

Start Strong, Finish Clean: Managing Records during Onboarding and Offboarding

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Agenda

Records Management Onboarding and Offboarding

- Public Records Overview and Basics
- The 5 W's
- Why Records Management Matters?
- University Archives and Records Management Onboarding and Offboarding
- IT and Records Management Onboarding and Offboarding



Public Records and Records Management Basics

Tina Dadio, Public Records Officer/Legal Specialist and Maya Hood, Paralegal



What are “Public Records”?

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)).

Disposition of records are governed by NCGS §121 (Archives & History) and (Public Records Act)



Note: UNC Charlotte is considered a state agency



How do I know if I have any “public records”?

- Yes, almost all University records are public property and constitute a record of public acts.
 - ✓ Nearly all positions generate, receive or use records.
 - ✓ Computer files, including drafts and emails, are public records.
 - ✓ Not all records have historical, legal or fiscal value – regardless all records **MUST** be destroyed or archived in accordance with our records retention schedule and provisions of NCGS 121-5(b).



Types of Records



Correspondence



Maps



Sound Records



Photographs



What about records on my computer at home? Are they public?

Yes...remember “regardless of physical form or format”. Any record generated in the conduct of university business is considered a public record.



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



Violation of Legal Holds

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



What are some exclusions from Public Records Act?

- Individual Faculty and Postdoctoral Fellow Papers
 - Considered property of the faculty member or postdoctoral fellow
 - Personal research, participation in a professional organization or consultant work
- Associated Entity Records
 - Defined by North Carolina Board of Governors (600.2.5.2)
 - Considered “private organizations”
- Other Records
 - Criminal investigations
 - Certain sensitive public security information
 - ✓ Containing specific details of public security plans/drawings
 - Certain attorney-client communications
 - Trade secrets
 - Federal Copyright Act considers syllabi copyright of the owner (i.e., faculty member)
 - ✓ Provides copyright owners exclusive right to reproduce or distribute copies of their work to public
 - ✓ Not necessarily exempt - Public **can still view** syllabi - but not have copies or reproduce
 - ✓ Not necessarily kept permanently – archivist may (and has) under certain circumstances considered permanent
 - ✓ Contact records-management@charlotte.edu for further guidance



What about electronic records?



Scanning documents does not automatically permit units to destroy the original hard copies. 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
other criteria may be required



*Contact Public Records Officer or University Archivist



The 5W's of Retention Schedule?



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

What is the “University Records Retention Schedule?”

- Schedule is an agreement between the UNC System and Department of Cultural Resource (DCR)
- A tool for faculty and staff in the University System to use when managing the records in their offices or units.
 - Lists types of records commonly found in offices
 - Provides disposition of records (when and if the records should be destroyed or sent to archives)



Why do we have a Records Retention Schedule?



- Legal Compliance and Data Privacy/Security
 - ✓ Comply with various legal and regulatory requirements (federal and state laws: Public Records Act and FERPA)
 - ✓ Helps balance access to information with the need to protect sensitive data (reduces risk of data breaches and ensuring that personal information is handled appropriately)
- Efficiency
 - ✓ Improves organization and management of records systematically
 - ✓ Improves operation efficiency, ensuring important documents are easily accessible
- Accountability and Transparency
 - ✓ Provides clear guidance on how long records should be kept or destroyed
- Environmental Impact and Space Management
 - ✓ Only necessary records are retained (permanent records)
 - ✓ Reduction of paper provides environmental sustainability (less paper = reduces waste)



What about Confidential University Records?

- Not all records are open for inspection
- University must protect confidential and sensitive information from:
 - Accidental or unauthorized access, modifications, disclosures or destruction
- Types of confidential and secured records:
 - Personnel records (University Policy 311)
 - Student records (University Policy 402)
 - Data and Information Security (University Policy 311)
 - Privacy and Confidential of Individually Identifiable Health Care Information under HIPAA (University Policy 605.2)



Okay, so where do I start?



Categorize records?

What type of record is it? (personnel, policy, curriculum, student information, financial, etc.)



Who created the record? Who is responsible for it?

