




FILES MANAGEMENT

PRESENTED BY
RECORDS MANAGEMENT SERVICES
543-0573
URC@U.WASHINGTON.EDU





THE BASIC OBJECTIVE OF ANY GOOD FILING SYSTEM

Find the record you need...and do it
quickly and economically
(Regardless of format)





WHAT IS A RECORD?

“.....Any paper, correspondence, completed form, bound record book, photograph, sound recording....machine readable material....or other document ***regardless of physical form or characteristics.....***”

40 RCW 14.010



WHO IS RESPONSIBLE FOR RECORDS?

RECORDS AUTHORITY:

Final approval for both the disposition of records and for departmental retention schedules

RECORDS COORDINATOR:

Administers procedures regarding daily records related functions

- Files organization and maintenance
- Implementation of retention schedules
- Records storage
- Records destruction
- Liaison with records management services



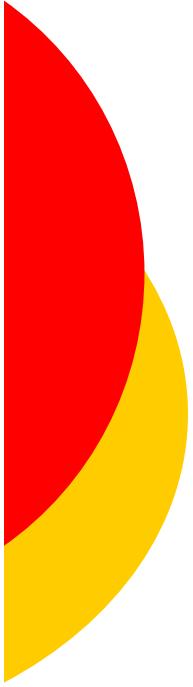
ESTABLISHING AND MAINTAINING CONTROL OVER FILES WILL BRING SPECIFIC BENEFITS

- Uniform practices
- Simplified filing
- Faster retrieval
- Easier training of new personnel
- Expandability and flexibility
- Standard procedures for disposing of obsolete records
- Better service to clients/public
- Protection of vital records
- Compliance with legal and audit retention requirements



A WELL DESIGNED FILING SYSTEM:

- Must make filing less difficult, tedious and unattractive
- Must offer quick and easy filing and retrieval of information with a minimum of wasted time and effort (ie: 30 second retrieval time)
- Should provide clear simple file categories
- Should be expandable and flexible enough to meet everyone's needs
- Must ensure integrity and continuity of recordkeeping, despite changes in office personnel
- Must have uniform practices
- Must allow for the easy identification and purging of inactive records



FILE WHAT?

RECORDS....

A good filing system is comprised exclusively of records

DON'T FILE.....

Material that is created or kept only for convenience or reference



Material that May be Disposed of Without A Specific Retention Period

The following materials are considered to have no administrative, legal, fiscal or archival requirements for their retention. They may be disposed of as soon as they have served their reference purpose.

Duplicates: Extra copies of correspondence, completed forms, bulletins, statistics, reports, hardcopy printouts from a database (including e-procurement purchase orders and reports), electronic files extracted from a master file or database, mailing lists, etc., used only for reference or informational distribution.

Document Errors: Incorrect versions of documents, forms or reports that had to be regenerated in order to correct errors in typing, data entry, spelling, grammar, or format.

Miscellaneous Notices or Memoranda: Memos and postings that do **not** relate to the functional responsibility of the department (i.e., announcements of meetings, reservations, confirmations, itineraries, acknowledgements, form-letter thank you notes, etc.).

Preliminary Drafts

Published Reference Materials: Printed materials received from other UW offices, vendors or other non-UW institutions, which require no action and are not needed for documentary purposes. May include technical reports/studies, magazines, catalogs, periodicals, flyers, announcements, newsletters and other widely distributed printed materials received by a UW office.

Requests for Information: Routine memos or forms used to request, or respond to requests for, information, forms, mailing lists, database printouts, publications, requests for computer printouts, etc. Retain until after the information has been sent or received.

Routing Slips: Memos used to direct the distribution of documents.

Stocks of Publications: Supplies (multiple copies) of departmentally-produced printed documents which are superseded, obsolete or otherwise valueless. May include program brochures, booklets, flyers, forms, catalogs, directories, manuals, posters and other informational materials produced by a department for wide distribution.

NOTE: One copy of all UW publications should be sent to Archives at Box 352900.

Transmittal Memos: Letters and FAX cover sheets which accompany a document, report, form, etc., that do not add any substantive information to the transmitted material.



Material that may be Disposed of Without a Specific Retention Period May be Managed as Follows:

- **Published reference materials:** Best maintained in a centralized office library.
- **Stocks of Publications:** Best maintained in a centralized storage/publication area.
- **Miscellaneous Notices or Memoranda:** If it does not relate to the *Functional Responsibility* of the department...maintain separately and discard when superseded/no longer needed.
- **Blank Forms:** Filed together in a specifically designated cabinet/file drawer.

