Introduction to Records and Information Management
Presented by Janice Schulz, University Records Manager

Objectives
- Understand what good records and information management can do for you and what your responsibility is
- Understand the UC RIM program, policies and procedures
- Be able to apply policies, procedures and practices to your own situation

Records Management
Records Management is the systematic control of records throughout their lifecycle.
What is a Record?

A record:
- documents the organization, functions, policies, decisions, procedures, and operations of the University
- can be either created or received by your office
- is regardless of physical form

“Regardless of Physical Form”

Paper  Audio/Video
Electronic Documents  Email, Databases
Microform

What can RIM do for you?

It makes you more efficient and saves you time and money
- Provides you with the documents you need to do your job when you need them
- Prevents duplicating effort
- Removes unneeded documents and frees up office and storage space
- Makes retrieval of information quicker and easier
- Reduces costs related to labor, supplies & equipment
What can RIM do for you?

It ensures that you are compliant with laws and regulations.

- The State of Ohio requires all state agencies to develop and follow a records management program.
- Federal, state and local regulations govern creation, use, and retention of records. (USC, ORC, FERPA, HIPAA)
- Accrediting and regulatory bodies require us to maintain certain records and to retain records for audit purposes. (NCA, NCAA)

What can RIM do for you?

It helps you to preserve your legacy and the history of the University

- Records of permanent value are sent to the University Archives
- The Archives processes collections and makes them available to the University community and to the public
- Records sent to the Archives can be retrieved if you need them at a later date

Records Management

- Established in 1979 by President Henry R. Winkler in compliance with ORC Section 149.33. Under state control.
- State of Ohio transferred control to the University in 1991
- Administered through the University Archives by University Rule 10-43-10
Who has responsibility for records management at the University?

**Everyone**

Who has responsibility for records management at the University?

- **Board of Trustees**
  - Creates University rules regarding records

- **University Records Manager**
  - Administers the program
  - Writes retention schedules
  - Provides consulting services

- **Records Coordinators**
  - Assist in development, administration, and review of functional schedules

- **UC Employees**
  - Create and manage records
  - Provides consulting services

Some have different roles and relationships.

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**Your Responsibility**

Create records that adequately document the organization, functions, policies, decisions, procedures, and essential transactions of the university.

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**Your Responsibility**

Maintain records for the period required by retention schedules established by the university archives, and only dispose of records in accordance with disposition instructions.
Procedure Flow/Record Cycle

- Inventory
- Schedule Development
- Schedule Implementation
- Records Creation
- Records Maintenance
- Schedule Review
- Records Disposition

Records Inventory

- Helps you discover what records you have to manage
- Can be done by you, by RM, or together
- Forms are available to help with the process.
- Not as time consuming as it sounds - inventory by record series - not detailed

Records Retention Schedules

Purpose

- Provides a guide to the records of an office
- Required by the Ohio Public Records Act
- Sets minimum retention periods that records are to be maintained by the office
- Establishes final disposition of the records
Records Retention Schedules

Preparation

- Written by Records Manager and approved by you and the University Archivist
- Categorize records by records series that are created from your inventory

Retention is based on the value of the records to the University. Records have administrative, legal, fiscal and historic value. All are equally important.

- Administrative/Fiscal
- Legal
- Historical

The value of records as applied to retention

Historic – permanent retention

Administrative/Fiscal – applied after legal - can increase office retention.

