

TO SHRED OR NOT TO SHRED

Is that your question?

How to Maintain, Preserve and Dispose of University Records with Confidence

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Agenda

- Record Lifecycle
- NC Public Records Law
- Definition of a Record
- 4 Values of a Record
- Retention and Disposition Schedules
- Filing Systems
- Using the UNC General Schedule
- Preservation / Archives (Betty)



Records Lifecycle

Records Management is simply maintaining a record throughout its lifecycle.



Creation



Active



Inactive



Final Disposition



*Archives
Permanent Storage*



Destroy



NC Public Records Law

North Carolina Public Records Law

- **G.S. 132-1**

“Public record” or “public records” shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions.”

- **G.S. 132-3**

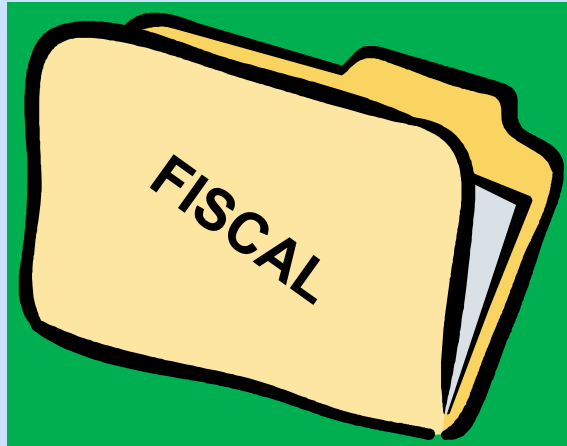
“(a) Prohibition. - No public official may destroy, sell, loan, or otherwise dispose of any public record, except in accordance with G.S. 121-5 and G.S. 130A-99, without the consent of the Department of Cultural Resources. Whoever unlawfully removes a public record from the office where it is usually kept, or alters, defaces, mutilates or destroys it shall be guilty of a Class 3 misdemeanor and upon conviction only fined not less than ten dollars (\$10.00) nor more than five hundred dollars (\$500.00).”

Laws and Regulations - Examples

University records are subject to many different kinds of federal and state laws, regulations, and guidelines. Some examples are:

- North Carolina Public Records Law
- Family Educational Rights and Privacy Act (FERPA) (student records)
- Health Insurance Portability and Accountability Act (HIPAA)
- State Personnel System Act (N.C.G.S. Chapter 126)
- Americans with Disabilities Act (ADA)
- Occupational Safety and Health Administration (OSHA)
- Internal Revenue Service (IRS)
- National Collegiate Athletic Association (NCAA)
- Grants

The Four Record Values



Retention and Disposition Schedules

Retention and disposition schedules are created based on the four record values.

The schedules for UNCG are “functional” schedules.

There are two different kinds of records schedules:

1. General records schedules – common
2. Program (departmental schedules) – unique

UNC System General Schedule

Maintaining University Records

Tookey's "Two Keys" for Maintaining Records

Rule #1:

Set up great systems for active and inactive records

Rule #2:

Use them!



Maintaining Records - Filing Systems

Reasons for setting up a good filing system

- You can find what you need, when you need it
- Others can find what they need, when they need it
- Time saved looking through piles and files
- Money saved on the time saved looking for lost documents
- Reduces stress and clutter!



Maintaining Records – Filing Systems

Considerations when setting up a filing system.

1. Your filing system is part of the University's memory.
2. Filing system must fit the business needs of the unit.
3. Information should be easy to separate out when its active life is over.
4. Electronic filing systems, when possible, should “mirror” paper systems.