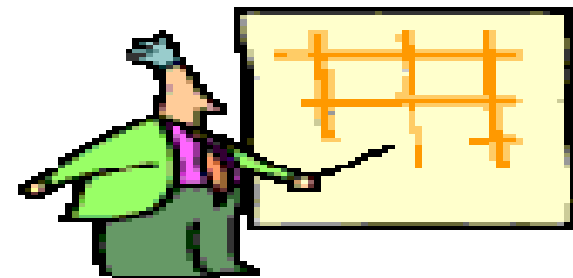


Developing or Improving a Filing System: Plan Elements in Logical Order

1. Assign responsibility
2. Obtain support
3. Collect information:
Inventory records
4. Analyze records
5. Develop a filing system
6. Implement systems
7. Train users
8. Monitor implementation,
follow up and revise system

LET EVERYONE KNOW WHAT YOU ARE DOING – PEOPLE MAY BE RESISTANT:

- Get them involved in the process – a little courtesy goes a long way
- The creator of a record may provide important insight that leads to the perfect filing system
- Office members can help identify specific problems within the current filing system
- Someone might actually have a good idea
- Involving others in the process makes them a little more amenable to using the system once it is implemented





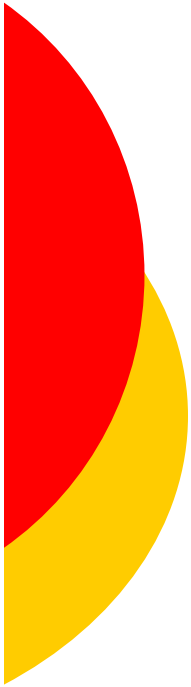
ANY CHANGES TO A FILING SYSTEM ***MUST*** BEGIN WITH AN **INVENTORY**

INVENTORY:

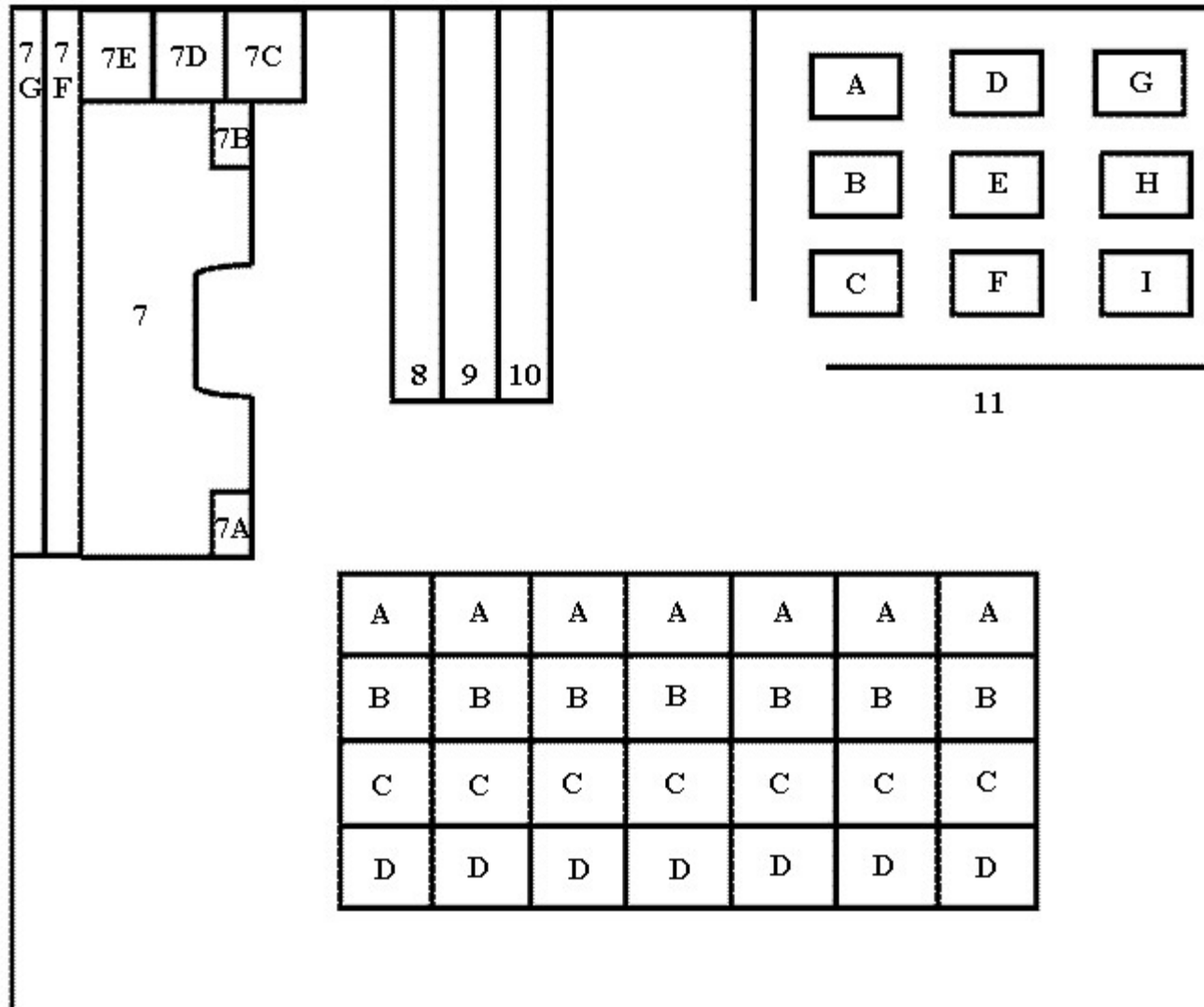
A detailed listing of all existing files in an office.

The inventory is the foundation of a filing system.





