

What does retention and destruction of records mean for me as a University employee? Why can't I just keep everything?

May 13, 2019

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Agenda

- Basic review of public records law and records retention policy
- Overview of the record retention policy
- Best practices on records management
- Difference between permanent, long-term, short-term records
- Scenarios (real life examples)



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 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 January 2018**
 - UNC General Records Retention and Disposition Schedule found here:
https://files.nc.gov/dncr-archives/documents/files/university_gs_amendments_2019_0.pdf
- 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



So, what does it mean for me?

- Determine who is responsible for archiving and when it should take place
- Inventory your records on an annual or bi-annual basis
- Prepare a file plan (establish a plan and follow-it)
 - Determine the “reference” value of records
- Follow the transfer of records procedures to the archivist
- Train all new employees responsible for archiving



Hold or not to hold?

- Litigation holds – issued if a pending or threatened litigation
 - Maintain all records until litigation hold released
 - Suspend all normal and routine destruction of records regardless of record retention
 - Determine an internal policy for maintaining these records



Permanent or not?

- **First** look at the Records Retention and Disposition Schedule
- **Content** determines record series
 - **Permanent** (lasting historical value such as creation of policy or provide guidance)
 - **Long-term** (significant value but not permanent in nature)
 - **Short-term** (junk mail, unsolicited emails, confirmations)



What are transitory records?

- **Transitory records:**

- Little or no long-term value to the University
- Can be reviewed and disposed of on an annual basis
- When in doubt contact the archives

- **Examples:**

- Routing slips, follow-up requests, FYI messages, announcements, drafts and working documents*, forms used to update electronic records*
- *Some exceptions apply, see the schedule for more information



What about electronic records?

- Follow the same rules for retention and destruction
- File according to record series
- Contact University Archives to discuss transferring electronic records



What about my emails?

- **EMAILS** are PUBLIC RECORDS
- Remember: **CONTENT**
- Public records are ANY documents *regardless of physical form or characteristics*, made or received in connection with the transaction of public business by any agency of North Carolina...”



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 (record series) and then alphabetically or chronologically
- Consider filing by event date
 - Separate active and inactive files
 - Use the triggering event as a reference point (ex: file personnel files by separation date)
 - Separate record series by color-coded labels for easy visual ID
- **Review files annually**



Best practices for managing records

- **When in doubt, treat it as an original record**
- If there are conflicting retention guidelines, use the longest retention period
- If a file contains multiple types of records with varying retention guidelines, use the longest retention period
- Just because a record is listed on the schedule doesn't mean you have to have it
- **Do not** keep records “just in case”
- Destroy all records, regardless of format, at the same time when they have met retention requirements. **This includes electronic copies.**
- Become a records liaison
- **Contact University Archives with questions!**



Preparing records for transfer or destruction

- Survey the records in your office
 - What do you have and where is it?
- Find the relevant record series on the retention schedule
- Records that have met the retention listed in the schedule and are not involved in any actions, pending actions, or holds can be prepared for destruction
- Records that must be sent to the archives can be prepared for transfer

Transferring records to University Archives

- Make sure all personally identifying information and FERPA-protected student records are removed from the files to be transferred
- Make sure you are not sending over records that need to be destroyed



Destroying records

- The most common method is to shred them, though there are alternatives
- To be destroyed, electronic records must be overwritten, deleted, and unlinked so the data and metadata may not be reconstructed



Transferring records to University Archives

**I am ready to
transfer materials
to University
Archives...**



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How to transfer materials to University Archives

DOS

AND

DON'TS

TRANSFERRING MATERIALS TO UNIVERSITY ARCHIVES

Do transfer if disposition instructions state to "transfer to University Archives"

Don't transfer if disposition instructions state to "destroy in office"

Do put in 10"x12"x15" record storage cartons

Don't use copier paper boxes

Do label cartons with department name, record series and dates

Don't include hanging folders and binders

Do replace damaged folders

Don't stack files on top of each other

Do flag records with confidential or sensitive information

Don't hesitate to contact University Archives for assistance!



