Introduction

Records and Information Management Survey and Analysis

Focus Institution: The University of Washington

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ARST 516 – Management of Current Records

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Introduction

The UBC SEEDS (Social, Ecological, Economic, Development Studies) program is a campus-wide initiative that brings together students, faculty members, and staff to coordinate research projects regarding real-life sustainability issues. The purpose of this project is to ascertain how the University of British Columbia’s (UBC) records management program compares to records management programs in other universities and to the international best practice (ISO Standard 15489). To learn more about Records Management at UBC and its impact on sustainability, Brenda Sawada, founder of UBC SEEDS, and Alan Doyle, UBC’s Records Manager, have enlisted the assistance of graduate students enrolled in the Archival Studies Management of Current Records course offered in the Fall semester of 2010. Divided into groups, students were assigned a contact from a participating university and then gathered relevant information about the records management strategies of the institution.

The focus of this analysis is the University of Washington. The information about the University’s records management program was gathered from the University of Washington’s informative website and through correspondence with Barbara Benson, the institution’s Director of Records Management Services.

This report will articulate the results of the analysis in four sections. Section one provides an overview of UBC’s Archives, Records Management, and Sustainability programs, with a more direct focus on records management. Next, Section Two investigates the University of Washington’s Archives, Records Management, and Sustainability programs. Section Three is an assessment of UBC’s records management program in relation to the University of Washington’s program and the international best practice for records management found in ISO 15489. Finally, through interpretation of the findings, this report provides an analysis of the direction that a records management program should take in order to reflect best practice.

SECTION ONE: The University of British Columbia

The University of British Columbia, with campuses in Vancouver and Kelowna, BC, is a public institution with 44,982 students (full-time equivalent, based on 2008 statistics) (“Facts and Figures”).
According to its mission statement, the University of British Columbia Archives aspires to be the “Institution’s corporate memory by identifying, preserving and making available for use the University's permanently valuable records” (“About the Archives”). The archives program is guided by a university policy, Policy #127, approved by the UBC Board of Governors in March 1996 and revised in 2005 (“Policy No. 127”). Currently, the department employs three professional archivists, including University Archivist Christopher Hives, and two support staff. The University Archivist reports to the Assistant University Librarian, Collections. The University Archives is also responsible for coordinating UBC’s records management program.

From 1991 to 2004, the University Archives Advisory Committee, later the University Archives and Records Management Committee (UARMAC), was responsible for reviewing the archives and records management programs at UBC and for drafting policies related to the these programs.

In 2004, the year the University Archives and Records Management Committee disbanded, UBC retained on contract Alan Doyle, the University’s current Records Manager, to develop retention and disposition schedules for University records (“About the Archives”). Doyle is the sole staff member responsible for records management at UBC and his salary, approximately $77,000 CAD, comprises the whole of U3C’s records management budget (in other words, there is currently no operational or discretionary budget for records management at UBC) (“UBC Schedule of Remuneration”). As the University Archives oversees Records Management, the Records Manager (Doyle) reports to the University Archivist (Hives).

The UBC records management program abides by a university policy, Policy #117, which was approved by the UBC Board of Governors in March 1996 and revised in February 2008. Records management policies and procedures were developed by UARMAC, legal counsel, and the Freedom of Information Manager. The purpose of Policy #117 is to develop a coordinated institutional records management program, to ensure that UBC’s records are created, managed, retained, and disposed of in an effective manner, to ensure preservation of records of permanent value, and to support the protection of privacy and freedom of information services (“Policy No. 117”). While there is a campus-wide mandate for records management, there is currently no campus-wide mandate for e-records management. The adoption of a formal e-records management program is
dependent on budget.