CREATE A MAP OF EACH ROOM TO BE INVENTORIED





SAMPLE INVENTORY

Chiefs' Meetings 1985
Chiefs of Service
Child Care
China
Circular A-21
Clinical Services Meeting - 1985
Committees, Department
Computer
Conferences and Seminars 1979
Conference Information
Conference Room and Library
Congressional Initiatives
Consulting
Continuing Medical Education
CME Conference Timberline Lodge, Mount Hood, OR, March 2-4, 1989
Contributions
Correspondence - Patient Inquiries
Correspondence - Recommendations
Correspondence - Misc.
Cost Centers
CSA Contracts
Courses
D - General 1/79 -
Department of Social and Health Services 85-89
Department of Health Services - Research
DSHS Mess
DSHS Collaboration
Departmental Goals 1989
Department Goals, Community
Department Picnic - Summer
Departmental Research 1989
Development and Gift Office
Directory
Distilled Water System
Drug Companies and Studies 1989
E - General 1/78 -
Electroconvulsive Therapy 1978 KEEP
Emergency Operations
Endowed Chairs/Professorships
Environmental Health and Safety
Equipment - Mass Spectrometer
Equipment Matching
Equipment Repair
Evans, E.A.
Exempt Staff
F - General 1/79 -
Faculty Administrative Job Descriptions
Faculty/AUP Meeting - April 6, 1988
Faculty Appointments & Promotions Committee
Faculty Appointment, Reappointment and Tenure Rules
Faculty Auxiliary (Newcomer's Committees)
Faculty Biographical Sketches
Faculty Club
Faculty Database 8/89
Faculty Effort Survey 1989
Faculty Effort Analysis
Faculty Emeritus
Faculty Interested in Social and Beh Sciences in Public Health
Faculty Interest Group Questionnaire
Faculty Lists 74-80
Faculty Lecturer Titles
Faculty Lists Misc
Faculty Meeting, June 20, 1990
Faculty Meeting, October 1989
Faculty Meeting (March 6, 1989)
Faculty Meetings, Clinical and Regular
Faculty Orientation
Faculty - Personal Matters Speltz & Webster-Stratton
Faculty Position Inquiries A-G
Faculty Position Inquiries H-O
Faculty Position Inquiries P-Z
Faculty Practice Committee
Faculty Promotion Guideline
Faculty Recruitment Brochure
Faculty, Research
Faculty Salaries
Faculty Tracks
Faculty Senate
Faculty Tenured
Faculty Workstation Initiative



THE ANALYSIS

- WHAT records are created
- WHY are they created
- HOW are they used





AN ANALYSIS BEGINS WITH CAREFUL CONSIDERATION OF THE FOLLOWING QUESTIONS:

- Who creates the records
- Who uses the records
- How are records requested
- How often are various types of records requested
- What is the volume of records created
- How long do records remain current
- How many people need access to the records
- How much equipment is available to store the records
- How much space is available for equipment/growth
- Which records are confidential
- Are there legal requirements for retaining the records
- Which are the vital records



PRIMARY CLASSIFICATION

- Describes the broadest and most fundamental distinctions between records
- Groups records by function and responsibility
- Most offices create:
 - Administrative files
 - Organizational files
 - Program Files
 - Case files



PRIMARY CLASSIFICATION

- **ADMINISTRATIVE FILES:** Documents the internal administration and operation of the office. Concerns the setting of broad policy and procedure.
- **ORGANIZATIONAL FILES:** Documents the relationship of an office with other offices and departments within the University. Documents daily transactions or activities. Concerns the support services or “housekeeping” functions: payroll, purchasing, equipment inventory, budget, facilities management.
- **PROGRAM FILES:** Documents basic activities and programs. Documents a project, action, event, or task.
- **CASE FILES:** Documents a specific event, project, person, transaction. Includes grant and contract files, patient records, student records.



SECONDARY CLASSIFICATION: RECORD SERIES

RECORD SERIES

A group of records that are created, used, and filed as a unit because they relate to a particular subject or function, result from the same activity, or have a particular physical form

All files must be classified by record series. A filing system is managed on the basis of its record series, not by individual folders.

Within the four primary classifications, files are sorted into record series.



CONSIDERATIONS TO HELP WITH THE ANALYSIS

- Retention Period
- Vital Records
- Managing correspondence



GENERAL RECORDS RETENTION SCHEDULE

- **UW-GS 1 Committees, Councils, Associations And Boards**
- **UW-GS 2 Environmental Health & Safety/Facilities Services Records**
- **UW-GS 3 Curriculum Records**
- **UW-GS 4 Material That May Be Disposed of Without A Specific Retention Period**
- **UW-GS 5 Electronic Mail**
- **UW-GS 6 Financial Records** (For non-grant/contract funded budgets)
- **UW-GS 7 Research and Grant/Contract Records**
- **UW-GS 8 Personnel and Payroll Records**
- **UW-GS 9 Student Records**
- **UW-GS 10 General Office Administration Records**



READING THE GENERAL SCHEDULE

Gift Records: Documentation of the amounts of donations received, name of donors, and conditions placed on donations. May include Gift/Pledge Transmittal Form, correspondence, solicitation material, copies of checks or securities documents, acknowledgement letters, etc.

