

A decorative graphic on the left side of the page, consisting of a network of light blue lines and circles that resemble a circuit board or data flow diagram. The lines are vertical and horizontal, with small circles at various points, creating a grid-like structure.

MANAGING ELECTRONIC RECORDS

RECORDS MANAGEMENT SERVICES

2016

WHY SHOULD I CARE ABOUT MANAGING ELECTRONIC RECORDS?

- It's a record
 - E-records contain evidence of official University actions, decisions, approvals or transactions.
- It can be requested in **Public Records Requests, Audit, and Litigation**
 - Each UW employee is individually responsible for handling and maintaining records (including University email and other electronic records) in accordance with University policy and requirements.

WHAT DOES THE “E” IN ELECTRONIC STAND FOR....



E = EVIDENCE!

Email is subject to Public Records Requests, Audit and Litigation.

If it's recorded,
it's a record.



If it's a record
you are liable
for it.

ELECTRONIC RECORDS: THE BASICS

Definition of a Record

“...information **regardless of physical form or characteristics**, and including such **copies** thereof, that have been made or received by any agency of the state of Washington **in connection with the transaction of public business...**”

- The retention period which would have been applied to the paper record must instead be applied to the electronic record.
- All electronic records must be accessible and readable for their full retention period
 - Find it
 - Open it
 - Read it

ELECTRONIC RECORDS

- Word
- Excel
- Email
- SharePoint
- Text Messages/Tweets
- Databases
- Information and data kept in a cloud computing environment
- Web pages/Facebook pages
- “Unofficial” records
- Anything about university business that you recorded in some way

PENALTIES FOR NON-COMPLIANCE

- Public Records Requests
 - \$100.00 per day per item
 - PAWS v. UW (expensive!)
- Litigation-Case Law
 - A corporation is sued for fraud. It fails to preserve the appropriate records that will prove its case. Plaintiff awarded \$1.6 billion.
 - Coleman Holdings v. Morgan Stanley
 - An employee sues a corporation. The defendant fails to preserve the appropriate records that will prove its case. Plaintiff wins \$29.3 million.
 - Zubulake v. USB Warburg
- Microsoft spends an average of \$20 million per litigation

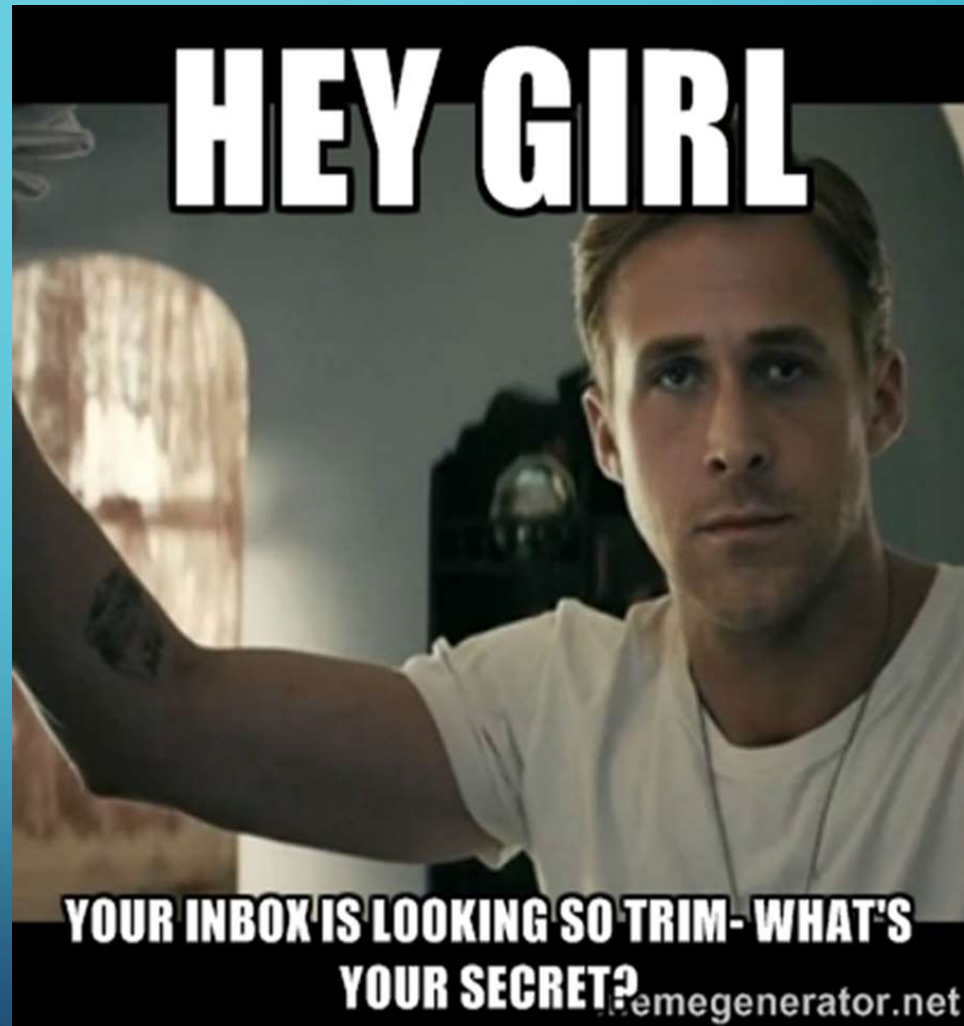
WHY CARE...WHAT IS THE BUSINESS CASE?