With regards to records management, departments at UBC are most concerned with storage of records, retrieval of records, and institutional memory. While departments often request records storage facilities, there are currently no records storage facilities for campus units. Instead, records are stored within the unit, sometimes in closets or hallways, or in expensive commercial storage facilities. In an effort to inform and train individuals involved with the creation and handling or records, presentations by the Records Manager and the Freedom of Information Officer are available to all staff and faculty members, as well as “in unit” sessions about records management. These programs are publicized through the Archives website as well as through listservs. The Records Manager at UBC has worked closely with legal counsel, as legal counsel helped to develop policies and procedures for records management and currently approves records schedules. On the other hand, Records Management at UBC is not closely connected with the Information Technology (IT) department, a relationship that is important in the current ever-changing and developing technology-based culture.

Sustainability is an important facet of UBC’s strategic plan, and the University has developed a policy, Policy #5, related to sustainability. This policy was adopted by the UBC Board of Governors in May 1997 and was revised in June 2005 (“Policy No. 5”). The Sustainability Office, through UBC SEEDS, conducts important research, of which this current analysis is a part, related to campus-wide and global sustainability. While there are no statistics available relating to UBC’s information management and its impact on the environment, this project is a step that the Records Management Office is taking towards sustainability.

SECTION TWO: The University of Washington

The University of Washington in Washington State has a comprehensive records management program, which complies with Washington State Legislature concerning the preservation and destruction of public records (RCW 40.14). The University of Washington (UW) is a state-supported institution with approximately 41,000 students and over 4,000 faculty and staff across three campuses.
The University has both a University Archivist and a Records Manager. The University’s archivist, John Bolcer, reports to the head of Special Collections, who is the Associate Dean of the libraries. Currently, this department is undergoing a major budget crisis and as a result many of the positions that are normally available are not being filled. As it stands, the University of Washington Archives employs one professional archivist and one half-time clerical staff. The University’s structure makes a clear distinction between the University Archives and Records Management Services, and as a result the University Archivist deals with Special Collections, while the Director of Records Management Services manages campus records that have been deemed archival. An executive memorandum from the President of the University establishes the archives. The Archives also has several policies that govern it. The University Archives serves as the corporate memory within a scholarly research context. The archives exists to assist in the University of Washington’s legal responsibility to preserve and make available its records in accordance with applicable State and Federal Laws as well as to assist the University community to document its actions and decisions consistent with its mission.

The University has a comprehensive records management program operated by Records Management Services. The Records Manager, Barbara Benson, reports to the Associate Controller of the University, and is therefore not connected to the University of Washington’s Archives and Special Collections. The Associate Controller that Barbara Benson reports to (Cindy Gregovich) is connected to the division of Financial Management and Facilities. The records management program has three professional staff, Barbara Benson the Director, Cara Ball and Andrea Watts, both Records Analysts, and two part-time staff who are responsible for any physical relation of boxes in the Records Center. Like the Archives, the program was established from an executive memorandum from the President’s Office. Another contributing factor to the development of the University of Washington’s records management program is their state status, requiring that every state agency (which they are considered for legal purposes) have a Records Officer (the director of the program) and a records management program, as stated in RCW 40.14. The records program operates under their own internal policies as well.

The University has both a campus-wide mandate for records management and e-records. Both general
and departmental retention schedules have been developed in accordance with RWC 40.14 and other policies promulgated by the program. The records management policies and procedures were developed by the Director with input from staff. Each office and department at the University of Washington is responsible for the implementation of these systems. In an effort to ensure the systems are implemented correctly, the records management program offers quarterly training and by-request sessions and information on how to follow records management procedures and how to request storage of records.

Records Management Services at the University of Washington has a history dating back to 1971 when Records Management Services expanded to include a University Records Center in order to provide secure, off-site storage for records that have yet to exceed their retention periods. In 2002, the Records Center relocated to accommodate the increased storage needs of the University. At present, the center can hold approximately 40,000 boxes. This service is free to the University, although the center has requirements for the types of records that are eligible for this service. An instructional video made by the department illustrates how to utilize this service and is available at http://f2.washington.edu/fm/recnrgt/urc (“The University Records Center”).

