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

RCW 40.14.010
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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WHAT DO I NEED TO DO?

1. Retention
2. Preservation & Production
3. Disposition
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

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Description</th>
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<tr>
<td>As a state agency, the UW and its employees are required to practice</td>
<td>Any recorded information, regardless of medium or format, is a record.</td>
</tr>
<tr>
<td>records management.</td>
<td>All records are the property of the state of Washington.</td>
</tr>
<tr>
<td>Records must be <strong>retained</strong> according to the applicable <strong>university</strong> and</td>
<td>Throughout their retention period, records must remain both accessible and readable.</td>
</tr>
<tr>
<td><strong>departmental</strong> records retention schedules.</td>
<td>Once the retention period has ended, records should disposed of appropriately.</td>
</tr>
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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 SHOULD

• 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**

A handful of folders containing the records you use every day

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

Some other folders filled with odds and ends

Somewhere you know there’s a folder with some mildly-outdated training materials

Your predecessor’s entire directory, just in case... though you only looked in it once... the week after you started... eight years ago!
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 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/recmgmt/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
- 2015-12.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 only 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.


• 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/

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<thead>
<tr>
<th>Name</th>
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</tr>
<tr>
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<td><a href="mailto:ballc2@uw.edu">ballc2@uw.edu</a></td>
<td>543-6512</td>
</tr>
<tr>
<td>Michael Mooney</td>
<td><a href="mailto:mmooney@uw.edu">mmooney@uw.edu</a></td>
<td>543-6190</td>
</tr>
<tr>
<td>Anna Sgarlato</td>
<td><a href="mailto:annasgar@uw.edu">annasgar@uw.edu</a></td>
<td>543-0573</td>
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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

OR STRESS

Meet with Manager

Plan who to Transfer Folders to in Office

Move Folders

Attend Going Away Party

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?

- Active = Transfer
- Inactive = Transfer
- Past Retention = Delete

Easy!

Manage at the Folder Level - No need to go into individual records
# A WORD ABOUT ATTACHMENTS AND DRAFTS

<table>
<thead>
<tr>
<th>Attachments</th>
<th>Drafts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Email is typically NOT the record that needs to be retained.</td>
<td>Can be deleted as soon as administrative need has been met.</td>
</tr>
<tr>
<td>The attachment is the record with the retention VALUE.</td>
<td>Typically once the next version has been created.</td>
</tr>
<tr>
<td>Save the attachment to a shared drive or SharePoint. Delete the email.</td>
<td>Helps with version control confusion as well.</td>
</tr>
</tbody>
</table>
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
TACKLE ONE SUBJECT AT A TIME

Pick a Search Term

Create a Folder

1. Move Search Into Folder
   - Apply Retention
   - Delete or Transfer

Rinse and Repeat

1

2
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

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 RECORDS

0.1 More than 3 years
0.2 Delete

0.3 Less than 3 years
0.4 Transfer to ???

0.5 Still employed in department
0.6 Transfer to ???
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

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention</th>
<th>Transfer</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel Records</td>
<td>3 Years after Termination from Department</td>
<td>If left Department 3 year or less</td>
<td>If left Department more than 3 years ago</td>
</tr>
<tr>
<td>Hiring Records-Not Hired</td>
<td>3 Years after Position Filled</td>
<td>Position filled less than 3 Years ago</td>
<td>Position Filled more than 3 years ago</td>
</tr>
<tr>
<td>Faculty Search Committee—Faculty and Chairs</td>
<td>6 Years after End of Search</td>
<td>Less than 6 years since Search closed</td>
<td>Greater than 6 years since Search Closed</td>
</tr>
<tr>
<td>Faculty Search Committee—Deans and Directors</td>
<td>10 Years after End of Search</td>
<td>Less than 10 years since Dean/Director Search</td>
<td>Greater than 10 years since Dean/Director Search</td>
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- **Hired records becomes part of Personnel File**
- **Transfer to Archives** (do not delete)
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<tr>
<td>Grievance Records</td>
<td>3 years after Case Resolved/Withdrawn</td>
<td>Case Resolved/Withdrawn less than 3 Years ago</td>
<td>If Case Resolved/Withdrawn more than 3 years ago</td>
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<tr>
<td>Personnel Complaint Records-Non UCIRO</td>
<td>6 Years after File Closed</td>
<td>File Closed less than 6 Years ago</td>
<td>File Closed more than 6 Years ago</td>
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Labor Relations retains records for 6 years

UCIRO retains records for 6 years
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