ELECTRONIC RECORDS MANAGEMENT FOR ON- AND OFF-BOARDING EMPLOYEES

RECORDS MANAGEMENT SERVICES

FEBRUARY 2017
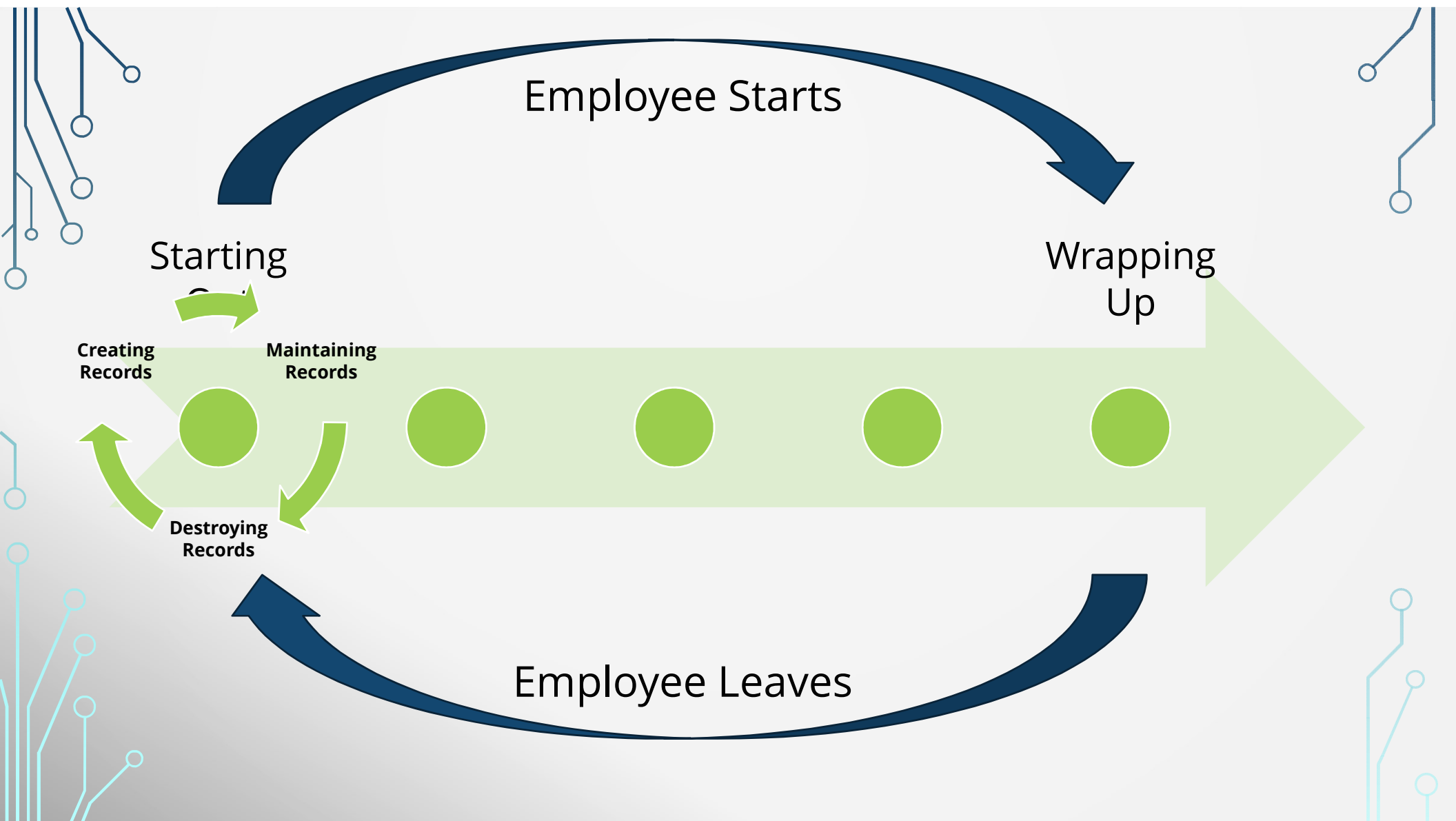
WHY RECORDS MANAGEMENT?

The Revised Code of Washington (RCW) is the compilation of all permanent laws now in force in Washington State.

Title 40, Chapter 14 of the RCW:

| Defines a record | Establishes authority for records retention and destruction | Requires a Records Management program at all state agencies |

THE DEFINITION OF A RECORD

Preservation and Destruction of Public Records

"As used in this chapter, the term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, **regardless of physical form or characteristics**, and including such copies thereof, that have been **made by or received by any agency of the state of Washington** in connection with the transaction of public business."

