



RECORDS MANAGEMENT

Basics: Records Compliance

2023

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Agenda for the day

- Importance of Records Management
- Creation
 - What is a public record
 - Records Schedules
- Active Records
 - Evaluation/inventorying of records
 - Digitization of records
- Inactive Records
 - Records Center
 - Records Request
 - Billing
- Final Disposition

Importance of Records Management

1. Ensures that records are available when needed
2. Protects records from improper or unauthorized destruction and deletion
3. Ensures that records are not retained unnecessarily
4. It's the law! (defined in Title 30 of SC Code of Laws)

Benefits of Records Management

1. Transparency
2. Defensibility and decreased risk of litigation
3. Increased efficiencies
4. Saves resources such as space, costs, and time
5. Reduced privacy risk

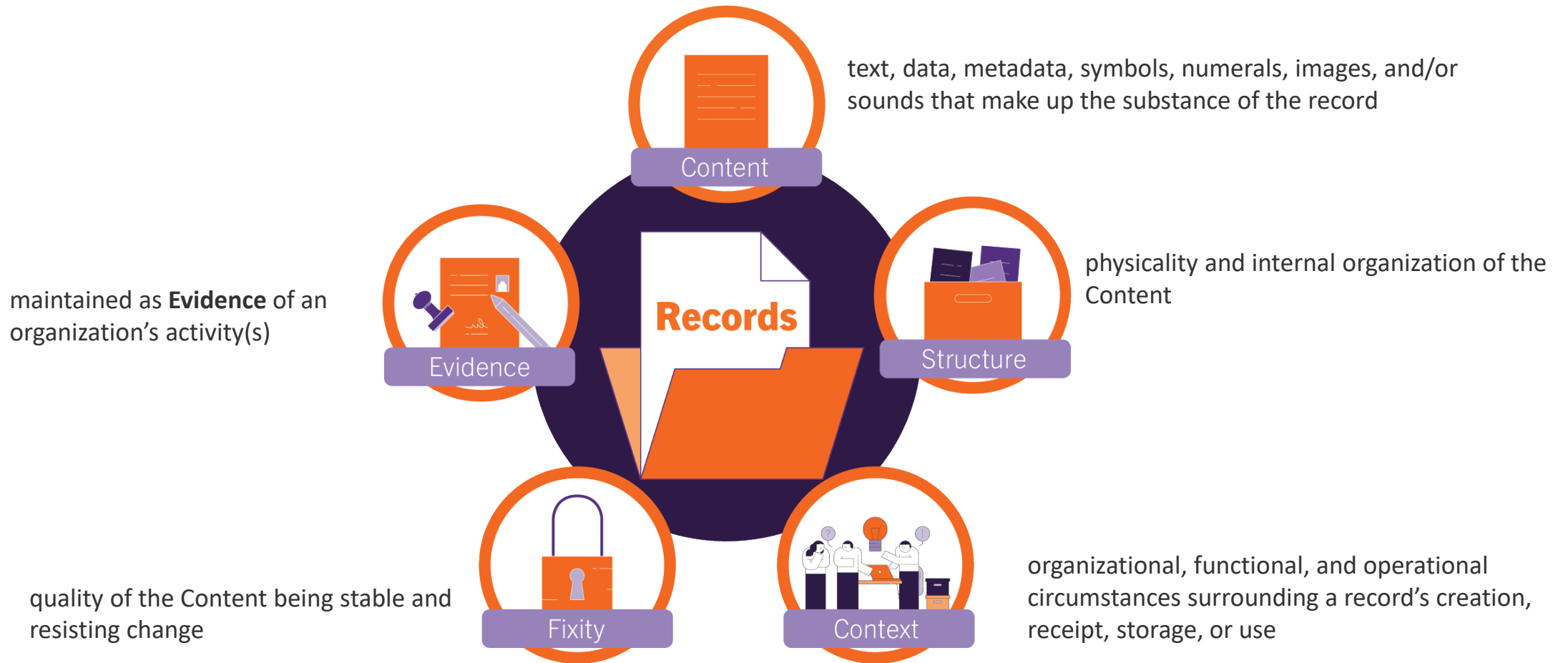
Creation

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

Creation: What is a record?



