MONTGOMERY COLLEGE
RECORDS MANAGEMENT

Central Services – Office of Information Technology
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PROCEDURES FOR RECORDS MANAGEMENT

The Records Management Office only processes Montgomery College **business records covered by the College's Records Management Retention Schedule.** If you have any materials that may be of historical significance and considered permanent, please contact the Montgomery College Rockville Library, Special Collections. If you have questions regarding student records, please contact Admissions and Records.

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Records Retention Schedule

The College uses a Records Retention Schedule to identity the official College records, define how long records must be retained, and specify the destroy date or permanent status. The retention schedule

includes all records regardless of medium or format; that is, it includes both *paper* and *electronic* records.

The Records Retention Schedule lists the *'record series'* for which a unit is responsible as the *'office of record'*. The *'office of record'* is the office designated to maintain the official record for the College because this unit creates or receives the original of the record in carrying out its responsibilities. A *'record series'* is a group of similar documents that are related as the result of being created, received, or used in the same activity or the same function. All records in the series have the same retention period. Examples of record series include personnel files, student files, contracts, business correspondence, or financial statements.

The College Records Retention Schedule:

- Defines requirements for maintaining records for purposes of legal actions or defense, administrative and historical needs, education records for students, personnel records for employees and records required for compliance related matters.
- Assists with College compliance to the *Public Information Act* of the state of Maryland, which states that all persons are entitled access to college documents containing information related to the affairs of the College and the official acts of those individuals who act as its trustees and employees.
- Authorizes that after college records have fulfilled their business purpose and are no longer useful, they can be systematically disposed in accordance with the records retention schedule and procedures.

Maintenance of the Records Retention Schedule

It is important that the College maintain the accuracy and currency of the Records Retention Schedule. Therefore, units are to routinely review and revise their portion of the Schedule.

Events that are likely to require an update to the Records Retention Schedule are:
- Reorganization of a College area or unit
- Creation of a new unit
- Abolishment of a unit or combination with another unit
- Modification in record keeping due to new laws, regulations, or way of doing business

Please contact the Records Management office when any changes occur that will affect a unit's Records Schedule. We will help you make the appropriate revisions and will post the revised schedule on the College's Records Management web page.

Shared Responsibility for Records Management

Each office, department, administrator, staff and faculty person has an important role to play in protecting the College by creating, using, retrieving and disposing of records in accordance with the

established policy, procedures, and retention schedule. Each unit is responsible for the management of the college records for which they are the official owner. Responsibilities include:

- Knowing the policies, laws and regulations to which the unit must comply in regards to records
- Creating and maintaining a current inventory of official records handled by the unit that lists location of each record series
- Keeping the unit's portion of the College Records Retention Schedule up-to-date
- Implementing effective, efficient records management practices within the unit and ensuring that all employees understand these practices
- Appointing a records management point of contact for the unit who is knowledgeable about the unit's records and who will serve as the point of contact with the Records Management office
- Properly documenting records destroyed in-house by the unit and filing the proper certifications of destruction with the Records Management office.

Lifecycle and Destruction of Records

The lifecycle of any record consists of creation, classification, maintenance, and disposition. During the course of the College business, records are created and/or received by units and are classified according to a logical system that consists of labeling, filing, and storage for ease of retrieval. Initially the records are actively used and maintained for ease of frequent access. Over time a record's usefulness declines, yet aged, inactive records may be maintained for a specified length of time as required for legal, administrative, financial, or policy reasons. When the aged records are no longer required, they are systematically disposed. Disposal may be destruction or may be transfer for historical reasons to permanent storage.

Destruction of Records – Electronic and/or Paper

The Montgomery College Records Retention Schedule defines how long each record series (i.e., category of records) is to be retained for administrative, legal, and fiscal purposes.   All records, regardless of format, are to be assigned a destroy date, and routinely destroyed once that date has past.

For any official, public records that you maintain in the unit, complete the **Certificate of In-Office Records Destruction** form when the records are destroyed per the College Records Retention Schedule. *This applies to both paper and electronic records.* Send the signed original Certificate of In-Office Records Destruction to Records Management and keep a copy in the unit. NOTE: For confidential records, use a destruction method that renders the records unreadable.