The University has dedicated two budgets, one funded by the state and the other by indirect grand funds, for records management, which are solely controlled by the director of the program. Combined, they equal approximately $507,000 US. The University does not have a campus-wide oversight or advisory committee due to the fact that it is a state agency and all retention schedules must be approved by the State Records Committee (RW 40.14. 050 and 060). Therefore the State Records Committee in a way replaces a need for an advisory committee. The program has other centralized services to help departments manage their records, such as training sessions and a record storage center as previously mentioned. Training is available to the University community on a wide variety of topics, including: management of electronic records; development of records retention schedules; litigation and audit support; assistance with vital records identification, protection, and recovery; files management (electronic and paper); and services at the University Records Center. The records program also coordinates training sessions with the Office of Public
Records, Open Public Meetings, and the University Archives.

All University offices, departments, and programs are invested in the records management program on all three campuses and are therefore considered stakeholders. The program also has financial stakeholders and research-related stakeholders. Some major stakeholders are the central administration and the School of Medicine and Health Sciences.

The records management program at the University of Washington is invested in developing and maintaining a solid relationship with both IT and legal counsel. The program has succeeded in having a close partnership with both. Due to their positive relationship, the program is in a position to advise the IT department and legal counsel on matters of retention and implementation, business process, and compliance requirements.

As previously mentioned, the records management program applies to paper records, e-records, and records in any other format. The program does not consider the theory or policies behind managing e-records different than those managing other formats. The successful relationship that Records Management Services has fostered with IT is a key factor in applying the program to e-records. To further develop the overall program, in the next six to eight months Records Management Services will be adding an e-records section to their website. This will be an informative web page illustrating how to apply theory and policies to the successful management of records in all formats.

The records management program is very well articulated through the program’s website. The website includes an instructional video, as mentioned above, about the program’s Record Center, request forms (for the storage centre), and general information regarding policies. The website also has information about managing records and the different retention schedules for the University. The importance of file management and the relationship between the program’s policies and how they must be followed in order to adhere to internal and external legal requirements is heavily emphasized on the website. The program also provides University-wide training and has a listserv, free for anyone to join, that provides the most up to date news and services that the program provides.
Although the records management program is well developed throughout the University as a whole, there are still important issues that require further attention. Two issues identified by the Program Director, Benson, are the continued management of e-records and management of social media. The management of e-records without an enterprise wide application presents the challenge of implementing policy and retentions on a department/unit level. The development of social media is also a pressing issue. It is proving difficult for the program to understand how each stakeholder is using social media and, therefore, how to apply records management theory and requirements in order to prevent the University from being at risk. One example is the use of the cloud, as Records Management Services has no influence over the service provider and the volume of information is massive. Along with the fact that the cloud is serving different functions for different users, the issue of how to apply records management theory and requirement is only growing in complexity, and will require attention in the near future.

The most important issues that the records management program deals with from the different departments/units are how to apply retention to all formats of records. The majority of requests from departments/units are in regards to applying retention of databases and other electronic records, including retention of record series and imaging records.

The University has a great focus on sustainability throughout the campus and is considered one of the top universities in relation to their efforts to become a University that is more sustainable and that limits its contribution to global warming. The University developed the sustainability program that gave rise to the Environmental Stewardship Advisory Committee, which developed its policy. While the University’s office on sustainability does not produce statistics related to the management of information on campus, they are pushing the records management program’s stakeholders (the entire university) to move away from paper records and towards electronic business processes. There is a huge initiative on campus to move away from paper based financial records. One initiative resulting from this movement is MyFinancial Desktop: http://ucs.admin.washington.edu/MyFD/Home.aspx. MyFinancial.desktop is a web interface for the University of Washington’s’ Financial Accounting System (FAS). MyFinancial provides users with a convenient means for
monitoring budget balances and transaction activity. It also allows users to build custom reports and have the ability to transfer expenses online, therefore bringing the University closer to a paperless system of financial management.

Another change that is occurring due to the sustainability office is that the records management program no longer requires departments to maintain emails with legal or audit value in paper. Now the program is recommending and will soon require that the departments maintain these records in electronic format only. The office works also to influence departments in eliminating the duplication of paper records. The records management office has always been involved in efforts to reduce the environmental impact of information management by recycling paper records that have reached the end of their retention period through a vendor, and by recycling the shredded paper. The records management office agrees with the efforts to reduce paper consumption and strongly supports the initiative to move from a paper to a digital environment.

