University Archives and Records Management Services

Lawrence Giffin, Records Services Archivist
University of North Carolina at Chapel Hill
Wilson Library, 3rd Floor | CB# 3926
www.lib.unc.edu/mss/uars/
919-962-6402
recman@unc.edu
Agenda

• What is Records Management?
• Why Bother with Records Management?
• North Carolina Law
• UNC Records Retention and Disposition Schedule
• Disaster Preparedness and Vital Records
• Email as a Public Record
• Electronic Records
What is Records Management?

Using efficient and economical methods to create, use, maintain, retain, preserve, and dispose of official records.
Why Bother with Records Management?

1. Comply with North Carolina Law
2. Document history of UNC-Chapel Hill
3. Improve efficiency
Four Values of Records

- Administrative
- Fiscal
- Legal
- Historic
North Carolina Law

Archives and History Act

North Carolina General Statute 121

- Defines duties of Department of the Cultural Resources
- Regulates the destruction of public records
Public Records Law

North Carolina General Statute 132

• Defines public records
  o Documents
  o Papers
  o Letters
  o Maps
  o Books
  o Photos
  o Films
  o Sound Recordings
  o Tapes
  o Electronic Records
  o Artifacts
  o Or other material, regardless of physical form or characteristics, used in university business

• Outlines custodial responsibilities
Confidential Records

State and Federal Statutes

• Medical and mental health records
  o Health Insurance Portability and Accountability Act

• Personnel records (some portions, not all)
  o General Statue 160-168

• Student records
  o Family Educational Rights and Privacy Act
Records Retention and Disposition Schedules

Creation

Disposition

Use
A Retention and Disposition Schedule:

1. Lists records found in your office
2. Provides uniform descriptions
3. Outlines retention and disposition instructions
4. Identifies confidential or restricted records
Retention and Disposition Vocabulary

**Record Series** – a group of related records

**Disposition** – instructions for how long you must keep a records series and how to dispose of it

**Record Copy** – a record held by an office that is the official keeper of that record for the University

**Reference Copy** – a record held by an office for their own reference and is not the official record for the University
### TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>i</td>
</tr>
<tr>
<td>1. Administrative Records</td>
<td>1</td>
</tr>
<tr>
<td>2. Curriculum and Instruction Records</td>
<td>26</td>
</tr>
<tr>
<td>3. Development and Alumni Records</td>
<td>32</td>
</tr>
<tr>
<td>4. Facilities Records</td>
<td>37</td>
</tr>
<tr>
<td>5. Financial Records</td>
<td>46</td>
</tr>
<tr>
<td>6. Grants and Research Records</td>
<td>60</td>
</tr>
<tr>
<td>7. Information Technology Records</td>
<td>68</td>
</tr>
<tr>
<td>8. Institutional Services Records</td>
<td>78</td>
</tr>
</tbody>
</table>
1. Administrative Records

1.1 Academic Program Records
Records documenting the University’s academic programs. This series may include but is not limited to: program proposals, program descriptions, and related documentation and correspondence.

Disposition Instructions: Permanent. Transfer to the custody of University Archives after 5 years.

REFERENCE COPY:

Disposition Instructions: Destroy in office after 5 years.

1.2 Accreditation Records
Records documenting the accreditation process for the University, and/or its schools, colleges, programs, and departments, by the Southern Association of Colleges and/or Schools (SACS) or other accreditation bodies. This series may include but is not limited to: reports, questionnaires, guides, and related documentation and correspondence.

Disposition Instructions:
12.27 Exempt from the State Personnel Act (EPA) Personnel Records

Personnel records of EPA employees, defined as all employees, including student employees and post-doctoral fellows, exempt from the State Personnel Act. This series may include but is not limited to: applications; resumes and vitae; records concerning promotions, demotions, and transfers; personnel action forms; salary data and history; records concerning termination of employment; verifications and credentials; copies of licenses and certifications; records concerning adjunct faculty appointments; records concerning employee’s aggregate service history; and related documentation and correspondence.

**Office of Record:** Office of Human Resources, Employee Records; Chancellor's Office; Provost's Office; International Center and/or Dean's Offices of various Schools depending upon the reporting structure of unit, maintain all records except Hiring Credentials Check Form.