Official Copy: Development and Alumni Relations: Gift Processing (non-endowed funds)

Retention: 6 years after end of month

Official Copy: Treasurer's Office (endowed funds)

Retention: 6 years after endowment liquidated; transfer to Archives for review

Official Copy: UWT: Office of Advancement (non-endowed funds)

Retention: 6 years after end of month

Official Copy: UWB: Development and Alumni Relations (non-endowed funds)

Retention: 6 years after end of month

Other Copy: College/School or Department

Retention: 2 years after end of biennium

1. Agency Title		2. Office of Record		3. Records Coordinator			4. Phone	5. Date	
University of Washington		Eng: Aeronautics and Astronautics: F.K. Kirsten Wind Tunnel (Aeronautical Laboratory)		Jack Ross <i>John W. Ross</i>			543-0337 BX 352400	06/22/2005	
6. No	7. Records Series Title	8. Function/Purpose	9. OPR OR OFM	10. Location of Official Copy	11. CUT-OFF	12. Retention		13. Disposition	14. Remarks
						Office	Records		
7	Test Data - Magnetic Format OBSOLETE	Raw data, including TAB data, produced as result of wind tunnel test. May be stored on magnetic tapes or compact discs. (Discontinue this record series; no longer an office function.)	OFM		Completion of Project	6Y	0Y	97-MM-57842r1R1	
8	Wind Tunnel Construction Plans	Architectural, mechanical, and electrical plans for the original construction of the wind tunnel facility. Also contains construction drawings for scale models built specifically for use in wind tunnel testing (This revision changes the title from Architectural Plans and revises the description, redesignates the series as OPR, changes cut-off from Administrative Purpose Served, and increases retention from 0 years.)	OPR		Disposition of Facility	6Y	0Y	97-07-57835r1R1	PA

SEP 07 2005

15. RECORDS OFFICER: *[Signature]*
 ACTION BY STATE RECORDS COMMITTEE: APPROVED APPROVED AS AMENDED DISAPPROVED

RECORD GROUP # 22.15.00 REVISION NO: 1	FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>	FOR THE DIRECTOR OF OFM <i>[Signature]</i>
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VITAL RECORDS

VITAL RECORDS are recorded information that must be protected in case of disaster

VITAL RECORDS ARE:

- Vital to the function and mission of the University
- Essential for the continuation or reconstruction of an office
- Necessary to reestablish normal operations after a disaster
- Necessary to establish or protect the legal and financial position of the University
- Necessary to protect and ensure the rights and interests of University employees and clients

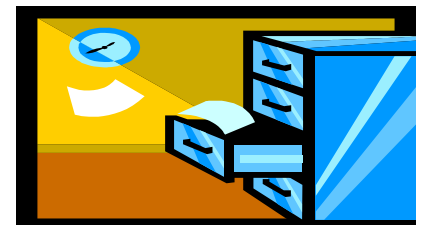
CORRESPONDENCE

- Poses the most problems for an office
 - Issues are the same for managing email
- Unique documents that are difficult to classify
- Consists of incoming/outgoing letters and memoranda
- Retrieval *depended* on date of receipt or transmittal
- Information is commonly retrieved on the basis of content
- Recommendation:
 - File by Subject not Date



TO COMPLETE THE ANALYSIS

- Identify the primary classification of the files
 - Sort folders into the appropriate primary classifications
- Within each primary classification, sort folders into record series
 - Identify folders that will not fit into a record series
 - Identify why folders will not fit into a record series
- Determine the most practical solution



Meeting Minutes / Committee Files
 Facilities mgmt
 Financial Records
 Policy & Procedures
 Conferences: Internal External
 Correspondence

- ~~Chiefs Meetings 1985~~
- Chiefs of Service
- Child Care
- China
- Circular A-21
- ~~Clinical Services Meeting PB&S~~
- ~~Committees, Department~~
- Computer
- Conferences and Seminars 1979
- Conference Information
- Conference Room and Library
- Congressional Initiatives
- Consulting
- Continuing Medical Education
- CHB Conference Timberline Lodge, Mount Hood, OR, March 2-4, 1989
- Contributions
- Correspondence - Patient Inquiries
- Correspondence - Recommendations
- Correspondence - Misc.
- Cost Centers
- CSA Contracts
- Courses
- D - General 1/79 -
- Department of Social and Health Services 88-89
- Department of Health Services - Research
- DSHS Mess
- DSHS Collaboration
- Departmental Goals 1989
- Department Goals, Community
- Department Picnic - Summer
- Departmental Research 1989
- Development and Gift Office
- Directory
- Distilled Water System
- Drug Companies and Studies 1989
- E - General 1/78 -
- Electroconvulsive Therapy 1978 KEEP
- Emergency Operations
- Endowed Chairs/Professorships
- Environmental Health and Safety
- Equipment - Mass Spectrometer
- Equipment Matching
- Equipment Repair
- Evans, E.A.
- Exempt Staff
- F - General 1/79 -
- Faculty Administrative Job Descriptions
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- Faculty Interest Group Questionnaire
- Faculty Lists 74-88
- Faculty Lecturer Titles
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- ~~Faculty Meeting, June 20, 1990~~
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- Faculty Practice Committee
- Faculty Promotion Guideline
- Faculty Recruitment Brochure
- Faculty, Research
- Faculty Salaries
- Faculty Tracks
- Faculty Senate
- Faculty Tenured
- Faculty Workstation Initiative

correspondence?
 - faculty file?
 - state person?

why created &
 how used.