As the information in the above summary demonstrates, the records management program at the University of Washington is well developed and supported by the University. To run a program of this size and influence, support in both in monetary form and high-level support from the University is required. The program has received this support as it has two budgets, which are both controlled by the director of the program, and it has been established by an executive memorandum from the President of the University. To show the importance of the program to the University, its policies make direct reference to state and federal laws. By doing so the program demonstrates its vital function to the University. Sustainability concerns also highlight the importance of the program in terms of moving away from a paper-based system while ensuring the University operates in accordance with internal policies and state and federal laws.

SECTION THREE: Analysis of Practices with Consideration of International Standards

Both the University of Washington and the University of British Columbia are state or province supported public institutions with student bodies of over 40,000 individuals. Both institutions have an Archivist
and a Records Manager, but feature different divisions of responsibility and have varying potential for records management to hold a distinct place in the functioning of the institution.

At UBC, Christopher Hives holds the role of Archivist and reports to the Assistant University Librarian, while at the University of Washington the Archivist, John Bolcer, reports to the head of Special Collections who is also an Associate Dean of the libraries. These two systems reflect a similar structure of each institution’s Archives. The two institutions also have similar policies that govern the function of the Archives, focusing on serving as the corporate memory by preserving valuable records and research. The international standard for records management states that establishing a policy for records management ensures that an organization is accountable and is able to meet its needs for evidence of its activities (“ISO 15489-1:2001”). The central objectives of a policy that meets the international standard should be “the creation and management of authentic, reliable and useable records, capable of supporting business functions and activities for as long as they are required” (“ISO 15489-1:2001” 5). UBC’s records management policy addresses these issues by focusing on ensuring that records, in all stages of the life cycle, are treated in an effective and efficient manner.

The University of Washington, considered to be a state agency, adheres to policy from the state and federal level, specifically RWC 40.14 and to policy from within their own records management program.

The UBC Archives has three professional Archivists on staff and two clerical employees. The University of Washington Archives operates with less than half that amount, with only one professional Archivist and one part-time clerical employee, due to the major budget crisis with which they are currently faced.

While UBC’s records manager, Alan Doyle, reports to the University Archivist, Christopher Hives, the University of Washington’s records manager, Barbara Benson, reports to the Associate Controller. This difference of structure is reflected in the amount of focus the separate institutions devote to records management. Unlike the structure within the Archives of these two institutions, UBC has only one professional Archivist in the role of Records Manager, while the University of Washington has a director, Barbara Benson, and two records analysts, all of whom are considered professional staff. In addition, Washington also has two part-time staff members that are considered clerical. The difference in records management employee
numbers relates to the different classification of records management at the two institutions. While UBC treats records management as a part of the operation of their Archives, the University of Washington considers it to be a unique entity, and therefore it has not been subject to the budget cuts that the Archives have faced at this institution. The result is a well-funded program with a budget of approximately $507,000 US, while UBC’s records management budget consists only of salary for the sole Record Manager, approximately $77,000 CAN. This financial difference is also clearly reflected in the facilities of The University of Washington’s record management program. The institution has record storage facilities in the form of a University Records Centre that has the capacity to hold 40,000 boxes of records. The Records Centre houses approximately 30,000 boxes at any given time, providing the University of Washington with the capacity to adhere to their retention periods without feeling the restrictions of a lack of space. ISO 15489-1:2001 (E) states that a records system should be able to facilitate and implement the retention schedules and disposition of records that it employs (10). Alternatively, UBC does not have a storage facility and is therefore at a disadvantage, stating that most important issues to the records management program relate to records storage. This illustrates the importance of records storage facilities and their basic necessity in a records management system. Records are left with individual departments or units and Doyle is occasionally contacted to consult on the issue, but there are no regulated procedures for this matter. While UBC struggles with this issue, Benson states that the managing of e-records and social media are currently the most important issues for Records Management Services. This is a reflection of the advances this RM program at the University of Washington has been able to make, placing itself in a position that is able to investigate topical issues, due to its success in other, more basic areas of records management.