Records not created by your office may not need to be kept



What is the retention and disposition? Review your records against schedule

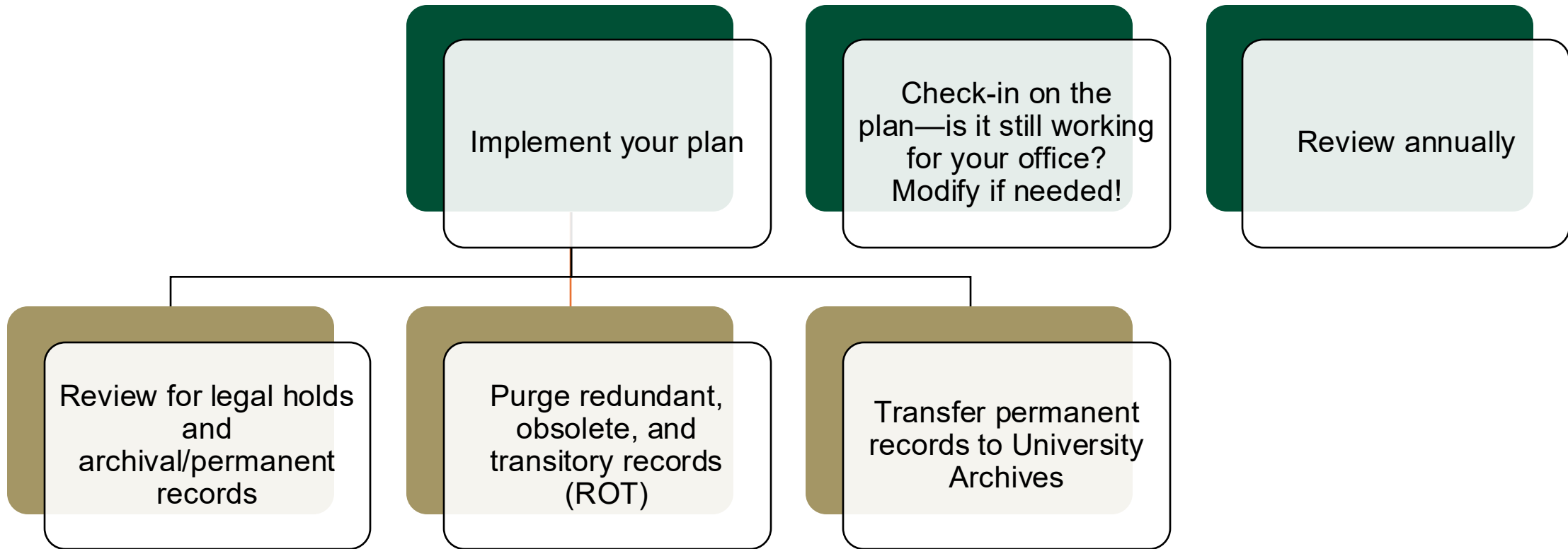


Does it go to the Archives?
transitory

Determine whether permanent or



Auditing Records



Example of Record Retention Schedule

- Description of the record
- Retention period and trigger
- Disposal

1. ADMINISTRATIVE RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
1.39	SPEECHES, STATEMENTS, AND ADDRESSES Records documenting speeches, statements, addresses, and presentation written and delivered by University faculty and staff in connection with University business. Includes final copies, audio and video recordings, and working papers.	a) Transfer recordings and final copies to University Archives after 5 years. b) Destroy in office remaining records when reference value ends. ± University Policy: Destroy after _____	
1.40	STAFF AND FACULTY MEETING RECORDS Records documenting staff and faculty meetings. Includes agendas, minutes, reports, and other related records. <i>See also: Faculty Governance Records (page 7, item 1.19)</i>	Transfer to University Archives after 5 years.	
1.41	STRATEGIC PLANS Records documenting systematic planning for the University. Includes business plans, goals and mission statements, and strategic plans. <i>See also: Policies and Procedures (page 9, item 1.25)</i>	a) Transfer goals, mission statements, and strategic plans to University Archives when superseded or obsolete for appraisal and final disposition. b) Destroy in office business plans 2 years after execution of plan.	

Example of Classifying Records



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

Example of Destruction Log





archives.ncdcr.gov

4615 Mail Service Center, Raleigh NC 27699-4165

919-814-6900

Agency

Division

Location(s)
of Records

Section

Branch

Records Series

Required
Retention

Date
Range

Volume
(file drawers
or MB)

Media
(Paper,
Electronic)

P

E

Date of
Destruction

Method of
Destruction

Authorization for
Destruction



Records Management and University Archives

Pamela Mason, Records Analyst

- 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](#))
 - Records Liaisons



***J. MURREY ATKINS
LIBRARY***



Onboarding and Offboarding



- Onboarding = the process by which new employees acquire the necessary access, knowledge, skills, and behaviors to become effective members of an organization
- Offboarding = the process that leads to the formal separation between an employee and an organization and usually encompasses activities that ensure proper asset retention, institutional knowledge transfer, and security access terminations

Records Management Onboarding

- ❖ New employees should walk away understanding:
 - What records management is
 - Why it is important
 - Where to find resources
 - Who they should contact for records management needs



Records Management Offboarding

- Determine if an employee has sufficiently fulfilled all record keep requirements
- Ensure all necessary actions are made for the continuation of proper management and preservation of the records they created, managed, or had access to



Records Management Questions Worth Asking

- Have materials with long term retention or historical value been transferred to UA?
- Have materials with short term retention met their retention periods and been destroyed?
- Are there any records involved with a public records request, audit, or litigation hold?
- Are any records stored at home or on personal devices?