COMMON FILE ARRANGEMENTS

- Alphabetic—retrieval by name or topic
 - Dictionary—each subject provided its own folder
 - Encyclopedic—subjects are grouped into major headings
- Chronological—created and monitored on a daily basis
- Geographical
- Numerical—arranged by document number
 - Serial Number—documents with a preprinted number
 - Digit Filing—applied number



CENTRALIZED V. DECENTRALIZED FILING SYSTEMS

Centralized Filing Systems

All record series are in a centralized location

- Greater control over the files
- Uniformity and consistency is easier to maintain
- All important information is located in a central location
- All information regarding a specific subject is located in a central location
- The need for duplicate files is eliminated
- The storage of records requires less equipment and space
- Like a shared directory



CENTRALIZED V. DECENTRALIZED FILING SYSTEMS

Decentralized Filing Systems

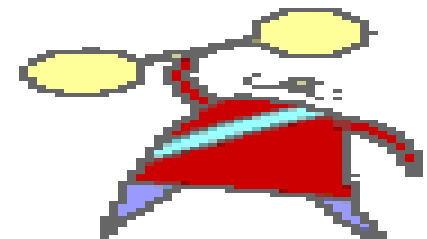
Locates individual record series within different locations in an office

- Less chance of folders being misfiled into the wrong record series
- Limited access to a record series leads to greater security and confidentiality
- The record series is physically located closer to its user
- Like an individual's access to their hard drive



STEPS IN THE IMPLEMENTATION PROCESS INCLUDE:

- Sorting paper files into primary classification
- Sorting electronic files into directories (the equivalent of primary classification)
- Sorting paper files into record series
- Sorting electronic files into folders (the equivalent of record series)
- Arranging files within each record series
- Assigning a physical location within the filing system to each primary classification and its attendant record series
- Relabeling folders or creating folders to reflect the new filing system
- If necessary, the purchase of new supplies/filing equipment






TRAINING SESSIONS

- Develop the system thoroughly
- Work out flaws so that the system has credibility
- Offer users the opportunity to ask questions
- Present system goals
- Explain new procedures
- Assign staff duties and responsibilities
- Stress commitment to constant system improvement



Importance of Electronic Records

The UW's legal, research, fiscal and administrative needs require access to records in all forms, including electronic formats. Many departments and individuals deal with electronic records without having procedures and structures in place to enable them to make informed choices about software, storage and retrieval. Current management and future retrieval of the electronic records we create today is one of the biggest challenges faced by the University.



What Do We Mean By Electronic Records?

- Spreadsheets
- Word processing
- Email
- PowerPoint presentations
- Information held in databases
- Information on disks/CDs/DVDs

Why Worry About Your Electronic Records?

- Ease of Retrieval
- Efficiency in your office
- Minimize frustration
- Same records retention obligations as paper files





Designing Your Electronic Filing System

- Assign responsibility and obtain support
- Conduct an inventory
- Analyze the records
- Classify the records
- Implement the system



Analyzing Your Electronic Records

- Similar to the analysis of paper records
 - Decisions are based on business needs
 - Are there any vital records?
 - Should the records be stored on personal workspace or group workspace?

Personal Workspace vs. Group Workspace

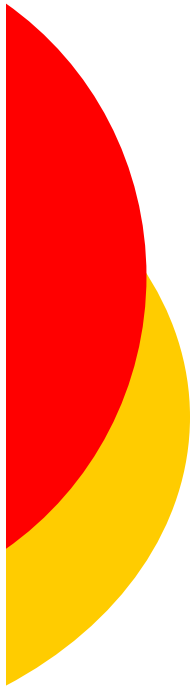
○ Personal

- Hard drive on a personal computer
- Personal drive on a network
- Email in/out boxes
- Disks/CDs/DVDs

○ Group

- Shared drive on a network
- Shared database
- Centrally filed disks/CDs/DVDs





megan on '172.28.81.8' (E:)

File Edit View Favorites Tools Help

Back Forward Search Folders

Address megan on '172.28.81.8' (E:)

megan on '172.28.81.8' (E:)

This folder is **Online**.

Select an item to view its description.

Capacity: 37.2 GB

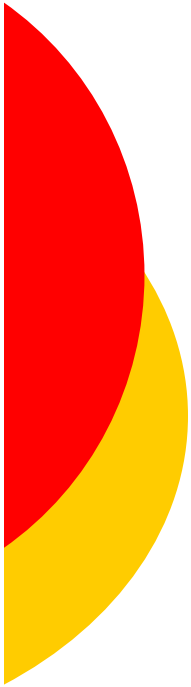
- Used: 928 MB
- Free: 36.2 GB

See also:

- [My Documents](#)
- [My Network Places](#)
- [My Computer](#)

30 object(s) 559 KB Internet

08.10.00.doc	10_15_04ER...	65-1214.xls	chains budget.xls	chains.doc	Christie Letter.doc	DB.doc
Eliza Training.doc	Email.doc	ERMAG10_...	Garbage Oct 2.doc	GarbageOct...	GCSCorr.doc	Hours.doc
Joe October.doc	Kids.doc	MTV.doc	Newsletter October.doc	RIM news oct.doc	RMNews.doc	Sept NL.doc
SRC.doc	srcag.doc	SRCmin.doc	State Letter.doc	Training April 04.doc	URC.doc	Van.doc
Vendor Prop.doc	Versatile.doc					