Due to on-going development in technology and the role that records play in serving as evidence of activity, records management programs must foster productive partnerships with relating departments in order to effectively achieve their goals. Two important relationships are with the Information Technology (IT) department and legal counsel. Benson states that the University of Washington's RM Services have, as the result of hard work, developed a positive and successful relationship with IT, enabling RM to advise both IT and
legal on matters of retention and implementation, business process and compliance requirements. This is no simple task, as seen in Doyle’s commentary, suggesting distant relationships with IT and an unsuccessful policy situation with legal counsel have led to problems and frustration. This is also potentially reflected in UBC’s lack of advancement in dealing with e-records. It is best practice to address digital storage and e-records, considering back-up systems, maintenance and any hardware or software that will be required (19).

UBC and the University of Washington both have formal records management programs with campus-wide mandates for procedures. In the case of the University of Washington this also extends to the management of e-records, which are required to be managed in accordance with the approved retention schedules. UBC, alternatively, does not have a mandate for handling e-records. While the University of Washington does not have a campus-wide advisory committee for their records management program, they adhere to retention schedules that are approved by the State Records Committee. At present, UBC also does not have a campus-wide advisory committee, but did from 1991–2004. The last function of this committee was to complete a records survey project that indicated that UBC holds over ten kilometres of records and is expanding at 1.2 kilometres per year. It was concluded that throughout the campus, records were being stored with a lack of consistency and that Alan Doyle, the current archivist responsible for records management would develop records retention and disposition schedules for UBC’s administrative records, a project that is currently in progress. ISO/TR 15489-2:2001(E) states that a policy statement should address the intentions of the organization and outline the program and procedures that will enable the institution to realize those intentions ("ISO 15489-2:2001" 1).

In terms of publicity and advertising for the records management programs at these institutions, the University of Washington greatly exceeds UBC. They have an extensive website, featuring information on policy and retention schedules in the form of webpages, frequently asked questions and an informative video about records management procedures. They also offer workshops and training sessions for departments to ensure the administration of proper records management procedures. UBC offers some “in-unit” training sessions and promotes information regarding records management on a webpage that is an offshoot of the UBC Archives.
webpage. This structure, again, reflects the two differing strategies that the institutions employ in terms of affixing the task of records management to the over-arching duties of the archives, as is the case with UBC, or featuring a separate operating unit that focuses solely on records management, as is the case with the University of Washington. ISO/TR 15489-2:2001(E) addresses the concept of training, stating that all individuals who create or use records should be trained in the correct procedures in order to ensure records are consistent. ISO states that in order for a training program to be effective it must be clear to the participating staff that management is committed to and invested in the policies that govern the procedures (23).

Benson, director of the records management program at the University of Washington, states that the Environmental Stewardship and Sustainability Office at the institution is encouraging stakeholders to use more electronic records through the implementation of incentives. Records Management Services participates in the promotion of this as well, as it no longer requiring emails to exist in paper form for legal and audit purposes. UBC is currently in the process of developing environmentally aware practices for records management through such initiatives as the SEEDS/Records Management Survey.

SECTION FOUR: Reflection

While examining the records management practices of the University of British Columbia and the University of Washington, several themes began to emerge. Firstly, the importance of records management standards, such as ISO 15489, was apparent. ISO promotes best practice and a uniform and consistent approached to records management across institutions. The result is a systemized program, with subtleties that have been considered and re-considered by authorities in the field. There is no need to resort to guess work or begin with a blank slate when research has been done and the answers regarding the question of effective records management have been provided so clearly through these standards. The task is to implement the standards and to, therefore, produce a records management program that is a reflection of best practice. In the development and operation of records management programs, both the University of British Columbia and the University of Washington, whether intentionally or not, draw from standards described in
ISO 15489. As outlined in the comparison between the institutions, records programs at both the University of Washington and UBC comply with ISO Standards, but to varying degrees. With regards to training, retentions and dispositions, and records storage, the University of Washington aligns more closely with ISO, perhaps because records management at the University of Washington must comply with state regulations, or perhaps because funding for records management at the University of Washington far exceeds records management funding at UBC.

