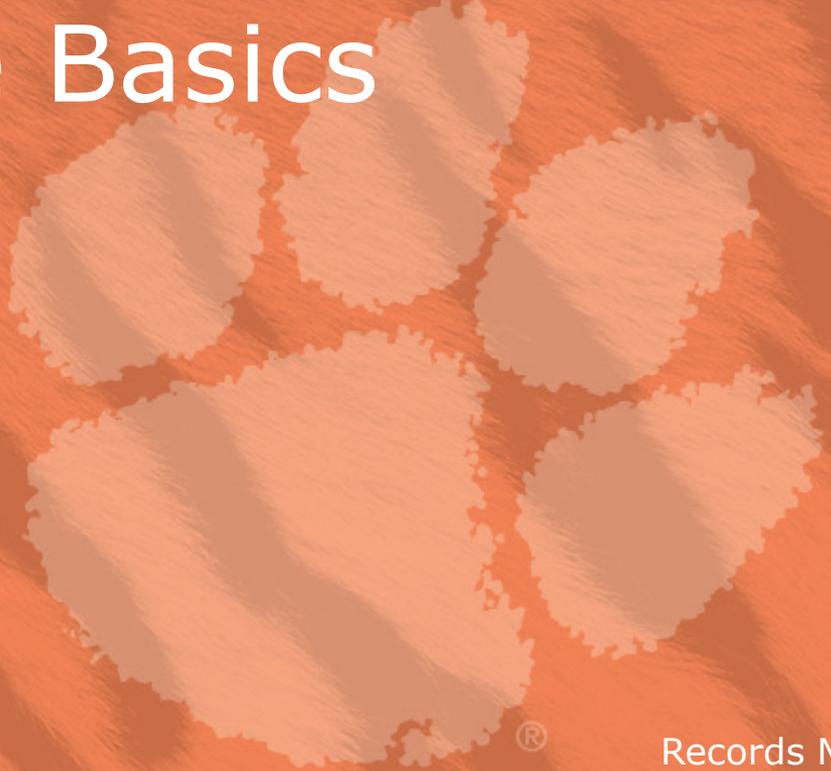


# Records Management 101: The Basics



Records Management Team  
Brenda Burk  
Krista Oldham  
Michelle Voyles



# Top 10 Reasons **NOT** to get Organized

1. Hunting for important documents adds excitement to a boring schedule.
2. Stacking papers on your desk protects it from ultraviolet radiation.
3. Being as confused as everyone else helps you fit in.
4. Moving piles of paper keeps you in shape.
5. If you understood what you were doing, you would be terrified.
6. Confusion brings out the best in you.
7. Organization kills creativity.
8. Shuffling papers prevents dust from piling up.
9. Your competitors spies will never find what they're seeking.
10. Clutter magnifies your importance.



# Goals of RM 101: The Basics

## Understand key records management concepts & definitions

- What is records management?
- What's in it for me?
- What is a record, what is a non-record, and what is a public record?
- Life cycle of a record

## Understand Records Management Governance and Authority

- Roles and responsibilities as employees of Clemson University
- Laws that apply to records keeping

## Understand your records and what to do with them

- Retention schedules and types of records governed by schedules
- Transfer of records to storage, costs of storage
- Disposition of records
- Records of enduring value and importance of University Archives

## Develop ideas and tools to implement in your office



# What is Records Management?

The field of management that is responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

