

# 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

1<sup>st</sup> floor, Rubenstein Library





# Records Management Program

- 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](https://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



# Records Retention Guidelines: Fiscal Records

- 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.



# Transferring Paper Records

## 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](https://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](https://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

# Transferring Paper Records

## 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.





## Storing Temporary 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

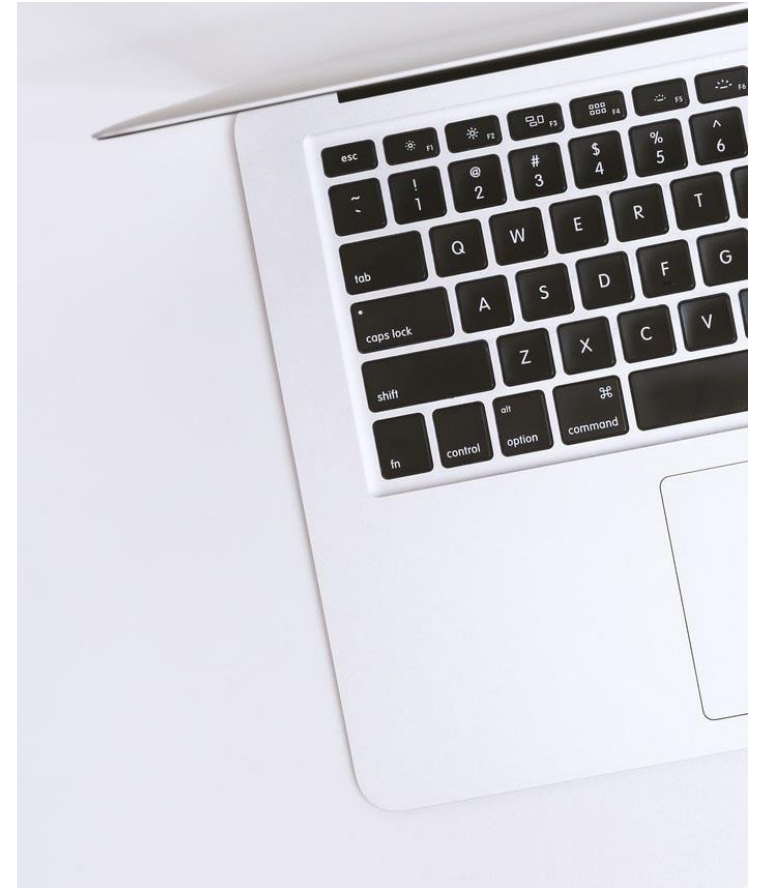
- Electronic records should be managed just as paper records are managed.
- Transfer permanent records to the Archives
- Destroy temporary records when eligible
- The process may be different, but the principle is the same!

## 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?

## Managing Your Email

- 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.

## Managing Your Email

- 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](mailto:hillary.gatlin@duke.edu).
- Visit us online: [University Archives](#)