Through consideration of other management frameworks such as the Generally Accepted Recordkeeping Principles (GARP), the importance of a well-run records management program becomes even more apparent. As seen in the cases that fail to adhere to the standards and principles, an organization that does not run effectively will often face legal issues ("GARP"). In the case of the University of Washington, we see a clearly established program that is able to communicate its vital importance to the University as a whole. One potential factor for this is that its policies ensure its compliance with state and federal laws. Additionally, the records management program is in line with and assists in the Universities mission to be more sustainable. UBC is in the process of aligning with the principles outlined in GARP, but more tools are needed to facilitate the records management program. Both the University of Washington and UBC fall at different levels of the varying principles of GARP, and as a result there is room for improvement at both institutions. The University of Washington’s process of adding to its website information regarding the management of e-records and UBC’s initiative to make its program more sustainable through UBC SEEDS are examples of these institutions working to improve their existing programs.

A second theme that emerged from this assessment was the importance of retention and disposition schedules. While only one of many responsibilities of a records manager, establishing retention and disposition schedules an important one, with departments at both institutions specifically pinpointing retentions as their number one issue relating to records management. At the University of Washington, departments are concerned with the retention not only of paper documents but also of e-records. This leads to the third theme that emerged from these results—the importance of e-records in an increasingly digital world. Although UBC is
not currently developing an e-records policy, the institution understands the importance of e-records and hopes to establish an e-records program as the budget permits. In both institutions, e-records are intrinsically linked with sustainability—a huge consideration for both Universities (the University of Washington has won awards for their sustainability efforts, while UBC has selected “sustainability” as a pillar of their strategic plan). Here the University of Washington is ahead of UBC in implementing e-records strategies, requiring some records to be kept solely in electronic form.

A fourth theme apparent in this study of records management practices is the importance of support for records management initiatives. Through examination of the records management practices of the University of British Colombia and the University of Washington, it becomes clear that the underlying structure of the institution has a significant impact on function. This has also been made apparent in other studies, which show that social facts within organizations greatly influence the way records management programs are run (Lemieux 107). When the importance of records management is acknowledged, through senior management support and financial backing, the organization is able to develop systems that closely resemble best practice. For example, support from the state—both through policies and funding—and the University as a whole allows the University of Washington’s records management program to run independently of its archival program, and thus is not subject to the budget crisis faced by the Archives. Records Management at UBC is a subset of the Archives, and is therefore not given the consideration it deserves. In order to improve the records management program at UBC, it will be essential for senior management to lend support, both financially and through policy development and avocation, to the program. This will enable and permit records management to address the current problems and obstacles that they face, such as a lack of storage facility, lack of support staff, and a lack of funding.

In addition, it will be important for UBC’s records management program to cultivate a mutually beneficial relationship with both IT and legal counsel. The task of transitioning to e-records and an effective management of electronic information will become essential in the near future and will require input and

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1 Lemieux’s article uses empirical data from a case study of record-keeping practices in indigenous Jamaican commercial banks that collapsed to explore the “nature” of the record.
cooperation from both parties. It will also be important for UBC to expand its records management training services, perhaps looking to the University of Washington as a guide, and to adequately publicize these services. Looking into the University of Washington’s relationship with IT and Legal counsel we see that good relations foster better management of e-records and improvements in sustainability practices, both important issues to UBC not only for legal reasons but also for reducing the Universities environmental footprint.

Finally, this analysis is an example of the fifth theme that emerged from this study: the importance of communication and continued research into records management strategies. By analysing other institutions, a clear picture emerges about common obstacles in records management and strategies for improvement. Participation in listservs, remaining informed of current literature related to records management theory and practice, and discussions with colleagues (other records management professionals, records creators, and records users) will ensure the active transmission of information vital to inspiring change and progress in the management of records.