ISO 15489-1



# Why Care about Records Management?





# Why Care about Records Management?- The Stick

**It's the law!**





# Why Care about Records Management?- The Carrot

## Administrative Value





# Why Care about Records Management?- The Carrot

## Legal Value





# Why Care about Records Management?- The Carrot

## Historical/Archival Value



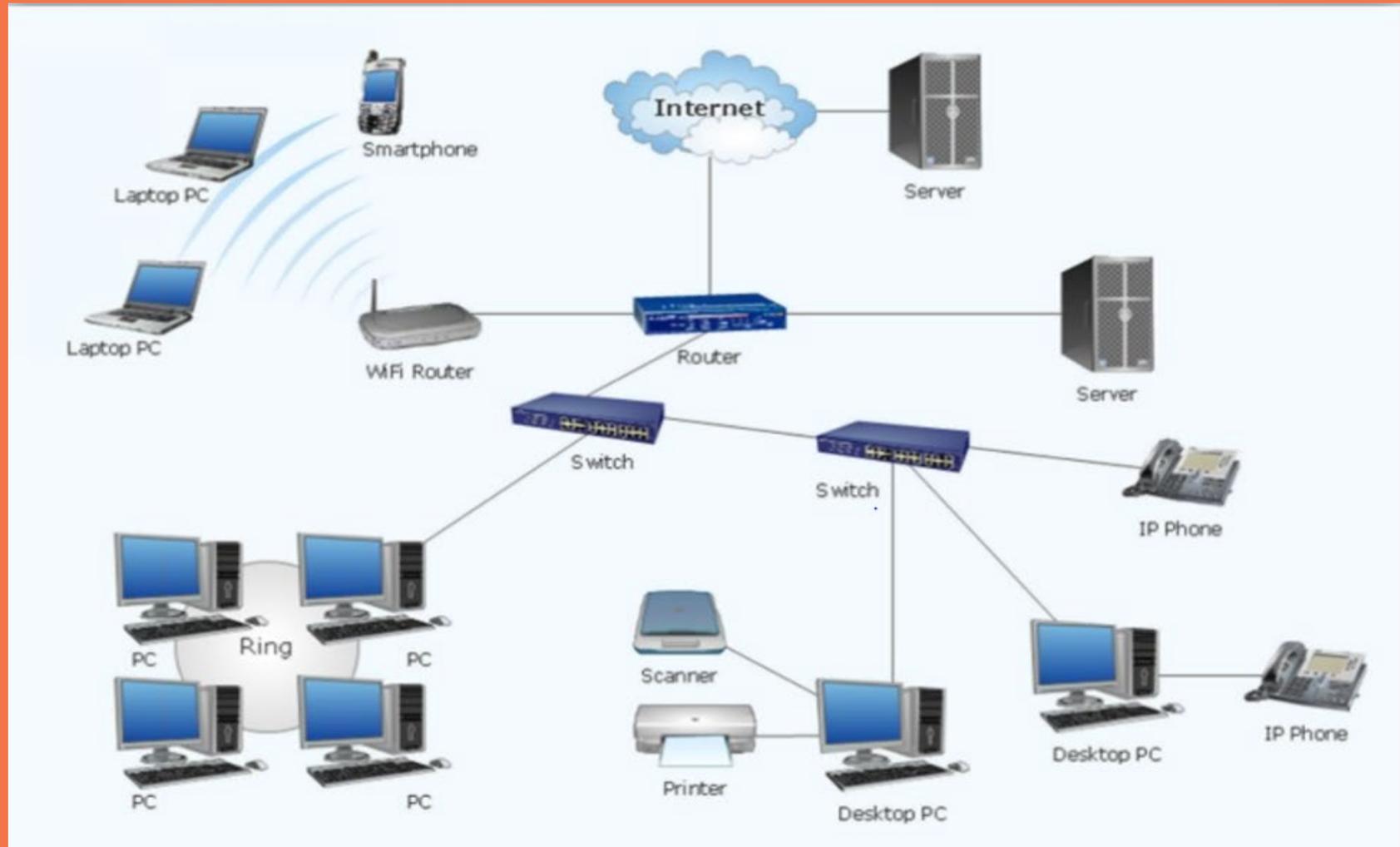


# What is a record REALLY?

## A RECORD:

- **Information that documents a transaction or activity** by the University or University employees
- Includes **all mediums** regardless of physical form or characteristics
- Value of a record is determined by **content**, not format!

# Records Here, There, and Everywhere





# Examples of Records

## Accounting & Financing Reporting

- Fund management reports
- Yearly summary reports

## Employment

- Faculty and tenure track promotion
- Employee personnel records

## Payables & Purchasing

- Documentation of payments for goods and services
- Procurement contracts and vendor files

## Student Files

- Transcripts and grades
- Student advising records

## Academic

- Accreditation files
- Course catalog and class schedules

## Administrative & Committee Files

- Meeting minutes and agendas
- Policies and procedures



# What is a Non-Record?

## A NON-RECORD:

- **Information that DOES NOT document a transaction or activity** by the University or University employees
- Not everything produced or received by the University is a record
- Non-record can still be valuable and vital to the workflows



# Examples of Non-Records

## Reference Materials

- Materials used for reference purposes like journals, books, purchased research data or other data from outside sources

## Duplicates

- In general, materials that are duplicates of a College record for which another department/office has authority to manage (Office of Record)

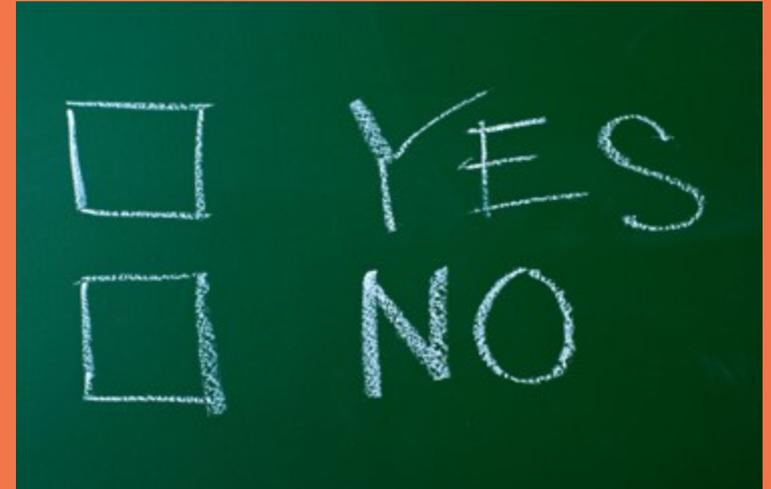
## Personal Papers

- Documentary materials belonging to an individual that are not used to conduct agency business, relate solely to an individual's own affairs, or are used exclusively for that individual's convenience.
- Personal correspondence, your payroll slip, personal calendars, professional affiliation etc.



# Is it a Record? A 3-step Test

1. Is this information related to the duties in my job description?
2. Am I, on Clemson University's behalf, the creator or recipient of the material?
3. Is this the official version of the record?





# What is a Record?

Information that documents a transaction or activity by the University or University employees

What is a public record? . . . . .