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J. Murrey Atkins Library
UNC CHARLOTTE

University Archives Paper Records Transfer Form

Fill out and save this form, using the template on page two to create a detailed list of the records that you wish to transfer to University Archives. When complete, email the form as an attachment to records-management@uncc.edu. Once we have reviewed the form we will reply with comments, any necessary changes, and further instructions. Do not send this form to us using campus mail.

NOTE: This form is for paper records only. If you have electronic records to transfer contact records-management@uncc.edu

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 #):	

Does this transfer contain confidential materials? Yes No
Does this transfer contain oversized materials? Yes No



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Transferring records to University Archives

Are we being nitpicky?

We need to be able to:

- Make the best use of our space
- Make the best use of our time
- Lift and move the boxes
- Locate your records if/when you ask for it



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Searching within Records Retention Schedule

- **CTL + F is your friend!**
- Go to: <https://legal.uncc.edu/policies/up-605.3>
- Link to the UNC System Schedule:
- https://files.nc.gov/dncr-archives/documents/files/university_gs_amendments_2019_0.pdf



2018 UNC General Records Retention and Disposition Schedule

This schedule applies to all records regardless of format (unless otherwise specified).

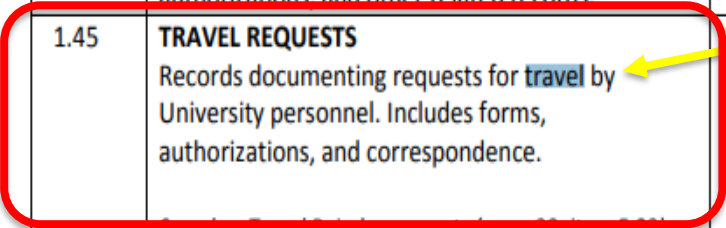


Series #	Records Series Title and Description	Disposition Instructions	Citation
1.41	SUPPLIES AND EQUIPMENT Records documenting supplies and equipment used by the University. Includes operating manuals, warranties, and other related records. Also includes records documenting the checkout of University equipment.	a) Destroy in office checkout records 1 year after return of equipment. b) Destroy in office remaining records when superseded or obsolete.	
1.42	SURPLUS PROPERTY Records documenting surplus property held at the University. Includes inventories and disposal logs.	Destroy in office 3 years after property disposal.	
1.43	SURVEYS Records documenting surveys distributed to and collected from constituents addressing University services, policies, and other concerns. Includes surveys and conclusions.	a) Transfer aggregated results and conclusions to University Archives after 5 years for appraisal and final disposition. b) Destroy in office remaining records when reference value ends. † University Policy: Destroy after _____	
1.44	TRACKING MATERIALS Records documenting the receipt of information. Includes certified mail receipts, postage authorizations, and other related records.	Destroy in office when reference value ends. † University Policy: Destroy after _____	
1.45	TRAVEL REQUESTS Records documenting requests for travel by University personnel. Includes forms, authorizations, and correspondence.	Destroy in office after 3 closed fiscal years.	

1


CTL +F

Search "Travel"




See also: Travel Reimbursements (page 30, item 3.23)



Search Google or type a URL 

- | | | | | |
|---|---|--|--|---|
| 
Home | 
Inbox (28) | 
Mail Forwarding | 
(72) Facebook ... | 
BB&T Bank |
| 
UNC Charlotte | 
All Requests | 
Dovenmuehle ... | 
Full | 
Add shortcut |

New! Meet Google Pixel 3a and the growing Google family

 Customize



How to read the General Schedule



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REAL LIFE EXAMPLES

- Let the fun begin!



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Example #1

- Procurement card authorization logs:
 - 5.16 “procurement card authorization logs” (5 year retention)
 - 5.18 “requisitions” – records documenting requests to acquire goods and services (1 year retention – close of fiscal year)
- Note: consider an internal policy defining retention period (“destroy in office after 1 closed fiscal year”)
- Justification to consider: annual audits of P-card authorizations are conducted and do not have a business need for the application and change from records beyond that period.