University Archives Can Help

- We can help as little or as much as you would like
- A checklist
- A meeting with University Archives





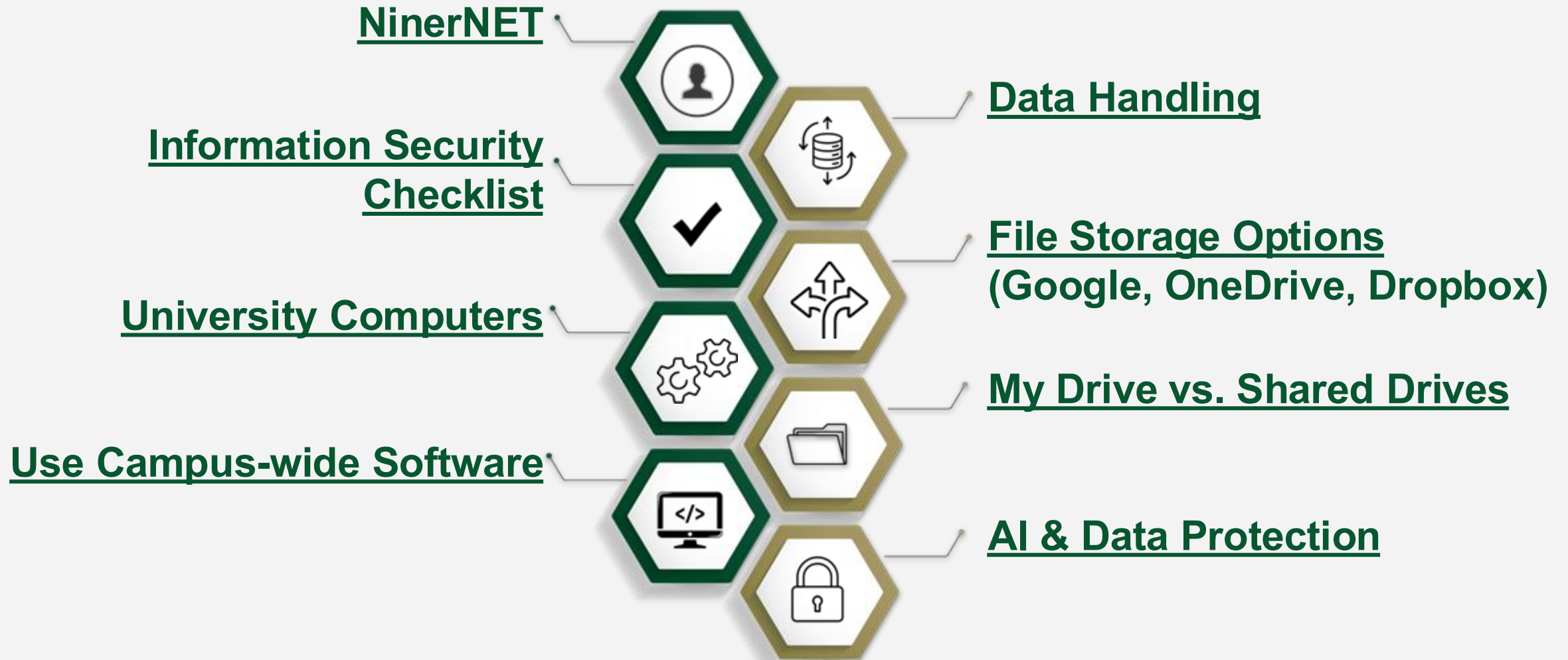
CHARLOTTE
OFFICE OF ONEIT

Start Strong, Finish Clean: Managing Records during Onboarding and Offboarding



Presented by:
Beth Rugg, OneIT

Start Strong - Onboarding



Finish Clean - Exit Process



Finish Clean - Offboarding

Departing Faculty/Staff IT Checklist for Supervisor

The purpose of this FAQ is to provide supervisors guidance for when non-student employees (faculty and staff) leave the University or transfer departments. This page can be printed if needed.

Key items to remember

- When leaving the University, non-faculty, non-student employee NinerNET accounts are terminated on the last day of employment.
- When leaving the University, faculty NinerNET accounts are active for 150 days after the last day of employment.
- Whenever possible, departing employees should be engaged in transitional activities prior to leaving - many of the below actions are more easily accomplished by employee/supervisor working together than system administrators after the fact.
- Google Shared drives / Dropbox Team Folders should be used by departments, committees, and collaboration of shared files & data as much as possible.
- For transferring employees, ALL access should be reviewed - very little deprovisioning is done automatically.

See the following table for key IT related actions to consider. This list is not exhaustive; departments may have unique IT situations that need to be addressed (e.g. specialized systems).

EMAIL

YES/N
O Does the employee have access to any department delegated email accounts? See this [FAQ](#)

GOOGLE CALENDAR

YES/N
O Does the employee have access to any department shared calendars? See this [Google Help page](#)

YES/N
O Is the employee an owner of any meetings that need to continue after departure? See this [Google Help page](#)

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Article - Departing
Faculty/Staff IT ...

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Article - Departing
Student Employee ...

Questions?