# What is a public body? . . . .

...

**“any department of the State, any state board, commission, agency, and authority, any public or governmental body or political subdivision of the State, ...supported in whole or in part by public funds or expending public funds”**

*Code of Laws of South Carolina, 1976, Section 30-1-10(b)*



# What is a public record? . . . . .

“includes all books, papers, maps, photographs, cards, tapes, recordings, or other documentary materials regardless of physical form or characteristics prepared, owned, used, in the possession of, or retained by a public body...”

*Code of Laws of South Carolina, 1976, Section 30-4-20(c) as amended aka The Freedom of Information Act*



# Break-out Session

In your daily tasks, what records do you create or engage with?



# Key Definitions & Concepts:

**Record**- a tangible or electronic object that is the evidence and representation of the activity of an organization

**Record Series**- a group of related records that are used or filed together

**Retention**- refers to the length of time records should be kept

**Disposition**- refers to the action taken on records after the retention period has expired

**Retention Schedule**- prescribes the length of time a record/record series must be held until the destruction or archival selection date

- **General Schedules**- rules that apply to records commonly found in all campus departments (e.g., financial records)
- **Specific Schedules**- a rule that applies to unique records that are not covered in the general schedules



# Key Definitions & Concepts:

**Records Inventory** - an analysis to determine the type, volume, inclusive dates and regulatory requirements of a department's records

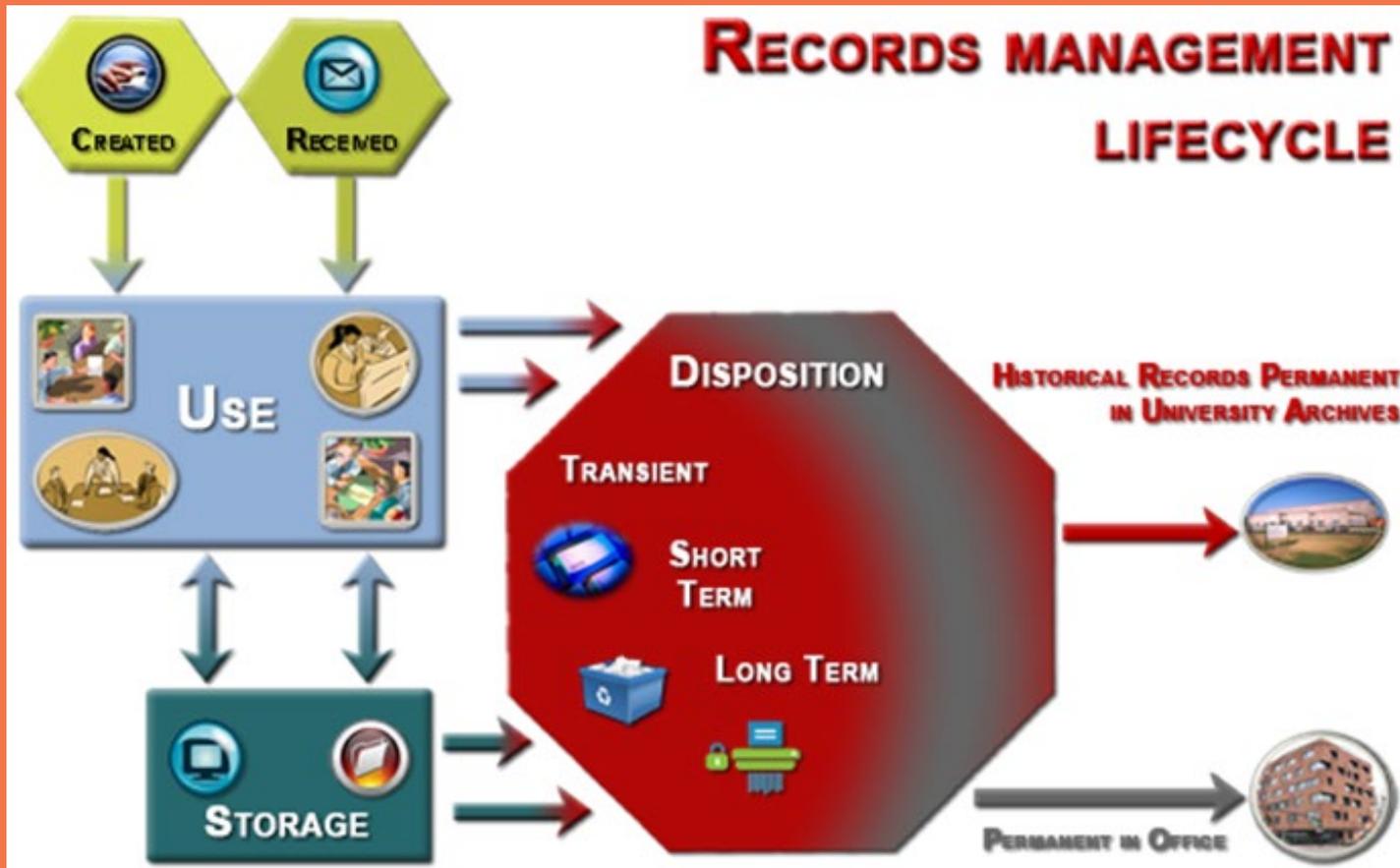
**Compliance Audit** – conducted periodically to review schedules, answer questions and ensure proper procedures are being followed within campus departments

