

Records Management and Retention Refresher



UNT System • UNT • UNT Dallas



Office of Institutional Compliance

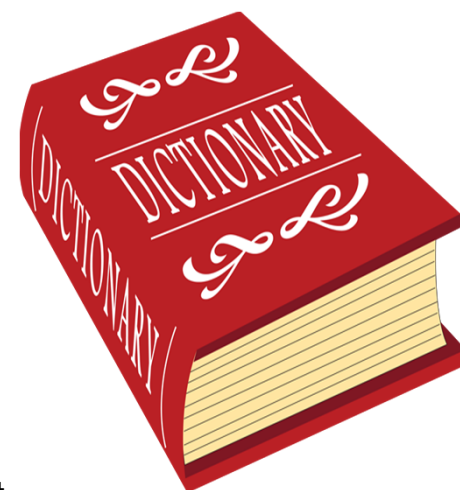
Refresher Topics

- Definitions for Records Management
- The benefits of Records Management
- Record Copies Vs. Convenience Copies
- Roles and Responsibilities of a Records Management Representative (RMR)
- Identifying an RMR and the RMR Designation Process
- Accessing and using the Record Retention Schedule (RRS)
- Accessing, completing and submitting a Final Disposition Log (FDL)
- How to get started using the Records Management Plan (RMP)



Defining Records Management and Records

- **Records Management** is the application of management techniques to the creation, use, maintenance, retention, preservation and destruction of records for the purposes of improving the efficiency of business operations.
- **Official Definition of a Record:** State law defines a state government record as "any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency or an elected state official that documents activities in the conduct of state business or use of public resources. ([Texas Government Code, §441.180](#))
- **Record** - any document that describes the operation of a state agency, plans that it makes, official actions it takes, or information it receives. Records can be on paper, on microforms (microfiche or microfilm), or in electronic formats (images, emails, electronic files, databases).



There are two types of records...

- A **Record Copy** is the document kept on file as an original or official record for the total retention period.
- A **Convenience copy** is a duplicate of a record copy used for reference purposes only.
 - Care must be taken in determining if duplicate records are indeed convenience copies. It is possible for the same document to be present in two or more units of the institution and all are record copies if they serve a different function in each unit.
- **Note:** When the official copy of a record is disposed/destroyed, ALL convenience copies should also be disposed.
 - If all convenience copies are not disposed/destroyed, the remaining copies become the official records copy.
 - In legal proceedings, audits, administrative reviews, etc. – copies can be used as an official record.

Scenario for Determining a Record Copy vs. Convenience Copy

- **Scenario One:** Jane has a 3 drawer file cabinet next to her desk that is in the way. She has decided to scan all of the records and keep them all electronically, but she is unsure of what to do with the paper copies. Once she scans the records, do the records continue to be the official record copy? Will they have to go through the final disposition process for her to dispose of the records?
- **Answer:** The answer is no. Once Jane scans the records and decides that her originals will be stored electronically, the paper copies can be disposed of because they are now considered convenience copies. Methods of disposition may include a recycle bin, confidential recycle bin, or shred machine depending on their content. The electronic records become the official record copies that will be retained until the records meet the proper retention period.

Scenario for Determining a Record Copy vs. Convenience Copy

- **Scenario Two:** Jane has someone coming in for an interview. In preparing for the interview, she prints a copy of the applicants resume from the Human Resources (HR) website. During the interview, Jane makes notes on the resume regarding the applicant.
 - a) Did Jane just create a new record copy that she will have to keep until its full retention?
 - b) Is HR still responsible for the retention of the applicants resume even though Jane made changes to the copy?
- Answer:
 - a) Yes. Jane has created a new record that the unit will need to keep it until it meets retention because of the notes that Jane took on the resume. If Jane would not have made any changes to the resume, it would be considered a convenience copy for her unit and would not have to be kept to retention.
 - b) In the case of the resumes on the HR website, HR is responsible for their retention, therefore anything printed is convenience until it is changed. Jane will only need to keep the information for candidates she is strongly considering, namely those she interviewed.