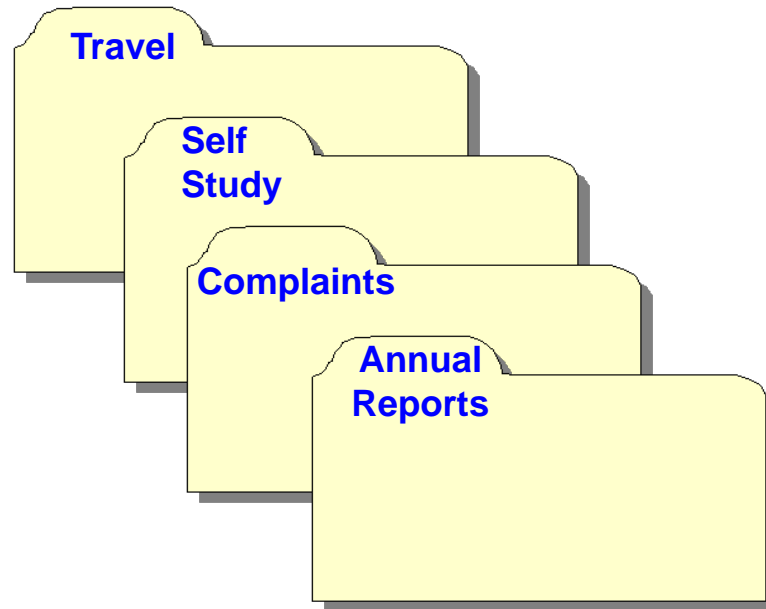
Filing System Ideas

Use functional “buckets” from the Retention Schedule

- Administrative
- Financial
- Personnel
- Student

Filing System Ideas

- Then use “record series” that are applicable to your area’s records.
 - Administrative



Filing System Ideas

Tips:

- Decide as a unit on a uniform functional framework that best fits your area's business needs
- Use **color coded labels for different years**
- Use color coded labels for different functional records (**Financial → Green Permanent → Blue**)
- Utilize **red folders or labels** for confidential/limited access or sensitive records – Only authorized individuals are to access these folders!
- Have your electronic record filing system and email filing system mimic your paper files as much as possible

Sample Filing System

Keep a master list of your folder names.

BOARD OF TRUSTEES

BUDGET 2007-08

Budget 2007-08

Salary – EPA

Salary – SPA

Student Fees

CHANCELLOR

COMMITTEE/TASK FORCE

Administrative System Sponsors Group

External Advisory Committee

Facilities Use Advisory Committee

Web Oversight Committee

DATA MANAGEMENT

ENROLLMENT MANAGEMENT

FACILITY USE

Folder Tabs

2008-09 **Orange**

2007-08 **White**

2006-07 **Black**

2005-06 **Yellow**

2004-05 **Lavender**

Maintaining Electronic Records

- Emails and computer records should be maintained similar to paper records
- If you maintain both a paper copy and an electronic version of the same record. Make sure that you dispose of both electronic and paper record appropriately.
- Governor Easley's Email Task Force

Maintaining University Records

IMPORTANT



- **Keep records safe!**
- **Keep records secure!**



Finding Record Dispositions

To Destroy or Not to Destroy... Is that Your Question?



The answer can be found in state and University approved Records Retention and Disposition Schedules.

http://its.uncg.edu/Records_Management

Schedule Terminology

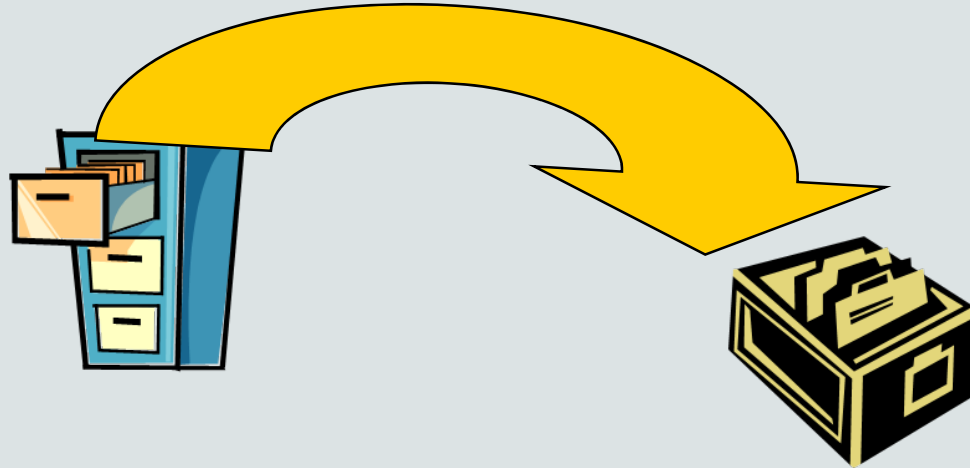
- Record Series
- Series Description
- Items
- Disposition
 - When reference value ends
 - When administrative value ends
 - When superseded or obsolete
 - Closed fiscal years
 - Destroy in office
 - Transfer to University Archives
- Original vs. reference ****important****

Review

- 1) Records Retention and Disposition Schedules are the tools to help you make sound records management decisions
- 2) Setting up great systems for managing active and inactive records is vital to your success
- 3) Create good records management habits. “Successful people are simply those with success habits.” Brian Tracy

Preserving Records & UNCG's History

Transferring Records to the University Archives



Preparing Records for Archives

- 1) Transfer records from filing cabinet to a sturdy box.
- 2) Complete Records Transfer Form
- 3) Contact Archives
- 4) Arrange for physical transfer



<http://library.uncg.edu/depts/archives/universityrecords/transfer.asp>