RECORDS CENTER
PROCEDURES MANUAL

Introduction

The Records Center at Collin County Community College has two primary functions: 1) Storage and disposition (disposition refers to permanent storage or destruction) of records according to the Retention Plan which was developed in accordance with the laws of the Texas State Library, and 2) scanning hard-copy records onto optical disk.

The Records Center also provides departments and staff throughout the district with assistance in developing retention schedules, analyzing office systems and establishing standards and guidelines for managing records.

Retention Schedules

The Texas State Library and Archive Commission issues records retention schedules for local governments, which includes public junior colleges. This retention schedule includes all records common to all types of local government. Each individual entity is responsible for developing a retention schedule for their daily operations.   This retention schedule must state the retention period developed by federal or state law for each record for which a period is prescribed and prescribe a retention period for all other records not listed in the state retention schedule.

The retention period applies to all records regardless of the medium in which it is maintained. Electronic records must be maintained along with the software and hardware necessary to access stored data.

Retention periods for records are stated in calendar years unless otherwise stated. The retention period applies only to the **official record,** not convenience or working copies created for informational purposes.

Records Storage

The Records Center provides storage for all hard-copy (paper) records of the district. Records are stored as Archival Records (Permanent Records) or Non—permanent (Temporary) Records. Archival Records will be stored permanently. Non-permanent records will be destroyed according to the retention schedule for the district.

 Archival Records scanned in the Records Center are stored electronically on optical disk. The original disk is stored in a server at Preston Ridge Campus and the back-up disk is stored in the vault in the Bursar's Office at Spring Creek Campus.   Scanned records can be assessed from any personal computer on the campuses through use of the EC Image Software.

The Director of Information Technology is responsible for storage and security of the electronic records stored on the district's computer mainframe.

To protect the safety of records stored in The Records Center, beverages, food and use of tobacco products are not permitted within the records storage room. Food and beverages are allowed in the kitchen area only.

Access to The Records Center storage room is limited to authorized personnel only. Unauthorized access to or disclosure of records with confidential information by college employees is prohibited.

Transferring Records to Storage

Records are to be transferred to the Records Center according to the Retention Schedule. Staff who are responsible for transferring records should become familiar with the records series and descriptions in order to know which records can be transferred and which can be discarded. Staff should become familiar with the general schedule as well as the specific schedule for their area.

Staff should also know the current audit and litigation situation in their area. Records that may be needed for a current audit or legal case should not be disposed of regardless of the retention schedule.

Records should be transferred at a specific time each year. A cut-off date, such as the end of the fiscal or academic year, should be established for transferring records,

Purging of each folder to be transferred should be kept to a minimum. A page by page review of each file is costly and time consuming and may not result in any significant volume reduction.

File folders, hanging files and boxes will be disposed of when records are destroyed. It is not cost effective to remove papers from files and/or boxes for destruction.

Staff are encouraged to contact the Records Manager for consultation and assistance with their records management questions.

The following steps are to be followed when records are transferred to The Records Center:

1. Obtain Standard Size Storage Boxes (12" x 15" x 10"). These boxes are available in the Campus Bookstore. Records received in any other boxes will be returned to the sender to be re-boxed. In most cases two storage boxes will be required for each file drawer. The boxes are sized to accommodate either letter or legal sized files.

2. Remove files from cabinets and place into boxes. Maintain files in the same order (alpha or numeric). Remove hanging files if you wish to keep them. They will not be returned when records are destroyed. Files stored in 3-ring binders should be placed flat in the box *OR* remove files from binders and place in manila folders. DO NOT OVER FILL BOXES. Leave <u>at least</u> 1 inch of space in box. This prevents bulging and breaking of sides of the boxes and also allows easy access when files are accessed. Leave additional space if missing files will be added to box later. Place an "OUT" card where the missing file belongs.

3. Verify that the disposition (destruction) date is the same for all files in the storage box. The entire box will be destroyed at the same time. It is not cost effective to search boxes at

time of destruction. In some cases you may have a box that is not full.

4. Prepare a Records Transmittal form (sample attached). Please fill out all information on the form. It is especially important to complete Item Number 8 and Item Number 9. This information assists the Records Center staff in placing related boxes together on the shelves. Item 9 should be detailed enough to allow location of a record at a later date. Use the official name of the form on the box – remember that the Records Center Staff will use the Retention Schedule and will not be familiar with the common name of the form.

5. Place both copies of the Records Transmittal form in an inter-office envelope attached to the lid of box "one" when records are transferred. The Records Center staff will indicate shelf location on the form and return the yellow copy to the department.

6. Complete a Records Identification Label (sample attached) and attach to each box. Number boxes in consecutive order. Please fill out all information on the label in ink, not pencil, and print legibly. This label will be used to locate your records for the life of the record.

7. Contact Plant Operations to arrange transfer of boxes to The Records Center at Central Park Campus.

Security of Stored Records

The Records Center staff is responsible for maintaining the integrity and security of the records in The Records Center whether stored electronically or in hard copy. Records must be maintained until the legal, fiscal, and administrative retention periods have been met.

NOTE: No record shall be destroyed so long as it pertains to any pending legal case, claim, action or audit. Under no circumstances will staff permit destruction of records if there is any reason to believe that the records may be related to any current litigation, investigation, audit, or a government proceeding. **It is the department's responsibility to notify the Records Center Staff of the need to keep records beyond their normal retention schedule**.