**Disposition** - the final destruction or archiving of a record

**Owner**- department personnel that create or manage the original record

**Custodian**- person that stores the original record but does not own it

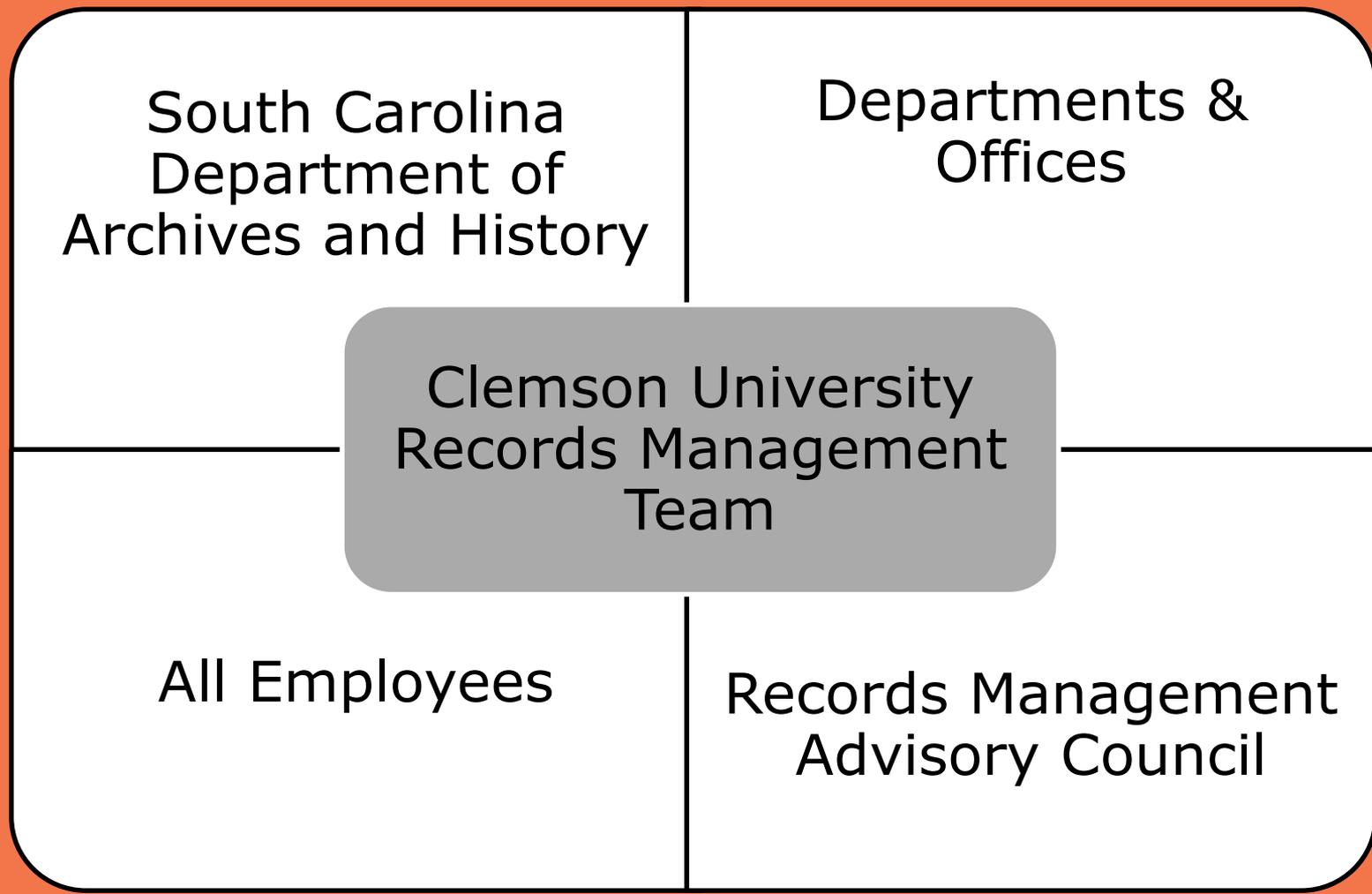
# Life Cycle of a Record



Courtesy of University Archives of Ohio State University



# Roles and Responsibilities





# Legislation: Overview

## Federal Law:

- FERPA
- FOIA
- HIPAA
- OSHA

## State Law:

- SCPRA
- SC FOIA
- SC Storage Policy





# Legislation: Federal

## FERPA (Family Educational Rights and Privacy Act):

- governs the access of educational information and records to public entities such as potential employers, publicly funded educational institutions, and foreign governments

## FOIA (Freedom of Information Act):

- allows for full or partial disclosure of previously unreleased information controlled by the government

## HIPAA (Health Insurance Portability and Accountability Act):

- provides data privacy and security provisions for safeguarding medical information

## OSHA (Occupational Safety and Health Act):

- ensure that employees work in a safe and healthful environment by setting and enforcing standards



# Legislation: State

SCPRA (South Carolina Public Records Act, 1974, amended in 1995):

- “all books, papers, maps, photographs, cards, tapes, recordings, or other documentary materials regardless of physical form or characteristics prepared, owned, used, in the possession of, or retained by a public body”

SC FOIA (South Carolina Freedom of Information Act) SC Code of Laws Section 30-4-10, 1978 with most recent amendment in 2017)



## State Storage Policy - (SC Code of State Regulations 12-10)

- States the building shall be protected and of sound construction free of leaks, clean, well-ventilated, with no extreme temperature fluctuations, free of vermin, placed three inches from the floor, and secure from both natural and manmade disasters





# What is a Records Inventory?

## A RECORDS INVENTORY

Identifies all of the record series created by an office or unit and the extent and nature of their use.





