

Records Management Spring Cleaning – It's that time again!



Presenters:

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Agenda

- Public Records Overview
- University Archivist role
- How to retain and dispose of records
- Overview of record retention policy and disposition schedule
- Best Practices on records management
 - Who is responsible for archiving?
 - Do you have an internal policy on archiving?
 - How to determine what should be destroyed?
 - What records should be transferred to University Archives?
 - What about records that fall under a litigation hold?
 - What about digital records?

What is a public records?

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

What if you deny public access?

- Anyone who is denied access to a public records may seek a court action to compel the state agency to turn over the records. (NCGS §132-9(a)).
- Burden is on the agency (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.



Why do we have Records Management?

- To comply with the North Carolina law
 - Rules apply to all university employees
 - Each employee is responsible for the records they create and maintain
 - State law requires agencies to retain public records and prohibits the destruction EXCEPT in accordance with the University Records Retention Schedule established by the North Carolina Department of Cultural Resources
- Preserve certain history records (ongoing administrative value and research value)
- Space – make room for records with current and continuing value
- Improves efficiency and cost savings (limited storage for records with permanent non-historical records)

Poll Question #1

- When transferring physical records, what is the first step?
 - a. Fill out a records transfer form
 - b. Refer to the general schedule
 - c. Buy new boxes

Poll Question #1 Answer:

b. Refer to the general schedule

Link: <https://archives.ncdcr.gov/documents/universitygs2021pdf/open> or <https://legal.charlotte.edu/policies/up-605.3>

Where do I find the Records Retention Policy and Schedule?

- UNC General Records Retention and Disposition Schedule found [here](#)
 - The North Carolina Department of Natural and Cultural Resources (NCDCCR) is responsive for providing guidelines for record retention and disposition for all universities in the UNC System, 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](#)
- The Schedule describes:
 - The Series (or types) of records;
 - The length of time records must be preserved
 - How to dispose of records

What if there is a legal hold?

- “**Litigation holds**” are issued and enforced due to certain circumstances, usually when there is a **pending** or **threatened** litigation
- You are required to suspend normal and routine destruction of records regardless of the established and disposition schedule
- Upon notice you are required to:
 - Immediately suspend deletion of relevant records
 - Preserve any electronic records generated OR received
 - **MUST** acknowledge receipt of hold
 - **MUST** continue to monitor compliance

Violation of legal holds?

- It is against the law to destroy, alter, withhold, or obscure “evidence” once a legal hold has been issued
- This is known as “spoliation”

Records Management for Your Office – Step by step Procedures...

- Contact University Archives!
 - x71166 or records-management@charlotte.edu
- Review your files—what do you have?
- Review the retention and disposition schedule, it may have changed or may not be what you assume
- Shred, delete, or transfer to the archives
- Document your process
- Update record keeping practices

Best Practices – Annual Records

- Annual or biennial reports
- One-year retention
 - Examples: work orders, rejected bids and proposals, employee suggestions and surveys, most records of non-enrolled students, etc.
 - Search for “1 year” in retention schedule
- Clean out transitory records and check for administrative value (obsolete and superseded records)
- Check for records with event triggers (i.e., “1 year after separation”)

Poll Question #2

- What records should NOT be transferred to University Archives?
 - a. Records with short term retention
 - b. Records with long term retention
 - c. Records with historical significance

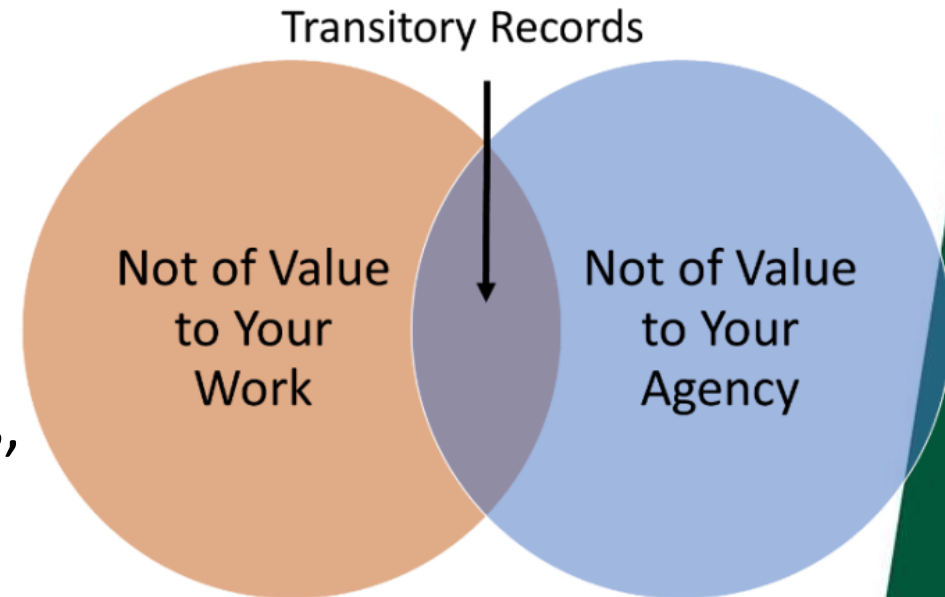
Poll Question #2 Answer:

a. Records with short term retention



Best Practices – Transitory Records

- Are still public records
- Are no longer useful and hold no administrative, legal, fiscal, or historical value
- Routing slips, requests for follow-up, drafts and notes for approved final reports*, convenience copies/duplicates, obsolete and superseded information (search “superseded”), outside publications, and others
- When in doubt, reach out



*= check retention and disposition schedule for further details

When does Administrative Value End?

- When you no longer have day-to-day use for that record for normal operations to occur
- May still have historical, legal, or fiscal value when administrative value ends
- Make an internal policy for records specific to your work
- Document changes

Poll Question #3

- What is the **most** important about the boxes used for transferring physical records?
 - a. Acid free boxes
 - b. Shape (square)
 - c. Size (10"x"12"x15")

Poll Question #3 Answer:

c. Size (10"x12"x15")



Best Practices when working from home...Do your digital spring cleaning from home!

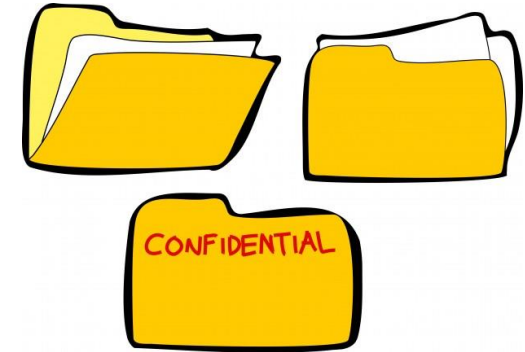
- Take stock of where your records are: shared network drives, Google Drive, Dropbox, etc.
- Review the schedule and organize records that can be deleted
- Create a file plan and file naming structure
 - Organize by function and then alphabetically or chronologically
- Document and share!
- Transfer digital files to the archives

Poll Question #4

- Which of the following **must** be done to your physical records prior to transfer?
 - a. Keep papers in binders
 - b. Flag confidential records
 - c. Move hanging folders into boxes

Poll Question #4 Answer:

b. Flag confidential records



Note: You should also:

1. remove hanging folders
2. move records in binders into folders
3. replace damaged folders and copy the label onto the new folder



How to Transfer to University Archives

Poll Question #5

- Before the pickup of physical records you will need to...?
 - a. Tape your box lids
 - b. Contact Library Facilities
 - c. Fill out a records transfer form

Poll Question #5 Answer:

c. Fill out a records transfer form