RMR Roles and Responsibilities

Remember:

- Records Management Representatives (RMRs) are to attend mandatory and suggested training sessions offered by the Institutional Records Management Program (IRMP) office.
- The RMR will serve as the representative from their unit for the creation, approval and implementation of the unit's records management procedures.
 - RMRs for academic units are responsible for keeping the faculty up-to-date with records keeping processes.
 - RMRs also assist in identifying other RMR roles as necessary
- RMRs ensure Records Management Plans (RMP) are kept up to date and enact change in their unit to ensure that records are kept efficiently for the productivity of the unit. You will see more information regarding RMPs later in this presentation.

ASK AN EXPERT



RMR Roles and Responsibilities

- RMRs are to directly associate the unit's records to the Records Retention Schedule to determine when records meet their retention period.
- Once it is determined the records have met their retention period, RMRs are required to complete the Final Disposition Log (FDL) to obtain approval for records disposal or archival transfer, whichever may apply.
- An RMR notifies the IRMP office when a new RMR is appointed for within the unit.



Identifying RMRs



- Each business unit will identify a primary and an alternate RMR.
 - RMRs must be full-time staff or faculty.
 - Having a minimum of a primary and an alternate RMR helps ensure that someone is knowledgeable regarding RMR procedures and operations for the unit.
- Consider the following for each business unit:
 - Large units, such as Libraries or Facilities for example, are to ensure that each sub-unit has designated RMRs.
 - Ex. Facilities
 - Grounds → Primary RMR and Alternate RMR
 - Work Control → Primary RMR and Alternate RMR
 - Persons who have specific job types such as grants or budget coordinators will need to be designated as alternate RMRs. Typically those who have specific operations are one of a few people who understand and can identify the best fit for these records in the RRS.
 - The primary RMR will usually have a general sense of operational records within the unit.
 - RMRs should have
 - **direct reporting access** to unit administration (in case of audits, reviews, etc.)
 - **access or authority to enact change** in departmental recordkeeping processes (including physical and electronic records processes – as needed).

RMR Designation

- There is a directory of all RMRs located on the records website <http://records.unt.edu/rmrlist> . The IRMP and units can use the directory to:
 - See if there are designated RMRs for their unit and/or see how many RMRs are designated in each unit.
 - See who the primary and alternate RMRs are for each unit.
 - Know who is receiving the updates from the IRMP for each unit.
 - Use as a tool to review if more RMRs are needed in a particular unit.
- If there are any persons listed in the RMR Directory that are no longer RMRs in your unit, please use the RMR update form to inform us or email us at records@unt.edu and we will update the RMR Directory.
- Once an RMR has been chosen, the RMR Designation Form found at records.unt.edu/rmrs must be used to complete the designation.
- When completing the form, there is a field that asks for your “special area” within the unit. *Please do not put your office number in the field.* The field is used to show the variety of RMRs for a unit.
 - Examples of answers for this field include Unit Administrator, Budget Coordinator, Grants Coordinator, etc.
- If you are no longer the designated RMR or alternate RMR for a unit, please fill out the “RMR Update Form.” This form can be found at records.unt.edu/rmr.

How to use the Records Retention Schedule

- The UNT System Consolidated CORE Records Retention Schedule (RRS) is the policy of the University and is available as an online tool on the records management website at records.unt.edu and click the “Retention Schedule” tab.
- If your unit is listed as the **Final Repository** on a Records Series, you are responsible for the final disposition of the record copy. If your unit is not listed as the final repository, you may still be responsible for the disposition of the record if it has a function in your unit.
- What to consider if your unit is not listed as the Final Repository:
 - Why does your unit keep this record?
 - What is the purpose of the record in your unit?
 - Is it necessary to the daily operations for the unit?
- The RRS is setup by:
 - Function of the records, not by record names.
 - *Consider how the record functions in your unit when searching the RRS.*
 - Series (category) and then Records Series Titles fit within each category.