All recorded information at the university, created or received, regardless of format.

It doesn't matter:

• Who created it

• How it was created

• Where it is kept

• Who owns the storage device

WHAT DO I NEED TO DO?

1. Retention

2. Preservation & Production

3. Disposition

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AN ENDURING OBLIGATION

RCW 40.14 again:

"All public records shall be and remain the property of the state of Washington. They shall be delivered by outgoing officials and employees to their successors and shall be preserved, stored, transferred, destroyed or disposed of, and otherwise managed, only in accordance with the provisions of this chapter."

THERE ARE ONLY 24 HOURS IN A DAY

New hires should sit down with either their supervisor or departmental records officer to go over:

1. Basic records management requirements
2. The various types of records and where they live
3. The importance of organization

1. BASIC RECORDS MANAGEMENT REQUIREMENTS

As a state agency, the UW and its employees are required to practice records management.

Any recorded information, regardless of medium or format, is a record.

All records are the property of the state of Washington.

Records must be **retained** according to the applicable university and departmental records retention schedules.

Throughout their retention period, records must remain both accessible and readable.

Once the retention period has ended, records should disposed of appropriately.

2. RECORDS AND THEIR REPOSITORIES

There are almost as many places to put records as there are types of records themselves!

MAKING SOME (NOT SO) TOUGH DECISIONS

- Just because you CAN doesn't mean you <u>SHOULD</u>

- Decide which repositories you're going to use and for what types of records – be explicit and document it

- Security vs Access

- How easy is it to search, find, and manage records?

SET SOME GROUND RULES

- Just say no to information silos
- Printing is not the answer
- Scanning *might* not be either
- Who "owns" the repository?
- BYOD

NETWORK SHARES

Everybody's got (at least) one

It often becomes a swirling

black hole

Black Holes are Neat in the Cosmos Not in your Office

A handful of folders containing the records you use every day

Some other folders filled with odds and ends

Then there's the other 80% of the folders that you have no idea what's in them, who uses them, or what they're for

Your predecessor's entire directory, just in case... though you only looked in it once... the week after you started... eight years ago!

Somewhere you know there's a folder with some mildly-outdated training materials

A SHARED BURDEN

In many cases:

- Everyone creates folders as they choose

- No one deletes anything

- Cleanup is a rare event

- If you're lucky, there's pizza in the conference room.

A PROBLEM SHARED IS A PROBLEM HALVED!