# Establishing & Revising Schedules

South Carolina Department of Archives and History Division of Archives and Records Management		Action Required <input type="checkbox"/> Establish Schedule <input type="checkbox"/> Revise Schedule Schedule Number _____	
<b>RECORD SERIES INVENTORY FORM</b>			
TYPE OR PRINT CLEARLY. COMPLETE ONE FORM FOR EACH RECORD SERIES. RECORD GROUP NUMBER: _____			
<b>Section A. Identification of Program Unit and Contact Person</b>			
1. State or Local Agency _____		2. Division or Office _____	
3. Subdivision _____		4. Program Unit _____	
5. Person Completing Form: (Name) _____ (Date) _____		(Title) _____ (Telephone) _____	
<b>Section B. Description of Records</b>			
6. Record Series (a) Title: _____ (b) Variant Title: _____		7. Dates of Records (a) Beginning _____ to Ending _____ (b) Missing Dates: _____	
8. Are records still created? <input type="checkbox"/> yes <input type="checkbox"/> no		9. Are records indexed? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, title and location: _____	
10. Arrangement of Record Series <input type="checkbox"/> Alphabetically by _____ <input type="checkbox"/> Chronologically by _____ <input type="checkbox"/> Numerically by _____ <input type="checkbox"/> Unarranged <input type="checkbox"/> Alphanumeric by _____ <input type="checkbox"/> Other _____			
11. Description of Records (a) Who creates and/or uses the records and for what purpose? _____			
(b) Informational Content _____			
(c) Value of Records (check all that apply) <input type="checkbox"/> Administrative <input type="checkbox"/> Legal <input type="checkbox"/> Fiscal <input type="checkbox"/> Historical <input type="checkbox"/> Other _____			
(d) Are these records vital? <input type="checkbox"/> yes <input type="checkbox"/> no			
(e) Reference Frequency _____ times <input type="checkbox"/> daily <input type="checkbox"/> weekly <input type="checkbox"/> monthly <input type="checkbox"/> yearly for _____ months _____ years. Never after _____			

<b>SECTION B. DESCRIPTION OF RECORD SERIES (CONT.)</b>	
12(a) Characteristics (check the medium to left of record format):	
<input type="checkbox"/> Paper <input type="checkbox"/> Legal Size <input type="checkbox"/> Letter Size <input type="checkbox"/> Broad Volume <input type="checkbox"/> Computer Printouts <input type="checkbox"/> Maps, Plans, Drawings <input type="checkbox"/> Publications <input type="checkbox"/> Other	<input type="checkbox"/> Audio Visual <input type="checkbox"/> Audiotape <input type="checkbox"/> Motion Picture <input type="checkbox"/> Video Tape <input type="checkbox"/> Photo Print <input type="checkbox"/> Photo Glass
<input type="checkbox"/> Microfilm <input type="checkbox"/> Roll Film <input type="checkbox"/> Aperture Cards <input type="checkbox"/> Microfiche <input type="checkbox"/> Fiches	<input type="checkbox"/> Electronic <input type="checkbox"/> Tape <input type="checkbox"/> Disk
12(b) Total Volume and Location of Records (by cu. ft.) Office _____ State Records Center _____ Other Storage _____ Specify: _____	
12(c) Total volume generated per year (Most recent year) _____	
13. Condition of Records: <input type="checkbox"/> Good <input type="checkbox"/> Fair <input type="checkbox"/> Poor <input type="checkbox"/> Molded <input type="checkbox"/> Dirty <input type="checkbox"/> Torn <input type="checkbox"/> Other _____	
14. Confidential? <input type="checkbox"/> yes <input type="checkbox"/> no. If yes, cite authority: _____	
15. Record is <input type="checkbox"/> original - Location of duplicate: _____ <input type="checkbox"/> duplicate - Location of original: _____	16. Summarized: <input type="checkbox"/> yes <input type="checkbox"/> no Title and Location of Summary Record _____
<b>SECTION C. PROPOSED RETENTION PERIOD AND DISPOSITION</b>	
17. Subject to: <input type="checkbox"/> Audit <input type="checkbox"/> Other (specify): _____	
18. Legal retention requirement? <input type="checkbox"/> yes <input type="checkbox"/> no. If yes, cite authority: _____	
19. The proposed retention period for this record series should be implemented as follows (check all that apply)	
<input type="checkbox"/> Retain in program office space for _____ years _____ months	
Transfer to state/local facility for _____ years _____ months	
Transfer to State Records Center for _____ years _____ months	
<input type="checkbox"/> Other (Specify) _____	
Final Disposition (following completion of retention period) <input type="checkbox"/> Destroy <input type="checkbox"/> Transfer to State Archives <input type="checkbox"/> Transfer to Approved Repository	
20. Additional Comments _____	



# Anatomy of a Records Retention Schedule

- Description of the records
- Length of time to keep records
- Provide instruction for the disposition of records





# Records Retention Schedules

CU 11243

## MEETING MINUTES

Description:

Document minutes of meetings held by administrative or academic departments. Information includes names of attendees, names of persons who were absent, business discussed, and other related information.