Using the RRS

- After taking this training, please take a few minutes to go to records.unt.edu/untsysccrrs to familiarize yourself with the Records Retention Schedule.
- In the “Select a Series” drop down box, you will be able to view all of the categories in which all of the records series are located.
- The best way to use the RRS is to start with the records you have and then search the RRS to find which retention policy best matches.
- “Keyword”
 - The "keyword" search is similar to a Google search.
 - If you type the word “time,” it will show everything that contains the word “time” in the RRS
 - The more specific you are, the more specific it is.
 - If you type the words in an order that is not listed in the RRS it will not show any results.
 - It is recommended that you use this feature to find the records series title that match the record you are locating in the RRS.
- “Final Repository”
 - Type in your unit’s name to see what you are automatically responsible for.
 - Not all units will be listed as a Final Repository.

UNT System Consolidated CORE Records Retention Schedule

Below are the approved record series that comprise the UNT System Records Retention Schedule. The schedule is approved by the the Texas State Library and Archives Commission. You may browse the entire schedule by expanding each of the eleven categories below, or narrow your search by using the optional Series selector or keyword search.

| Select a Series (Category) | Final Repository | Keyword | Apply |
|--|------------------|---------|-------|
| - Any - | | | Apply |
| ▶ 1.1 - Administrative Records-General | | | |
| ▶ 1.2 - Administrative Records-Records Management | | | |
| ▶ 1.3 - Administrative Records-State Publications | | | |
| ▶ 10.1 - Advancement and Donor Records | | | |
| ▶ 11.1 - Athletic Program Records | | | |
| ▶ 2.1 - Electronic Data Processing Records-Automated | | | |
| ▶ 2.2 - Electronic Data Processing Records-Computer Operations and Technical Support | | | |
| ▶ 3.1 - Personnel Records-Employee | | | |
| ▶ 3.2 - Personnel Records-Payroll | | | |

Using the RRS

- Once you click on the “Select a Series” drop down box, all the categories will appear.
- If you select the first Series, 1.1 Administration Records – General, a list of all records that it contains will drop down. See the example on the image included on this slide.
- We are going to select the records series “Audits” (highlighted to the right) for this training

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Select a Series (Category) Final Repository Keyword

- Any -

1.1 - Administrative Records-General

- Retention Policy #: 1 [Academic Program Request, Appraisal and Review Records](#)
- Retention Policy #: 6 [Accreditation Records](#)
- Retention Policy #: 369 [Administrative Hearings](#)
- Retention Policy #: 673 [Advisory Board Records](#)
- Retention Policy #: 721 [Affiliation Agreements](#)
- Retention Policy #: 371 [Alternative Dispute Resolutions - Final Agreement](#)
- Retention Policy #: 11 [Americans with Disabilities Act Documentation](#)
- Retention Policy #: 384 [Annual Reports from Foundations or from Other State Agencies](#)
- Retention Policy #: 672 [Association and Organization Advisory Records](#)
- Retention Policy #: 18 **Audits**
- Retention Policy #: 685 [Awards Records - Eligibility and Award History Information](#)
- Retention Policy #: 687 [Awards Records - Selection Records](#)
- Retention Policy #: 33 [Broadcasts](#)
- Retention Policy #: 75 [Calendars and Appointment Books/Itinerary Information](#)
- Retention Policy #: 51 [Client Records - From Institutes](#)
- Retention Policy #: 83 [Committee Election and Appointment Records](#)

Using the RRS

- When you click on the record series “Audits”, this information appears for the record series.
- When using the RRS, be attentive to the Records Series Title (in green at the top *Audits), the description under the record series title, retention, archival value, and remarks.
- Most of the time codes within the retention are explained in the remarks. If they are not your, please see the RRS Codes and Explanations tool at records.unt.edu.
- This information is useful when completing the FDL.

Audits.

Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.

Identification

Record Series Item Number: 1.1.002
UNT Item Number: 18
Series:
1.1 - Administrative Records-General

Retention Period

Total Retention: AC + 7

Characteristics

Final Repository: INTERNAL AUDIT

Remarks:

AC = Publication or release of final audit findings. The record copy of any audit performed by the state auditor's office is retained permanently by that agency. UNT System Internal Audit retains the official copies of internal audits performed on the UNT System components.