- Use shared folders

- Assign a custodian

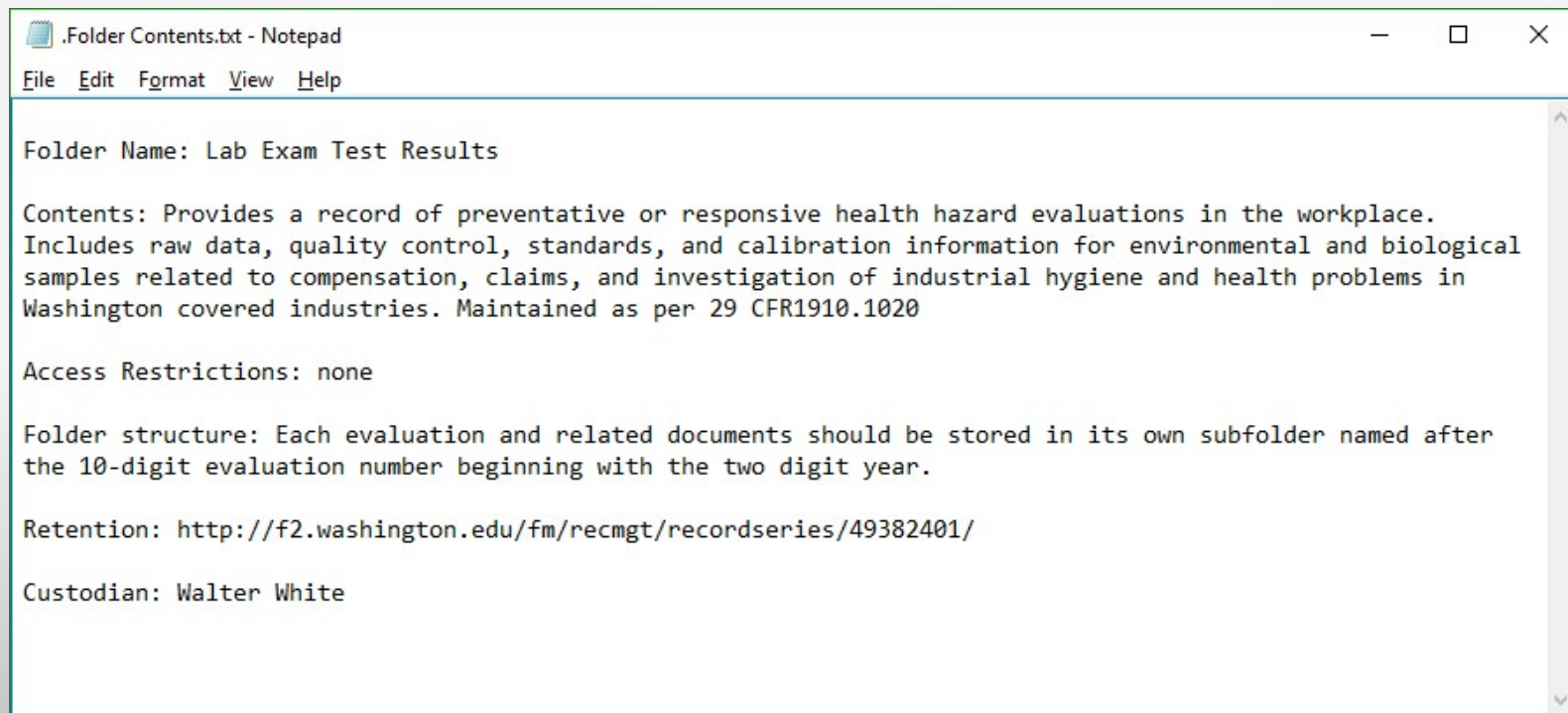- Document the plan

- Agree on folder/file names

FOR POSTERITY

.Folder Contents.txt - Notepad

File   Edit   Format   View   Help

Folder Name: Lab Exam Test Results

Contents: Provides a record of preventative or responsive health hazard evaluations in the workplace. Includes raw data, quality control, standards, and calibration information for environmental and biological samples related to compensation, claims, and investigation of industrial hygiene and health problems in Washington covered industries. Maintained as per 29 CFR1910.1020

Access Restrictions: none

Folder structure: Each evaluation and related documents should be stored in its own subfolder named after the 10-digit evaluation number beginning with the two digit year.

Retention: http://f2.washington.edu/fm/recmgt/recordseries/49382401/

Custodian: Walter White

3. THE IMPORTANCE OF ORGANIZATION

A commonly used metric among records managers is,
"Can you find the record you're looking for in less than 30 seconds?"

If you can answer **"yes"** more often than not, you're off to a good start!
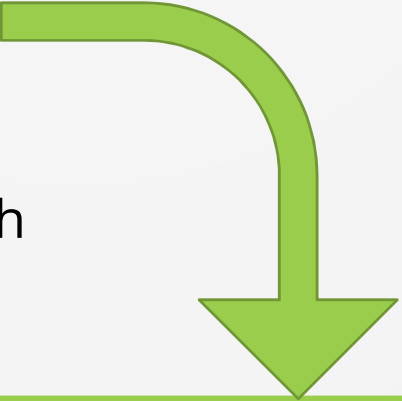
But now ask yourself,
*"How long would it take for **someone else** to find that record if I wasn't around to ask?"*

Is the answer still less than 30 seconds?

ORGANIZATIONAL EXCELLENCE

Filing structures and naming conventions

- How will someone look for it?

- How will someone get rid of it?

- Think about alphabetization

- Think about performing a search

- Eliminate redundancy

- Eliminate ambiguity

- Don't overdo it!

In records management, the "cut-off" is the trigger that starts the clock on the retention period.

THINKING OUTSIDE THE BOXES

📁 TPS Reports
  📄 2015-11.pdf
  📄 2015-12.pdf
  📄 2016-01.pdf
  📄 2016-02.pdf

📁 Budgets
  📁 01-2345
    📁 FY2015
    📁 FY2016
  📁 67-8910
    📁 FY2015
    📁 FY2016

📁 Permits
  📁 Current
    📁 123456
    📁 234567
  📁 Expired
    📁 2015
      📁 345678
      📁 456789
    📁 2016
      📁 567890
      📁 678910

📁 Claims
  📁 Brown closed 2015
  📁 Davis
  📁 Garcia closed 2016
  📁 Johnson
  📁 Jones closed 2015
  📁 Miller
  📁 Smith
  📁 Wilson closed 2016