For paper records that are stored offsite, the Records Management office will routinely generate a list of records that are ready to be destroyed for each college unit based on the destroy date assigned to the carton. A unit-specific list will be emailed to each unit administrator/dean for review and verification of the list accuracy. The unit has a 30-day period from the date of the email notification to verify the list and inform Records Management if a carton is *not* to be destroyed. If Records Management does not receive a communication within the 30-day review period, the records are automatically destroyed.

Appointment of Records Management Contact Person

The Administrator or Dean of each College unit will appoint a Records Management
Point of Contact person (POC) to serve as the official representative and point of contact for Records Management responsibilities of the unit. The point of contact appointment will be confirmed annually. The Records Management Contact Person's responsibilities include:

- Adhering to the Records Retention Schedule for official records (electronic and paper)
- Coordination of the transfer and destruction of paper records
- Maintenance of an index or detailed listing of paper records stored in the offsite facility
- Maintenance of an index of electronic records stored by the unit.

Use the **Appointment of the Records Management Contact Person** form to designate the appointed staff person for your office. Update his form annually, or upon appointment of a new Records Management Contact Person, whichever occurs first.
The form can be located at http://cms.montgomerycollege.edu/recordsmgmt/.

Managing Paper Records

Paper records can take up valuable office space. As a result, the College offers units the ability to store paper records at an offsite records storage facility. Please refer to the _Records Management Retention Schedule_ to determine the type of paper records that are eligible for offsite storage. Because the College incurs a storage fee for each record carton, it is important to adhere to the Retention Schedule and not include unstipulated materials.

Use good judgment and common sense in deciding what to send to offsite records storage. Weed the files of multiple copies, voluminous items of minor importance, and any item not designated as official records on the Retention Schedule. Specifically, do not include:

- Magazines, books or other publications (not generated by the College office)
- Unused supplies such as paper tablets, reams of paper, multiple copies of a pamphlet, etc.
- General announcements that go out to the College community unless originated by your office
- Any materials not directly related to the business operation of your office/unit
- Hanging file folders (place contents in appropriately labeled file folders prior to storage)
- Binders (place contents in appropriately labeled file folders prior to storage)

1. Preparation of Paper Records for Storage

Guidelines for preparation of business records for storage follow in steps 1.a through 1.e. If you have any questions throughout this process, do not hesitate to contact the Records Management office at records.management@montgomerycollege.edu.

1.a) Use only official records retention cartons for offsite records storage

The offsite facility responsible for storing the College's business records furnishes storage cartons that are to be used for **storing business records only.** Store unused cartons should for future offsite records storage needs or return cartons to the Records Management office.
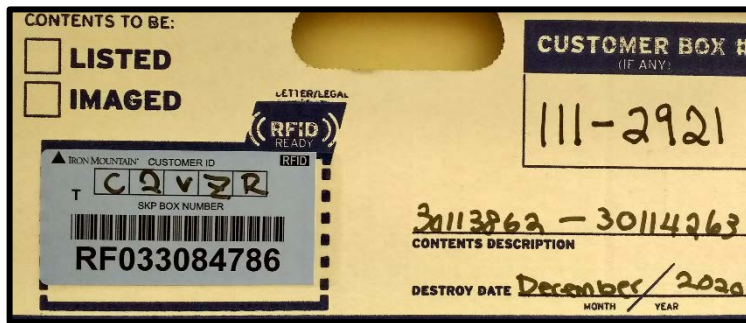
To order empty cartons, complete the *Request for Empty Cartons* form on the web page and email it to records@montgomerycollege.edu.

1.b) Organize records in a carton to make them readily accessible

- Fill cartons no more than ¾ full
  - o An over-filled carton may cause the bottom of the carton to open and scatter the records; and an over-filled carton is more likely to break down over time. This may result in potential loss of records.
  - o It is better to pack a carton a bit light than it is to over-fill it.
- Order the materials by category or sequence so that materials can be easily located if a carton is retrieved from storage. Organize by:
  - types of materials or function, or
  - alphabetical or numerical order, or
  - fiscal year, calendar year, month or semester (whichever is appropriate)

1.c) Label the outside of the carton

Print in black marker the following information in the appropriate spaces on the outside of the carton. The photo below displays a properly labeled carton.

