

Fearlessly Shaping What Is Next: Uncomplicating the Records Retention Process

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AGENDA

- The 5 W's
- The Process
- Best Practices
- Retention Schedule
- University Archives



"Artwork in Marriott Hotel and Conference Center, Lobby 1" <https://ucomm.charlotte.edu/media-asset-type/photos>



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

Charlotte Communications Photo- Center City Corner





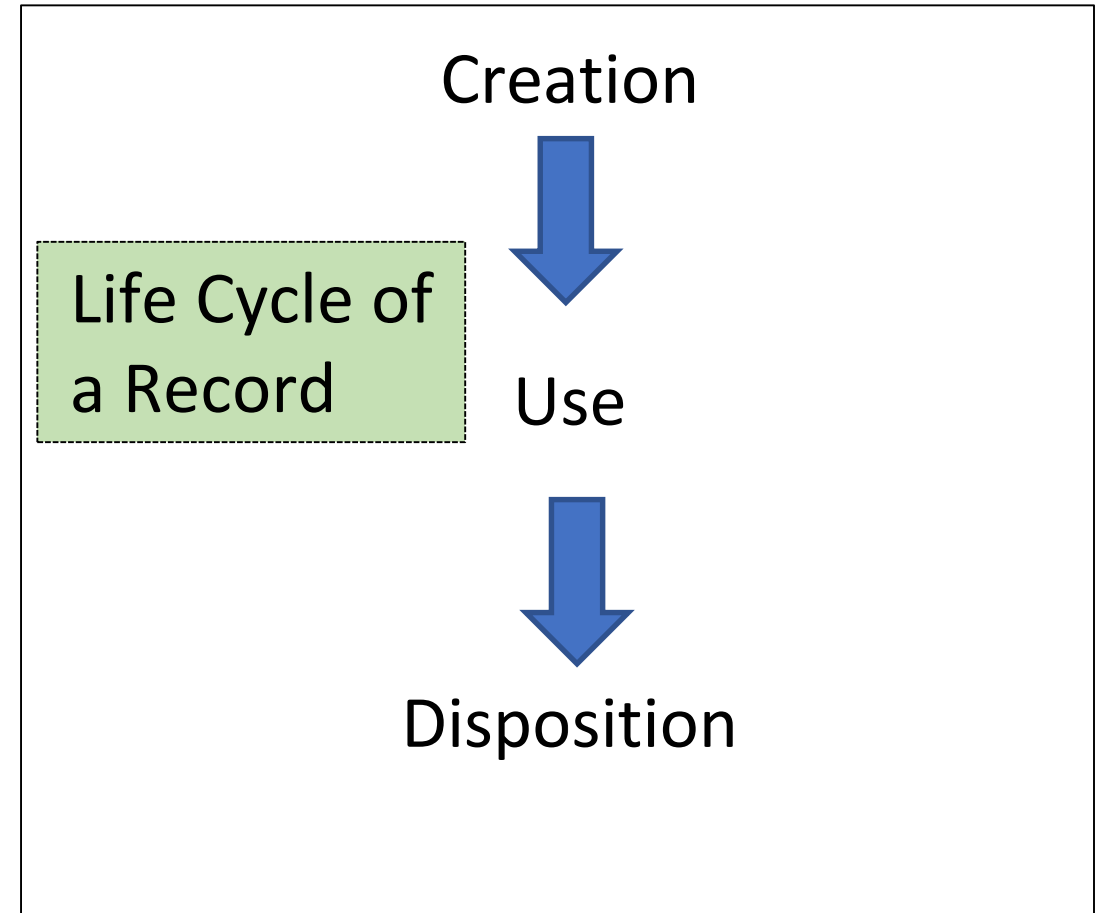
The Process



Records Management

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

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



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



archives.ncdcr.gov

4615 Mail Service Center, Raleigh NC 27699-4165

919-814-6900

Records Inventory

Date		Employee Name		Phone	
Division		Section		Branch	
Location(s) of Records					

Title	Description (purpose, use, subject content)	Media (Paper, Electronic, Scanned)			Restrictions (Audit, Confidential)		Statutory Regulations	Date Range	Volume (linear feet or file drawers)
		P	E	S	A	C			



File Plan



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919-814-6900

File Plan

Agency			
Division		Section	Branch

Records Series	Records Creator	Records Owner (if record copy is transferred within the agency)	Media (Paper, Electronic, Scanned)	Required Retention	Location(s) of Records
			P E S		



Destruction Log



archives.ncdcr.gov
4615 Mail Service Center, Raleigh NC 27699-4165
919-814-6900

Destructions Log

Agency			
Division	Section	Branch	
Location(s) of Records			

Records Series	Required Retention	Date Range	Volume (file drawers or MB)	Media (Paper, Electronic)		Date of Destruction	Method of Destruction	Authorization for Destruction
				P	E			





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



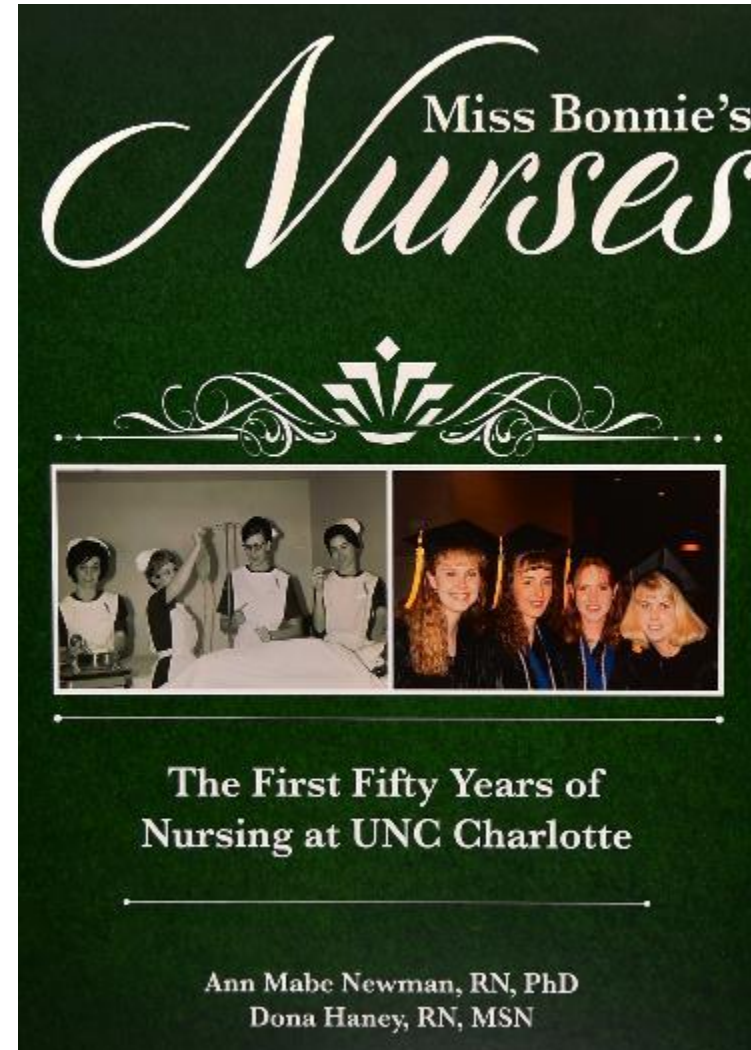
What are University Archives?



- 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