Acknowledgement

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Works Cited


<http://www.publicaffairs.ubc.ca/services-for-media/ubc-facts-figures/>.


Appendix

The University of Washington
Survey results based on research and consultation with Barbara Benson, Direction of RM Services

1.  Is your institution state-supported or private?

   State

2.  What is the size of your institution? (Number of students: FTE)

   40,743 (average 2009-2010)

3.  Does your institution have an archivist?

   John Bolcer, University Archivist (Special Collections)

4.  To whom does he/she report?

   The head of special collections, who is an associate dean of the libraries.

5.  How many employees (FTE’s) constitute Archives staff? How many professionals? How many clerical?

   We are having a major budget crisis so there are positions that are not being filled. I believe there is 1 professional (the archivist) and one half time clerical staff person, but you might want to check with John to be sure.

6.  If your institution does not have an archivist, who manages campus records deemed archival?

   No, the University Archivist deals with Special Collections, while the Director of Records Management Services, Barbara Benson, manages archival campus records.

7.  Is there a Policy related to Archives? Origin of the policy? (Is it University, Library, Departmental, other?)

   Each university office is responsible for the proper care and management of its own records.

   I’m not sure what you mean by “Policy”. There is an executive memorandum from the President of the University that establishes the archives—and of course the archives itself has several policies that govern how it operates.

8.  Does your institution have a records manager?

    Yes, Barbara Benson

9.  To whom does he/she report?

    Associate Controller
10. How many employees (FTE's) constitute Records Management staff? How many professionals? How many clerical?

Records Management Services:  
Barbara Benson (Director)  
Cara Ball (Records Analyst)  
Andrea Watts (Records Analyst)

My staff are professional staff. I have 2 part time staff who move the boxes in the records center who I guess you could consider clerical.

11. If your institution does not have a records manager, how does your institution manage active and semi active records?

N/A

12. Is there a University Policy related to Records Management? Origin of the policy? (Is it University, Library, Departmental, other?)

Each university office is responsible for the proper care and management of its own records, as defined by the State of Washington. (See video, and “Managing Your Records” section of the site)

If you are going for something that established the program, yes. There is an executive memorandum from the president’s office that establishes the program. Our state statutes also require that every state agency (we are considered a state agency for legal purposes) have a records officer (the director of the program) and a records management program (RCW 40.14 Preservation and destruction of public records) And of course we have many of our own policies that you’ve seen on our web page.

13. Does your institution have a formal records management program?

Yes.

14. Is there a campus-wide mandate for records management? Is there a campus-wide mandate for e-records management?

Yes, there are general and departmental retention schedules that were developed by the Records Management Services. Each office is responsible for the implementation of these systems. The retention periods apply to records and e-records. The system is in accordance with the State of Washington’s legislature on public records (RCW 40.14.010).

Yes, there is the requirement that all e-records are managed in accordance with our approved retention schedules and other policies promulgated by the program.

15. Is there a campus-wide oversight/advisory committee? If so, who is involved?

Records Management Services offers training and direction on records management to the University community on a variety of topics relating to records management and procedures.
No there isn’t. However, being a state agency, our retention schedules must be approved by the State Records Committee. (RCW 40.14. 050 and .060)

16. *Is there dedicated budget for Records Management?*

We have two budgets.

17. *Who controls the budget for records management?*

The director of the program.

18. *How much is the budget?*

Currently they equal about 507,000 US

19. *Does your institution provide records storage facilities for campus units?*

Yes, the University Records Centre has the capacity to hold 40,000 boxes.

In 1971, Records Management Services expanded to include the University Records Center as a way of providing secure, off-site storage for records which have not reached the end of their retention periods. The building was located in the West Campus just off the Burke Gillman Trail. For many years, the space served the University’s storage needs; however, by 1994 it was apparent that space was becoming an issue. In 2002, the University Records Center was relocated to Magnuson Park. The space can hold 40,000 boxes, with over 30,000 boxes in storage on average. These boxes will stay on the shelf anywhere from 6 months to 60 years depending upon the record series. Storing records at the University Records Center is a free service; however, there are requirements as to the type of records eligible for storage and who is eligible for this service.