Example #2 –

- Drafts and working papers (including notes)
 - All are subject to public records law (N.C.G.S. 132)
 - Many have minimal value after final version has been approved
 - If no longer necessary then you can destroy
- Routing slips and transmittal sheets
 - Minimal value after the information transmitted
 - Destroy after receipt of the information has been confirmed
 - **Other examples:** Memory aids, follow-up memos, voicemails, calendar invites



THE UNIVERSITY OF
NORTH CAROLINA
AT CHARLOTTE



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1.28

PUBLICATIONS

Publications prepared by or for the University.

- a) Transfer 1 copy to University Archives when reference value ends.
- b) Transfer 10 or more printed copies of 1 electronic copy of each publication to the State Documents Clearinghouse, State Library of North Carolina.



DECEMBER

O
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R

millennial

Official Magazine of the Charlotte Research Institute

PORTAL Special Issue 2014

industry-university partnership

welcome to
PORTAL

UNC CHARLOTTE
Research and Economic Development
Charlotte Research Institute

Series #	Records Series Title and Description	Disposition Instructions
1.35	<p>REPORTS Records documenting formal University responses to situations or requests, including internal, external, and mandatory requests.</p>	<p>a) Transfer 1 copy of annual or biennial reports to University Archives for appraisal and final disposition.</p> <p>b) Destroy in office monthly, bimonthly, quarterly, or semi-annual reports after 3 years.</p> <p>c) Destroy in office daily or periodic reports concerning workload measurements, time studies, productivity, services rendered, or other similar records after 1 year.</p> <p>d) Destroy in office drafts and other work product upon completion of final report.</p>

3. 2007

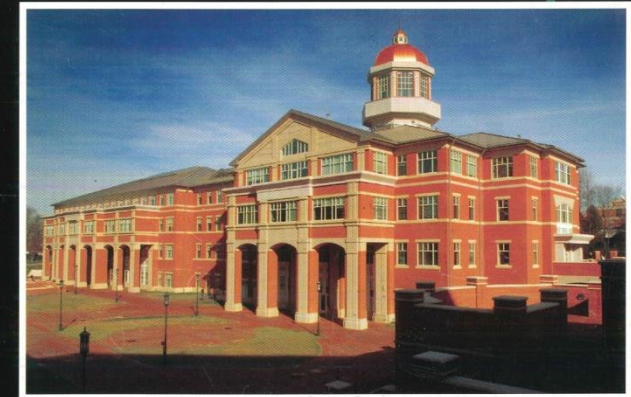


A REPORT TO THE TRUSTEES
BY CHANCELLOR D.W. COLVARD

1975-76

THE UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

We're
College of Health and Human Services



**Alumni Association
Of UNC Charlotte**
Executive Committee
10 January, 2000

Agenda

- | | |
|--|----------------|
| • Welcome and Introductory Comments | President |
| • Minutes of Last Meeting (Provided in Advance) | Secretary |
| • Treasurer's Report | Treasurer |
| • Committee Reports | |
| Development Committee | Mark Doughton |
| Communications Committee | Lisa Kidd |
| Events Committee | Carolyn Agosta |
| Alumni Center Committee | Stacy Davis |
| Member Services and Recruitment Committee | Donnie Koonce |
| • Other Business | President |
| • Date/Time for Next Executive Committee Meeting | President |
| • Adjourn | President |



The Alumni Association
of UNC Charlotte

Alumni House
9201 University City Blvd.
Charlotte, NC
28223-0001

main:
704-547-2273
toll-free:
1-800-718-UNCC
fax:
704-547-2962
email:
alumni@email.uncc.edu

12 January, 2000

Memorandum for Alumni Board of Governors

Subject: Minutes of Executive Committee Meeting, 10 January, 2000

1. The meeting of the Executive Committee was called to order by the President, Misty Hathcock at 5:15 PM. See Agenda, Enclosure 1.
 - a. **Executive Committee Members Present:** Misty Hathcock, David Miller, Tim Beck, Josly Jessup, Donnie Koonce, Lisa Kidd
 - b. **Executive Committee Members Absent:** Martha Michael, Joel Gilland
 - c. **Committee Chairs Present:** Carolyn Agosta, Mark Doughton, Bob Dickens, Stacy Davis
 - d. **Alumni Affairs Staff Present:** Morgan Roseborough, Laura Hill, Jane Singleton
2. Minutes of the last meeting (provided in advance, Enclosure 2) were approved.
3. Committee Reports:
 - a. Mark Doughton presented the report for the **Development Committee**. Handout at Enclosure 3.
 - b. Lisa Kidd, Chair of the **Communications Committee**, provided the report at Enclosure 4. An additional issue for action is to investigate the feasibility of issuing a combined use (Library and SAC Fitness Facility) card to alumni who make a contribution to the University, Alumni Association, or the University Foundation.

