

PROCEDURES MEMORANDUM

TO: MCC Staff

FROM: Office of the President

SUBJECT: Records Management at Metropolitan Community College

DATE: October 2, 2014

PURPOSE: To provide for consistent, systematic and documented preservation and destruction of College records.

SCOPE: This procedure applies to all employees who work with records at the College.

GENERAL PRINCIPLES:

As a local agency under the State of Nebraska, the College follows State law concerning records management practices.

Reference Material

Retention Schedules 151 and 24 are available from the Nebraska Secretary of State web site, the Metropolitan Community College Archives web site, or from the Library Services/Records Management Specialist.

The Nebraska Revised Statutes, Chapter 84, Sections 1201 through 1227, which contains legislation governing Records Management within the state of Nebraska, is available on the Nebraska Unicameral Legislature web site.

The Records Management Act, the Photographic Copies Act, the Electronic Imaging Guidelines, and the Durable Medium Written Best Practices & Procedures (Electronic Records Guidelines) are available at the Nebraska Secretary of State Records Management web site.

1. Definitions

- A. Authorization of Destruction Form - Once materials stored in the College Archives reach the end of their retention period, the Records Transfer Form transforms into the Authorization of Destruction Form. Like the Records Transfer Form, there is one Authorization of Destruction Form for each box housed in the Archives. A detailed listing of each box's contents is included on the Authorization of Destruction Form. This form is used in conjunction with the Certificate of Destruction Notice during the records' destruction process.

- B. Certificate of Destruction Notice - The official coversheet used during the destruction process to obtain authorization and track the destruction of boxed materials stored in the Archives. This form contains a list of the boxes that have reached the end of their retention period, along with a brief description of the boxes' contents, for each originating department. This form is used in conjunction with the Authorization of Destruction Form during the records' destruction process.
- C. College Archives Coordination Team – Collectively, departmental Records Contact Persons who serve as liaisons between the College Archives and their respective College areas and through whom College Archives communication flows.
- D. College Record - Any book, document, paper, photograph, microfilm, sound or video recording, magnetic storage medium, optical storage medium, or other material regardless of physical form or characteristics created or received by the College, any of its officers or employees in the transaction of public business.
- E. Electronic Record - A record created, generated, sent, communicated, received, or stored by electronic means, including, but not limited to, e-mail, e-mail attachments, electronic fax, electronic data interchange, electronic recordkeeping systems and electronic databases. Electronic messages should be handled as records. There is no single retention period for all electronic messages. Retention and disposition of electronic messages depend on the function and content of the individual message. Electronic messages should be managed by the end-user (anyone who creates or receives electronic messages). Each individual is responsible for managing electronic records that are a part of his or her electronic messaging system according to Schedule 151.
- F. Non-Record - Stocks of printed or reproduced documents that are kept for supply purposes where file copies have been retained for record purposes, including drafts, worksheets, informal notes, duplicate copies or library materials (books, periodicals, newspapers, etc.) preserved solely for reference purposes.
- G. Records Contact Person - A position within a department or work area identified as a resource person for departmental filing rules, retention questions, etc.. This person will work with the Library Services/Records Management Specialist to help monitor and maintain proper records management practices at the College. This person serves as a member of the College Archives Coordination Team.
- H. Records Disposition Report - A form required by the Nebraska Secretary of State to document the destruction of records in accordance with approved retention schedules. The Records Disposition Report is available at the back of Schedule 151 or from the Library Services/Records Management Specialist.
- I. Records Transfer Form - A form required when submitting and transferring materials to the College Archives. Each box housed in the Archives contains a Records Transfer Form, which lists department ownership information and the contents of the box. This form is later used as the Authorization of Destruction Form to secure permission from the

originating department to destroy the archived material once it has reached the end of its retention period. The Record Transfer Form is available on the College's Forms Bank or from the Library Services/Records Management Specialist.