Megan Drive Inventory

08.10.00.doc	
10_15_04ERMAG.doc	
65-1214.xls	
Chains Budget.doc	
Chains.doc	
Christie Letter.doc	
DB.doc	
Eliza Training.doc	
Email.doc	
ERMAG10_20_04.doc	
Garbage Oct 2.doc	
GarbageOctober14.doc	
GCSCorr.doc	
Hours.doc	
Joe October.doc	

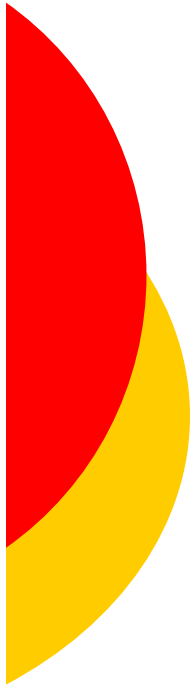
Kids.doc	
MTV.doc	
Newletter October.doc	
RIM News oct.doc	
RMNews.doc	
Sept NL.doc	
SRC.doc	
Scrag.doc	
SRCmin.doc	
State Letter.doc	
Training April 04.doc	
URC.doc	
Van.doc	
Vendor Prop.doc	
Versatile.doc	



Megan Drive Inventory

08.10.00.doc	Correspondence
10_15_04ERMAG.doc	Committees
65-1214.xls	<i>Grants-Financial</i>
Chains Budget.doc	<i>Grants-Financial</i>
Chains.doc	Grants - Proposals
Christie Letter.doc	Grants - Admin
DB.doc	Grants - Proposals
Eliza Training.doc	Training
Email.doc	Policy and Procedure
ERMAG10_20_04.doc	Committees
Garbage Oct 2.doc	Committees
GarbageOctober14.doc	Committees
GCSCorr.doc	Grants - Admin
Hours.doc	Policy and Procedure
Joe October.doc	Correspondence

Kids.doc	Policy and Procedure
MTV.doc	Training
Newletter October.doc	<i>Publications - Newsletter</i>
RIM News oct.doc	Publications - Web Page
RMNews.doc	Publications - Web Page
Sept NL.doc	Publications - Newsletter
SRC.doc	Correspondence
Scrag.doc	Committees
SRCmin.doc	Committees
State Letter.doc	Correspondence
Training April 04.doc	Training
URC.doc	Training
Van.doc	Policy and Procedure
Vendor Prop.doc	Grants - Admin
Versatile.doc	Grants - Proposals



CORRESPONDECE

State Letter.doc
08.10.00.doc
Joe October.doc
SRC.doc

GRANTS

PROPOSALS

chains.doc
DB.doc
Versatile.doc

FINANCIAL

65-1214.xcl
Chains Budget.xcl

ADMIN

Vendor Prop.doc
Christie Letter.doc
GCSCorr.doc

POLICY AND PROCEDURE

Email.doc
Van.doc
Hours.doc
Kids.doc

COMMITTEES

ERMAG

10_15_04ERMAG.doc
ERMAG10_20_04.doc

GARBAGE

Garbage Oct 2.doc
GarbageOctober14.doc

SRC

SRCmin.doc
Srcag.doc

TRAINING

MTV.doc
URC.doc
Training April 04.doc
Eliza Training.doc

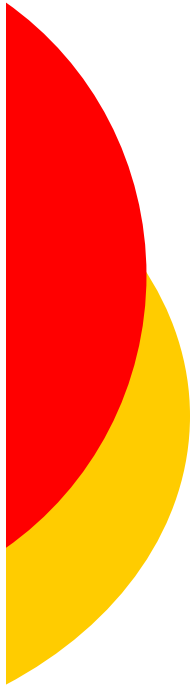
PUBLICATIONS

WEBPAGE

RIM News oct.doc
RMNEWS.doc

NEWSLETTER

Newsletter
October.doc
Sept NL.doc



megan on '172.28.81.8' (E:)

File Edit View Favorites Tools Help

Back Forward Stop Search Folders

Address megan on '172.28.81.8' (E:) Go

COMMITTEES CORRESPONDENCE GRANTS POLICY & PROCEDURE PUBLICATIONS TRAININGS

megan on '172.28.81.8' (E:)


⊕ This folder is **Online**.

Select an item to view its description.

Capacity: 37.2 GB

Used: 928 MB

Free: 36.2 GB



See also:

- [My Documents](#)
- [My Network Places](#)
- [My Computer](#)

6 object(s) 0 bytes Internet

GRANTS [Window Title Bar]

File Edit View Favorites Tools Help [Menu Bar]

Back Forward Stop Search Folders [Toolbar]

Address GRANTS [Address Bar]

GRANTS [Folder Name]

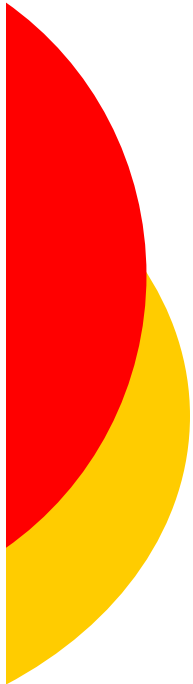
This folder is **Online**.

