

Records Management

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Records Management Officer



Why Should I Care About Records Management?

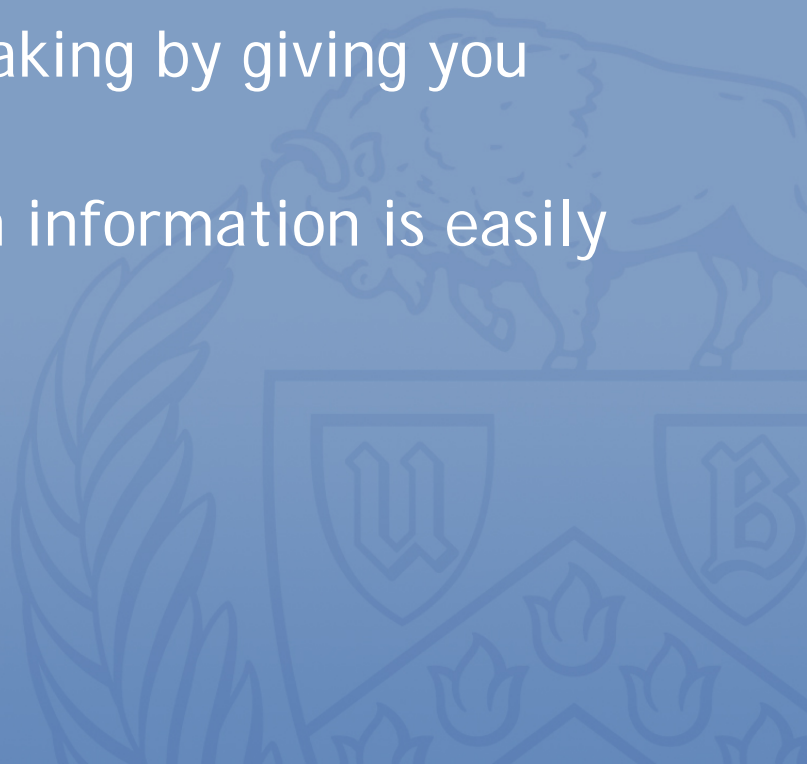


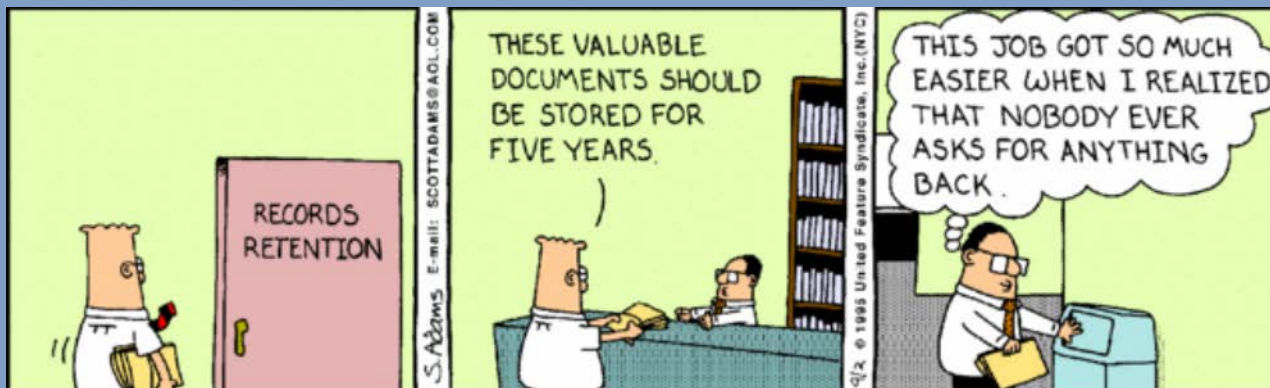
7 Reasons Why Records Management is Important

1. Quick information retrieval.
2. Lower operating costs.
3. Proof of compliance.
4. Protection of your business interests.
5. Liability protections.
6. Protection against unauthorized access.
7. Protection against damage or destruction.