Disposition and Proper Disposal of Records

- **Final Disposition** is the **terminal treatment of a record**, either by destruction or permanent storage in the University Archives. The disposition of records shall be documented on the Final Disposition Log (FDL).
- In addition, records shall not be disposed of before their retention period and shall not be disposed of prior to approval of the FDL by our office. Units must use the current version of the FDL to list all records to be disposed of and send this log to the IRMP preferably through email to records@unt.edu.
- It is advised to periodically check the records management website or with the IRMP office for updates.
- If a record is not in the RRS, it **cannot** be disposed of. Please contact the IRMP office for assistance. The records may be something we need to add to the RRS if we are unable to find a Records Series it can be placed in.



Accessing the Final Disposition Log

- Access the most current Final Disposition Log (FDL) at: <https://records.unt.edu/content/fdl>
- Note: There is a regular FDL and a faculty template FDL to assist you with proper formatting for the Test Questions, Exams, Quizzes, & Term Papers retention policy.
- Note: It is only a template, you will still need to add your information to the form.
- After the FDL is completed, signed by the appropriate unit head, scan and submit it to records@unt.edu or send it via intercampus mail to the Hurley Administration Building, Suite 316C.
- Also, remember the other documents on this page are to assist you with completing the FDL correctly. Please take a look at them as they can be useful to you.

| Final Records Disposition |
|----------------------------------|
| Final Disposition |
| FDL Forms |
| Historical Records (Archives) |
| Disposal of Confidential Records |
| FAQ |

Final Disposition Log/Transfer to Archives Form

Forms and procedures for completing the Final Disposition Log/Transfer to University Archives form are displayed on this page. Instructions for the Final Disposition Log/Transfer to Archives form are built into the form itself. Each field includes guidelines for how information is entered on the form.

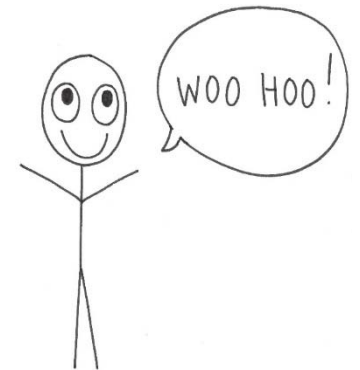
FDLs Updated January 2016

Attachments:

- [Final Records Disposition Log](#)
- [Template Disposition Log for Course Exam/Project Records \(faculty can use when disposing of student exams, projects, etc\)](#)
- [Tips for an Approved FDL](#)
- [Calculating Volume/Cubic Feet](#)
- [Retention Calculator for FE \(Fiscal Year End\) and CE \(Calendar Year End\)](#)

Approval Process for the Final Disposition Log (FDL)

- If more information is needed, the FDL will not be approved and it will require review, revision and resubmission.
 - If no errors are found, the FDL will be approved and notification will be sent.
 - Records **CANNOT** be disposed until an approval notification is given from our office.
- Note: For archival records, please wait for the FDL approval from the Institutional Records Management Office before contacting the University Archives for submission.
- When submitting the FDL...
 - Keep in mind, the approved FDL is a record copy for the Office of Institutional Records Management.
 - Handwritten submissions will not be approved
 - Must be legible; scanned FDLs must be absent of blurred content
 - Signatures must be clear and attestation box must be checked
- A detailed explanation on how to complete each field of the FDL is available on the next two slides.



Institutional Records Management Program Final Records Disposition Log



1. All lines must be completed. A drop down menu is furnished for the Component and Department Name

Employee Name
Select Component
Select Unit Name
Telephone Number
Unit Administrator Name

the disposition of records (destruction or transfer to the University Archives). Click on each field for input instructions.

Last day the FDL was updated.