- **Reduce Costs**--Save time, save space, save money
- **Reduce Risk**--Poor audit findings
- **Minimize** Legal Exposure
 - Storage may be cheap, but **litigation is expensive**
- **Continuity of Business Operations** in Case of a Disaster
- **Protect** the Rights and Interests of Employees and Customers
- **Eliminates** the need to produce records which have reached the end of their retention period—and—have been destroyed

EMAIL

WHAT TO KEEP

WHAT TO DELETE



HOW LONG DO I NEED TO KEEP MY EMAIL?

TWO TYPES OF EMAIL—DEPENDING ON CONTENT OF THE EMAIL

- **Transitory**

Can be deleted as soon as the reference purpose has been met

- **Valued**

Must be retained per a UW records retention schedule

TRANSITORY EMAILS

- Most of your emails.
- Retention is limited to office use.
- Emails that assist you in your job but have no “value” from an administrative, legal, or fiscal viewpoint
- The information is temporary or passing
- **Can be deleted as soon as the reference purpose has been met.**

EXAMPLES OF TRANSITORY EMAIL

- 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

[http://f2.washington.edu/fm/recmgt/
Database Printouts](http://f2.washington.edu/fm/recmgt/Database%20Printouts)

TRANSITORY EMAILS

- If you are cc'ed on an email and do not need to take action
 - DELETE
- If you are cc'ed on an email and need to take action
 - DELETE after action taken
- Any emails that you receive as information or do not directly apply to you (including the whole string)
 - DELETE

IS ALL MY EMAIL TRANSITORY?

No, but....

most of it is

All other email must be retained for a designated amount of time

Includes messages *sent* and *received*

THE OTHER TYPE: EMAIL WITH VALUE

Has Value

Administrative

Fiscal

Legal

Historical/Archival

The value is based on the *content* not the *format*

More permanent in nature

Must be retained per a UW records retention schedule

WHAT NEEDS TO BE KEPT

The content in the following categories must be maintained for specific retention periods:

Policy

Procedure

Approvals

Invoices/Receipts

WHERE DO I FIND THE RETENTION PERIOD?

- For transitory email:
 - As soon as its use has been fulfilled, delete.
 - General Schedule, section 4

<http://f2.washington.edu/fm/recmgt/retentionschedules/gs/general/uwgs4>

- For email that has to be retained:
 - It's what's *inside* not *outside* that counts.
 - General Schedule

<http://f2.washington.edu/fm/recmgt/retentionschedules/gs/general>

- Departmental Schedule

<http://f2.washington.edu/fm/recmgt/retention/search>

DO I HAVE TO PRINT MY EMAIL?

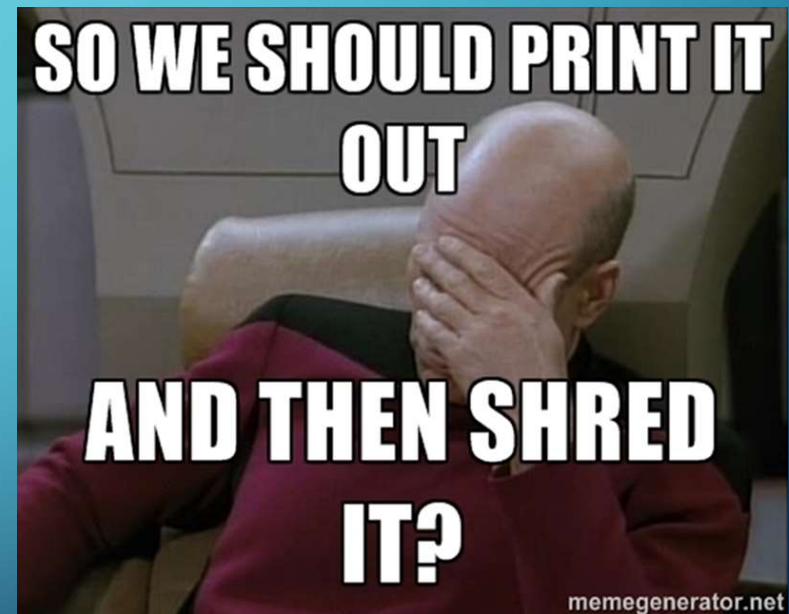
Transitory email?

No, delete when reference purpose served

Email of Value?

