

RECORDS RETENTION AND MANAGEMENT

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RECORDS RETENTION

Records Retention

Not necessarily this, but it could be



What Is a Record?

- Recorded information in any form
- Created in the transaction of business
- Kept as evidence of an activity



Records Retention Schedule

- Instructions for what to do from creation
 - active and inactive use
 - destruction or retirement
- Provides minimum period of time that a specific type of record must be preserved

Retention Period

- How long records must be kept before archived or destroyed
 - Legitimate business purpose
 - Not always 7 years
- Legal Implications
 - Open Records Act
 - Litigation



- public record status
- created or received by a state officer or state employee, while conducting state business and serving state government in an official capacity
- must be maintained the entire retention period

Office of Record

- Responsible for maintaining the official record copy of a document in support of state business
- Not a duplicate
- list and website coming soon!!

Good to Know. . .

- **Transitory Correspondence**
 - Routine correspondence, short-term records value
 - destroyed after the action covered by this correspondence is completed
- **Working Copies/files (Reference Only Copies):**
 - short-term or transitory use and used as reference-only
 - rough notes, calculations, or drafts used to prepare or analyze other documents.
 - no administrative, operational, financial, legal or historic value.

Georgia Tech Records Retention Policy

- Currently in draft form
- Board of Regents retention schedule
(https://www.usg.edu/records_management/schedules/)
- Outlines procedures for retention, disposal and archiving
- Records Management Coordinator
 - All Offices of Record are required to designate one

RECORDS MANAGEMENT

Library Records Center



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Records Management :: GT Arc X

www.library.gatech.edu/archives/records_mgmt.php

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RECORDS MANAGEMENT

- Records Center
- Transferring Records
- Accessing Records
- Retention Requirements
- Secure Destruction
- Vital Records
- Electronic Records
- Related Resources

RECORDS MANAGEMENT

The Georgia Tech Records Center provides long-term secure storage for campus business and academic records whose retention is required to meet legal and/or fiscal guidelines.

Storing your old, inactive records in the Records Center is a cost-effective means of complying with retention requirements. By systematically organizing your inactive records for transfer to the Records Center, you can free up valuable office and filing space. You can also be confident that records will be securely destroyed once they have met their retention requirements.

Storage and retrieval services are free of charge to participating campus departments.

Archives and Records Management staff can advise you in organizing your records for transfer to the Records Center.

What is records management?

Records management involves the systematic control and organization of an institution's records. A records management program is intended to insure that an institution's records are created, maintained, and ultimately disposed of in a manner that meets legal and fiscal requirements.

Why implement a records management program?

- Promote efficiency in the management of the Institute's information assets and safeguard this vital information
- Minimize risks associated with litigation
- Ensure compliance with regulatory guidelines

Retention Requirements:

- [BOR Retention Guidelines](#)

Transfer & Access Records:

- [Transfer Records Request](#)
- [Records Retrieval Form](#)

PDF Forms:

- [Box Label](#)
- [Records Coordinator Form](#)

More Info...

- [Records Decision Tree](#)
- [Records Management Overview Handout](#)
- [Get Boxes](#)

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Archives & Records Management :: Georgia Tech Library :: Atlanta, GA 30332-0900 :: phone: (404) 894-4586

Record Transfer Form :: GT Arc

www.library.gatech.edu/archives/records_transfer_form.php

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RECORD TRANSFER REQUEST

1 *required fields

*Office of Origin:

*Records Coordinator:

*Phone:

*GT Email:

*Campus building & room number:

2

*Record Type or Series:

If requesting the transfer of multiple sets of records, please submit a request for each individually. For example, submit a transfer request for different record types like accounts payable records, p-card administration records, personnel records, etc.

*Board of Regents retention code:

Please consult the [BOR records](#) retention guidelines or records management staff to determine the retention classification.

*Number of boxes in this set:

*Inclusive dates of records: Beginning Date: Ending Date:

*Filing order of records:

If "other," please specify in the Notes/Special instructions section.

*Has this type of record been sent before? yes no don't know

*Are these records due for immediate destruction? yes no don't know

Notes/Special instructions:

Submit Request

Georgia Institute of Technology
Archives & Records Management

Accession Number: 2014.242

Location: Back Wall

Request for Destruction

Office of origin	Archives & Records Management
Record	Destruction Records (ongoing)
BOR Retention #	F-12
Boxes	5
Destruction date	00/00/0000
Inclusive dates of records	01/01/1980 12/31/1999

Extend Retention Period:

Specify reason for extension: _____

New destruction date: _____

Authorization:

I hereby authorize the destruction of these records :

- All audits have been completed;
- No litigation is pending or anticipated;
- I certify that the records are covered by the retention guideline cited above.

Signature: *Nic Fan* Date: 2/24/18

Print name: Nic Fan Title: _____

Certification of Destruction

The undersigned hereby certifies that the documents specified above have been destroyed on this date.

Signature *Nic* Date 3/2/2018

Records Coordinator, Georgia Institute of Technology



SECURE STORAGE & DISPOSAL OF ELECTRONIC RECORDS

Where can I store electronic records?

- Locally (on your computer) and on unit file shares.
- Cloud service providers need to adhere to the Georgia Tech Data Security Safeguards.
- These safeguards include contractual provisions to protect Georgia Tech data.

Cloud Storage

- Georgia Tech has agreements in place with:
 - Microsoft (Office 365)
 - Dropbox
 - CrashPlan
 - Canvas
- Georgia Tech does not have agreements in place with other service providers (including Google).

Data Categories

- <https://security.gatech.edu/DataCategorization>
- Cat 1 Public Use: This information is targeted for general public use. Examples include Internet website contents for general viewing and press releases.
- Cat 2 Internal Use: Information not generally available to parties outside the Georgia Tech community, such as directory listings, minutes from non-confidential meetings, and internal (Intranet) websites. Public disclosure of this information would cause minimal trouble or embarrassment to the Institute. This category should be the default data classification category.
- Cat 3 Sensitive: This information is considered private and should be guarded from disclosure; disclosure of this information may contribute to financial fraud and/or violate State and/or Federal law.
- Cat 4 Highly Sensitive: Data which needs to be protected with the highest levels of security, as prescribed in contractual and/or legal specifications.

Other storage concerns

- Email is not the best place to store records.
- Using links to records within email is a better practice.
- Email (and records therein) may end up in unexpected places such as your smartphone.
- Also, you may send email to accidental recipients.

Secure disposal

- Both electronic and paper records should be securely disposed of when no longer needed.
- Cross cut shredding is best practice for the destroying paper records.
- Use a cross cut shredder or shredding service.

Secure disposal

- Electronic records are not destroyed when they are “deleted.”
- Utilize secure disposal tools to securely destroy records.

Secure disposal

- Work with your IT support professional to develop a strategy for secure disposal of your records.

Questions?