Quick Information Retrieval

- Eliminate valueless information.
 - 80% of the information we keep we never use.
 - Can enhance your decision making by giving you quick access to information.
 - Litigation costs reduced when information is easily retrieved.
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Lower Operating Costs

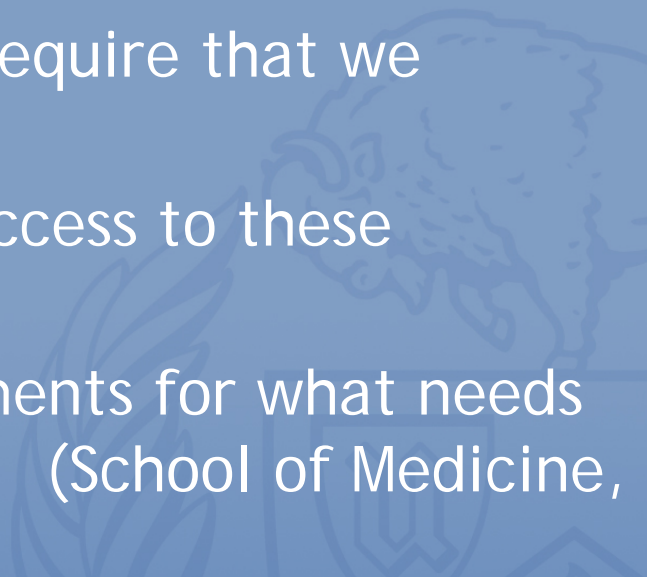
There is a calculable cost associated with storing records.

A Coopers and Lybrand study found that the average office:

- Makes 19 copies of every document.
- Spends \$20 in labor filing each document.
- Loses one out of every 20 documents.
- Spends \$120 in labor searching for every misfiled document.
- Spends \$250 re-creating each lost document.
- Spends \$2,000 annually to maintain a four-drawer file cabinet.



Proof of Compliance

- Federal, state and other authorities pass regulations that affect our record keeping.
 - Audits, internal and external require that we maintain certain records.
 - Important to have verifiable access to these records.
 - Different standards in departments for what needs to be retained for compliance. (School of Medicine, Human Resources)
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Protection of Your Business Interests

- Documentation could be the only proof of a service provided, research completed or job completed.
- We need to protect and properly dispose of sensitive information.



Liability Protection

- University is always facing lawsuits at an alarming rate.
- Important to keep accurate, organized records to support the University.
- Poorly maintained records can result in a judgement against the University. Particularly if records cannot be produced.
 - i.e., *Mayer v. Gary Partners & Co., Ltd.*, and *Kmart Corp.*

Liability Protection (cont.)

Costs of Litigation are Rising

- In 2014 71% of companies report spending more than \$1 million on litigation excluding settlements. Up from 53% in 2012.
 - UB is experiencing this same trend.
- Regulatory/Investigations litigation have gone from 9% of total litigation in 2012 to 19% in 2014 and it is still rising.*

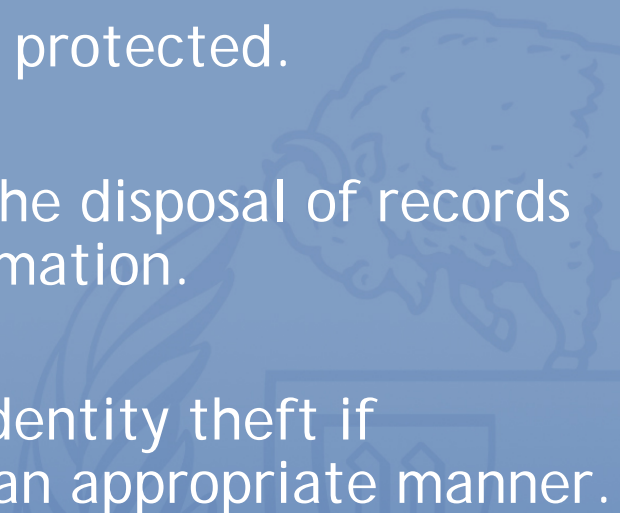
Liability Protection (cont.)

- What you create during the workday will be “for the record” .
- Any document or record you create has the potential for litigation.

“Records are for the Record.”