No, don't print

- Don't save to desktop
- Keep the email in electronic format
- If its just the attachment can save as a PDF to shared drive
- Not crazy about PST files



O'NEILL V. CITY OF SHORELINE (2008)

- A public official was asked to produce an email as part of a public records request
 - The email was produced in hard copy with the top 4 lines of the header deleted
- The requester asked for the metadata of the complete email
 - The city was unable to provide metadata from the original email because the message had been deleted
- The city failed to complete the request and was fined \$100,000
- **Metadata in the electronic version of an email is subject to disclosure under the Public Records Act**

WORD AND EXCEL

AND OTHER ELECTRONIC DOCUMENTS



electronic records

such access

WOW

much sustainability

no paper

amaze

much ease

woof

such resources
tinyurl.com/suchdubs

FILE IT

Create folders that apply to the function of your office:

- Projects
- Transactions
- Standing meetings
- Budgets
- Employees

Place all files in the appropriate folder

- When subject is closed, identify retention date on folder title

WHERE DO I SAVE MY FILES?

PERSONAL WORKSPACE VS. GROUP WORKSPACE

PERSONAL

- PERSONAL DRIVE ON NETWORK
- The creator of the files is the only user
- Limited access to a record series leads to greater security and confidentiality

GROUP

- SHARED DRIVE ON NETWORK
- SHARED Workspace ie SharePoint or One Drive
- Uniformity and consistency is important to maintain
- All important information is located in a central location

WHERE TO SAVE ELECTRONIC RECORDS

H DRIVE



Fee of 25 cents per GB/per person/per month

- ✗ No shared access to files
- ✗ Only owner can view files
- ✓ Backed up daily

I DRIVE



FEE OF 35 CENTS PER GB/PER MONTH

- ✓ FOR FILES SHARED WITH A TEAM
- ✓ CAN BE USED BY ANY TEAM MEMBER
- ✓ BACKED UP DAILY

C DRIVE



No Charge

- ✗ Not recommended for work files
- ✗ Not backed up
- ✗ Vulnerable to hardware/software failure, virus and theft
- ✓ Best for software program files and desktop shortcuts

NAMING CONVENTIONS

- **ADVANTAGES**

- DOCUMENTS EASILY LOCATED
- AVOIDS DUPLICATING WORK
- DISTINGUISH FINAL VERSIONS OF DRAFTS
- FACILITATES AUTOMATED SEARCH AND MANAGEMENT

- **CONVENTIONS SHOULD BE:**

- SIMPLE AND CONSISTENT
- UNDERSTANDABLE
- BASED ON EXISTING CONVENTIONS AND STANDARDS
- RELATED TO MANUAL FILING SYSTEM

EXAMPLES

- **Projects**
 - Project name *and* Date Project Closed
- **Timesheets**
 - Name of Employee *and* Fiscal Year
- **Meeting Minutes**
 - Function of File *and* Year of Meetings
- **Student Files**
 - Name of Student *and* Date of Graduation

PURGING ELECTRONIC DOCUMENTS

- SAME REQUIREMENTS AS PAPER RECORDS
- DISPOSED OF ACCORDING TO RECORDS RETENTION SCHEDULE
- NEED TO BE PURGED FROM ALL AREAS -- WORD PROCESSING, EXCEL SPREADSHEETS, DATABASES, ETC.

APPLYING RETENTION

- Easier to apply on folder level rather than to individual files
- Retention is based on statute of limitations or regulation
- Refer to UW General Records Retention Schedule for commonly found records
- Refer to customized Departmental Schedule for records unique to your office

RIGHT NOW

- Review and delete drafts if a final version has been approved
- Sort folders and files by date
- Delete folders/files whose dates have past their retention period

However, be aware that all records pertaining to ongoing or pending audits, lawsuits (or even reasonably anticipated lawsuits), litigation holds or public disclosure proceedings must not be destroyed, damaged or altered until the issue is resolved and you are specifically advised that such records may be destroyed.

SPEAKING OF DESTRUCTION HOLDS



- Payroll Records are **NO LONGER** on litigation hold
- Hold has been in place since November 2006. End date – July 2016
- Shred everything that has passed its retention period (6 years)
- Everything before July 2010 can be shredded



GOOD RECORDS MANAGEMENT

- Reduces Risk
 - Audits
 - Public Records Requests
 - Litigation
- You can *find, open* and *read* all records for the full retention period
- Records are destroyed/deleted at the end of the retention period
 - Risk Mitigation
- Records retentions are applied to both paper and electronic information
 - Regardless of type or device used
- Records retentions are applied consistently across and within groups

REMEMBER: 1 GIG = 167 BOXES OF RECORDS

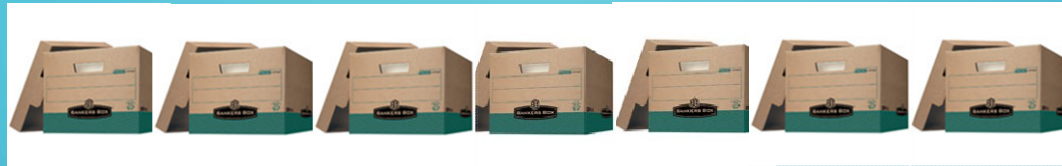


70 BOXES

PLUS 70 BOXES



NOW THAT IS ALL A LOT OF RECORDS!



PLUS 26 MORE BOXES = 167

QUESTIONS?

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or web

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