Legal – base minimum for all retention
### Records Retention Schedules

<table>
<thead>
<tr>
<th>Schedule Number</th>
<th>Records Series</th>
<th>Series Description</th>
<th>Authority/Explanation</th>
<th>Minimum Retention</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>99-18B-01</td>
<td>Accreditation Files</td>
<td>Materials relating to accreditation and site visits for accredited programs.</td>
<td>ADM3020: Policies/Procedures - Compliance</td>
<td>ACT+10</td>
<td>Archives</td>
</tr>
<tr>
<td>99-18B-02</td>
<td>Admission Liaison</td>
<td>University College files of All-University Admission Liaison Committee chaired by Provost, relating to admission policies, including scholarships and honors.</td>
<td>ADM9910: Subject Files</td>
<td>5 years</td>
<td>Archives</td>
</tr>
<tr>
<td>99-18B-03</td>
<td>Advanced Standing Files</td>
<td>Materials relating to the awarding of advanced standing, including documentation of student performance and rules and regulations. Copies of decisions are also inserted into Student Files.</td>
<td>EDU1010: Student Records - Non-Permanent Records</td>
<td>ACT+1</td>
<td>Destroy</td>
</tr>
<tr>
<td>99-18B-04</td>
<td>Articulation Committee</td>
<td>Documentation of University Articulation Committee relating to the establishment of University policy on articulation deficiencies, including requirements, course lists, and associated correspondence. Committee is chaired by Senior Vice Provost.</td>
<td>ADM9910: Subject Files</td>
<td>5 years</td>
<td>Archives</td>
</tr>
<tr>
<td>99-18B-05</td>
<td>Athletic Eligibility</td>
<td>Alpha by name of students with and NCAA grade point average eligibility to participate in athletics.</td>
<td>EDU1010: Student Records - Non-Permanent Records</td>
<td>ACT+1</td>
<td>Destroy</td>
</tr>
<tr>
<td>99-18B-06</td>
<td>Curriculum Committee</td>
<td>Chron. of pending and actions taken of ex officio convenor of University College Curriculum Committee, including all BULLETIN and other materials relating to curriculum changes.</td>
<td>ADM9910: Subject Files</td>
<td>5 years</td>
<td>Archives</td>
</tr>
<tr>
<td>99-18B-07</td>
<td>Faculty Grievance</td>
<td>Files of Faculty Grievance Committee relating to disciplinary proceedings taken by faculty against students, including tapes of hearings.</td>
<td>LEG4000: Claims/Litigation</td>
<td>ACT+6</td>
<td>Destroy</td>
</tr>
<tr>
<td>99-18B-08</td>
<td>Marketing Files</td>
<td>Advertising and other promotional materials for University College.</td>
<td>MAR1000: Advertising/Sales Opportunities</td>
<td>5 years</td>
<td>Archives</td>
</tr>
<tr>
<td>99-18B-09</td>
<td>Ohio Board of Regents</td>
<td>Correspondence and associated materials information of Ohio Board of Regents of a new or changed program.</td>
<td>ADM9910: Subject Files</td>
<td>5 years</td>
<td>Archives</td>
</tr>
<tr>
<td>99-18B-10</td>
<td>Reorganization Files</td>
<td>Committee materials relating to reorganizing the structure of University College.</td>
<td>ADM9910: Subject Files</td>
<td>5 years</td>
<td>Archives</td>
</tr>
</tbody>
</table>

### Records Disposition

- Disposition is the purging of records from the custody of the originator.
- Disposition happens when the minimum retention period has been met.
- Can be destruction or transfer to University Archives.
- Can only be done in accordance with your approved records retention schedules.

### Records Disposition

- Do not have to get pre-approval for disposition with a retention schedule.
- Anytime your office has been notified of impending litigation do not dispose of any records for any reason. Retention schedules become moot at this point.
Records Disposition

- Shredding is the preferred method for destruction of records
- RM can supply you with a list of vendors
- A completed Certificate of Disposal is required for any disposal – destruction or transfer
- Certificates of Disposal demonstrate that we are in compliance with our policies and are evidence of legal disposition

Can records legally be retained longer that the approved retention period?

Yes, but...
- Not good procedure
- Opens you up to security issues
- Opens you up to discovery issues
- Opens you up to efficiency issues

Any reasons for a longer retention should be backed up by sound administrative reasons and indicated on the retention schedule.
Reviews

- Your schedule needs to be maintained for it to remain a valid policy
- Initiated by RM due to legislative changes, university policies or rules are created or amended to govern records creation, use, or retention.
- Contact RM at any time to initiate changes on your end. Best practice to review annually.

Procedure Flow/Record Flow

What is a Public Record?

A record kept by any public office

Public records requests are handled by the Offices of General Counsel and Governmental Relations and the policy can be found online: http://www.uc.edu/af/documents/general_counsel/PublicRecordsPolicy.pdf.
Email

- Email is not a record category
- Email should be managed according to its content
- Several ways to manage and retain email
  - Create Outlook folders and move messages
  - Save messages and attachments to a directory structure
  - Use an Electronic Document Management System
  - Print and file

Services Offered by RM

- Records Inventories – instruction and assistance
- Records Retention Schedules – development and review
- Consulting – records analysis, active record systems, alternative formats, email, vital records and other related topics
- Vendor lists – offsite storage, destruction
- Training – workshops can be developed based on your topic and presented at your location.

Questions?

Q&A Period

If you have additional questions, please contact Janice via phone or email, or stop in at Blegen 806. Business cards are in your packet.