BELABORING THE 'POINT
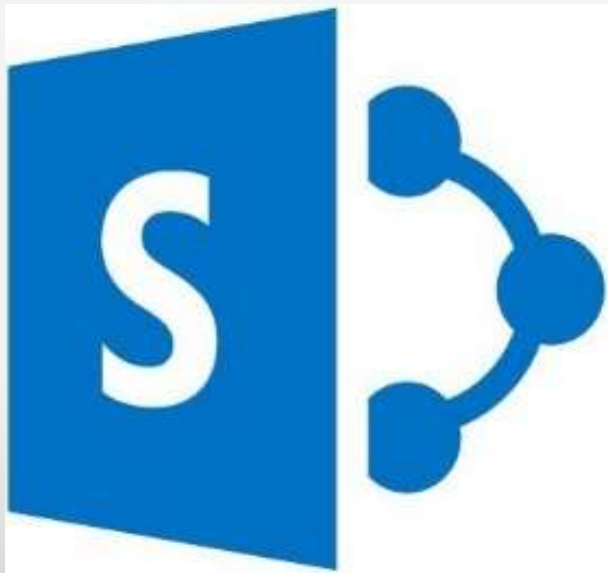
- Nearly anything I've said about shared drives is equally applicable to SharePoint

- One additional bonus, AUTOMATED RETENTION

If you're interested, please contact our office.
We're happy to do an on-site consult.

ISSUES WITH EMAIL

- Single owner

- Duplication of records

- Difficult to share

- Retention as an afterthought

- It encourages us to save EVERYTHING indefinitely

THE RIGHT TOOL FOR THE JOB

Example: *You email your boss with a request; your boss replies giving you approval.*

- Email makes more sense than paper or some other method

- The record <u>only</u> exists within email

- There's a business need to retain

- It's unlikely to need review by anyone else for the life of the record

- Easy to file, retain, delete

- No desire to keep it longer than necessary

IT'S A LITTLE KNOWN FACT

- Like in SharePoint, you can assign retention periods in Outlook to automate retention.

- http://f2.washington.edu/fm/recmgt/OutlookRetention

- And just like with SharePoint, if you're interested, please contact our office. We're happy to do an on-site consult.

SPENDING A LITTLE TO SAVE A LOT

- Reduced clutter in the workspace (physical and electronic)