- J. Retention Period - The length of time during which records must be kept before final disposition. The retention period for a record applies to the record regardless of the medium in which it is maintained. Different retention schedules can have different requirements on the same types of records. College departments should use the retention periods recommended in Schedule 151, as these retention periods have been examined and approved by the State Records Administration\_Division.
- K. Retention Schedule - A document that identifies the records created or received and maintained by employees in the course of College business, the retention periods, and other records disposition information that the records management program may require. The College has its own retention schedule, Schedule 151, the General Records for Local Agencies' retention schedule.
- L. Schedule 151 - The retention and disposition schedule for records at the College. The Nebraska State Records Management Division approved the College's Schedule 151 after careful examination and evaluation of all factors listed in Nebraska Revised Statutes, Section 84-1212.01, R.R.S. 1943. Furthermore, Schedule 151 has been analyzed by the State Archivist to identify all archival and historical material for which no disposition except transfer to the State Archives has been recommended. The General Records for Local Agencies' Schedule 24 was used as a guide when originally composing Schedule 151. Both schedules are subject to periodic review and revision. It is the responsibility of each department to initiate additions or corrections to Schedule 151. The Library Services/Records Management Specialist is responsible for notifying College personnel of any relevant changes in Schedule 24. When implementing this retention schedule at the College, Schedule 151 applies to all records in all storage areas of the College, including records stored within the departments, departmental basements, and the College Archives. When determining the retention period of College records, Schedule 151 takes precedence over Schedule 24 and any other State or Local retention schedule. Departments must follow Schedule 151 to ensure the College's compliance with State recommendations concerning records management practices.
- M. Storage Boxes - Specific storage cartons are used in the Archives to allow for regular spacing and to ensure that materials are stored in acid-free containers. See Section 4.A for storage box specifications. One archival box when filled equals roughly one-half (1/2) to three-quarters (3/4) of a standard four-drawer filing cabinet drawer. Additionally, one storage box holds roughly one cubic foot of material. Before purchasing storage boxes, departments are encouraged to contact the Library Services/Records Management Specialist to check on the availability of free recycled archival storage boxes. If storage boxes need to be purchased, departments are responsible for the cost of the storage boxes. Heavy-duty Bankers R-Kive® boxes are available from Office Depot or from the Library Services/Records Management Specialist. A Budget Amendment form will be submitted for storage boxes purchased with Archives' funds, transferring the cost of the storage boxes to the department.

## 2. Life Cycle of Records

- A. Active Records include those records which are created or received in the course of doing business and are usually referred to on a daily, weekly or monthly basis. They should be stored at the department level, usually for at least one year. Active records should be stored carefully, keeping FERPA and HIPAA regulations in mind. Departments are encouraged to create and implement a documented, standardized filing system. A good filing system includes the creation of file indexes for all storage containers (filing cabinets, shelving units, etc.). This allows for more efficient retrieval and transfer of records. Most files can be reviewed for retention and rotated at the end of the fiscal year, which frees up storage space for the newest records.
- B. Inactive Records include those records which are created or received in the course of doing business and are referred to on a yearly basis or less. Once the records have reached the end of their usefulness, they may be sent to another storage location, such as the College Archives or departmental storage areas, for the remainder of their retention period, as designated in Schedule 151.
- C. Dead Records include those records which were created or received in the course of doing business and have reached the end of their retention period. If the records are currently held within the department or in departmental storage areas, the department that owns the copy of record is responsible for adherence to State practices when identifying and destroying Dead Records. The Library Services/Records Management Specialist manages the destruction of Dead Records housed in the College Archives.

## 3. Procedures for Handling Records within Your Department

Review Schedule 151 to determine whether the status of the records currently held by your department is Active, Inactive, or Dead.

- A. Active Records should be retained within your department keeping FERPA and HIPAA regulations in mind.
- B. Inactive Records can be retained in departmental storage areas *or* sent to the College Archives.
  - 1) Inactive Records to be Retained in Departmental Storage Areas are managed by the originating department. When records are stored in departmental storage areas, compliance with Nebraska State recommendations concerning records management practices in maintaining the College records is the responsibility of the owning department. Records should be properly prepared for storage keeping FERPA and HIPAA regulations in mind and using the following guidelines:
    - a) Discard any blank forms, duplicate copies of documents, convenience copies of publications, etc., for which your department is not the office of record. Discard any materials with no informational value such as envelopes, routing slips, phone messages, illegible notes, etc..

