Fearlessly Shaping What Is Next: Uncomplicating the Records Retention Process

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Katie Howell, University Archivist
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AGENDA

• The 5 W’s
• The Process
• Best Practices
• Retention Schedule
• University Archives
The 5 W’s of Record Retention

Who: Any agent of NC Government

What: “…all records created or received in the course of University business, in whatever format”

Why: NCGS Chapter 132 (Public Records) and 121 (Archives)

When: Refer to Record Schedule

Where: Your unit or University Archives
The Process
Objective:

To efficiently, effectively, and economically create, use, maintain, preserve, and dispose of official records.
Records Management for Your Office

1. Appoint a records liaison & backup
2. Inventory your records
3. Prepare a file plan
4. Document records sent to the archivist
5. Outline an annual schedule
6. Train your team
Records Liaison

✓ Familiarity with all records created by and maintained in the department
✓ Ability to multi-task and process large files
✓ Time and availability in workload to manage process
✓ Ability to train other team members
Types of Records

Charlotte Communications, “Belk Plaza Timelapse”
4 Main Record Values

**Administrative**
- Procedure Manuals
- Organizational Charts
- Memos
- Reports

**Fiscal**
- Budget
- Expenditure Ledgers
- Credit Card Reports
- Payroll
4 Main Record Values

**Legal**
- Contracts
- Agreements
- Marriage Licenses
- Property Records

**Historical**
- Oaths of Office
- Directors’ Correspondence
- Meeting Minutes
- Agency Histories
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 record retention and disposition schedule

- Upon notice you are required to:
  - Immediately suspend deletion of relevant records
  - Preserve any electronic records generated OR received after receipt
  - Preserve hard copies of documents under your control
  - Receipt MUST acknowledge receipt
  - You MUST continue to monitor compliance
Best Practices and Retention Schedule
Categorizing Records

- What type of record is it?
  - Personnel, Policy, Curriculum, Student Information, Financial
- Who created the record? Who is responsible for it?
  - Records that weren’t created by your department may not need to be kept
- What is the retention and disposition?
- Does it go to the Archives?
Record and Retention Schedule

• **UNC General Records Retention and Disposition Schedule (2021)**

• **Examples:**
  • Meeting Minute records (*Governing/Advisory 1.21 series*)
  • Search Committee records (*10.42 series*)
  • Personnel records (*10.0 series, specifically 10.35*)
  • Student academic records (*12.0 series*)
  • Grants and Research records (*6.0 series*)

• Contact a member of our team if you can not locate a document classification
# Example of Classifying Records

<table>
<thead>
<tr>
<th>Record Series</th>
<th>Description</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.3</td>
<td>Administrative Records (internal bulletins, memos, holiday invites, etc.)</td>
<td>Destroy in office when superseded or obsolete.</td>
</tr>
<tr>
<td>1.40</td>
<td>Staff Meeting Minutes</td>
<td>Transfer to University Archivist after 5 years.</td>
</tr>
<tr>
<td>1.46</td>
<td>Travel Requests</td>
<td>Destroy in office after 3 closed fiscal years.</td>
</tr>
<tr>
<td>10.39</td>
<td>Recruitment Records (ads, notices, employee listings)</td>
<td>Destroy in office after 1 year</td>
</tr>
<tr>
<td>LEGAL HOLDS</td>
<td>CASE NAME/SUBJECT</td>
<td>DO NOT DESTROY UNTIL RELEASED</td>
</tr>
</tbody>
</table>
What about electronic records?

• Scanning documents does not automatically permit units to destroy the original hardcopies. You should not destroy documents until an imaging policy is in place.

• All University employees are responsible for ensuring that they comply with applicable University Policies, including UP 605.3 (Retention, Disposition, and Security of University Records).

• State law requires that we have an imaging policy to address issues, such as:
  ➢ security of scanned files
  ➢ period quality control audits
  ➢ efficient and organized indexing
  ➢ and other criteria required by the state agency that oversees public records retention and disposition.

