Records Management at Duke

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Goal

- Provide an introduction to the records management program at Duke University, including:
  - The role of the University Archives
  - The importance of RM to your office
  - Tools you can use to manage your records
  - How to get started with RM in your office
Learning Objectives

- Understand the role of the University Archives in managing university records
- Define university records and records management
- Learn how to identify records using a records retention guideline and transfer records to the Archives
- Identify resources for further information on records management
Duke University Archives

- Official repository for records of Duke University
- Identify, acquire, manage, and preserve university records of enduring value and make them available for use
  - Records Management Program
Duke University Archives

Records

- Duke publications
- Records of senior administrators
- Records of university departments
- Records of student organizations
- Selected alumni papers related to student experience
- Selected faculty papers
Access to the Archives

• Duke University Archives are open to research in Rubenstein Library Reading Room
  • Archives currently restricts all University administrative records for 25 years (deans, officers of the university, departments)
  • BOT records are restricted for 50 years
  • Researchers need permission from the department or BOT to view records before the restrictions end
Rubenstein Library Reading Room

1st floor, Rubenstein Library
Identifying records in office/departments
Transferring permanent records to the Archives
Creating records retention guidelines
Provides guidance on managing electronic records and developing records strategies
In-office consultations
What is a Record?

- evidence of and information about business activities and transactions, usually retained for administrative or historical value
- university records document the history and business of Duke University
Who Creates Records?

- Everyone creates records!
- When you send an email, write a report, create a newsletter, you are creating a record.
- Everyone also has the responsibility to manage records.
What is Records Management?

- governs how organizations **create, receive, store, use, access, and dispose** of records, regardless of whether records are in **paper or electronic format**
Why Should You Care About RM?

• Ensure compliance with federal and legal requirements
• Improves business efficiency through cost and time reduction
• Protects sensitive data
• Limits university risk
• Preserve the history of Duke University
Records Retention Guidelines

- Basic tool of records management
- Provide you with retention period for your records
- Based on federal regulations, national best practices, and University policies
- Online at bit.ly/DukeRM
Records Retention Guidelines: Administrative Records

- **Standing/Ad Hoc Committee, Councils, or Boards Meeting Records**
  - Agendas, minutes and appendices/attachments, bylaws, charters, correspondence, working papers, reports
  - Retain 5 years, then transfer to Archives

- **Plans & Reports**
  - Planning documents, project or program reports, activity or summary reports
  - Retain 5 years, then transfer to Archives

- **Program Development and Accreditation Records**
  - Documents establishment, planning, and review/accreditation of major department activities/projects
  - Retain 5 years, then transfer to Archives once inactive
Records Retention Guidelines: Administrative Records

- Correspondence (Routine)
  - Routine correspondence/email concerning information requests, invitations, confirmations, scheduling, etc.
  - Retain until Administrative Value Ends, then destroy

- Staff Meeting Records
  - Agendas, minutes and appendices/attachments, correspondence, etc., created for routine staff meetings
  - Retain for 3 years, then destroy
Fiscal Records are governed by [General Accounting Procedures (GAP) 200.240](#).

- **Account Reconciliations**
  - Retain 7 years after calendar year, then destroy

- **Accounts Payable Records**
  - Retain 7 years after calendar year, then destroy

- **Corporate Card Documentation**
  - Retain 7 years after calendar year, then destroy

- **Sponsored Research Financial Documents**
  - Retain 3 years after date of final expenditure report, then destroy
I Can’t Find My Record in the Guidelines!

- Contact the Records Manager
- Records Manager will let you know when your records are eligible for destruction.
- **DO NOT** destroy records without a guideline in place or approval from Records Manager.
Suspension of Records Retention Guidelines

• **DO NOT** dispose of any records or data if an investigation, legal action or proceeding, audit or program review is forthcoming or in progress.

• The records retention guideline is suspended until the issue/action/proceeding is resolved.
1. Contact Archives for Boxes

- Archives will provide you with appropriate records boxes
- We cannot accept records sent in boxes other than the ones we provide!
- Archives staff will also send you an inventory spreadsheet

2. Pack Your Boxes

- Keep the records in the order in which they were used in your office
- Do not send us:
  - Loose paper
  - Records in hanging files or binders
  - Rubber bands on folders
- Don't overstuff your boxes
Archives Records Box
Transferring Paper Records

3. Complete the Inventory Spreadsheet

- Available at bit.ly/DukeRMTransfer
- Include:
  - Folder titles
  - Dates
  - Box number
- Keep a copy of the spreadsheet for the records

4. Submit the Online Records Transfer Form

- Complete form at bit.ly/DukeRMTransfer
- Information required
  - the number of boxes
  - materials included in transfer
  - any special access restrictions
  - completed inventory spreadsheet
- Submit it to the Archives staff for review
5. Arrange for Records Transfer

- Archives will contact you to arrange transfer.
- Boxes may be transferred to either Smith Warehouse or the Library Service Center.
- Archives will work with you to coordinate transfer time.
- Once boxes are received, Archives will send you an email with accession number for your records.
University Archives does not offer storage for temporary records at this time.

- Procurement has a list of vendors with whom you can contract to store temporary records.
- Transferring permanent records to the Archives can help free up additional space in your office!
Managing Electronic Records

· Electronic records should be managed just as paper records are managed.
· Transfer permanent records to the Archives
· Destroy temporary records when eligible
· The process may be different, but the principle is the same!
Transferring Permanent Electronic Records

- Prefer archival formats
  - tiff, jpg, docx, pdf
- Will need to capture relevant metadata
- Archives staff will work with you to facilitate transfer
  - Temporary access to shared drive
  - Hard Drive/Disk
Access to Digital Records

• Digital records are processed and made available
  • Mediated access in the reading room

• Restrictions still apply to digital records!
Managing Electronic Records in Your Office

- **Shared Drives**
  - Avoid saving files on personal drives or flash drives
  - Consult with IT on where to save sensitive data

- **File Plans**
  - Create a structure
  - **DOCUMENT** your decisions

- **File Naming Conventions**
  - Ex: Presentation2-20-2018Draft
  - What works for your office?
Email is a format, not a record series!

Your email **may be a record** depending on the content.

- Require you to take an action
- Documents a business decision
  - I am offering a position to...
  - Contract negotiations

Retain emails for appropriate retention period.
Some of your emails **will NOT** be a record.

- No business or administrative value
  - Where should we meet for lunch?
  - The presentation is now scheduled in room...
  - Junk email, list-servs, etc.
  - Personal emails

Delete non-record emails after no longer administratively necessary.
Getting Started in Your Office

- Identify Your Records
- Review the Records Retention Guidelines
- Dispose of Eligible Records
- Transfer Permanent Records to the Archives
- Review Your Electronic Records
Getting Started in Your Office

- Consider Office Resources & Timing
- Set Up Regular Transfers with the Archives
- Start with “Low-Hanging” Fruit
Let’s Discuss Library Records!

- What records do you create at the Library?
- What format are the records in?
- Where are the records stored?
Questions?

• Contact the Records Management Program at 919-684-8066 or hillary.gatlin@duke.edu.
• Visit us online: University Archives