- b) Remove all hanging folders, binders, rubber bands, and paper clips. Remove materials from hanging folders and binders and insert in manila or colored file folders, maintaining the original order of the records. Label folders to make file retrieval easier. Replace paper clips and rubber bands with staples or binder clips.
  - c) Place the materials in the box in order, front-to-back for letter-sized files, side-to-side for legal-sized files. Place records in the box in an upright manner, one folder behind the other, according to content, years covered, etc.. Folders should not be laid flat.
  - d) Pack the boxes loosely. Full boxes can weigh up to 50 pounds.
  - e) Records with similar retention periods and disposition requirements may be combined in the same box if doing so does not violate any FERPA/HIPAA regulations. **Do not** store materials with different retention periods in the same box.
- 2) For Inactive Records to be Retained in the College Archives, see Section 4, Procedures for Transferring Records to the College Archives. Records housed in the College Archives are managed by the Library Services/Records Management Specialist.
- C. Dead Records Stored in Departmental Storage Areas may be disposed of by College departments, however, adherence to State approved records management practices must be enforced by department personnel.
- 1) If the Department Does Not Own the Copy of Record, that is, if the copies are considered to be non-record documents, the department may dispose of the records according to FERPA/HIPAA guidelines, with no further action necessary.
  - 2) If the Department Owns the Copy of Record, the department must prepare and file a Records Disposition Report with both the Secretary of State **and** the College Archives **before** disposing of the materials using the following procedure:
    - a) Gather the materials to be destroyed and list them according to content, years covered, etc..
    - b) Electronically complete and save (using a different name) a Records Disposition Report, available at the back of Schedule 151 or from the Library Services/Records Management Specialist, using the following specifications when filling in the required information on the form:
      - (1) Agency = Metropolitan Community College
      - (2) Division = department name (i.e. Dean of Math & Natural Sciences, College Foundation, etc.)

- (3) Subdivision = may be left blank
- (4) Schedule Number(s) = Schedule 151
- (5) Total Volume Disposed = Cubic Feet. Use the estimating guide on the last page of Schedule 151 or measure the volume (length x width x height) of the stack using a measuring stick, whichever is easier. One archival box holds roughly one cubic foot of material.
- (6) Optional Information = include a list of the materials you plan to discard
- (7) Date and sign the form
- c) Make two photocopies of the completed Records Disposition Report. Keep one copy for your records and send the other copy to the College Archives, FOC Bldg. #17, Room 010.
- d) Send the original copy of the Record Disposition Report to the State Records Management Division at the address shown on the Report.
- e) Shred or recycle records as appropriate in accordance with FERPA/HIPPA guidelines. Any records that contain student or employee identification information must be destroyed by shredding.

#### 4. Procedures for Transferring Records to the College Archives

Inactive Records to be Retained in the College Archives should be properly prepared and stored using the following guidelines:

- A. Use only special regulation boxes to store records in the Archives. Heavy-duty Bankers R-Kive® 10"H x 12"W x 15"D Storage Boxes should be used for storage of archival materials. Office Depot offers Bankers R-Kive® Boxes in an assortment of colors, such as blue, black, white, red, and green, but woodgrain is not recommended. Departments may wish to color code their boxes. Recycled/used archival boxes may be available from the College's Library Services/Records Management Specialist. Keep in mind that one archival box holds approximately one-half (1/2) to three-quarters (3/4) of a standard letter-size vertical file cabinet drawer. If your records require odd-sized containers, contact the Library Services/Records Management Specialist to discuss alternative boxing and storage arrangements.
- B. Prepare and pack the materials to be archived using the procedures outlined in sub-paragraphs 3.B.1 a-e, which list the procedures for preparing records for storage.
- C. Electronically complete and save (using a different name) a Records Transfer Form for each box sent to the Archives. This form is available on the College's Forms Bank. There

are directions at the bottom of the Records Transfer Form to help you process transfers to the Archives. Note that all fields must be filled out on the form, with the exception of the Special Instructions section, in order for the materials to be processed upon receipt in the Archives. When filling out the form, remember to do the following:

- 1) Provide page number if more than one page is needed (i.e. 2 of 3, 4 of 10, etc.).
- 2) Provide the date that materials were sent to the Archives.
- 3) Provide department and departmental contact information, including campus address of the department, and the name, title, phone number, and e-mail address of the Records Contact Person (include the 7-digit campus phone number and e-mail alias, i.e. 457-2817/cwhite).
- 4) Include Special Instructions for anything that the Library Services/Records Management Specialist needs to know when handling and storing the materials properly, such as retaining materials beyond the retention period because of legal requirements, public record vs. non-public record, a list of people who can access the records without departmental consent, etc..
- 5) Determine the disposal date according to the College's records retention schedule, Schedule 151. Sometimes the disposal date is "never," which is best phrased as "Permanent" or "PERM." Examples of permanent records would include student grade sheets from Records and Enrollment or Board of Governor Meeting Minutes from the President's Office. If you need further assistance in determining or interpreting disposal dates, contact the Library Services/Records Management Specialist.
- 6) Provide the Title of Record and Dates Covered by Record, which is a listing of the box's contents, to make retrieval of the information easier. The list should be as specific as possible to allow for better indexing. Avoid abbreviations and jargon whenever possible. If acronyms must be used, spell them out initially for reference. Shorten long lists by using beginning and ending reference points (i.e. Faculty Files, Anderson-Jones, 1999-2002).