*Contact Legal Affairs or University Archivist
Purge and Train

- When in doubt...reach out
- Shredding
- Digital data
- Oversize files
- Binders, etc.

- Incorporate training into onboarding
- Send bi-annual reminders for filing
- Attend trainings
- Contact our team for 1:1 meetings
# Inventory of Records

## Records Inventory

<table>
<thead>
<tr>
<th>Date</th>
<th>Employee Name</th>
<th>Phone</th>
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<tbody>
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<table>
<thead>
<tr>
<th>Division</th>
<th>Section</th>
<th>Branch</th>
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</table>

<table>
<thead>
<tr>
<th>Location(s) of Records</th>
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</table>

<table>
<thead>
<tr>
<th>Title</th>
<th>Description (purpose, use, subject content)</th>
<th>Media (Paper, Electronic, Scanned)</th>
<th>Restrictions (Audit, Confidential)</th>
<th>Statutory Regulations</th>
<th>Date Range</th>
<th>Volume (linear feet or file drawers)</th>
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<td>P  E  S  A  C</td>
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# File Plan

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<th>Agency</th>
<th>Division</th>
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<table>
<thead>
<tr>
<th>Records Series</th>
<th>Records Creator</th>
<th>Records Owner (if record copy is transferred within the agency)</th>
<th>Media (Paper, Electronic, Scanned)</th>
<th>Required Retention</th>
<th>Location(s) of Records</th>
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</table>
## Destruction Log

<table>
<thead>
<tr>
<th>Records Series</th>
<th>Required Retention</th>
<th>Date Range</th>
<th>Volume (file drawers or MB)</th>
<th>Media (Paper, Electronic)</th>
<th>Date of Destruction</th>
<th>Method of Destruction</th>
<th>Authorization for Destruction</th>
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## Archives Transfer Memo

### Details of Transfer

- **Office Transferring Records:**
- **Name of Person Submitting Transfer Form:**
  - **Position Title:**
  - **Email Address:**
  - **Phone:**
- **Name, Position, and/or Office of Records Creator:**
- **Description of Records:**
- **Inclusive Dates (yyyy-yyyy):**
- **Number of Boxes:**
  - **Physical Location of Boxes (Building and Room #):**

### Detailed List of Records Being Transferred

<table>
<thead>
<tr>
<th>Box #</th>
<th>Series # and Title from Schedule</th>
<th>File Title and/or Description</th>
<th>Date(s)</th>
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</thead>
<tbody>
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**Does this transfer contain confidential materials?**  
☐ Yes  ☐ No

**Does this transfer contain oversized materials?**  
☐ Yes  ☐ No
Tips for record keeping

- Organize files by the series listed in the retention schedule
- Records and non-records should not be filed together
- Do not mix record series in the same file
- Confidential files should be kept separate and secure
- Organize by function (records series) and then alphabetically or chronologically
- Consider filing by event date (YEAR-MM-DD_Annual Report.pdf)
  - Separate active and inactive files
  - Use the triggering event as a reference point (ex: file personnel file by separation date)
  - Separate records series by color-coded labels for easy visual ID
Digital Communications

How to Transfer Digital Files from Google Drive
Behind the Scenes at the University Archives
What are University Archives?

- Part of Atkins Library, SCUA
- Permanently valuable records of the University
- Personal histories of students, faculty, staff, and alumni
- Open to researchers (with some restrictions)
How are archives used?

- Teaching about primary sources
- Academic research
- Institutional memory
- Promoting our history and culture
- Cultivating pride in our campus community
Do you know...?

- The dedication date of your building
- The names and dates of service of unit/department leadership
- Any previous names of your department
- Photos of your department over time
- Major “firsts” for your office or program
- Biographical information of former employees
University Archives services

- Records consultations or presentations
- Answer questions about records or the schedule
- Assist with transferring paper or digital records
- Assist with research about your departmental history
- Processing and making records available to the public