20. *Does your institution have other centralized services to help departments manage records?*

Quarterly training sessions
Management of Electronic Records
Development of Records Retention Schedules
Litigation and Audit Support
Assistance with Vital Records Identification, Protection, and Recovery
Files Management- Electronic and Paper
Inactive Storage, Retrieval and Refile Services at the University Records Center

Only the services our office provides—although for managing central databases our UWIT implements our instructions.

21. *Who are the major stakeholders in the records management program?*

Every University office, department, and program on all 3 campuses is considered a stakeholder. Its hard to pin down specific folks. I think its much easier to say that we have academic stakeholders, financial stakeholders, and research related stakeholders. If you wanted to be more specific, maybe central administration, school of medicine, health sciences.

22. *Who was included in developing the records management policies and procedures?*
State and University. The Records Management Office is in charge of developing the retention periods and educating the departments of this, but they do so in accordance with the State policy.

The director with input from staff.

23. **What is your relationship with IT?**

RMS attends to e-records.

We have worked hard and have succeeded in having a very close partnership with them. We advise them on matters of retention and implementation, business process, and compliance requirements.

24. **What is your relationship with legal counsel?**

(Same as above). We have worked hard and have succeeded in having a very close partnership with them. We advise them on matters of retention and implementation, business process, and compliance requirements.

25. **If your institution does not have a formal e-records management program, is there one in the planning stages?**

We will be adding an e-records section to our webpage within the next 6-8 months. We do not consider the theory or policies behind managing e-records different than managing any other format, although the web page will go into how to apply theory and policies based on format.

26. **Do you conduct training for staff/units on campus? (describe)**

Yes. Quarterly training sessions are provided. There’s a “Training Offered by Records Management Services” part of the website that describes it in detail, http://f2.washington.edu/fm/recmgmt/training)

27. **Do you publicize your program? (if so, how and to whom?)**

Yes, website, video. Directed to University departments and offices, providing basic information regarding RM procedures and responsibilities.

It is publicized through a listserv that people can join.

28. **What do you consider to be the most important issues in records management?**

Two things. For us, based on our environment one is managing e-records. Without the technology (an enterprise wide application) its very difficult to implement policy and retentions on a department/unit by unit level. For a second issue, how does one manage social media? Its in the cloud, we have no influence over the service provider, the volume is huge, and the format is serving different functions for different users. We understand the risk implications, but getting your hands around how each stakeholder is using social media and then finding a way to apply records management theory and requirements to it; I’d say its a very important issue that is only growing.

29. **What are the most important issues to departments/units?**
Based on her answer below, retentions.

**30. For which services do you receive the most requests from departments/units?**

Retention of record series, also how to apply retention to databases and other e-formats, and help imaging their records.

**31. Is there a Sustainability Office/Department at your institution?**

Yes. Environmental Stewardship and Sustainability.

The office and their policies are pushing stakeholders away from paper and towards electronic business processes. In fact, there is a huge initiative on campus to move away from paper based financial records. You might want to check out MyFinancial Desktop as an example of an enterprise wide reaction to the goals of the sustainability office. Also, where we once required folks to maintain emails with legal or audit value in paper, thanks in part of this office, we are now moving to a world where we recommend and soon will require that they are only maintained electronically. Also the office works hard to convince folks to eliminate duplication of paper records.

**32. Is there a Sustainability Policy at your institution? Origin of the policy? (Is it University, Library, Departmental, other?)**


Yes – developed by Environmental Stewardship Advisory Committee

**33. Does the Sustainability Office/Department produce statistics related to the management of information on campus?**

No they don’t.

**34. Is the Records Management Office or Archives currently involved in any efforts to reduce environmental impact of information management? Please describe these efforts.**

Nothing new. We have always recycled paper records which have reached the end of their retention period through a vendor (even recycling shredded paper). We agree with the efforts to reduce paper consumption and to that end strongly support initiatives to move from paper to a digital environment—without turning around and printing more paper reports.