Select an item to view its description.

- 65-1214.xls
- chains budget.xls
- chains.doc
- Christie Letter.doc
- DB.doc
- GCSCorr.doc
- Vendor Prop.doc
- Versatile.doc

See also:
[My Documents](#)
[My Network Places](#)
[My Computer](#)

8 object(s) 141 KB Internet [Status Bar]



PROPOSALS

File Edit View Favorites Tools Help

Back Search Folders

Address PROPOSALS Go

PROPOSALS

This folder is **Online**.

You can make files in this folder available when you are disconnected from the network by selecting the file and clicking on **Make Available Offline** in the File menu.

- Emergency Prep 2004_c...
- Emergency Prep 2004_...
- ITAC 2004 DB.doc

Select an item to view its description.

- See also:
- [My Documents](#)
 - [My Network Places](#)
 - [My Computer](#)

3 object(s)




57 0 KB Internet

PROPOSALS

File Edit View Favorites Tools Help

Back Forward Stop Search Folders Refresh Home X Back

Address PROPOSALS Go

Name	Size	Type	Modified
 Emergency Prep 2004_chains.doc	19 KB	Microsoft Word Document	10/18/2004 2:45 PM
 Emergency Prep 2004_DB.doc	19 KB	Microsoft Word Document	10/18/2004 2:45 PM
 ITAC 2004 DB.doc	19 KB	Microsoft Word Document	10/18/2004 2:45 PM

PROPOSALS

This folder is **Online**.

You can make files in this folder available when you are disconnected from the network by selecting the file and clicking on Make Available Offline in the File menu.

Select an item to view its description.

See also:

[My Documents](#)

[My Network Places](#)

[My Computer](#)

3 object(s)

57.0 KB

Internet



Naming Conventions

○ Advantages

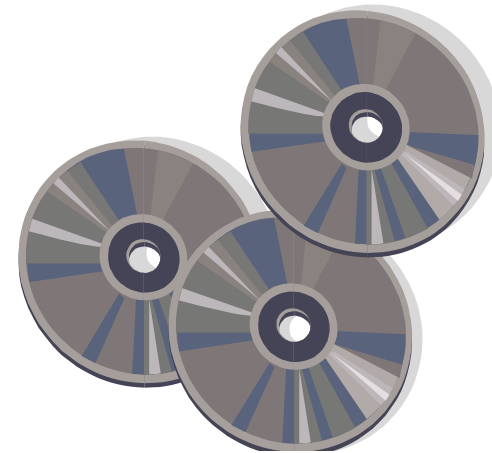
- Documents easily located
- Avoids duplicating work
- Distinguish final versions of drafts
- Facilitates automated search and management


○ Conventions

- Simple and consistent
- Understandable
- Based on existing conventions and standards
- Related to manual filing system

Some How To's For Electronic Records

- Properly Save a File
 - "Save As" vs. "Save"
- Rename Files
- Delete Files
- Move Files





Maintaining Your Electronic Files Management System

- Make sure users know about naming conventions
- Training, training, training
 - Informs staff about procedures
 - Enhances compliance
 - Gives staff tools for following procedure
 - Invests staff in the new system
- Control creation of directories
- Coordinate the disposition of electronic records



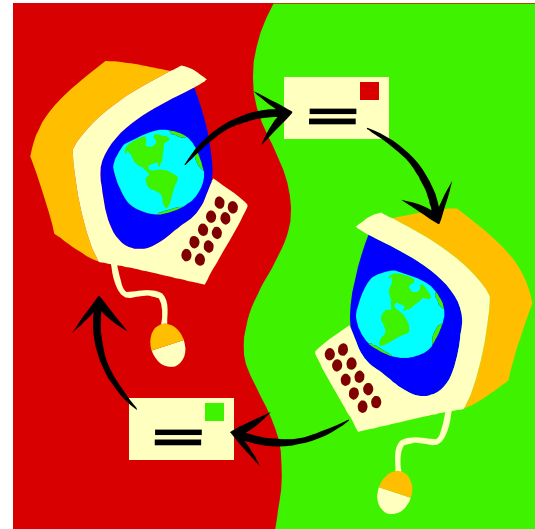
Purging Electronic Documents

- 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.



What About Email?

- University Email Policy
- Create File Folders in Email
- Purge and Weed Email Regularly





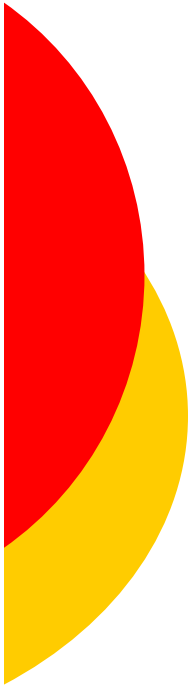
University Email Policy

Electronic mail is a technology that allows for the written exchange of information in machine readable format. Email represents not the system, but the information communicated through the system.