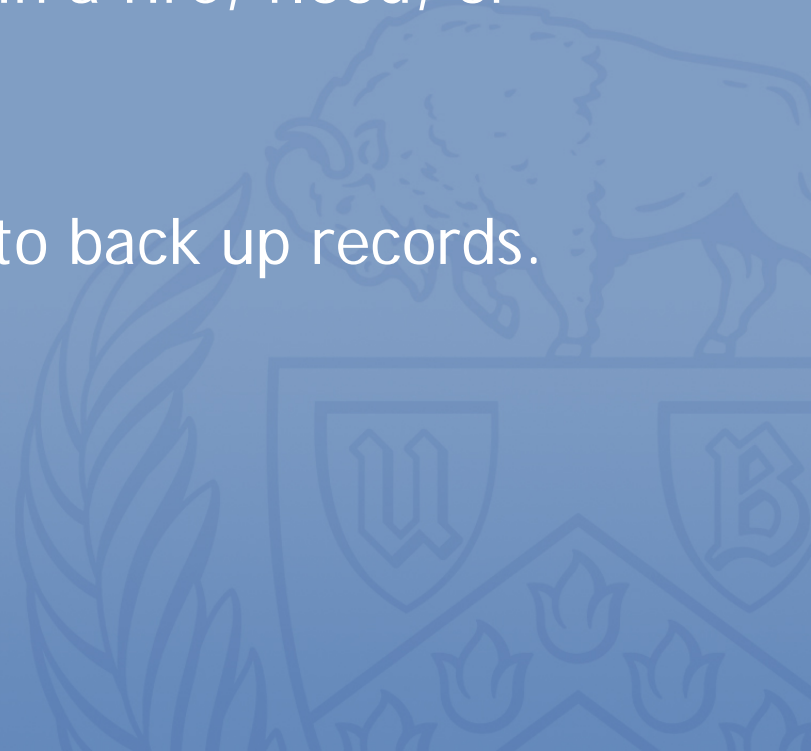


Protection Against Unauthorized Use

- Data breaches.
 - Confidential Information must be protected.
 - Most states have laws regarding the disposal of records with personally identifiable information.
 - Businesses can be charged with identity theft if information is not disposed of in an appropriate manner.
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Protection Against Damage or Destruction

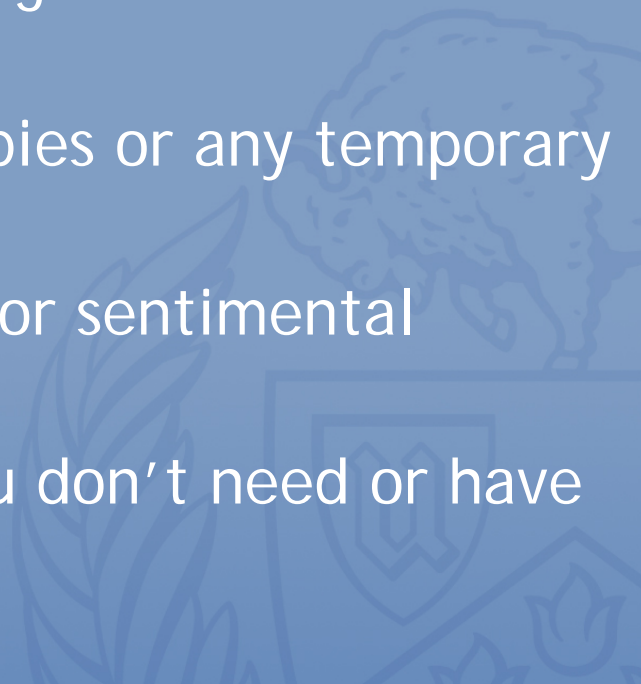
- Records can be lost overnight in a fire, flood, or even a terrorist attack.
- Important to have safeguards to back up records.



What can you do?



What to Keep, What to Toss

- Implement a systematic procedure for records evaluation and destruction.
 - Create a procedure for moving records from active to inactive storage.
 - Don't retain drafts, extra copies or any temporary materials.
 - Don't hang onto documents for sentimental reasons.
 - Throw away old files that you don't need or have not looked at in years.
 - Clean up your email.
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What to Keep, What to Toss

- Follow the records retention schedules.
 - SUNY Schedule
 - <http://system.suny.edu/compliance/topics/records/records-retention/records-retention-schedule>
 - State Schedule
 - http://www.archives.nysed.gov/a/records/mr_pub_genschedule.shtml
 - Research Foundation Policy and Schedules
 - http://www.rfsuny.org/media/RFSUNY/Policies/records_management_policy_pol.htm
 - Other Schedules
- Whenever a law does not specify a retention period, we should keep the record for three years.
- Determine what records you have.
 - Don't overlook records that are being created and stored outside the office as employees work from home and on the road with computers and mobile devices.
- Determine where records will be stored. Store records only for legal, operational or archival reasons.
- **Make records management part of every performance program.**

Email

- Emails follow the same retention schedules as any other document or record.
- If an email does not fall under any retention guideline they can be deleted as soon as they are read.
- As a general rule, emails should be saved in a folder or deleted within 30-90 days. (Executive State Agency Policy).
- Costs of storing email could be great. (server and litigation costs)
- Remember to purge items from the deleted folder.