- Less time spent looking for records

- Easier to manage public records requests, litigation discovery, audits

- Fewer "re-sends" of emails

- Make clean-up days faster and easier

- Faster on-boarding of new employees

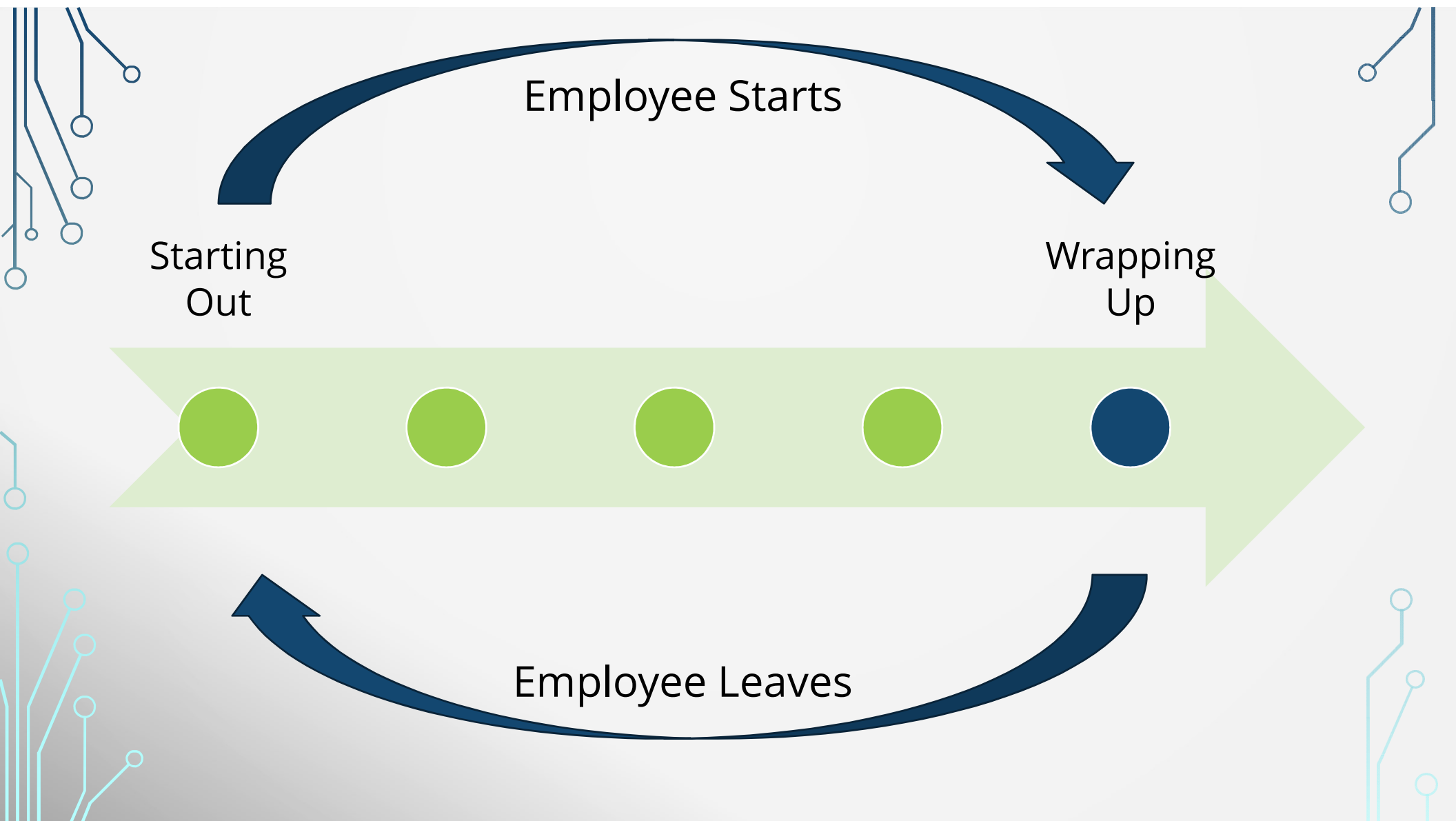- Easier for employees transitioning out

QUESTIONS?

We're always here to answer any questions you have about records – just click, email, or call. And we're happy to come out to meet with your group in person!

Records Management Services

http://f2.washington.edu/fm/recmgt/

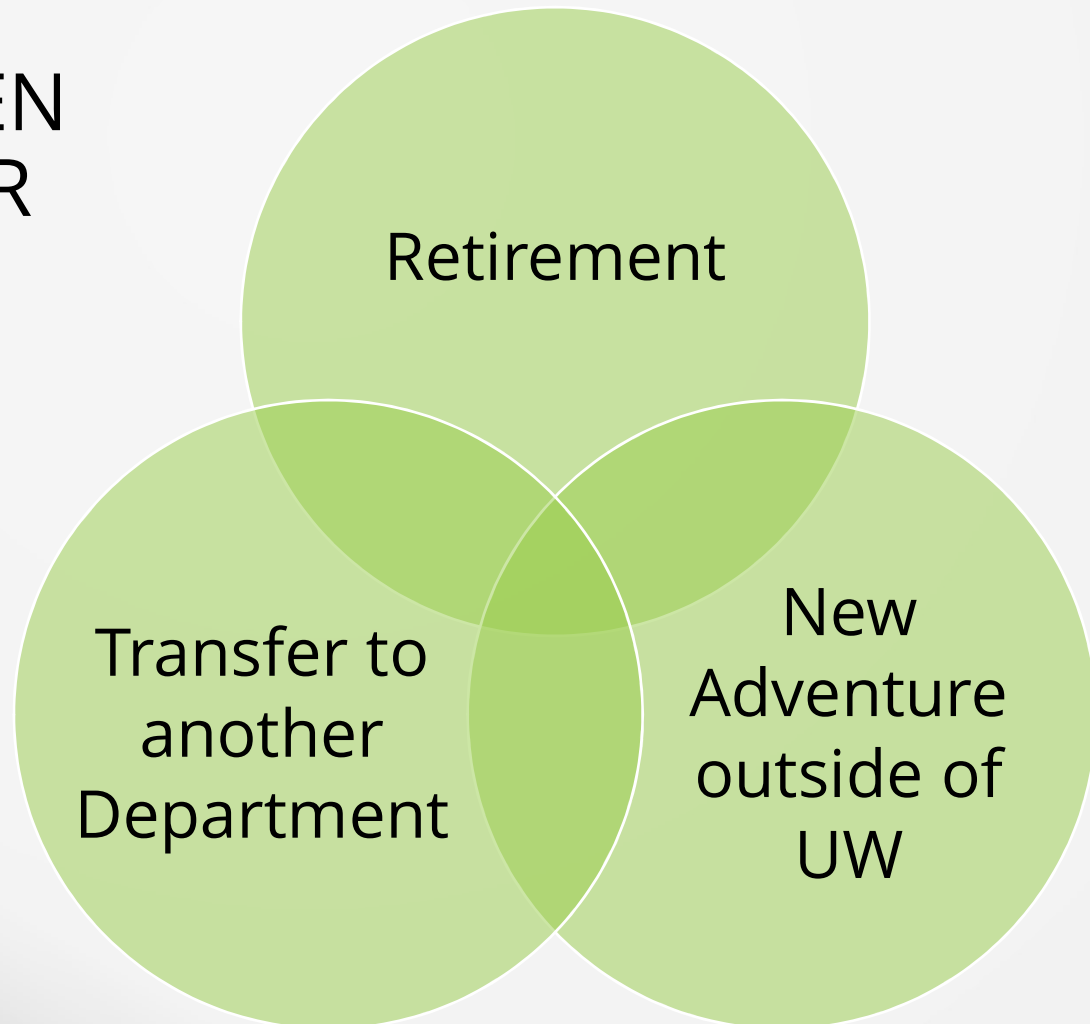|		
Barbara Benson	bbenson@uw.edu	543-7950
Cara Ball	ballc2@uw.edu	543-6512
Michael Mooney	mmooney@uw.edu	543-6190
Anna Sgarlato	annasgar@uw.edu	543-0573

