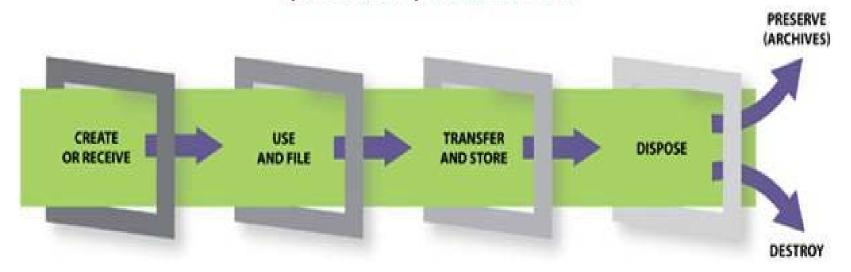


# Records Management 1: Introduction

**University Archives** 

## What is Records Management?

 A program designed to systematically control or monitor records during their entire lifecycle from creation or receipt to disposal.



#### How Does It Control Records?

- Promotes efficient administration and management of records.
  - Removes inactive or obsolete records from the offices.
- Ensures that records are maintained as long as they meet administrative, fiscal, and legal requirements.
- Ensures the protection of vital and historical records.
- Ensures compliance with all internal, state, and federal policies.
  - Reduces the university's liability.

#### What is a record?

 A record is any document created, received, and maintained that documents the university's activities, transactions, and functions in the course of the its business or legal obligations, regardless of format.

#### • Examples:

- Correspondence
- Invoices
- Time Sheets
- Travel vouchers

- Meeting Minutes
- Registers
- Maps
- Photographs

### Records Are Information Fixed On Any Media

- Electronic Records
  - Word documents
  - -Spreadsheets
  - -PDFs
  - -JPEGs
  - -DVDs
- Databases
- Videos and photographs
- Paper documents

## Records Are Defined by...

- Federal and State legislation
  - FERPA, HIPAA, SOX (Arbanes-Oxley), Gramm-Leach-Bliley, IRS
  - The courts "ESI" (Electronically Stored Information)
  - Institutional Policy
  - Department Needs

## University Records

- Records created or received by a department or an employee of the university become the property of the university.
- Records created or received by faculty in the conduct of student advising, committee work, administration, or university program, school and department administration are also university records.
  - Exceptions include faculty manuscripts, teaching and research notes. These items may be donated to the University Archives.

#### Records Have a Value

A records management program ensures that records are kept as long as they have value:

- Administrative/Operational
- Fiscal
- Legal/Regulatory
- Archival/Historical
- Research

#### What isn't a record?

- Reference materials
- Surplus publications
- Personal files
- Duplicates
- Preliminary drafts
- Convenience copies
- Blank forms

## Why do we do we need a Records Management Program?

- To minimize risk and lower liability
- To provide efficient and transparent business processes
- To preserve our institutional story

## Minimizes Risk and Lower Liability

Significant legal liabilities and costs associated with poor or inadequate records management practices.

- Ensures that vital records are not discarded, destroyed, or transferred outside the custody of the university.
- Records are kept as long as required and destroyed when retention requirements are met.
- Ensures records comply with state and federal regulatory requirements, legal and financial requirements, and best practices.

## Provides Efficient and Transparent Business Processes

Provides guidance on maintenance, retention, and storage based on their legal, administrative, fiscal and historical value.

- Good records management practices reduce clutter and streamline workflow.
- Well organized and managed information is quickly and easily retrieved.
- University administrative, legal, audit, research and historical interests are served.

### Preserves Our Institutional Story

- University records are important information assets and may have historical and research value or lasting administrative significance:
  - Core functions
  - Organizational structure
  - Major projects
  - Publications explaining activities and programs
- Records of enduring value are transferred to the Archives on a regular basis to be preserved and made accessible.

## Best Practices for Managing Records

- Create records that accurately document their core activities.
- Manage and store records in a manner that facilitates timely and accurate retrieval.
- Ensure that records are stored in secure locations and stable environments.
- Allow only those with proper authority to have access to the records.
- Carry out the proper disposition of records.

## Compliance

- Know and comply with University policies regarding records management.
- Know and comply with external laws and regulations that affect the records.

## Who is responsible?

- An effective records management program requires the cooperation of all University colleges and departments.
- Each employee is responsible and accountable for keeping accurate and complete records of the business activities they conduct.
- Each employee is responsible for protecting the University by creating, using, retrieving and disposing of records in accordance with the University's established policies and procedures.

#### Consult the Archivist for Guidance

The University Archivist oversees the Records Management Program and works with records creators and users to ensure the program operates effectively:

Olivia Solis

University Archivist & Records Manager

Harriet K. & Philip Pumerantz Library

**Room 105** 

Ext. 5304

osolis@westernu.edu