Access to and use of these records is limited to staff whose official duties require such access. Each department must submit an Authorization Letter (sample attached) stating which staff has authority to access the records of the department.

The Internal Auditor may access any records related to audits as needed without permission from the department.

The records storage room will be locked at all times when unattended. Only authorized personnel shall have keys to the records storage room. This includes the Records Manager, the Registrar, the Records Assistant, and the Associate Registrar at Central Park Campus. Plant Operations staff, including the cleaning staff, will not have a key to the records storage room.

Fire Code:

A minimum code of 18" must be maintained below and to the sides of any fire protection sprinkler heads. There must be an aisle of at least 32" to 34" between and at the end of each row of shelves.

Access to Stored Records

To access records stored in The Records Center the following steps should be taken:

1. Submit a Records Access Request (sample attached) form to The Records Manager.

2. The Records Manager will contact you to arrange access.

3. Records that are withdrawn from The Records Center should be returned as soon as possible.

4. Records withdrawn from The Records Center become the responsibility of the person who requested them. This person is responsible for ensuring the integrity and security of the records while they are in their custody. Only authorized staff should have access to the records during this time.

5. When finished with the records, contact The Records Center to arrange return of the records.

Disposition of Records

Disposition of **permanent** records refers to the storage of the records. These records shall be shelved in the records storage room and maintained permanently.

Disposition of **non-permanent or temporary records** refers to the destruction of these records. Records that are non-permanent

or temporary will be stored in the records storage room for the length of time designated on the retention schedule. At the end of the retention period the records will be placed in the pulp bins for destruction.

The pulp bins are picked up on a regular basis, or as needed, by the BFI garbage company. The pulp bins are kept locked and are located in secure areas at the college. Only Records Center staff and Plant Operations staff have access to the lock combinations on the pulp bins.

Some permanent records are stored on optical disk by The Records Center. The original copy of these scanned documents is stored on a disk on a file server located at Preston Ridge Campus. A backup copy of each disk is stored in the vault in the bursar's office at Spring Creek Campus. Only authorized staff may access either of these copies.

Optical Imaging Systems Operations

The records currently being scanned onto optical disk include college transcripts received from other institutions, official high school transcripts, and grade rosters.

Document Preparation

Before documents are scanned some sorting and preparation should be done. This allows for faster, more accurate scanning and indexing and eliminates possibility of damage to scanning equipment due to staples and/or paperclips being fed into scanner.

Documents should be sorted into batches of similar forms. Double -sided copies should be placed together and single sided copies should be placed together.

Documents with light print that may not scan should be placed in one batch.

Documents with dark background requiring re-setting of the contrast mode should be placed together.

All objects besides paper should be removed.   This includes staples, paperclips, plastic page protectors, sticky notes, and rubber bands. Any of these objects can cause serious damage to the scanning equipment.

Documents should be as flat as possible. Press pages with your hands to remove folds or creases.

Torn or badly wrinkled documents should be copied for scanning. Both the original and photocopy should be pulped after scanning.

The following procedures are followed for scanning records:

1. Sign on to ECImage, using your user name and password. You can either view documents or scan depending on your assigned assess.
2. Select "cabinet" from the menu bar. Select the cabinet where the scanned document will be stored (CTRAN for college transcripts, for example).
3. Select "scanner". The scanner will automatically process a set-up procedure.
4. To change the set-up select "set-up" from the menu bar. You can change the following items:

A. Paper length – You can select letter or legal.
B. Auto Length Detection – The system can detect whether you are scanning letter or legal forms.
C. Rotation – Scanner is set at "O'.
D. Mode – You can select single or double sided.
E. Orientation – You can select portrait or landscape.
F. Contrast and Brightness – the following settings have been determined to be effective in scanning most transcripts and grade rosters.

For Grade Rosters:
1. Text mode
2. Brightness – 50
3. Contrast – 30
4. Length of paper – letter size

For College Transcripts:
1. Text mode
2. Brightness - 50
3. Contrast - 30
4. Length of Paper – letter size
5. Resolution- 200
6. Mode – Duplex
7. Rotation - 0
8. Orientation - Portrait

After settings are complete, click "OK" at bottom of screen.

5. Most documents will be scanned using the Text mode. This uses less room on disk. Photo mode is used for scanning photos. The mixed mode is used for scanning documents with contrasts of dark and light, such as dark or colored background or highlighting. Adjustments should be made to the scanner if needed. In most instances, if you can read

the document on the screen, the stored copy will be clear enough for retrieval and/or faxing or copying.

6. If a document is too light to scan, use the Supplemental Form for Illegible Document form. This document will be scanned and indexed to direct staff to the original copy. The original copy will be stored in records storage room.

7. To scan documents, place them face-up in scanner tray. Placing documents face up ensures that page one will be first when you index documents. You can mix single sided and double- sided copies if the scanner is set to double sided. You will need to delete blank pages when indexing.

8. Select "Scanner" and click "go". Documents will feed automatically. A message that scanner has no paper will appear when all documents have scanned.

After the documents have been scanned and indexed they are placed into the pulp bins for destruction.