Retention: 5 years then send to the University Archives for selection of needed documentation.

Supersedes: CUAAAD-1  
Schedule approved 9/13/1999.



# General Schedules



[Complete listing of General Schedules](#)



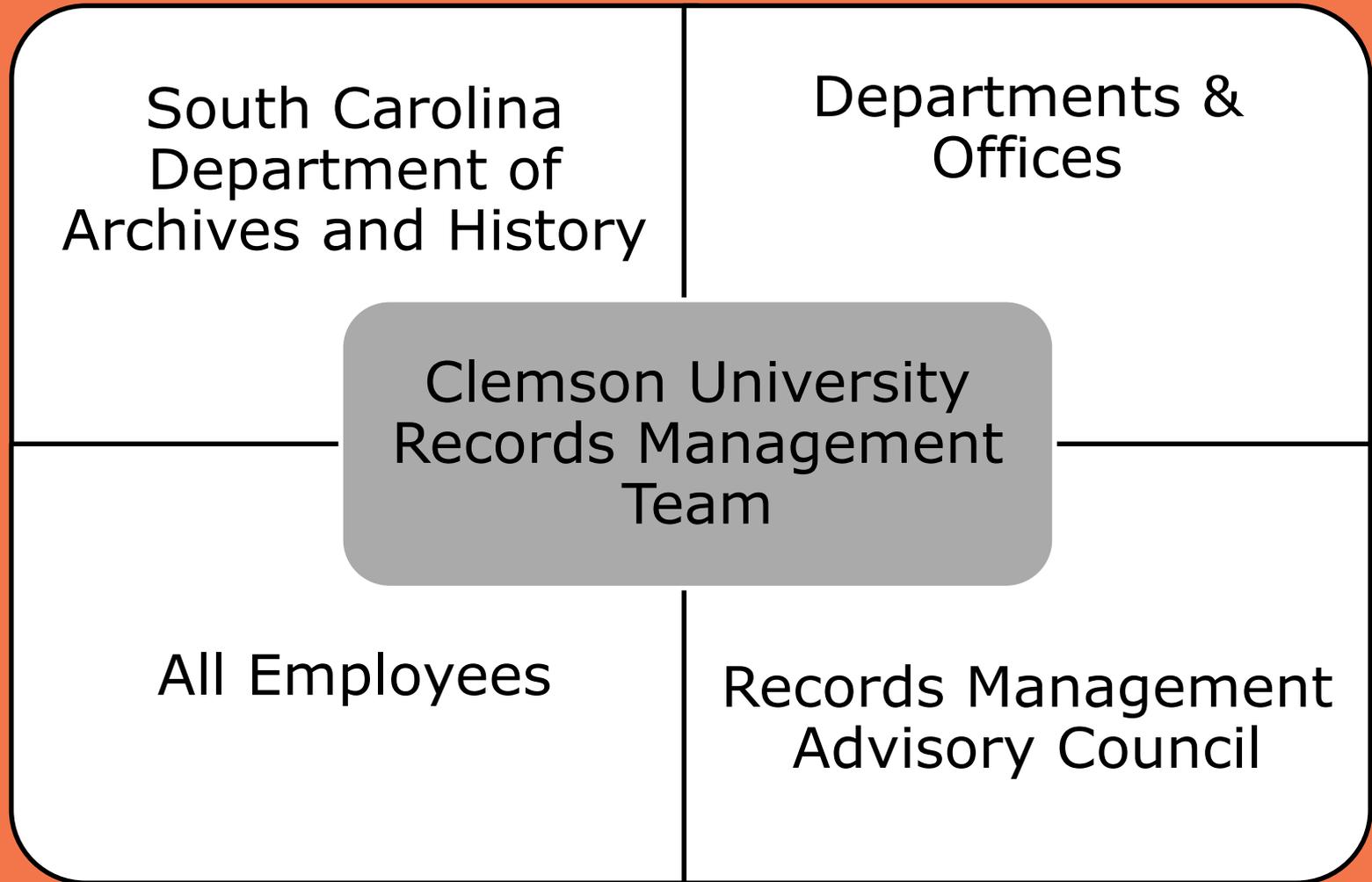
# Specific Schedules



[Complete listing of Specific Schedules by Budget Code](#)



# Schedule Approval Process





# Break-out Session

What things you think you or your department are doing well?

What issues are you are struggling with?



# Digital Imaging ARM-13

## Public Records Leaflet no.13:

- States that original paper records can be disposed of after certifying that the digital image has been visually inspected and is legible and disposal is approved by SCDAH.