Update: 11-17

2. Disposition Type must be selected from the furnished drop down menu options

Date Completed

2/14/2018

Select Disposition Type

IRMA
(IRMP Staff Use Only)

3. Tracking number for this FDL. Will be assigned once the FDL is submitted to records@unt.edu. You will get an email with this information after submitting.

| Line | Record Series Item Number | Retention Policy # | Record Series Title | Retention Period | Approx. Vol. in Cubic Feet/KB, MB, etc | Format | Method of Disposition | Dates of Records | Remarks |
|------|---------------------------|--------------------|---------------------|------------------|--|--------|-----------------------|------------------|---------|
| 1 | | | | | | | | | |
| 2 | | | | | | | | | |
| 3 | | | | | | | | | |
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| 24 | | | | | | | | | |
| 25 | | | | | | | | | |
| 26 | | | | | | | | | |
| 27 | | | | | | | | | |

4. Entries for these four columns must come verbatim from the Records Retention Schedule

6. A drop down menu is furnished in this column to select the format of the records

8. Dates of records must be listed.

5. Please use the cubic foot calculator on our website or at the bottom of this document to calculate the cubic feet of paper records. KB, MB, etc. must be furnished for electronic records. See 5a for location of calculator.

7. A drop down menu is furnished in this column to select the method of disposition for the records

9. This section is not required to be completed but can be used to make notes or list records that are being disposed or archived.

5a. Use this cubic foot calculator for the fifth column

Final Disposition Log

Cubic Ft. Calculator

Department List

Legend

Submit completed form to:

10. The RMRs signature and date must reflect in these sections

Approvals

| | | | | |
|-------------------------------|--|------|-----------|--------------------|
| Person Disposing of Documents | | Date | Signs 1st | Required Signature |
|-------------------------------|--|------|-----------|--------------------|

I certify that no litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record has been initiated or is pending for the aforementioned records. I certify that the records have reached their retention according to the current Records Retention Schedule as provided by the Records Management Program. I acknowledge this as fact to best of my knowledge by checking the box to the left and signing below.

| | | | | |
|-------------------------|--|------|-----------|--------------------|
| Unit Administrator Name | | Date | Signs 2nd | Required Signature |
|-------------------------|--|------|-----------|--------------------|

UPON DEPARTMENT HEAD SIGNATURE, DEPARTMENT SHOULD FORWARD ORIGINAL TO INSTITUTIONAL RECORDS MANAGEMENT, records@unt.edu or UNT Denton, MGVP 117

| | | | |
|---------------------|--|------|---|
| University Archives | UNT or UNT Dallas University Archivist | Date | Signs 3rd: ONLY Required if Disposition Type is "Transfer to Archives" - Otherwise, Skip. |
|---------------------|--|------|---|

INTERNAL STAFF NOTE: THE UNIVERSITY ARCHIVES WILL ONLY RETAIN A COPY IF MATERIALS TRANSFERRED TO THE ARCHIVES. ARCHIVES STAFF SHOULD FORWARD ORIGINAL TO INSTITUTIONAL RECORDS MANAGEMENT PROGRAM, MEAN GREEN VILLAGE, BUILDING P or records@unt.edu

| | | | | |
|--------------------------|---|------|-----------------|--------------------|
| Institutional Compliance | Kari Egerton, Records Compliance Officer (Institutional Compliance) | Date | Final Signature | Required Signature |
|--------------------------|---|------|-----------------|--------------------|

Comments

11. The attestation box must be checked off by the Unit Administrator before you can submit the FDL.

12. The Unit Administrators signature and date must reflect in these sections.

13. Once your FDL is approved, the IRMP office will sign and date this section.

Records Management Plan

- All business units should have a Records Management Plan (RMP) also known as an inventory of records
- The Records Management Plan (RMP) is a tool which can be used for
 - business continuity
 - succession plan for the RMR role and general records management in the unit
 - locating records quickly; and
 - ensuring that the unit is following the retention policy.
- An RMP template is available at records.unt.edu for your convenience.
- The best way to develop an RMP is to list out all records in your unit on the template. Once complete, identify the records in the RRS based on their function with in your unit.
- You are welcome to send it to Records@unt.edu for review, however please remember that the RMP should be easy to follow for someone who has never been in the unit.

Thank you for taking the refresher training.

- To receive credit for this training, you must pass the quiz with a 70% or above to receive your certificate.
- At the end of the quiz, you may leave feedback concerning the training, IRMP program, or leave suggestions for future trainings you would like to see.