1.40	STAFF AND FACULTY MEETING RECORDS Records documenting staff and faculty meetings. Includes agendas, minutes, reports, and other related records.	Transfer to University Archives after 5 years.
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Enclosure 1

provided the
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Date: 4/6/18

Library Staff Travel Request

www.library.uncc.edu/intranet

SHRA Employee

EHRA Employee

Conference/Travel Information

(Please attach conference schedule)

Conference: Georgia Archives Institute

Early-Bird Registration Deadline:

Conference Date: 6/11/18 - 6/22/18

Destination: 5800 Jonesboro Rd Morrow GA

Justification and Role (attach supporting documentation, including acceptance to present, etc.):

Accepted in to the Georgia Archives Institute on April 10, 2018. See attached acceptance letter and tuition bill.

Travel Payment

Self-Pay with Reimbursement:

Hotel:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Registration:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Airfare:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Pre-Pay with P-Card:

Hotel:	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Registration:	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Airfare:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Travel Details

Departure Date: 6/10/18	Return Date: 6/22/18	Personal Travel?
Travel By: 1) Air <input type="checkbox"/> 2) Personal Auto <input type="checkbox"/> 3) Riding with other <input type="checkbox"/> Who:		
4) State Vehicle <input checked="" type="checkbox"/>	Pickup Date & Time: 6/8/18, 4 pm	Return Date & Time: 6/22/18, 5 pm

Estimated Cost:

Airline Charges

state car estimate → Round Trip Mileage (Mapquest) \$450.00
Meals (per diem) (overnight only) \$391.20

Lodging (Cost/Night + Tax: _____) \$1369.02

Registration (tuition) \$475.00

Other (Please specify: airline baggage, parking, taxi, internet, etc.) _____

Note:

Mileage:

If round-trip mileage does not exceed 100 miles, calculate at \$0.545/mile.

If round-trip mileage exceeds 100 miles, calculate at the \$0.33/mile rate.

Meals Per Diem (Overnight stays only):

In State: B:8.40; L:11.00; D:18.90

1.46

TRAVEL REQUESTS

Records documenting requests for travel by University personnel. Includes forms, authorizations, and correspondence.

See also: *Travel Reimbursements (page 30, item 5.23)*

Destroy in office after 3 closed fiscal years.



Name : Pamela S. Mason
UNCC ID:
Email:
Advisor(s): Ayesha Sadaf

Current Program: Instructional Sys Tech-MEd
Current Major: Instructional Systems Tech **Current Concentration:** Training & Develop
Catalog Term: Fall 2018

UNC Charlotte Credit -Top-

Subj	Numb	Sect	Title
EIST	6100	084	Foundations
EIST	6110	086	Instructional

Cumulative Total


* Repeat Indicators: I = Include
 E = Exclude
 A = Exclude

1.34	REFERENCE FILE Convenience and reference records of transitory value. Includes materials that have no regulatory authority for the recipient and are received from outside the University or from other units within the agency, subject files containing informational copies of records organized by areas of interest, and reference copies of records where another individual or agency is responsible for maintaining the record copy.	Destroy in office when reference value ends. † University Policy: Destroy after _____
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Courses in Progress -Top-

Term	Subject	Course	Level	Course Title	Status	Credits	Course Attribute
201950	RSCH	6101	GR	Research Methods	Web Registered	3.000	
201980	EIST	6101	GR				

Total

12.25	 TRANSCRIPTS Records documenting attendance, academic records, and degrees awarded of students. May also include certifications or licenses earned by students.	Retain permanently in the Registrar's office.
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Term Data -Top-