HAVE YOU BEEN HELPING YOUR FUTURE SELF?

Retirement

Transfer to another Department

New Adventure outside of UW

IT IS YOUR CHOICE

SET YOURSELF UP FOR SUCCESS

Meet with Manager

Plan who to Transfer Folders to in Office

Move Folders

Attend Going Away Party

OR STRESS

Meet with Manager

Plan who to Transfer Folders to in Office

Exhausted, No Enjoyment at Party

Panic

Nothing is in Folders

Overwhelming!
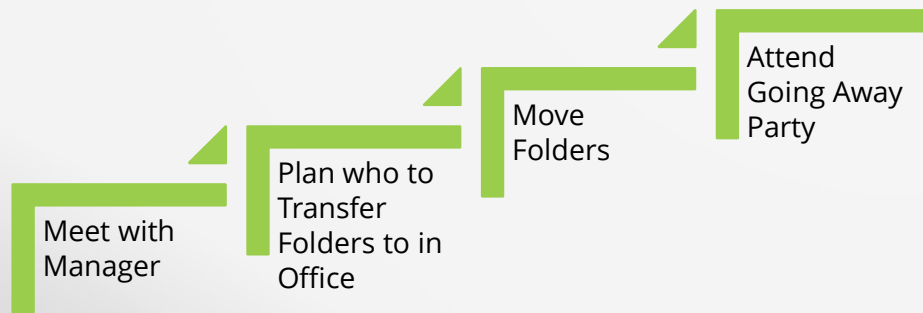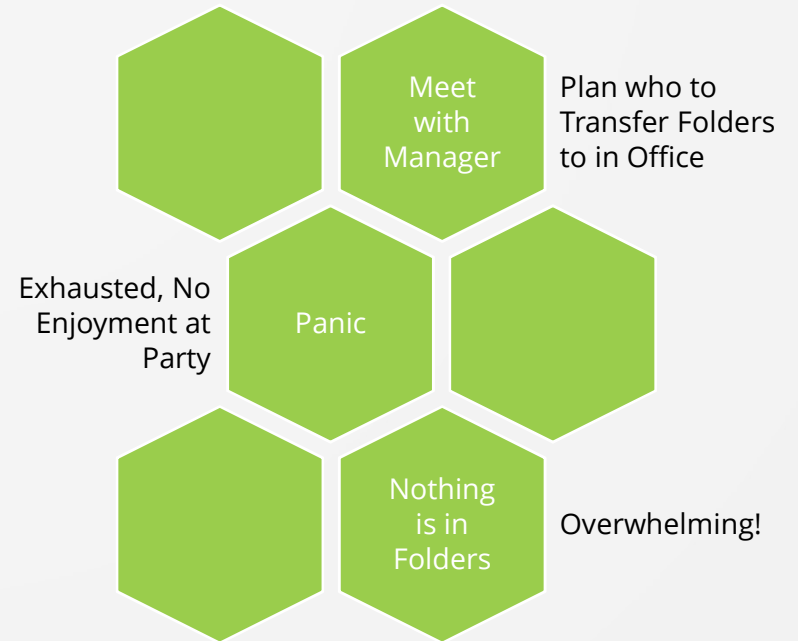
LET'S GET YOU TO THAT GOING AWAY PARTY!

Already in Folders?

Easy!

