Records Management
101: The Basics

Records Management Team
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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.

Contributed by Donna P. Wilson & Erin Lowry
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

- Someone get me the Johnson file right away!
- Yes sir... uhh... coming right up
- No problem sir, I have it right here on disc 5!
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
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

**Section A: Identification of Program, Unit, and Contact Person**

1. State or Local Agency
2. Division or Office
3. Subdivision
4. Program Unit

**Person Completing Form:**
- Name
- Title
- Telephone

**Section B: Description of Records**

1. Record Series:
   - Title
   - Variant Title

2. Dates of Records:
   - Beginning
   - Ending

3. Are records still created? Yes / No
4. Are records destroyed? Yes / No
5. Number of years if yes, and location:

6. Arrangement of Record Series:
   - Alphabetically by
   - Numerically by
   - Chronologically by
   - Unarranged
   - Alphabetically by
   - Other

7. Description of Records:
   - Who creates and/or uses the records and for what purpose?
   - Informational Content
   - Value of Records:
     - Administrative
     - Legal
     - Fiscal
     - Historical
     - Other
   - Is the record series vital? Yes / No
   - Reference Frequency:
     - Times
     - Daily
     - Weekly
     - Monthly
     - Yearly
     - for months / years
     - Never

8. Section C: Proposed Retention Period and Disposition

   - Subject to: Audit / Other (specify)
   - Legal retention requirement: Yes / No

9. The proposed retention period for this record series should be implemented as follows (check all that apply):
   - Retain in program office space for years / months
   - Transfer to State Local facility for years / months
   - Transfer to State Records Center for years / months

10. Final disposition (following completion of retention period):
    - Destroy
    - Transfer to State Archives
    - Transfer to Approved Repository

11. 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
General Schedules

Complete listing of General Schedules
Specific Schedules

Complete listing of Specific Schedules by Budget Code
Schedule Approval Process

South Carolina Department of Archives and History

Departments & Offices

Clemson University Records Management Team

All Employees

Records Management Advisory Council
Break-out Session

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

What issues are you 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
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
Records Transfer Request

- Use to request storage of your records.
- Use to request final disposition authorization for records stored in your office that have met their legal retention requirement.
- 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
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.

• 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 30th 1892

The Committee appointed to take

Cognizance of the death of their late

Colleague Geo. E. 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 interest 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.
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 President 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
Records Management Program

- Records Retention Schedules
- Guidance & Training
- Policies
- Procedures
- Revision & Review
Where do I go from here?

Next workshops
• RM 201 Best Practices in Your Records
• RM 301 Retention Schedules

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