D. Prepare the box for transfer to the Archives.

- 1) Place a completed print copy of the Records Transfer Form **inside** each box on top of the materials being sent to the Archives.
- 2) Tape the box shut, using a few short strips of masking tape on the lid. Be aware, using clear packing tape or too much tape can damage the box.
- 3) Address the box to College Archives, FOC Bldg. #17, Room 010.

- 4) Submit a Work Request Form (do not contact Central Stores) to alert Facilities of your need to transfer the box(es) to the Archives. This form can be found on the College's Facilities web site. On the form, indicate how many boxes you are sending.
- E. Send an electronic copy of each Records Transfer Form to the Library Services/Records Management Specialist via e-mail. This will alert her of your shipment to the Archives.
- F. Once the materials have been cataloged into the College Archives database, you will receive an updated copy of this form by e-mail with the Box Location filled in, which will allow for easier retrieval of your archived records in the future, should the need arise. Please refer to this document when requesting records from the Archives.

## 5. Procedures for Retrieving Records from the Archives

Some records housed in the College Archives, such as timecards, payroll records, purchase orders and student records, are considered confidential and will only be made available to the originating department or to another College department with the originating department's consent. Other records are considered to be of public record and are available to departments College-wide. When requesting to view archived records, use the following procedure:

- A. Contact the Library Services/Records Management Specialist via phone or e-mail. If possible, provide the Box Location of the materials needed. If this information is not available, be prepared to give a specific description of the records you are seeking. The Library Services/Records Management Specialist will schedule a date and time to meet with you in the Archives.
- B. If specific information is sought from the Archives, photocopies of these records can be secured in the Archive.
- C. If general information is sought, upon signing a Request for Materials from the College Archives form, boxes can be temporarily removed from the Archives by the originating department. Departments may be allowed to remove materials that do not belong to their department only after the Library Services/Records Management Specialist has secured permission from the originating, owning department. The requested boxes must be identified in the Request for Materials form, including Box Location and contents. This form will accompany the requested archived materials when transported from the Archives to the requesting department. When returning records to the Archives, please ensure that all materials are back in the correct folders and enclose the original Request for Materials form to aid with its identification and storage upon its return to the College Archives.
- D. Requests by departments to remove materials from the Archives permanently must be accompanied by a signed letter. The letter should specifically identify the material to be removed, state the reason for the removal, and acknowledge that such removal was initiated by the owning department.

## 6. Procedures for the Destruction of Archived Records

The destruction of dead materials housed in the College Archives will be managed by the Library Services/Records Management Specialist. Archived materials will only be destroyed after a signed Certificate of Destruction Notice and an Authorization of Destruction Form have been secured from the owning department using the following procedures:

- A. When archived records have reached the end of their retention period, the department's Records Contact Person will receive a Certificate of Destruction Notice and an Authorization of Destruction Form (Records Transfer Form) from the Library Services/Records Management Specialist for each archived box.
- B. The owning department should review the contents listed on the Certificate of Destruction Notice and the Authorization of Destruction Form and decide whether to dispose of or continue to retain the materials in the College Archives.
- C. If the archived materials should be destroyed, the owning department should approve the destruction of the materials by signing, dating, and returning the Certificate of Destruction Notice and the Authorization of Destruction Form to the Library Services/Records Management Specialist. The owning department, in turn, will receive a signed Certificate of Destruction Notice from the Library Services/Records Management Specialist after the destruction process has been completed. The copy of record for this Certificate will be held at the Archives.
- D. If the archived material is involved in an audit, legal proceeding or ongoing administrative action, the owning department should retain the material in the Archives. The owning department should return the Certificate of Destruction Notice and the Authorization of Destruction Form unsigned with an explanation and a new extended date of disposition.

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