## ARM-13 Form

- It's a process and... there is a form for that

SC DEPARTMENT OF ARCHIVES & HISTORY <b>AUTHORIZATION FOR DISPOSAL OF ORIGINAL PAPER RECORDS STORED AS DIGITAL IMAGES</b>		<b>1. RECORD GROUP NUMBER:</b> [ ]
<b>RETURN TO:</b> SC Department of Archives & History Records Services Branch 8301 Parklane Road Columbia, SC 29223-4905 Telephone: 803-896-6123 FAX: 803-896-6138		<b>INSTRUCTIONS</b> 1. Complete one form for each record series. 2. Complete all of Part I. 3. Under Part II, check box A or box B, as appropriate, and sign. 4. Send the forms to the address at left. 5. Do not destroy the paper records until we return the form to you with Part II completed. 6. Upon receipt of the form, destroy the records, complete Part IV, and retain the form permanently to document the disposal.
<b>PART I - IDENTIFICATION OF RECORD</b>		
2. Name of State Agency or Local Government [ ]	3. Name of the Division, Section, or Office [ ]	
4. Record Series Title [ ]	5. Schedule Number [ ]	
6. Include dates of paper records to be destroyed [ ]	7. Cubic feet of records to be destroyed (estimate) [ ]	
8. Retention period (if less than 10 years, check box A under Part II below; if 10 years or more, check box B.) [ ]	9. Is this a vital record? (Essential to the continuity of services during a disaster or to the restoration of daily business when it has been interrupted) <input type="checkbox"/> YES <input type="checkbox"/> NO	
10. Are security copies of the digital records and indexes being placed in off-site storage? <input type="checkbox"/> YES <input type="checkbox"/> NO	11. If yes, where are the security copies being stored? [ ]	
12. Name of Person Completing Part I [ ]	13. Telephone number [ ]	
<b>PART II - CERTIFICATION</b>		
<b>RECORDS WITH A RETENTION PERIOD OF LESS THAN 10 YEARS</b>		
A. <input checked="" type="checkbox"/> I certify that I am authorized to act for my government body in the retention and disposition of records identified in Part I of this form and that the digital image records have been visually inspected and are legible and correct.		
<b>RECORDS WITH A RETENTION PERIOD OF 10 YEARS OR MORE</b>		
B. <input checked="" type="checkbox"/> I certify that I am authorized to act for my government body in the retention and disposition of records identified in Part I of this form and that my Agency or local government will comply with items 1-7 on page 2 of Public records information leaflet no. 13, <i>Public records stored as digital images: policy statement</i> (revised 24 June 2005).		
14. Name/title of authorized state agency or local government representative: [ ]	15. Signature: [ ]	16. Date [ ]
<b>PART III - STATE ARCHIVES APPROVAL</b>		
17. Disposal of the original (paper) records identified in Part I is: <input type="checkbox"/> APPROVED <input type="checkbox"/> NOT APPROVED		18. Reason for non-approval: [ ]
19. Signature of State Archives representative [ ]		20. Date [ ]
<b>PART IV - DISPOSAL VERIFICATION</b>		
I have properly disposed of the paper records identified in Part I		
21. Signature of person disposing of records [ ]		22. Disposal date: [ ]



# Storage Options:

## University Records Center

- Open to all Clemson University departments
- Billed annually at .40 ¢ per month per box
- Processes bi-annual destructions:
  - End of fiscal year
  - End of calendar year
- No fees for transporting materials or final disposition
- Meets state storage policy
- Requests processed within 24 hours
- Confidential







# Record Request Form

- Access to your stored records:
  1. Use the online request form to request your records from the records center
  2. Records can only be requested by the department that owns the record

## Records Request Form

**Name \***

<input type="text"/>	<input type="text"/>
First	Last

**Dept - Office Address \***

**Phone**

**Email \***

**Preferred Delivery Method**

**Priority**



# Record Center Operations



- Semi-annual annual shred: July & December
- Departments are contacted prior to final disposition
- Valid examples to extend retention-audit, lawsuit
- Authorized state contract vendor shreds on site





# Final Disposition of Records

- At the end of a record's lifecycle the records should be destroyed or archived. A Records Transfer Request requesting permission to destroy should be submitted at this time.
- A disposition authorization form is created by a Records Management team member that lists the record series, retention schedule, method of disposition, and then sent by way of Adobe Document Cloud. The form should be signed and retained in the department for three years.

Your Agreement Has Been Sent for Signature!



Adobe Sign

- Records should be destroyed in the manner indicated on the form: Secure Shred, Recycle or Archive. Documents may be placed in a locked, secure bin, shredded in office, or contact Recycling at:

<https://cufacilities.sites.clemson.edu/custodial/shredding>



# University Archives

Collects, preserves, and provides access to  
Clemson University's records of enduring  
value.



Nov 30<sup>th</sup> 1892

The Committee appointed to take cognizance of the death of their late Colleague Gen & T Stackhouse - respectfully reported -

That the Divine Providence which has removed our late Associate vacates a seat on the Clemson Board of Trustees which has been honored by one in whom the College's best interests always stood first, in whose fidelity and zeal the board and the friends of the College throughout the State had unbounded confidence, and in whose loss we in common with the friends of the institution at large greatly deplore. That a page in the minute book of the College be inscribed to his memory.



# Special Collections and Archives Reading Room



[Special Collections and Archives Website](#)



## ATTENTION

Because the Clemson-UNC basketball game is sold out, no date tickets will be sold at the student gate.

How is black history month being celebrated on campus? For more information on the celebration, turn topages 14 and 15.



