

Records Management and Retention (RMR) for New Mexico State University

September 2011

Senior VP for Administration and Finance

FSA-RMR Office

RMR Information Session Agenda

1. Overview
2. Records Definition
3. Responsibilities and Basic RMR Requirements
4. Disposition and Destruction Requirements
5. FSA-RMR Office Services
6. Web Site <http://RMR.nmsu.edu>

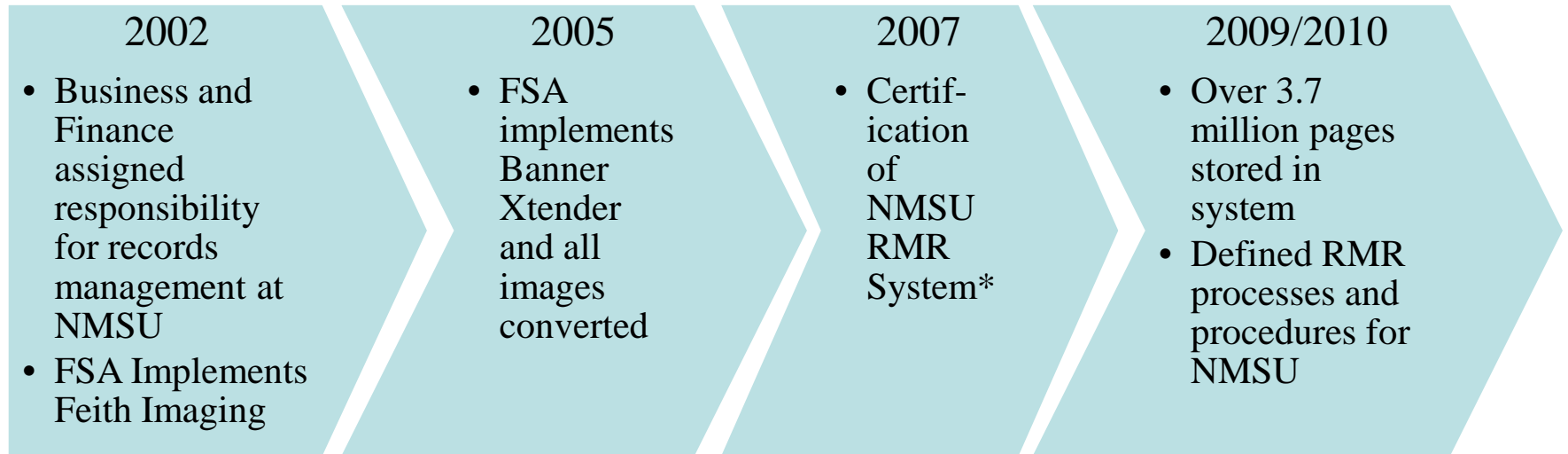
What is Records Management and Retention (RMR)?

- Records Management is the systematic control of records throughout their life cycle, including their disposition.
- Retention means the period of time records must be maintained by an organization because they are needed for operational, legal, fiscal, historical, or other purposes.

Why do we need RMR at NMSU?

- The New Mexico state laws changed.
 - Record Liaison is required.
 - Prior permission from the NMSRCA is required to be able to destroy NMSU records.
 - Cannot shred confidential records.
- Provide Disposition & Destruction guidelines and assistance to NMSU departments.
- Protect critical business data and reduce liability.
- Ensure NMSU is moving towards compliance.

RMR Milestones



* This certification allows NMSU to destroy documents as they are added to the Banner BDMS system, following the RMR process.

Storage Facts

- According to Document Management experts, we spend **5-15% of our time reading info**, but up to **50% looking for the hard copy**
- According to the Association of Information Professionals:
 - It takes about **20,000 pages** to fill a four drawer file cabinet.
 - Costs **\$25,000.00** to fill a file cabinet
 - Costs **\$2,000.00** per year to maintain.

What is 4.6 million pages in cost savings?

Storing 4,636,509 pages would take about 232 filing cabinets
($4,636,509/20,000 = 231.83$)

Filing cabinets (232 x \$215.00) \$ 49,880.00

Filling the file cabinets. (232 x \$25,000.00) \$5,800,000.00

Maintaining the filled file cabinets
for one year (232 x \$2,000.00) \$ 464,000.00

Total Potential Dollars Saved \$6,313,880.00*

* Based on statistics from the Association of Information Professionals.

RMR and Sustainability

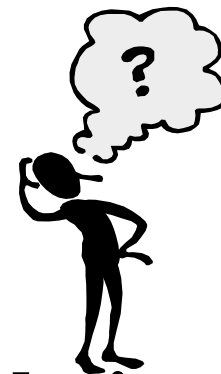
- **1 tree makes 16.67 reams** of copy paper or 8,333 sheets
- 4,636,509 pages equals approximately **556 trees**.
- 4,636,509 pages times 5¢ = **\$231,825.45** in savings.
- A **single mature tree** can release enough oxygen back into the atmosphere to support **2 human beings**



2010 – Year of Training and “Enlightenment”

- Educate University on importance of handling and protecting records (explain methodology for control of university records and provide tools); refer to Archives and Special Collections department with any items that may have archival value.
- Work towards compliance with State and Federal Records Retention and Disposition Regulations
 - Disposing of records as required by the New Mexico Administrative Codes (NMAC)
- Ultimate goal is to protect critical business data and reduce liability

What is a Record?