Active = Transfer

Inactive = Transfer

Past Retention = Delete
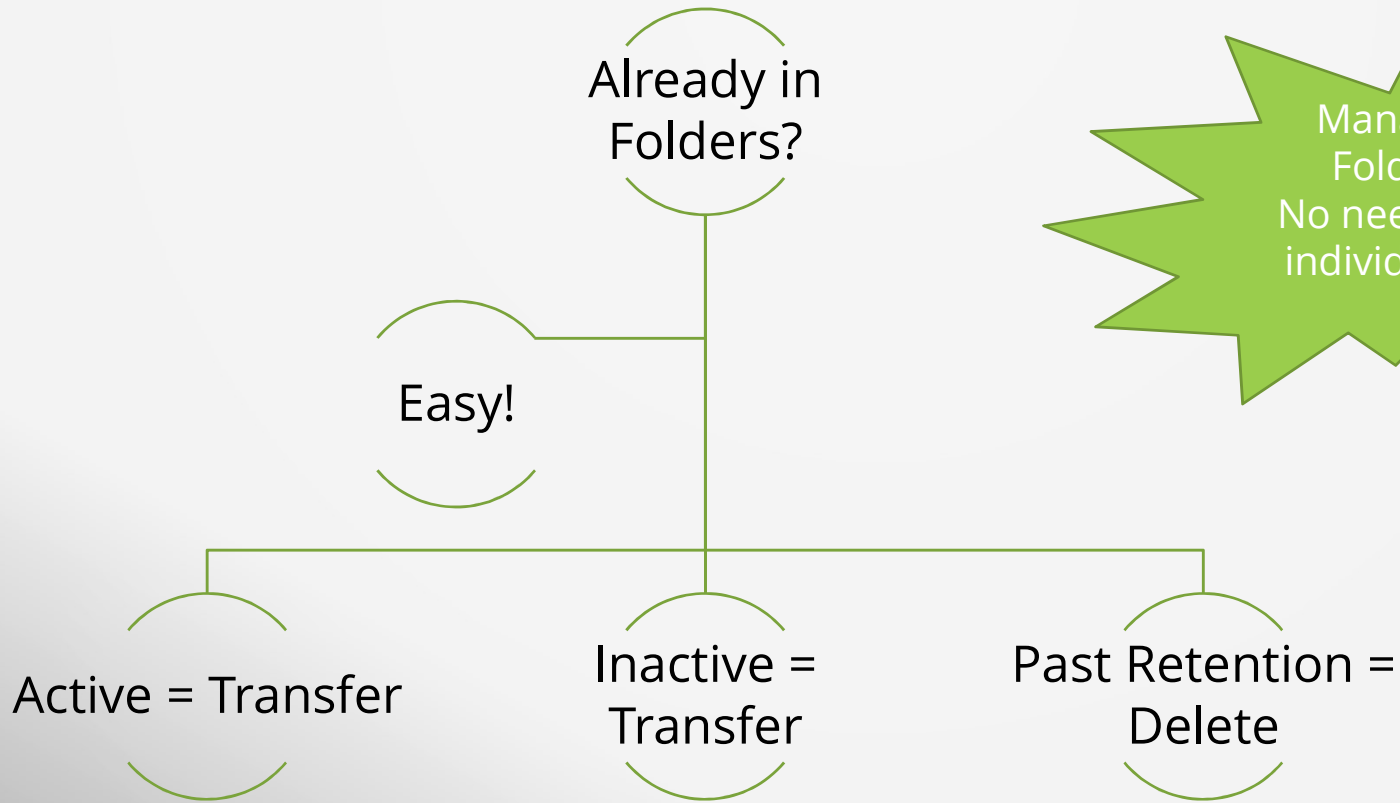
Manage at the Folder Level-
No need to go into individual records

A WORD ABOUT ATTACHMENTS AND DRAFTS

Attachments		Drafts	
	Email is typically NOT the record that needs to be retained		Can be deleted as soon as administrative need has been met.
	The attachment is the record with the retention VALUE		Typically once the next version has been created.
	Save the attachment to a shared drive or SharePoint. Delete the email.		Helps with version control confusion as well.

IDENTIFYING RECORDS WITH LASTING BUSINESS VALUE

? Is it an "official" document originating from your office...

- documenting a university or office policy or procedure?
- documenting a university or office mission or program?
- documenting a university or office action or decision?
- requiring approval or signature?

? Is it external correspondence sent or received by virtue of your office's role within the university?

? Does it document your office spending (or being reimbursed by) university funds?

? Have you ever been asked to gather and produce these records for any reason in the past?

QUICK DELETES

Emails which have no long term value and can be deleted as soon as your need has been met.

See UW General Schedule: **Materials That May Be Disposed of Without A Specific Retention Period**

Leaving?

Meets the criteria of "reference purpose served".