Term	Level	Attempt Hours	Passed Hours	Earned Hours	GPA Hours	Quality Points	Term GPA	Cum GPA	Academic Standng
201880	GR	3.000	3.000	3.000	3.000	12.00	4.000	4.000	
201910	GR	3.000	3.000	3.000	3.000	12.00	4.000	4.000	
Transfer	GR	0.000	0.000	0.000	0.000	0.000		0.000	
Total									
CumTotal	GR	6.000	6.000	6.000	6.000	24.000		4.000	



NORTH CAROLINA STATE NURSES' ASSOCIATION

P. O. Box 12025 RALEIGH, NORTH CAROLINA 27605
2201 CLARK AVENUE 833-2082

Mrs. Marie B. Noell, R.N.
Executive Director
Helen E. Peeler, R.N.
Counselor and
Associate Executive Director

March 2, 1966

Mrs. Edith Brocker, Chairman
Department of Nursing
University of North Carolina
Charlotte, North Carolina

Dear Mrs. Brocker:

It was a real pleasure to attend "The Service of Dedication of the Student Nurses Uniform" of the University of North Carolina at Charlotte on February 13, 1966.

I was pleased to be able to attend. The uniforms were most attractive, and so were the girls who wore them. The service was most impressive and was something new for me. It is the first service of this type I have ever had the privilege to attend.

I wish for you and your faculty the best of much success, and happiness in your program.

You will be interested to know that the Ellington girls are most excited about the school and can hardly wait for their entrance date in September.

I hope to see you soon.

Sincerely yours,

Helen E. Peeler, R. N.
Associate Executive Director
and Counselor

HEP:kf

Member of American Nurses' Association



Sept. 1965

1.23

HISTORICAL MEMORABILIA

Items documenting significant events or times for the University. Includes plaques, scrapbooks, press releases, clippings, newsletters, photographs, and other related records.

Transfer to University Archives after 5 years for appraisal and final disposition.



Marinella,
I rejoice in the good news of the accreditation of our nursing program by the National League for Nursing! Bravo to you and your team mates!!
Sincerely,
Bonnie E. Cone

The First Fifty Years of Nursing at UNC Charlotte

Ann Mabe Newman, RN, PhD
Dona Haney, RN, MSN





Office of the Chancellor

9201 University City Boulevard, Charlotte, NC 28223-0001
t/ 704.687.5700 f/ 704.687.1700 www.uncc.edu

May 1, 2019
Student Vigil
Chancellor's Remarks

Thank you all for being here, for organizing our gathering this evening, and for being the compassionate and caring Niner Nation that you are. I am proud to be your chancellor.

Let me acknowledge the presence of Congresswoman Adams, Governor Cooper, Mayor Lyles, Chancellor Jim Woodward, and the dozens of state and local



1.23	HISTORICAL MEMORABILIA Items documenting significant events or times for the University. Includes plaques, scrapbooks, press releases, clippings, newsletters, photographs, and other related records.	Transfer to University Archives after 5 years for appraisal and final disposition.
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so young, like many of you, with dreams and aspirations and a purpose in life. As parents ourselves, Lisa and I grieve for this senseless loss of young life and share in the anguish of their parents, their families, and you, their friends. We can't bring them back, but with your help we will find a way to remember their presence here as 49ers.

These next days, weeks, and months will test our collective strength. But, as I said yesterday, we have no course but to hold each other up, to work through this together, and to reaffirm our 49er purpose. UNC Charlotte cannot – and will not – be defined by this tragedy; we must be defined by how we respond to it. Our focus will be on those we lost, those who were hurt, and the countless others who were spared by the quick actions of our police officers. As the facts emerge about what actually happened in Kennedy 236, we may learn of additional acts of heroism by Riley and perhaps others that saved other lives.

With that, let's stay Charlotte Strong. The days ahead will be difficult, but we will emerge from them. We will not emerge unchanged, but we will emerge united and stronger. Thank you all.



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Questions?

T.Dadio@uncc.edu

Katie.Howell@uncc.edu

pmason6@uncc.edu

records-management@uncc.edu



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