Creation: Records Schedules

- Two types of schedules
 - General (at state level and at university level)
 - Specific
- Purpose
 - Describes the records
 - Length of time retained
 - Final disposition

Types of records

- Official Record
 - Any document, device, or item, regardless of physical form or characteristic, created or received that serve to document the organization, function, policies, decisions, procedures, operations, and other activities of the university
 - Correspondence
 - Completed forms
 - Reports
 - Web pages (in some instances)
 - Photographs
- Non-record
 - Any document, device, or item, regardless of physical form or characteristic, created, or received that DOES NOT serve to document the organization, function, policies, decisions, procedures, operations, or other activities
 - Non-university publications
 - Blank forms
 - Junk mail/spam
 - Listserv messages
 - Faculty papers

Types of Records

- Transient Record
 - Non-substantive records of limited administrative value serving to convey information of temporary importance. They do not set policy, establish guidelines or procedures, certify a transaction, or serve as evidence or a receipt
 - Drafts
 - Copies (not the official record)
 - Scheduling communications
 - Some voicemail and text messages
- Convenience Copy
 - Duplicate of original record, often used for access or reference.
 - Copies (not the original)
 - Reports run on database (example – monthly report for you to conduct your work)

Evaluation of Records/Creation of Records Schedule

- ARM-1
 - Creation of Specific Records Schedule
 - Unique to your dept./unit
- Inventory
 - Process of locating, identifying, describing, counting, and measuring all records regardless of format in office and storage areas
 - Identifies confidential and privacy concerns
 - FERPA
 - HIPPA
 - Collaboration between Records Management and your office

Value of Records (assists in determining retention length and disposition)

- **Administrative**
 - Needed to conduct program business and/or daily course of business
- **Fiscal**
 - Document receipt, management, and expenditure of public funds
- **Legal**
 - Information on legal rights and obligations of government and its citizens
- **Historical**
 - Documents authority and mission; governmental impact on citizens and state's resources

ARM-13: Authorization for Disposal of Original Paper Records Stored as Digital Images

- If your department decides to digitize records rather than store them, an ARM-13 is required to dispose of the paper records
- Must verify that the digital image records are legible and correct
- Approved by SCDAH & the University Records Officer

SC DEPARTMENT OF ARCHIVES & HISTORY AUTHORIZATION FOR DISPOSAL OF ORIGINAL PAPER RECORDS STORED AS DIGITAL IMAGES		1. RECORD GROUP NUMBER:
RETURN TO: SC Department of Archives & History Records Services Branch 8301 Parklane Road Columbia, SC 29223-4905 Telephone: 803-896-6123 FAX: 803-896-6138		INSTRUCTIONS 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 form 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.
PART I - IDENTIFICATION OF RECORD		
2. Name of State Agency or Local Government	3. Name of the Division, Section, or Office	
4. Record Series Title	5. Schedule Number	
6. Inclusive 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	
PART II - CERTIFICATION		
RECORDS WITH A RETENTION PERIOD OF LESS THAN 10 YEARS		
A. <input 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.		
RECORDS WITH A RETENTION PERIOD OF 10 YEARS OR MORE		
B. <input 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
PART III - STATE ARCHIVES APPROVAL		
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	
PART IV - DISPOSAL VERIFICATION		
I have properly disposed of the paper records identified in Part I		
21. Signature of person disposing of records	22. Disposal date.	