QUICK DELETES

- Preliminary drafts
- Routine requests and/or replies for information
- Reference or informational emails
- Meeting set-up/accept requests

- Announcements, reservations, confirmations, itineraries, form letter thank you notes
- Acknowledgements
- Duplicates
- Auto Generated Notifications

FOLDERS ARE EASY…WHAT ABOUT THAT INBOX?
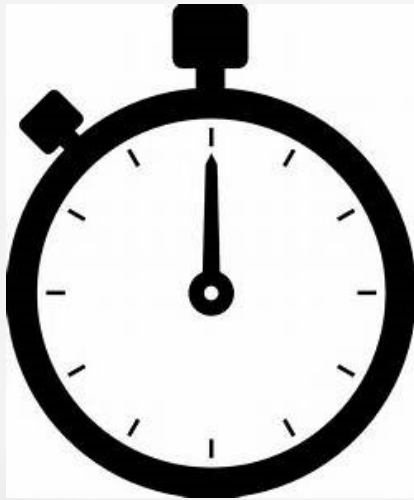
Set a timer for 20 minutes
and go to town!

Timer goes off –
CELEBRATE!
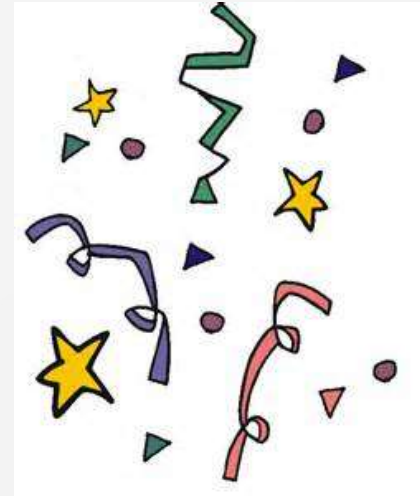
TWENTY MINUTE INCREMENTS TO SUCCESS

Quick Deletes

Key Search Terms

What is Your Function?

People

Topic

Department

PLACE INTO CATEGORIES

Personnel

Student

Financial

Research

Administrative

ONE STOP: RECORDS MANAGEMENT WEBSITE

Records Management
- http://f2.washington.edu/fm/recmgt/

Retention Schedules
- http://f2.washington.edu/fm/recmgt/retentionschedules

General Records Retention Schedule
- http://f2.washington.edu/fm/recmgt/gs

Personnel and Payroll Records
- http://f2.washington.edu/fm/recmgt/gs/personnel

A SPECIFIC EXAMPLE: PERSONNEL RECORD

http://f2.washington.edu/fm/recmgt/gs/personnel?title=P

Personnel Records

Official Copy: Human Resources Operations
Retention: 50 years after termination of employment
Disposition Method: Shred or Delete

Official Copy: Academic Human Resources
Retention: 50 years after termination of employment -- basic biographical information will be retained by the Archives
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 3 years after termination of employment with department
Disposition Method: Shred or Delete

PERSONNEL COMPLAINT FILES

Complaint Exonerated (Non-UCIRO)

Keep 3 years after File Closed

Complaint (Non-UCIRO)

Keep 6 years after File Closed

Complaint Files (UCIRO)

Keep 3 years after File Closed

Risk Management keeps longer

HIRING RECORDS

Interviewed and Hired
- Becomes the beginning of Personnel Record
- Transfer to ???

Interviewed Not Hired
- More than 3 Years since position filled
- Delete

Interviewed Not Hired
- Position filled less than 3 years ago
- Transfer to ???

PERSONNEL/PAYROLL

Record Type	Retention	Transfer	Delete
Personnel Records	3 Years after Termination from Department	If left Department 3 year or less	If left Department more than 3 years ago
Hiring Records-Not Hired	3 Years after Position Filled	Position filled less than 3 Years ago	Position Filled more than 3 years ago
Faculty Search Committee—Faculty and Chairs	6 Years after End of Search	Less than 6 years since Search closed	Greater than 6 years since Search Closed
Faculty Search Committee—Deans and Directors	10 Years after End of Search	Less than 10 years since Dean/Director Search	Greater than 10 years since Dean/Director Search

Hired records becomes part of Personnel File

Transfer to Archives (do not delete)

PERSONNEL/PAYROLL CONTINUED

Record Type	Retention	Transfer	Delete
Grievance Records	3 years after Case Resolved/Withdrawn	Case Resolved /Withdrawn less than 3 Years ago	If Case Resolved /Withdrawn more than 3 years ago
Personnel Complaint Records-Non UCIRO	6 Years after File Closed	File Closed less than 6 Years ago	File Closed more than 6 Years ago
Personnel Complaint Records-Exonerated -Non UCIRO	3 Years after File Closed	File Closed less than 3 Years ago	File Closed more than 3 Years ago
Personnel Complaint Records-UCIRO	3 Years after File Closed	File Closed less than 3 Years ago	File Closed more than 3 Years ago

Labor Relations retains records for 6 years

UCIRO retains records for 6 years

QUESTIONS?

Records Management Services

http://f2.washington.edu/fm/recmgt/

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