

# Record Keeping and Retention, Automation/Data and Record Keeping

November 5, 2009

1:45 – 4:45 PM

Caryn Wojcik and Lori Hartnell

MIEM Support Staff Conf – Grand Rapids MI

1

---

---

---

---

---

---

---

---

## Schools

| We have what is most important to people:

- Their children
- Their tax dollars
- Their records of education
- Staff records of Payroll and for Retirement

| This results in a very high expectation for

- Record security and safety
- Accuracy of data
- Availability of data

2

---

---

---

---

---

---

---

---

## Public Information

| Transparency is very important to the integrity of a school district

| Most information is "Public Information"

| Cumulative grades and assessments

| Labor Agreements, bid information, budget, past revenues and expenditures

| Personnel certifications and highly qualified status for grants etc.

3

---

---

---

---

---

---

---

---

## Private Information

- | Student details
- | Staff personnel actions or private information such as deductions, social security number, beneficiaries etc.
- | FERPA – Family Educational Rights and Privacy Act [www.ed.gov](http://www.ed.gov) stipulates private information regarding students (supersedes FOIA)
- | FOIA – Freedom of Information Act, Act 442 of 1976. Booklet is available from the Michigan Attorney General's Office. It details items that need to be exempted from any FOIA requests as well. Other laws can also supersede FOIA.

4

---

---

---

---

---

---

---

---

## When Records are Needed

- | There does not seem to be overwhelming patience for lost, missing, or unsecured records
- | Audit findings, IRS penalties, loss of state funding . . . Can result from lack of records
- | Be careful regarding destruction, if you suspect that records will be needed, keep them, it can be difficult if not impossible to reconstruct them, the times listed are minimums

5

---

---

---

---

---

---

---

---

## Share those great Stories

- | The only way to truly understand the importance of records is to hear some stories
- | What are some of your records "win" stories
- | What are some of the records challenges – sometimes known as the "agony of defeat"

6

---

---

---

---

---

---

---

---

## Payroll Records

- | Read the Bulletin 522 introduction! Really good information
- | Records Retention Schedule pages 19-20
- | But also, check personnel pages 14-18
- | Business Office pages 8-13
- | You may not have all of these, and your district may be organized differently

7

---

---

---

---

---

---

---

---

## Who Else has Payroll Data

- | ORS, Office of Retirement Services has and keeps all of the data we now load to them
- | REP, Dept of Education is collecting our staff FTE, credentials, charges, and accounting
- | FID, Financial Information Database, Dept of Education, summary expenditure data
- | SRSD and other MEIS for student data
- | IRS Internal Revenue Service
- | SSA Social Security Administration
- | Labor Groups that charge dues
- | Court system for court ordered deductions
- | Many more . . .

8

---

---

---

---

---

---

---

---

## In an Ideal World

- | At all times for all records that you are required to keep:
  - They are easily accessible
  - Indexed for quick recovery of data
  - Safe from loss of sensitive information
  - Safe from water, mold, fire, and theft
  - Retained per all legal requirements
  - Promptly destroyed when appropriate

9

---

---

---

---

---

---

---

---

### Ideal World Continued -

- | All staff know and understand the process
- | All staff know and understand what data is sensitive
- | All staff are notified when records may be part of litigation and must be kept

10

---

---

---

---

---

---

---

---

### In the Real World

- | Few Districts have formal records processes
- | Forms come and go
- | Software comes and goes
- | Staff come and go
- | Processing of paperwork changes
- | The district, State, and Federal Government change the information that is required and the rules for calculation, and the rules for taxation

11

---

---

---

---

---

---

---

---

### Real World - Continued

- | We have many buildings, departments, staff,
- | We have more and more types of records – paper, e-mail, internet submissions, faxes, electronic files,
- | Filing of records is done several ways, by type of form, employee, . . . It is not based upon retention, so destruction can be difficult, dates are often based upon service dates

12

---

---

---

---

---

---

---

---

## Challenges Faced

- | Moldy records
- | Misfiled records
- | Name changes for vendors, students, staff
- | Loaned originals that are not returned
- | Software and hardware changes – warehouses with old punch cards and 7" floppy disks, Bernoulli disks, 3.5" floppy disks, tapes, multiple types of microfiche
- | No indexing of record locations

13

---

---

---

---

---

---

---

---

## Challenges Faced - Continued

- | Recovery tools never tested or tested routinely.
- | Long term records not stored remotely enough (another state – preferably without hurricanes, floods, or earthquakes – make friends in Montana)
- | Paper records destroyed before electronic copies are checked for quality (missing back side of papers, poor or crooked scans, out of order . . .) or software very new and can have problems
- | Spending of resources without a full review of needs and related risk. All paper will last seven years, no need to "scan" as far as retention is concerned.

14

---

---

---

---

---

---

---

---

## Automation

- | System generated reports auto saved to a remote site and periodically to a storage that goes to a vault
- | Prep, scan, and index, incoming paper and forms to your business system
- | Time and attendance is recorded via electronic system which creates files

15

---

---

---

---

---

---

---

---

## Automation - Continued

- | When printing staff or student information the merge is saved as a file to retain and view later
- | Electronic access by staff to their own pay records and leave balances
- | Do you still print paychecks?
- | Opportunity, system recorded approvals and routing so that notices can be completely electronic
- | Forms are no longer actually stored in various places you can sort and pull them at will to select and set retention or delete

16

---

---

---

---

---

---

---

---

## Automation Challenges

- | Still need to monitor and confirm automated systems are working and purge per schedule, viruses can attack all systems (including your backup)
- | Migrating data from one format or software to the next (about every 5 years)
- | Accuracy of indexing
- | OCR (Optical Character Recognition) to "find" data is about 85% accurate

17

---

---

---

---

---

---

---

---

## Automation Challenges - Continued

- | Signatures required items
- | Identity theft, the more organized and accessible you have the information, the more desirable access to your system becomes
- | Importing and exporting of data will require more diligence with anti-virus protection and security
- | Don't be the person with the stolen laptop that has your payroll data on it. Access data remotely through tight security
- | Deletion of records may be too easy, have a multi approval set of steps

18

---

---

---

---

---

---

---

---

## Wrap

- | Other related questions
- | Related Organizations – use the Michigan Records Management Services, great resource and they have bid most record storage/copy services
- | Organization of records is the key to finding them, spend some time determining your index and filing routines with destruction, storage, and security in mind

19

---

---

---

---

---

---

---

---

## Thanks for your attendance!

- | Please fill out the class assessment
- | Meet some of your classmates and colleagues, they are some of your best resources
- | Best of luck in all of your payroll and records endeavors

20

---

---

---

---

---

---

---

---