For the Record:
What you really need to know about Records Management

Desktop training:
What is the RRS?
How do I find my records on the RRS?
Texas requires that every agency:

- Establish RM program
- Maintain retention schedule
- Include paper & electronic
- Protect archival, vital & confidential records
- Follow Public Information Act
Creating a Better Schedule

- Pulled from other Universities’ schedules
- Researched legal requirements
  - **State**: TSLAC, TAC, Public Information Act
  - **Federal**: CFR (all), HIPAA (medical), FERPA (education), Sarbanes-Oxley (financial), ESI (discovery rules)
- Identified “Best Practices”
# Records Retention Schedule (RRS)

<table>
<thead>
<tr>
<th>Old Schedule:</th>
<th>New Schedule:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• 700+ record series</td>
<td>• 535 record series</td>
</tr>
<tr>
<td>• Spreadsheet format</td>
<td>• Online format</td>
</tr>
<tr>
<td>• No organization</td>
<td>• Organized by function</td>
</tr>
<tr>
<td>• Vague titles</td>
<td>• Contains narrative</td>
</tr>
<tr>
<td>• Too many codes</td>
<td>• Codes defined</td>
</tr>
<tr>
<td>• No indication of long-term value</td>
<td>• Archival series identified</td>
</tr>
</tbody>
</table>

Created by K. Toma, University Archivist & Records Manager May 2010

Records Management training is offered each long semester through Professional Development.
Records Retention Schedule (RRS)

After 2+ years of waiting . . .

. . . the new schedule was approved in December 2009!
Records Retention Schedule (RRS)

Current RRS 2010-2012

PER550

Personnel Files - Departmental Copies

Description: Copies of personnel files and personnel-related records that are maintained in departments for employees and faculty members as well as student workers. These records may be more comprehensive and specific than those maintained in Human Resources and Faculty Records.

Typical Records Include: Applications, resumes, vitae, copies of performance evaluations, professional development activities, etc. This category includes departmental copies for all types of personnel -- faculty, classified staff, unclassified staff, temporary employees, and student workers.

RetentionPolicy: AC+5

Retention Code Defined: AC - Employee separation from department (transfer or termination).

Note: All numbers in the retention period refer to years (unless otherwise indicated).

Retention Comments:

Disposition Instructions: Shred / purge. Note: some faculty records may be archival, contact University Archives following the end of the retention period.

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Records Retention Schedule (RRS)

There can be only one ...

Throw away all old retention schedules and retention information, as they are invalid.

The State has certified the current schedule for 2010-2012 and it is the sole legal retention policy for the University.
Records Retention Schedule (RRS)

- Addresses university records
- Is certified by the State
- Allows disposition of records
- Helps preserves our history
- Improves efficiency
  - Filing
  - Retrieving
  - Storing

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Records Retention Schedule (RRS)

- Dynamic & flexible
  - Will continue to evolve
- Organized by function
  - Not by department name
- Provides guidance

Use RM principles to make good decisions about managing your own records
It is illegal to destroy records when any . . .

- litigation / claim / negotiation
- audit
- open records request
- other action involving the record

. . . is initiated before the end of the approved RRS retention
University records = many formats

e-mail  instant messages  voice mail
Blackberry  flash drive  network
hard drive  Internet / intranet  PDA
file cabinet  photographs  CD / DVD
iPad  ZIP drive  netbook  printouts

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Analyze records by function, not by physical format

Questions that have no answer:

- *Is this microfilm permanent?*
- *How long do I have to keep e-mail?*
- *Can I throw away the boxes in the storeroom?*

Retention is based on record series. Where those records are kept, or in what physical format they are stored, does not matter.
Analyze records by function, not by physical format

Is this microfilm permanent?
- What kind of records do you have?
- Where do they fit on the RRS?

How long do I have to keep e-mail?
- What kind of records do you have?
- Where do they fit on the RRS?

Can I throw away the boxes in the storeroom?
- What kind of records do you have?
- Where do they fit on the RRS?
Analyze records by **function**, not by physical format

**Ask relevant questions to make good decisions:**

- Are these records?
- What function do these records serve?
- What retention series do they fall within?
- What is the oldest record here?
- What is the most recent record here?
- Have any of these records exceeded the retention period as stated in the RRS?
All records must appear on RRS

- When a record series has met its retention period, it is ready for disposition

- **Disposition addresses ALL formats:**
  - Paper records in the file cabinet
  - Word document on your desktop
  - Backup you put on a shared drive
  - Copy stored on CD
  - Flash drive that holds files you take with you

  **When in doubt, treat it as a record.**
Let’s Talk about Records Management

- You’ve got the basics
- Let’s start with some ground rules
- Then we’ll review common records

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Ground Rules

- **Start from here and go forward**
  - Don’t try to convert backlog
  - Don’t recreate records you don’t have

- **Our records situation didn’t happen overnight, and it will take time to fix**
  - Focus on small improvements
  - One step at a time = progress
# Ground Rules

- **When in doubt:**
  - treat it as a record

- **If there are conflicting retention periods:**
  - use the longest retention period

- **If file has multiple records with various retention periods:**
  - use the longest retention period

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Ground Rules

- The RRS **does not** provide instruction on creating or not creating records. Just because it’s on the schedule doesn’t mean you have to have it.

- The RRS **does** provide information about when records should be disposed. If you have a record, you must manage it according to the RRS. Keeping a record “just in case” is not a legally justifiable reason to disregard the RRS.
Where Do I Start?

What is your department’s primary function?

Why does your department exist? What does it do?

Examples:

- Support an academic discipline
- Run payroll so employees get paid
- Provide health care

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Where Do I Start?

Define your department:
What kind of function does your department serve?

☐ Administrative
☐ Curriculum & Teaching
Where Do I Start?

Record Series are Organized by Function

<table>
<thead>
<tr>
<th>Administrative</th>
<th>Curriculum &amp; Teaching</th>
</tr>
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<tbody>
<tr>
<td>PER – Personnel</td>
<td>SMS – Admissions</td>
</tr>
<tr>
<td>FIN – Fiscal/Financial</td>
<td>SFA – Financial Aid</td>
</tr>
<tr>
<td>LEG – Legal</td>
<td>SAP – Academic Progress</td>
</tr>
<tr>
<td>FAC – Facilities</td>
<td>CUR – Curriculum/Instr</td>
</tr>
<tr>
<td>UPD – Univ. Police</td>
<td>GRT – Grants &amp; Research</td>
</tr>
<tr>
<td>LIB – Library/SpColl</td>
<td>ATH – Athletics</td>
</tr>
</tbody>
</table>

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General Records (GenRecs)

Some records are found in nearly every office across campus

- Departmental personnel files
- P-Card purchase records
- Student time sheets
- Staff leave reports
General Records (GenRecs)

- Those common records are gathered into a single short list
- Look at the GenRecs section first when reviewing your files
Conflicting Retention Periods?

- Multiple types of records are often grouped together in one file to serve a new function.
- Records filed together are treated as one record with a single retention period.

Examples:

- Departmental Personnel Files
- Admissions Files
- Departmental Student Records

Simply default to longest retention.
Where Do I Start?

- The certified RRS provides continuing authorization to dispose of agency records according to its terms.
- State regulations (13 TAC §6.8) require documentation of the final disposition by the agency. This requirement may be met by maintaining a disposition log of the record series titles, dates covered, volume, and date of disposition.
- The State urges employees on the importance of disposing of the records of the agency in a timely manner in accordance with the retention periods on the certified RRS.