RFID Blue Label – Customer ID	Enter *C2VZR*
Customer Box #	Enter the your office's record group number (RGN) and a *sequential* number assigned to the carton in the format: *Three Digit Record Group # – Sequential Box #* Example: If the Record Group Number is 102 and the next box number is 3455, the Customer Box # equals *102-3455*. The next sequential box number is *102-3456*.
Contents Description	*Optional -* Enter brief description of the carton contents, such as the type of records and/or the date range covered by the records.

Destroy Date	All cartons must have a destruction date or indicate **PERM.** Enter the date (in MM/YYYY format) upon which the records retention period has expired; the records will be destroyed once this date has past. Example: If the latest dated record in the carton is dated 6/25/2009 and the total retention period is 4 years, the destroy date is equal to 7/2013. For records designated as Permanent in the Records Retention Schedule, enter **PERM** in this area.

1.d) Complete the Carton Content Sheet:

Complete a content sheet for each carton. The **Carton Content Sheet** can be located at
http://cms.montgomerycollege.edu/recordsmgmt/.

The contents sheet must contain the following information:
- Name and location of the office sending the carton
- Name of contact person (a permanent employee of the College who has the responsibility of preparing the paper records for offsite storage) and a contact phone number.
- The Customer Box Number (i.e., record group number – sequential number) assigned to that specific carton
- A detailed list of all files/records in the carton, including the date ranges of the records
- Destroy Date – enter the date that the materials are to be destroyed or enter 'PERM' if the records are to be retained permanently. Refer to the College's *Records Management Retention Schedule* to determine the Retention Date.
- Record Series Title – the title of the category of records as listed on the College's *Records Management Retention Schedule*.

RFID Tag Number:

As shown in the picture below, the blue RFID Tag has a small white tag on the right hand side. Remove this white tag and attach it in the upper right hand corner of the Content Sheet.

Distribute the content sheet:
- Make a copy of the content sheet and insert the copy into the carton.
- Scan and email the set of carton content sheets to the Records Management office for processing.
- Keep one copy of the contents sheet with your office log of records in storage. (See item d below.)

Important: Complete the content sheet description in enough detail so that you can locate the records if you wish to retrieve a carton from storage, and to determine whether or not to approve destruction once the record destroy date has past.

1.e) Keep track of the location of records in offsite storage

The tracking of your unit's records is the responsibility of your unit. It is a good idea to note where business records listed on the Records Retention Schedule are stored within your unit and to track paper records sent to offsite storage. Therefore, for paper records sent to storage, follow tracking procedures to maintain a log listing the Customer Box Number and the content description in enough detail so that you are able to:
- retrieve a carton from storage at a later date
- approve a carton for destruction based on the destroy date
- Keep track of the sequential numbers assigned to cartons so that you do not duplicate numbers.

2. Transferring Cartons to Offsite Storage.

Request a pickup of cartons ready to be transferred to offsite storage by completing and emailing the **Carton Pick Up & Transfer** form with the set of completed Content Sheets to records.management@montgomerycollege.edu.

Complete the top section of the **Carton Pick Up & Transfer** form with:
- Your name
- Phone extension
- Campus and <u>complete address</u> of the office location (including room number)
- Date of request
- Number of cartons to be transferred

The Records Management office will make arrangements for the pickup of the cartons by the offsite storage vendor. You will be notified by email once your request has been processed.

3. Retrieval of Cartons and/or Files from Storage

To retrieve a carton or a file from storage, use the **Carton/File Retrieval Request** form (at http://cms.montgomerycollege.edu/recordsmgmt/), and send it via email to records.management@montgomerycollege.edu. You must complete the following information:

- Name and extension number for the person requesting the carton or file

- Campus and <u>complete address</u> of the requesting office location (including room number)
- Date of the request
- Customer Box Number for cartons, and if appropriate the File Label Information for requested files Note: *Do NOT use Social Security Numbers on the form*

The Records Management office will request the carton/file(s) from the offsite storage facility and the carton/files(s) will be delivered directly to the requestor's office.