## INDEX

Opinion.....	4
Features.....	17
Entertainment..	19
Sports.....	21

# THE



# TIGER

FEB 7 1986

Volume 79, Number 18

South Carolina's Oldest Collegiate Newspaper

Friday, February 7, 1986



## Standardized exams proposed by faculty

by Bob Ellis  
editorial editor

A proposal that all students must take standardized final examinations has been made by faculty officials, scheduling coordinator David Fleming said.

"A letter from officials in the College of Engineering and the department of mathematical sciences was sent to Deane

change from a three-hour exam period to a two-hour exam period," said Robert Waller, dean of the College of Liberal Arts.

"The Faculty Advisory Council for the College of Liberal Arts is not very enthusiastic about the time change aspect," he said. "We feel that the students need three hours to organize their thoughts on exams. So, the Faculty Advisory Council, which



FIRE EXTINGUISHER  
INSIDE

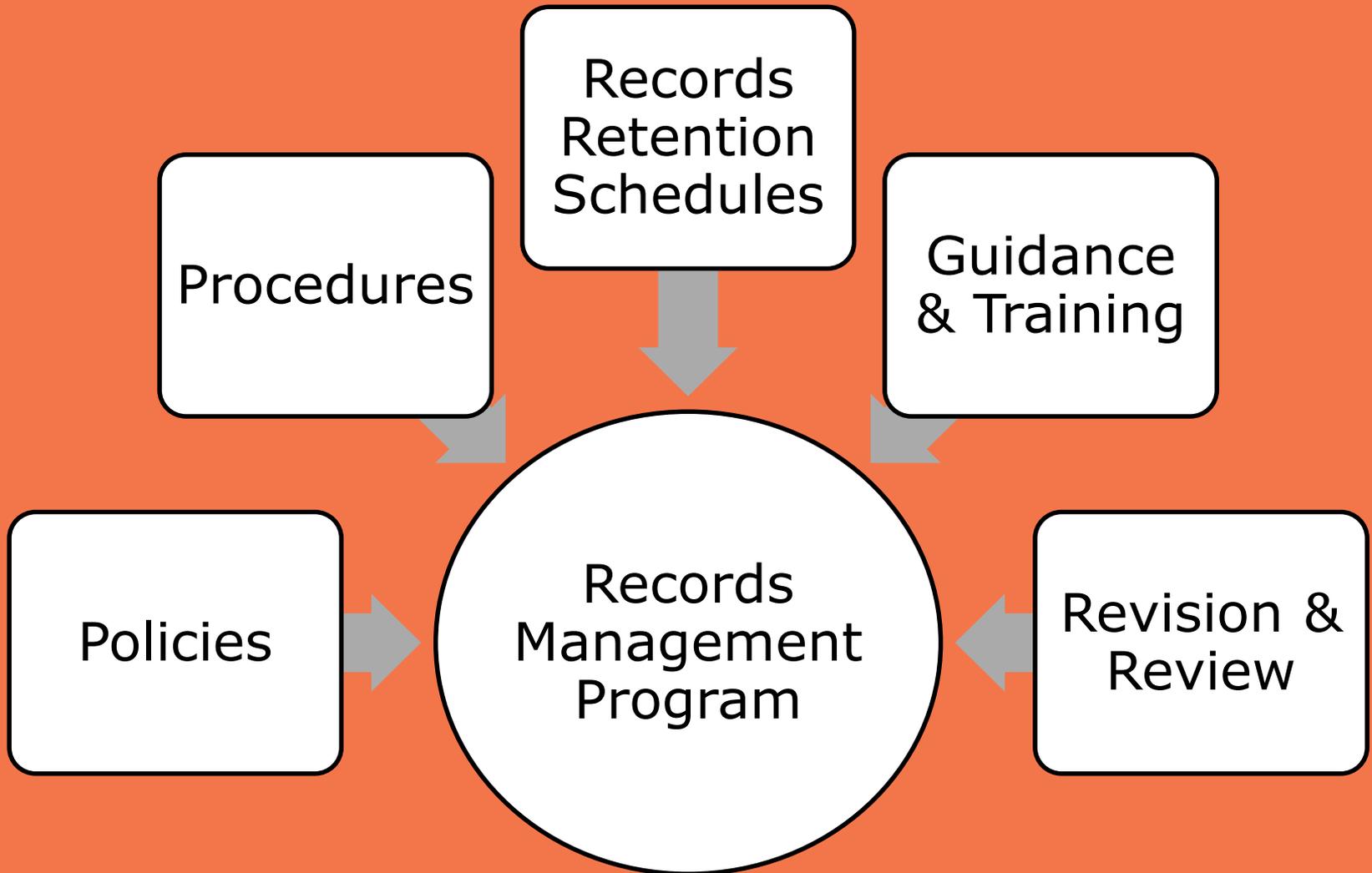


CLEMSON<sup>®</sup>

LIBRARIES









# Where do I go from here?

## Next workshops

- RM 201 Best Practices in Your Records
- RM 301 Retention Schedules

Brenda Burk  
[bburk@clemson.edu](mailto:bburk@clemson.edu)  
864-656-5176

Krista Oldham  
[kristao@clemson.edu](mailto:kristao@clemson.edu)  
864-656-4751

Michelle Voyles  
[mvoyles@clemson.edu](mailto:mvoyles@clemson.edu)  
864-656-0680