Inactive: Records Center

- Cost-effective
- Meets state storage regulations
- Confidential
- Efficient
- Provide access to documents if a department needs them for review



Inactive: Transferring Records

- Take inventory of your documents
- Box them up according to regulation
 - Standard size bankers box (10x12x15 inches)
 - No hanging folders
 - Correctly labeled to match information on the RTR
 - Don't overpack
- Submit a Records Transfer Request (RTR)
- Schedule a pickup

Inactive: Records Transfer Request

- Filling out a Records Transfer Request is always the first step in transferring your records
- Used for both records that need to be transferred for longer storage and records that have met their retention rate

Records Management RECORDS TRANSFER REQUEST		CLEMSON UNIVERSITY	
Department <small>number and name</small>	Office Address	Number of Boxes	
3001 Libraries	116 Sigma Dr Clemson, SC	2	
Telephone	Email address and name (no students)		
Fax	tmmatth@clemson.edu		
Special Notes:		Date received in Records Center:	
Box #	Basic description of contents with DATES. Consecutive box numbers.	CU Retention Schedule #	RC location #
1	BSRs FY21		
2	Personnel Records 2014-15]		

Inactive: Disposition Forms

- Required by public records law
- A disposition authorization form will be created by someone from Records Management if the records can be destroyed
- Must be signed by both a department representative and the University Records Officer before the records can be securely shredded

Clemson University Records Management		Clemson University	
REPORT OF DISPOSITION OF RECORDS			
3001	University Libraries	tmmatth	
Location #	Title of Records Series with Inclusive Dates	Retention Schedule	Box #
n/a	Departmental Records 6/6/2023	CU 11241 CUAAAD-10	1
n/a	Personnel Files 2010-2011		2
	Timesheets 2009		
Cubic Feet	Method of Disposition		
2	<input checked="" type="checkbox"/> SECURE SHRED <input type="checkbox"/> UNIVERSITY ARCHIVES <input type="checkbox"/> RECYCLE in Campus Bins		
Approved by Records Management - Date		Approved by Department - Date	

Inactive: Records Billing

- Departments with records being stored will receive an annual billing invoice for storage costs

Storage Charges for boxes stored in the Records Center during the 2022 calendar year.

5	January - December (12)	4.80	24.00
0	February - December (11)	4.40	0.00
0	March - December (10)	4.00	0.00
0	April - December (9)	3.60	0.00
0	May - December (8)	3.20	0.00
0	June - December (7)	2.80	0.00
0	July - December (6)	2.40	0.00
0	August - December (5)	2.00	0.00
0	September - December (4)	1.60	0.00
0	October - December (3)	1.20	0.00
0	November - December (2)	0.80	0.00
0	December (1)	0.40	0.00
3	January - June (6)	2.40	7.20
		TOTAL AMOUNT	\$31.20

Inactive: Records Request

- If a department needs a file or box(es) back from records currently being stored, they can fill out a records request form
- Depending on the size of the request, a records management team member will fulfill the order within 1 -2 business days
- We do not provide electronic delivery

Name:	
Taylor Matthews-Naylor	
Dept - Office Address	
Cooper Library - 116 Sigma Dr	
Email	
tmmatth@clermson.edu	
Preferred Delivery Method	
Need Original Document	
Priority	
Normal	
Location # and Information Requested	
Location # (can include multiple locations)	Information Requested
1052	2012 Personnel Files

Final Disposition

- Bi-annual shreds are completed at the end of the fiscal year and at the end of the calendar year for records that have met their retention rate
- Departments will receive a disposition form if any of their boxes stored at the records center are ready for destruction

- Records ***cannot*** be destroyed if a department is:
 - Being audited
 - Has pending litigation
 - Going through a government compliance inquest
 - Other event that prevents a department's records from being destroyed
- Disposition forms must be signed and returned to the records management team before the records are destroyed

Monthly Virtual Records Management Chats

- When: 3rd Wednesday of the month
- Time: 10:30 am
- Where: <https://clemson.zoom.us/j/92152211278>

Join us on Wednesday, June 21!

Records Management Contact Information

Email – recmgmt@clemson.edu

Website - <https://libraries.clemson.edu/records-management/>

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