**Compliance Chats Podcast**

Topic: Records and Information Management

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| **Podcast Title:** | To Shred, or Not to Shred… That is the Question! |  | **Podcast Date:** | 12/21/2016 |
| **Host:** | Omar Andujar |  | **Guest Speaker(s):** | Laurie Neal |
| **Purpose** | In this interview with Laurie, listeners will learn about Records and Information Management and how to properly dispose of University records. | | | |
| **About Guest Speaker** | Laurie Neal is a Compliance and Records Management Specialist in the Office of Audit, Compliance and Ethics at UConn, supporting the Storrs and Regional Campuses. She is a member of the Association of Records Managers and Administrators and recently became a Certified Records Analyst. Laurie holds a B.A. in Psychology from the University of Connecticut. | | | |

**Transcript of Interview**

**Quick Intro:**

**Omar:** Hello everyone and welcome to today’s podcast. My name is Omar Andujar and you are listening to Compliance Chats- a new podcast series intended to keep Faculty and Staff up to date on various compliance matters.

Today, I’m joined by Laurie Neal. Laurie is a Compliance and Records Management Specialist in the Office of Audit, Compliance and Ethics. Today’s topic is related to Records and Information Management and how to properly dispose of University records.

**Interview Questions:**

**Omar:** It seems like Records and Information Management is a topic that every organization, regardless of industry, has or should address. Before moving any further, let’s start by answering the question what is a record and what do you mean by information?

**Laurie:** Records, regardless of format, document a business transaction or event, or record some sort of institutional knowledge. Information generally refers to valuable data within an organization---data that is pulled together in a meaningful format. You can imagine at a University, we have lots of records, data and information! Think about it for a minute. With student records alone you have applications, transcripts, internship files, career assistance records, privacy waivers, disciplinary documentation and the list goes on and on. Employee records to name a few- well let’s see we have retirement, travel reimbursements, conflict of interest disclosures, medical leave, and background checks. Also integral to our mission at the University we conduct research and engage with the community, which further diversifies the types of records we create and maintain. These examples are just scratching the surface of what we create and maintain. Records come in all different shapes, sizes, and formats and we find them everywhere. Chances are you have records in your office.

**Omar:** What is records and information management and how does it impact employees?

**Laurie:** With all of this information, we really need Records and Information Management to stay organized.

According to the Association of Records Managers and Administrators, Records and Information Management, or in short “RIM,” is responsible for establishing and implementing policies, systems, and procedures to capture, create, access, distribute, use, store, secure, retrieve and ensure disposition of an organization’s records and information. It’s really addressing how to manage the full record lifecycle. As a public University in Connecticut, we are required to follow the state’s records management policies and procedures. All faculty and staff must be aware of these requirements and implement accordingly. For example, the state’s record disposition policy prescribes a process for how long we are required to keep University records and a process for requesting permission to destroy records when the retention requirements are met.

**OMAR:** About this records disposition policy…. How long are employees required to keep University records?

**Laurie:** It depends on the type of records. Each record has a different associated minimum retention requirement. Employees should visit our RIM website at rim.uconn.edu and review the state’s record retention schedules to determine how long he/she is required to keep a particular type of record. Once the associated minimum retention period is met, an employee must complete FORM RC-108, also available on our website, and submit it to Betsy Pittman over at the Dodd Center. Betsy is the Records Management Liaison Officer and this form is used to request permission to destroy records that have fulfilled the minimum retention requirements. It is your way of saying, I followed the rules, and now let me get rid of this box of ancient files! Betsy will take a look at that form, make sure everything looks good and send off for additional signatures. It is not until you receive the necessary approvals on that form that you can actually move forward with destroying records. One very important side note is that if you receive a litigation hold or notice of an audit or a Freedom of Information request, you may not destroy the relevant records even if you have received permission to do so. If someone is having trouble determining the appropriate retention or needs help completing the form, he or she should contact myself or Betsy for guidance.

**Omar:** You mentioned a lot of good information here, such as the states record retention schedules and FORM RC-108. Can you once again share with our listeners where they can learn more about this topic and your office?

**Laurie:** I recommend visiting RIM.UConn.Edu for guidance specific to Records and Information Management. You may also reach out to myself or Betsy Pittman directly. You will find our contact information on the website. For other Compliance matters, visit Audit.UConn.edu.

**Omar:** What do you like most about your job as it relates to Records and Information Management?

**Laurie:** I am always surprised how many hats this University wears. I am lucky to be in a position where any office can come to me with a records question. It teaches me a lot about how the University functions and I get to meet many wonderful people along the way. I am always amazed at all the good and vast work being done across UConn.

**Omar:** Well said Laurie. Thanks again for taking the time to chat with us and providing us with the tangible examples you shared and the key reminders on records and information management. Also, a special thanks to our listeners tuning in. We hope that this segment was helpful and we encourage you to reach out to us should you need any additional information. As a reminder, Compliance Chats was brought to you by the Office of Audit, Compliance & Ethics. I’ve been your host Omar Andujar and please be well and look for additional Compliance Chats in the coming weeks. Thank you.

**Resources mentioned by today’s speaker:**

Record Retention Records – http://rim.uconn.edu/record-retention-schedules/

Record Destruction Authorization Procedure – http://rim.uconn.edu/destruction-authorization/

Form RC-108 – http://rim.uconn.edu/wp-content/uploads/sites/522/2014/04/RC-108-Destruction-Form.doc

**References:**

Association of Records Managers and Administrators (ARMA) International. *Glossary of Records and Information Management Terms,* 4th ed. Lenexa, KS: ARMA International, 2012.

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