Is a Record a Record?

Understanding what a record is and its place in records management

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- When we think of a **<u>Record</u>** we most often think of this:

- While this is indeed a record, this presentation will focus on what makes a record a record
- By the end of this presentation you should have an understanding of:
  - What a record is
  - The difference between a record and a non-record
  - What records management is
  - What a retention schedule is
- You should also be able to answer the question "Is a record a record?"

What is a Record?

- A **record** is a document or any other material, regardless of physical form or characteristic, generated or received under law or in connection with the transaction of official business, or preserved by an agency or political subdivision because of other informational or legal value

- Any recorded information, in **any format** that allows an office to conduct business

- **This includes EMAILS!**

Rule of Thumb!

- Anything that you or your department produce or receive on the behalf of Louisiana Tech in the course of your job duties can be considered a record

- If you should have questions about a record, please contact the Records Officer at recordsofficer@latech.edu

Is this a Record?
Apply the "3 Step Test"!

- Is this material related to my job duties?
- Am I, on Louisiana Tech's behalf, the creator or recipient of the material?
- Is this the official version of the record?
  - The original copy

- If **YES** to any of these three then the material is a record and needs to be scheduled in your retention schedule

Examples of Records

- Official Minutes of a meeting
- Telephone message log/pad
- E-mail from another department discussing a project
- Personnel files
- Timesheets
- Work-related correspondence
- Policies and procedures
- Financial records
- Software contracts and subscriptions
- Grant materials

Non-Records

- Library and museum material developed or acquired and reserved solely for reference or exhibition purposes, extra copies maintained for convenience in reference or stocks of standard publications or processed documents
- In other words, newspapers, library books, museum collections, copies of records, blank forms (after the first one)
- Personal, non-job related materials

Examples of Non-Records

- Publications, newspapers, magazines, books, articles (if they are not products of your department)
- Personal/non-work emails
- Spam
- Campus-wide emails (if you or your department are not the creator)
- Copies of materials (if you or your department are not the creator)
- Promotional materials (if you or your department are not the creator)
- Personal drafts, notes, correspondence

Records vs. Non-Records: Examples

- E-mail from colleague discussing possible changes to a policy **RECORD!**

- Your copy of the University Budget **MAYBE**
  - If it is the original copy it is a record, if it is a duplicate copy distributed from the University it is not a record

- Articles from the Ruston Leader about your agency from 2005 **NOT A RECORD!**

- Official Minutes of an IPC Meeting **RECORD!**

- Personal copy of IPC Meeting Minutes **NOT A RECORD!**

- Email from spouse asking you to pick up the kids **NOT A RECORD!**

- Your Desk calendar **RECORD!**

What is Records Management?

- The systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition

Source:

http://www.archivists.org/glossary/term_details.asp?DefinitionKey=200)

Why is it Important?

- It is the LAW!
  - LA R.S. Title 44
    - LA R.S. 44:411
      - State agencies are required to:
        - Develop and submit a Retention Schedule to the State Archives
        - Get approval from State Archives prior to the disposal of agency records
        - Designate a records officer to act as liaison between the division and the agency on all matters relating to records management
  - FERPA (Family Educational Rights and Privacy Act)
  - FOIA (Freedom of Information Act)

Is It Just Us?

- These rules apply to "any state, parish, and municipal office, department, division, board, bureau, commission, authority, or other separate unit of state, parish or municipal government created or established by the constitution, law, resolution, proclamation, or ordinance". (LA R.S. 44. 402)
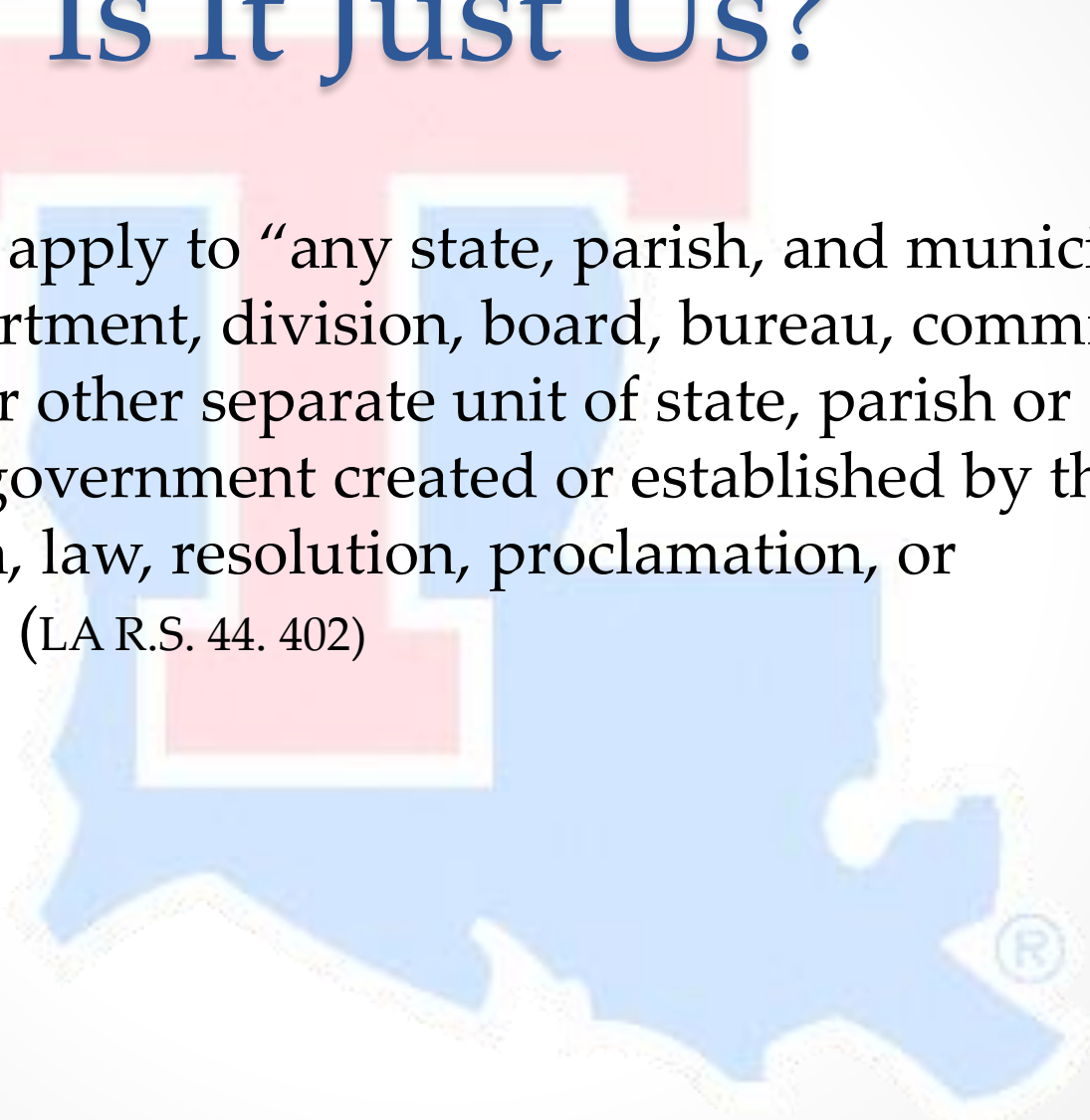
Why is it Important? cont.

