



Using the General Schedule

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What is Records Management?

- ▶ The application of systematic control to recorded information
- ▶ A logical and practical approach to the creation, maintenance, use and disposition of records, and therefore to the information those records contain.



What is Records
Management....Really?


COMPLIANCE



Records Management Compliance Responsibility

It is the general policy of the University to:

- ▶ Create only the records you need
- ▶ Retain records according to legally approved records retention schedules
- ▶ Maintain active and inactive records in appropriate storage equipment and locations
- ▶ Discard records when no longer required
- ▶ Preserve records of historical significance
- ▶ Identify and protect vital records



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 Students
- ▶ Eliminates the need to produce records which have reached the end of their retention period...and have been destroyed



Responsibilities of Offices and Departments

- ▶ Records Authorities

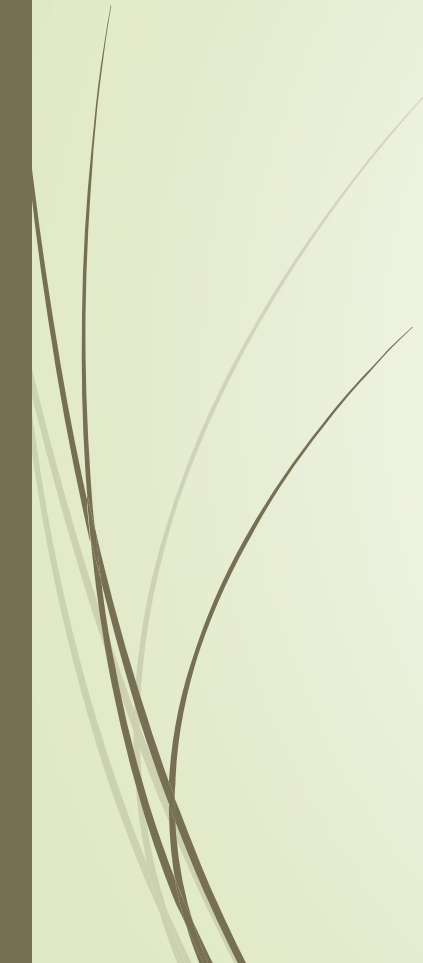
The **Records Authority** has final approval for the disposition of records and oversees the implementation of records retention schedules

- ▶ Records Coordinators

The **Records Coordinator** administers all day-to-day transactions associated with the office's records-related functions. This can include files organization and maintenance, inactive records storage, and records destruction. The Records Coordinator also acts as liaison with Records Management staff.



Managing Records: Records Retention Schedules

- ▶ A Records Retention Schedule identifies and describes each type of record created and received by an entity and specifies how long that record must be retained before it can be destroyed
 - ▶ All records—paper and electronic—are managed through Records Retention Schedules
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Purpose of Retention Schedules

- ▶ Assure compliance with state and federal requirements by clearly stating how long each record must be retained
- ▶ Provide a guideline for weeding files and moving them to inactive storage
- ▶ Identify records which can be purged from the files and destroyed
- ▶ Identify Vital Records
- ▶ Identify Archival records



I HAVE TO KEEP *THIS* FOR HOW LONG?!!

If Everything is a Record

and

Management and Retention is based on **Content not
Format.....**



What Do You Mean This Is A Record?

RCW 40.14.010

Definition and classification 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.



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, or result from the same activity, or have a particular physical form.

A retention schedule is comprised of record series

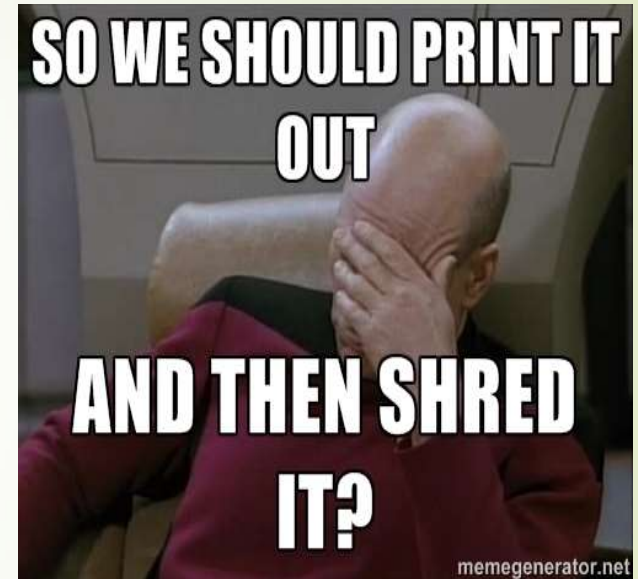
UW GENERAL RECORDS RETENTION SCHEDULE

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

- **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** Materials That May Be Disposed of Without A Specific Retention Period
- **E-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
- **UW-GS11** Publication Records

Shredding Confidential Records

- General Records Retention Schedule identifies records that should be shredded
- Records can be shredded in your office or by a vendor
- Shredding Logs Provide an audit trail to document destruction
 - For a sample Shredding/Recycling Log, click [here](#)



Fun fact:
electronic records
need not be
shredded!

The Never-Ending Story of the Payroll Hold

- Payroll Records are on litigation hold University wide
- View the [announcement](#) detailing the records currently on litigation hold.
- Hold in place since November 2006. Anticipated end date – unknown
- Send us your records within their retention and we'll keep them until the hold is lifted
- If they are already past retention, we can't take them– **but you are responsible for keeping them!**

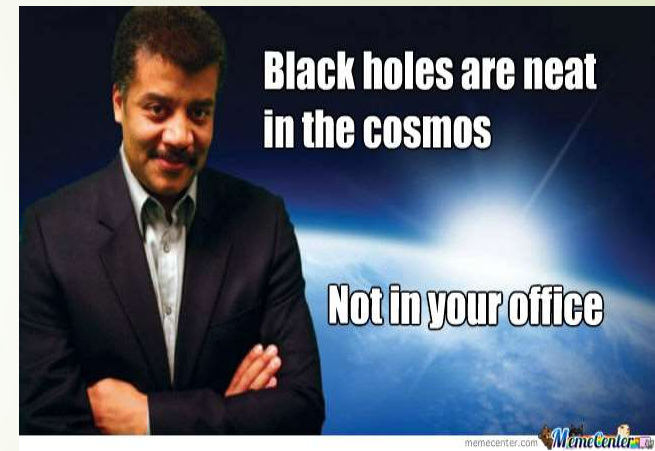


UWGS 04: Dark Data

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

- No administrative, legal, fiscal or archival requirements for their retention
- May be disposed of as soon as they have served their reference purpose
- Includes orphan documents and **drafts**
- Includes list of electronic records that do not have to be printed or saved

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





QUESTIONS?

Contact
us by
phone,
email or
web

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