**Disposition Instructions:** Destroy in office after 75 years after employee separation.

**REFERENCE COPY:**

**Disposition Instructions:**

a. Transfer Hiring Credentials Check Form 3 years after termination of employment or transfer from unit to employee's main personnel file held by Office of Record as listed above.

b. Destroy in office remaining records 5 years after termination of employment, transfer from unit, or end of appointment.
# Detailed List of Records Being Transferred

<table>
<thead>
<tr>
<th>Box #</th>
<th>Item # from Schedule</th>
<th>Description, Inclusive dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Administrative Records, #4</td>
<td>Dean’s correspondence, 2005</td>
</tr>
</tbody>
</table>
Records Management and Disasters

- Sudden
- Unexpected
- Destructive
- Not always natural
- Not always catastrophic

Hurricane Fran, 1996
Minimizing the Impact of a Disaster

• Lives are more important than records
• Distinguish between important and essential records
  - Important records are replaceable
  - Essential records are irreplaceable and vital to an organization
• Loss of essential records results in failure of the operations they support
Vital Records

• *Immediately* necessary to continued operation
  – Emergency operating records (e.g., emergency contacts, system backups, emergency preparedness plans)
  – Rights and interests records (e.g., payroll, patents, deeds)
Purpose of a Vital Records Program

- Specify staff responsibilities
- Inform staff about vital records
- Ensure “vital” designation is current and complete
- Ensure adequate protection, access, usability
Objectives of a Vital Records Program

• Re-establish function, legal and financial position
• Protect the rights and interests of organization, employees, customers, stakeholders
Email Is a Public Record

- **Remember:** Public records are *any* “documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, 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,”
Some Email Is Permanent

- Subject to the *General Records Retention and Disposition Schedule*
- The content of your emails determines record series
  - **Permanent:** emails written in the course of planning a conference are permanent
  - **Non-permanent:** emails scheduling a recycling work order can be deleted after 1 year
  - **Immediate deletion:** spam, confirmations, etc.
Email Received

Is it related to your job or to university business?

Yes

Official correspondence
Meeting minutes

Emails that issue policy, state decisions, outline procedures, perform an official action, or give guidance

Ask:
Is it unique?
Are you not sure what it is?

Probably Permanent
Check against Records Retention and Disposition Schedule and contact University Archives to transfer emails according to retention instructions

No

Personal mail
Junk mail
Delete when reference value ends (or Delete immediately)

Travel reservations
Appointment confirmations
Routine correspondence
Drafts

Emails without messages that transmit attachments

In general, any email that does not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives.

Probably Non-permanent
Retain and delete according to retention period listed in Records Retention and Disposition Schedule

University Archives and Records Management Services
http://www.lib.unc.edu/mss/uars/
962-6402
Some Email Is Permanent

• Rule of thumb
  – Ask: Does it perform or document an official action?
    • initiate a project
    • assign responsibility
    • dictate policy
    • provide guidance.
  – **Yes:** it’s probably a *permanent* record
  – **No:** it’s probably *non-permanent*.
  – *(See our webpage on Permanent Records.)*
Exceptions

• Example, all documents related to the proposal and development of courses on campus are permanent records.
  – An email that gives the go ahead for the creation of a new course or grants authority to a certain committee to evaluate course proposals for that department
    • Permanent
  – But emails that say, for instance, “Just a reminder, course proposals are due Wednesday,” or “Is the course development committee meeting at 1 or 1:20?”
    • Non-permanent
  – (See our webpage on Email Retention).
What Emails Are You Responsible For?

Managing Email from Outside Organizations

Email arrives in your inbox.

Is the message from inside or outside the university or the general administration?

Did you, the recipient, alter or update the message?

Yes

Save it. You, the recipient, are responsible for saving the message and managing it according to the retention schedule.

No

You can delete it. The sender is responsible for saving the email.
Tips for Reducing the Volume of Email

- Copy only those who need to know.
- Limit your use of “Reply All.”
- Pick up the phone or stop by the person’s office to relay information.
- Use social media to make announcements, that way there’s only one copy of that record instead of a copy in every inbox.
- Instead of sending attachments, store the document on a shared server space and refer people to it there.
Public E-Records Include:

- Emails
- Tweets
- Facebook posts
- Text messages
- Instant messages
- All computer files
- Evolving forms

All types of records are subject to the Retention and Disposition Schedule.
Thank you for your time.

Questions?
University of North Carolina at Chapel Hill
Wilson Library, 3th Floor | CB# 3926
www.lib.unc.edu/mss/uars/
919-962-6402
recman@unc.edu