E-Discovery

- An exchange in electronic information related to litigation.
 - When we receive an e-discovery request any record can be subject to discovery including emails and text messages.



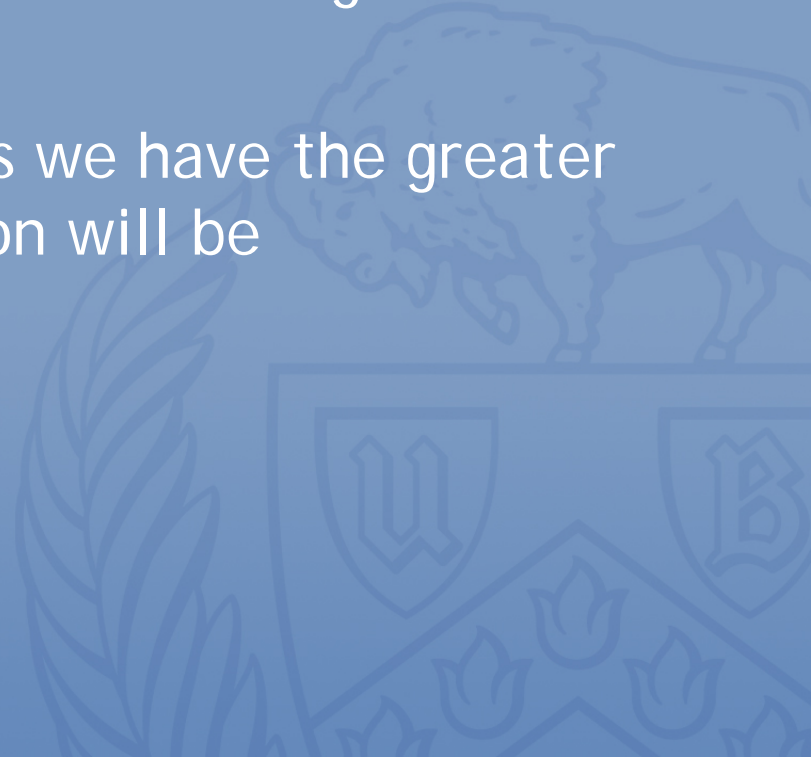
Records Coordinators

- There should be a Records Coordinator in every department.
- Records Coordinators will be the department contact for all Records Management issues.
- In house experts on Records Management and Retention Guidelines.



Records Disposal

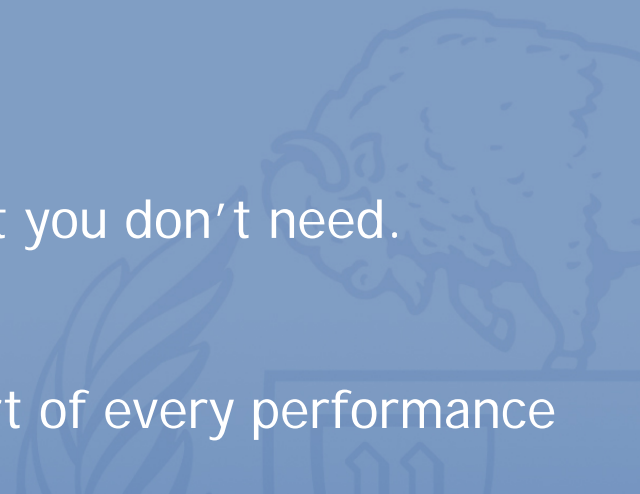
- Makes economic sense - the more paper and data files we can get rid of the lower the storage costs.
- Legal Sense - the more records we have the greater chance confidential information will be compromised.



Records Disposal

- Make it routine
- Have a rationale for disposing of records.
 - May need to explain to a judge why records were discarded.
- Use a foolproof method to dispose of records.
 - Ensure the records cannot be reconstructed.
 - Remember back up records or duplicate records maintained in a different space.

Overview

1. What you create during the workday will be “for the record”.
 - Any document or record you create has the potential for litigation.
 2. It costs **Money** to keep records.
 3. Keep what you need. Destroy what you don’t need.
 - Follow the Retention Schedules.
 4. Records Management should be part of every performance program.
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Bibliography

SUNY Email Retention and Disposition Guidance.

SUNY Records Retention Policy

“Taming the Paper Monster”, Business Management Daily.