- Email messages are considered public records with legally mandated retention requirements. They are subject to the same rules and regulations as those which govern the management of paper records.
- Like any other records, Email messages are subject to the guidelines in RCW 40.14 regulating the preservation and destruction of public records.
- Like any other records, Email is managed through records retention schedules.
- Like any other records Email is managed by its content, not its format.
- Like any other records, depending on content, Email must be retained as evidence of official policies, actions, decisions or transactions.
- Like any other records, depending on content, Email that is considered to have no administrative, legal, fiscal, or archival requirements for its retention may be deleted as soon as it has served its reference purpose. Refer to [UW-GS4](#).

PROCESSING RECORDS FOR FILING

- Check to see that the material is complete
- Analyze item for inclusion in appropriate:
 - Primary classification
 - Record series
 - Folder
- If the folder does not exist, create a new folder
- File the item in front of the folder
- Integrate the folder into the filing system





OUTCARDS

They *must* be used to maintain the filing system.

Outcards include:

- File folder title
- Borrower name
- Date charged out
- Date returned



Labeling Files

- Drawer or Shelf Labels
 - Labels should be typed in uppercase and include:
 - Primary classification
 - Secondary classification (Record series title)

- File Guide Labels/Tabs
 - Labels should be typed in uppercase and include:
 - Secondary classification (Record series title)

- File Folder Labels
 - File folder labels should include:
 - Folder title
 - Dates



FILING SUPPLIES

- Tabs
 - Full cut
 - Half cut
 - Third cut
- Weight
 - 14 point manila=50 sheets of paper
 - 24 point press board=high volume/activity
- Color Coding
 - Labels
 - File folders
 - Hanging folders
 - Record Series
 - Dates
 - Vital Records





INACTIVE RECORDS

The *final* and *most* important step in the maintenance of a successful filing system



CUT-OFF

The cut-off signals the point at which a record series becomes inactive

- A specific event
 - Termination of employment
 - End of funding period
 - Accreditation received
- A period of time
 - End of the quarter
 - End of the calendar year
 - End of the biennium



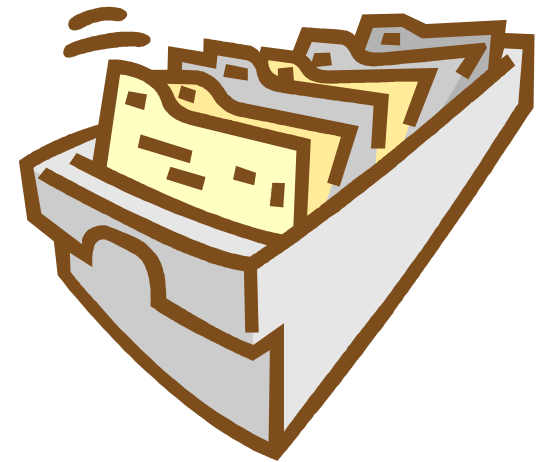
WEEDING AND PURGING

- Weeding
 - Faster retrieval of both active and inactive files
 - Expandability for active files
 - Fewer misfiles
 - Greater economy
- Purging
 - Avoids last minute crash programs to clean out office or storage areas
 - Ensures compliance with records retention schedules
 - Reduces the risk of litigation cost
 - Reduces the risk of unfavorable audit findings

STORAGE ROOMS AND BASEMENTS

If a storage area must be created, the following should be considered:

- Location—convenience to the office
- Size—including room for growth
- Access
- Security
- Fire protection
- Temperature/humidity controls
- Shelving
- Water/flood prevention
- Floor load
- Work areas/lighting
- Ventilation





STORAGE ROOM WARNING!

The use of storage rooms and basement storage areas can seriously undermine a filing system UNLESS the same procedures for files maintenance used in the office are applied to records stored in these areas

- Have one person responsible for maintaining the area
- Designate specific areas for the storage of records—keep equipment separate
- Apply retention schedules to the records
- Always use standard record storage cartons
- Label boxes with dept. name, record series, dates and anticipated date of destruction
- Create a log of records which are transferred to storage
- Enforce charge-out rules when retrieving records from storage
- Protect confidential records from unauthorized access
- Protect Vital Records



RECORDS CENTER ADVANTAGES

- Maximum efficiency and utilization of space
- Ability to provide orderly arrangement and control
- Ability to employ procedures which assure prompt and efficient handling of records
- Ability to provide fast and easy folder and box retrieval
- Ability to provide physical security
- Protect against damage or destruction due to natural or other disaster
- Protect confidential records from unauthorized access
- Ability to provide systematic, documented legal disposition of records which have reached the end of their retention period
- Assure records are destroyed only with prior authorization from the originating office



INACTIVE STORAGE PROCEDURES

Forms and logs are used to keep track of:

- Records transferred to storage
- Storage location assigned each box/record series
- Authorized access
- Records retrieved for reference
- Records returned for refiling
- Records that have reached the end of their retention period and are ready to be destroyed
- Records that have been destroyed
- The manner and date of records destruction





UNIVERSITY ARCHIVES

Records identified on Departmental Retention Schedules as
“Potentially Archival” or “Archival”

Records identified on the General Schedule as “Transfer to
Archives for review” or “Transfer to Archives”

Records with continuing:

- Administrative
- Legal
- Fiscal
- Historical Value

Contact the University Archives
John Bolcer, University Archivist
jdbolcer@u.washington.edu



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