concerning parental leave; amended two series (10.1, 10.47) to reflect new requirements for investigations of sexual harassment and related training records
 - [2020](#): Changed retention rules for several records series including tax forms (5.20), travel reimbursements (5.23), payroll (10.33), shift premium pay (10.43), and time sheets (10.46); amended student immunization records (16.8)
 - [2019](#): Deleted hiring packages (10.28) due to series overlap; modified Search Committee Record (10.42); changed retention for several public safety records to reflect Clery Act requirements (11.2, 11.6, 11.8, 11.12); changed disposition of expulsion cases to 75 years



COVID-19 Records

- Symptom checklists for employees → Employee Medical Records (10.19)
- Symptom checklists for visitors → Administrative Records (1.3)
- PPE purchasing → Purchase Orders and Vouchers (5.16)
- Targeted cleaning of offices and classrooms → Maintenance, Repairs, and Inspection (4.13)
- Health waiver for events → Release Forms (8.10)
- Contact tracing of students → Student Medical Records (16.9)
- COVID dashboards → Reports (1.35)



Best Practices in this Hybrid Environment

What does it mean for me?



Get a Handle on Electronic Records

- Contact University Archives for guidance
- Assess what records your office creates
- Build a useful folder structure
 - Group records together by function
 - Identify records that reach the end of their retention period at the same time
 - Structure should be unambiguous with no redundancy
- Communicate changes and train staff



- Implement your plan
 - Review for legal holds and archival/permanent records
 - Purge redundant, obsolete, and transitory records (ROT)
 - Transfer permanent records to University Archives
- Check-in on the plan—is it still working for your office?
Modify if needed!
- Review annually



Tips to help you manage records...



- **DO** centrally locate records in shared drives (Google Drive, Dropbox, etc.)
- **DO NOT** store records on local hard drives or personal drives
- **DO** include the record series and disposition in folder titles
- **DO** use hierarchical folder structure; **DO NOT** make file paths too deep
- **DO** label convenience copies and backups for easy deletion
- **DO** keep the final version; **DO NOT** keep each revision
- **DO** use human-readable file names