- It is included our University's Policies and Procedures
  - http://www.latech.edu/administration/policies-and-procedures/1306.php

- All employees are required to follow University Policies and Procedures as a condition of their continuing employment. Therefore, if an employee does not comply with the rules and regulations set forth in policy 1305, the University has the right (and duty) to take action and may chose non-disciplinary or disciplinary action against the errant employee, depending on the seriousness of the infraction

Apart from the Law?

- Good records management saves time and money
    - Records can be found quicker if requested
    - Saves physical space by destroying unnecessary records
    - Reduces the risk of record misplacement
- It protects Tech in case of audit or investigation
    - Gives us legal cover if investigators seek destroyed records
    - Gives us evidence on hand for our own legal defense
    - It protects **YOU** and **YOUR DEPARTMENT**

- It allows **YOU** to preserve the history of the University and your place in that history!

How to Practice Good Records Management

- Know who your University Records Officer is
  - Nolan Eller, University Archivist/University Records Officer
  - recordsofficer@latech.edu or ellern@latech.edu
  - 257-2287 or 257-2935
- Be willing to learn more about your organization and do not be afraid to ask if you have questions regarding a record or record series
- Create and maintain a Records Retention Schedule
  - SSARC 932 form found on the SCMA website

What is a Retention Schedule?

- As defined by state law, a retention and disposition schedule is defined to mean "a set of disposition instructions prescribing how long, in what location, under what conditions, and in what form records series shall be kept". (LA R.S. 44:402)

- The Retention Schedule SSARC 932 form can be found on the SCMA website under Records Management

- Further information on Retention Schedules will be addressed in the second presentation "We Have Records, Now What?"

Why do we need a Retention Schedule?

- It is the **LAW**
- By law state agencies are required to have an approved Records Management Plan
- This plan must be reapproved **every 5 years**
- **Each year** your office/department should examine your schedule to determine if new records need to be added, or if records need to be removed. If changes need to be made you will need to amend your retention schedule
- The plan must go through and be approved by the University Records Officer, The Secretary of States Office, and the Louisiana State Archives-Records Services Office

Why is a Retention Schedule Important?

- Acts as the backbone for an agency's recorded information

- Ensures records can be located

- Ensures conformity with federal and state laws

- Provides consistency in maintenance of an agency's records

- Ensures records vital to the agency are identified and protected

So, is a Record a Record?

- ## What do you think?
  - Try the 3 Step Test!

- ## The answer to this question **MAYBE**
  - Records are media neutral, so a vinyl record can be considered a record in certain circumstances
  - If it is the product of you or your department in the course of your job duties then it would be considered a record
  - If it is not the original copy then it is not a record
  - If it is the Beatles' "Abbey Road" then it is not a record

For Further Information

- Visit the [Records Management](#) page on the SCMA website for links to further resources, sample forms, and past Retention Schedules

- Look at Policy 1306 http://www.latech.edu/administration/policies-and-procedures/1306.php

- If you should have further questions or would like to inquire further, please contact the University Records Officer at recordsofficer@latech.edu or call 257-2287 or 257-2935

Sources for this Presentation

Louisiana Secretary of State's Office

http://www.sos.la.gov/HistoricalResources/ManagingRecords/Pages/default.aspx

Louisiana State Records Management Handbook

http://www.sos.la.gov/HistoricalResources/PublishedDocuments/RecordMgmtHandbook.pdf

University of Louisiana Monroe Archives

http://www.ulm.edu/library/archives/records.html

Glossary of Archival and Records Terminology, 2005

https://www2.archivists.org/glossary

National Archives and Records Administration

https://www.archives.gov/records-mgmt

University of Wisconsin-Milwaukee Archives

http://uwm.edu/libraries/archives/uwm-records-management/