- Business information or knowledge preserved in **any medium** by **any technique**. (NMAC 1.13.30) Is it a record?
- Records have a life cycle governed by a retention schedule.
- Non-records are information that, if lost, present no risk to our daily business. **Non-records do not have a retention requirement.**

Confidential Record?

- “Information provided to, created by or maintained by a government agency and that is exempt from release under state or federal laws, because disclosure would cause substantial harm or constitute an invasion of privacy or is otherwise prohibited by law.”

NMAC 1.13.30.7

Confidential Record (cont.)

- Personal identification information * – name, social security number, military identification number, home address, telephone number, email address, fingerprint, photograph, state identification number, including driver's license number; information deemed confidential by law. **Note: Banner Ids alone are not considered confidential, but add personal info & they become confidential.**

* Refer to **The Inspection of Public Records Act Chapter 14, Article 2** for more information

Who is Responsible for Records?

- **Central Office Records**
 - Data custodians ([NMSU Records Custodians](#))
- **Departmental Records**
 - Originator/Responsible Department contact.
- We are all responsible for maintaining business records. The type of record determines how long it is kept and what process is followed to dispose of it.

What are the Basic Requirements for RMR?

- Know your records (vs. non-records) for your department. ([Records Inventory](#))
 - What kind?
 - Multiple copies in different offices?
- Know the retention schedules for your records, State and Federal if applicable. ([NMACs](#))
- Disposition and destruction.
 - http://rmr.nmsu.edu/disposition_destruction.html

New Mexico Administrative Code (NMAC) Record Series example

1.15.7.101 PERSONNEL FOLDERS:

- A. **Program:** personnel files
- B. **Maintenance system:** alphabetical by employee
- C. **Description:** can include but are not limited to personnel action requests. Salary adjustment notices. Employee payroll information sheets, performance evaluations, correspondence (includes disciplinary actions, commendations, recommendation, etc.). General (includes applications, job descriptions, test grades, certificates, resumes, transcripts, disclaimers, etc.)
- D. **Retention:**
 - 1) **other department copies:** three years after employee terminated or retired
 - 2) **personnel department copy:** 55 years after employee terminated or retires

Disposition and Destruction Requirements

After records have met their retention requirements (see NMACs), they are eligible for disposition.

1. Follow [Disposition Process](#)

- a) The process includes a review of data for potential archive value.

2. Permission must be obtained from the State to destroy your records

- a) Form - [Request for Disposition](#)

- b) Submitted to the State Records Center and Archives via the FSA–RMR Office Records Liaison Officer(s).

Disposition and Destruction Req. (cont.)

3. After permission is obtained, you will be notified and your records can be destroyed.

Methods to be used for destruction:

Non-Confidential Records (@Department's discretion)

- Recycling by a bonded document destruction vendor
- Shredding , macerating or witnessed dumpsite burial

Disposition and Destruction Req. (cont.)

Methods to be used for destruction:

Confidential Records (Information that if released would cause substantial harm or constitute an invasion of privacy NMAC 1.13.30)

- **Witnessed shredding, then pulping through a bonded document destruction vendor.**
- Witnessed macerating through a bonded document destruction vendor.

FSA-RMR Office Services

- <http://RMR.nmsu.edu>
- Resource for RMR questions
 - NMAC and Record Series assistance.
 - Federal retention research assistance.
 - Disposition and Destruction guidance.
- Manage and **enforce** destruction of paper and electronic records as they are imaged or retention periods reached.
- Manage the F.A.T.E. Warehouse for Handling and Destruction of Confidential Records
 - Manage Disposition Requests & approvals from the NMSRCA
 - Condition Assessment on boxes
 - Prep boxes for pick up by third party vendor – CINTAS
- Management and administration of the BDMS system.

2011 – Year of Enforcement

- Work with all departments to make sure they have attended training
- Schedule individual sessions with departments that have not had the opportunity to attend training
- Review status of departments that have started working towards compliance with State and Federal Records Retention and Disposition Regulations
 - Disposing of records as required by the New Mexico Administrative Codes (NMAC)

NMSU Library Archives and Special Collections Department

Q: What is an archives?

A: archives /ar,kaivz/ n. pl.: a place or collection of records and books of historical interest. *As defined by Newbury House Dictionary of American English.*

Q: Where is NMSU's "archives" located?

A: Established in 1968, the Hobson-Huntsinger University Archives (HHUA - as part of the Archives and Special Collections Department) is located on the 4th floor of the Branson Library.

Why give to the HHUA?

- NMSU wants to keep its history at NMSU!
- It is a source of pride!
- Offers significant research and cultural value
- Because it is State Law!

Not sure about what we are interested in?

Call us! 646-3839 or archives@lib.nmsu.edu

NMSU Library Archives and Special Collections Departmental Services

- We offer a Research Room
- Duplication Services
- Digital Scanning
- Faculty and Staff Instruction on use of “Archives”

Remember

- The laws have changed!
- Departments **cannot** destroy University records without first coordinating with the FSA-RMR office.
- Permission from the State of New Mexico is required **before** records may be destroyed. (you have to go through the FSA-RMR office first)
- Keep in mind the importance of keeping our historical data here at our NMSU archives. If it is a record, the FSA-RMR procedures for disposition must be followed.
- Not sure what to do – contact rmroffice@nmsu.edu.

Questions or Comments?

Contact us!

FSA-RMR Office:

email: RMRoffice@nmsu.edu

web page: <http://RMR.nmsu.edu>

phone: (575) 646-TECH (8324)

Submit a [question/comment](#)

Library Archives & Special Collections:

646-3839 or archives@lib.nmsu.edu