UNIVERSITY RECORDS MANAGEMENT PROGRAM

PRESENTED BY:

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INTRODUCTION

- Records and Information is Everyone’s Responsibility.
  - Records *Matter*
    a) That is why organizations spend money saving them
    b) It is why we have policies to manage them

- All Employees are Responsible for Following those Policies.

- Failing to do so Can Have Effects That May Be Felt for Years to Come.
BENEFITS

Eliminate Clutter
Data Integrity
Reduce Costs
Make Accessible
Ensure Compliance
STANDARDS

Retained
• According to the University-wide records management policy

Organized
• In a logical, intelligible, and systematic manner

Reviewed
• At assigned dates for destruction, erasure, or continued retention
Records and Information Policy Covers Four Primary Issues that Apply to Everyone

Policy Issues

- Recovery
- Retrieval
- Retention
- Reduction
RECORDS RETRIEVAL

- The Whole Point of Having Records is to be able to Retrieve Them When you Need Them.

- The Same Records Management Principles Apply to Paper Files and Electronic Media:
  - File in an orderly and systematic fashion.
  - Eliminate working versions and drafts when final versions are complete.
  - Move records to departmental or centralized files when you’re through using them.
  - Re-file current working papers to clear your work space.
  - Prevent unauthorized access to sensitive information by locking up paper files and following computer security guidelines.
RECORDS RETENTION

Entire file categories saved or purged

Deleted files can be recovered or undeleted

Erased & shredded files may live on

Selectively saved or removed documents
Handle all records as valuable assets of the University.

Save or purge records consistently and according to document retention guidelines.

Make sure records are useable by others with a legitimate need to know.

Treat computer systems as University–owned facilities, to be used in compliance with University policies.

Update documents on PCs, laptops, servers, and backups so that all files match.
Properly prepared schedules:

Save space + Save time = Save money
The Purpose of University-wide Records Reduction Policy is to Systematically Reduce the Cost, Floor Space, and Computer Memory Required to Store Records.

- Cooperate in records reduction
- Don’t save excess records
- Don’t save unessential duplicates, etc.
- Comply with University-wide retention guidelines
- Index master documents
- Treat email as University documents
E-MAIL

- E-Mail Reduction
  - Some email should be moved to an appropriate file and become a University record
  - Email that is not of lasting value should be received, answered, and erased.

- E-Mail Writing
  - E-mail should be written with same care and professionalism as any other document
  - E-mail deleted messages may be recoverable
  - E-mail on a University Computer is not a chat. It’s an official document.
  - E-mail if saved, may become a University record, subject to discovery.
Discovery Is:
- A formal investigation – governed by court rules – that is conducted before trial. Discovery allows one party to question other parties, and sometimes witnesses. It also allows one party to force the others to produce requested documents of other physical evidence.

Electronic Discovery Is:
- Discovery of electronic documents and data (Email, web pages, word processing files, computer databases, and virtually anything that is stored on a computer).

Documents and Data are “Electronic” if They Exist in a Medium Than Can Only Be Read Through the Use of Computers
- Cache memory, magnetic disks, optical disks (such as DVDs or CDs), and magnetic tapes.

The Same Rules That Govern Paper Discovery, Govern Electronic Discovery.
REVIEWS RECOVERY

- Disasters Come in all Sizes – From an Earthquake or Flood to a Fire Confined on a Single Floor.

- Records and Electronic Back Ups are Essential to Business Resumption After a Disaster.
  - Be prepared for disaster recovery
  - Follow University guidelines for labeling and saving records.
  - Document electronic files and make them accessible for systematic backup.
  - Move designated records on paper, electronic and other media to safe storage away from the work location.
  - Clear your desk top at the end of each day.
PROGRESS REPORT

- Policy Update– Draft Completed

- Campus–wide Communication/Training:
  - ABA Managers’ Tool Kit (March 28, 2007)
  - Business Partners’ Roundtable (April 6, 2007)
  - HR/ABA Managers’ Compliance Tool Kit (February 7, 2008)
  - President’s Cabinet (February 18, 2008)
  - ABA All Professional Staff (Nov. 2–3, 2009)
  - Business Partners’ Roundtable (August 18, 2010)

- Comply with Chancellor’s Office Executive Order 1027 and 1031:
  - Launched Records Management Web Site (July 2010)
  - Updated Retention/Disposition Schedule (July 2010)

- Move Beyond CSU Status Quo – Comprehensive Web Site
University Support

Scope and Responsibilities
- Involves entire University – legal, IT, records management, internal auditor, risk management, campus departments
- Overcome complexity by standardization

Responsible Parties
- Records Manager for overall retention program
- IT for implementation and electronic records
- Risk Manager for business continuity
- Compliance Officer/Auditor – to audit University’s process and procedures
- All campus employees – responsible for records
CONTAC T INFORMATION

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Any Questions?