

## PROVOST EMPLOYEE COMMUNICATION COUNCIL (PECC)

December 8, 2009 – Newcomb Hall, Room 481

Those in attendance: Joshua Bond, Dawn Brennan, Susan Chisholm, Zeke Crater, Peggy Ehrenberg, Iva Gillet, Brad Holland (ombudsmen) Jocelyn Olsen, Susan Pott, Delores Roberts, Rob Schuett, Erika Spangler, Laura Sprung, John Teahan, (ex-officio), Lee Ann Tyler, Beth Van Hook (ex-officio), and Caroline Walter (guest).

### OPEN SESSION

**Guest Speaker** - Ms. Caroline Walters, University Records Manager, Information Security, Policy, and Records Office. (<http://www.virginia.edu/recordsmanagement/>)

Ms. Walters gave us an overview of records management at UVA that included defining public records, confidential records, destruction steps, records management coordinators and administrators, University records management, application phases, special records issues, email management, record retention and deposition schedules. A copy of the PowerPoint presentation is attached for more information on these topics.

### CLOSED SESSION

#### Minutes

November minutes approved.

#### Deans Search Memo

The memo to Dr. Garson requesting the consideration of staff representation on dean searches was approved. This memo will be forwarded on to the Provost Office via John Teahan in order to track its progress.

#### Rewards and Recognitions

The Rewards and Recognition Program was discussed. Our UHR representatives were to look into ensuring that communications are getting to schools as well as look into non-cash incentives and get back to the council. (Note: As a follow up to this discussion, captured below is a link to UHR's policy on the employee rewards and recognition program: <http://www.hrs.virginia.edu/Policies/comp/emprewards.html#procedures>. Most schools have their own published guidelines related to the administration of this program. The [College](#), for example, has a quarterly schedule for their awards.)

#### Community Service Project Discussion

In lieu of participating in food drives over the holiday season, the PECC decided to do a food drive in February when the area food banks experience a decline in donations. Council members will bring in canned or dry food donations and a delivery to the Jefferson Food Bank will be made after the meeting.

Attachment - - Ms. Caroline Walters, University Records Manager, Information Security, Policy, and Records Office PowerPoint Presentation

# Records Management at UVA



Caroline J. Walters, MA, MLS  
University Records Officer

# Agenda

- What is a “Public Record”?
- FOIA & Confidential Records
- Destruction of Public Records
  - Schedules & Certificate of Destruction (RM3)
- RM Coordinators, Administrators & URMA
- Special Records Issues
- What Now?



# What is a Public Record?

"Public record" or "record" means recorded information that documents a transaction or activity by or with any public officer, agency or employee of an agency. Regardless of physical form or characteristic, the recorded information is a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business. The medium upon which such information is recorded has no bearing on the determination of whether the recording is a public record.

Code of Virginia, Title 42.1 Chapter 7  
*Virginia Public Records Act*

# What is a record REALLY?

## A RECORD:

- ◆ Documents a transaction or activity
- ◆ Includes all mediums regardless of physical form or characteristic
- ◆ And is considered a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business

# What is not a record?

- ◆ Reference materials:
  - reference texts, magazine and newspaper articles, textbooks, presentation handouts, extra copies of official records, etc.
- ◆ Administrative and personal correspondence/e-mail:
  - meeting times, lunch dates, staff association memos, FYI memos, spam, etc.
- ◆ Personal materials:
  - errand lists, bills, checkbooks, personal letters and/or photos, etc.
- ◆ Stationery, blank forms, and publications for distribution
- ◆ Copies of policy and procedure manuals

# VA Freedom of Information Act (FOIA)



- ◆ § 2.2-3704-A. Except as otherwise specifically provided by law, all public records shall be open to inspection and copying by any citizens of the Commonwealth during the regular office hours of the custodian of such records. Access to such records shall not be denied to citizens of the Commonwealth, representatives of newspapers and magazines with circulation in the Commonwealth, and representatives of radio and television stations broadcasting in or into the Commonwealth. The custodian may require the requester to provide his name and legal address. The custodian of such records shall take all necessary precautions for their preservation and safekeeping.

# Confidential Records

- ◆ Restricted by state or federal statute
  - Medical and mental health records (HIPAA).
  - Student records (FERPA).
  - Police Investigations
  - Some Personnel Records
  - Trade Secrets
  - Donor Information



# Destruction: Step i

- ◆ (a) the record appears on a records retention and disposition schedule . . . and the record's retention period has expired;
- ◆ [Records Retention and Disposition Schedules](#)

The screenshot shows the University of Virginia Records Management website. The header includes the university logo and name, a search bar, and navigation links for 'This Site', 'U.Va.', and 'People'. The main content area is titled 'Records Retention and Disposition Schedules' and contains the following text:

The following schedules are approved by the Library of Virginia and can be viewed in PDF format at the links below or you can use the searchable database provided by the Library of Virginia. If you have questions about what records series to use for your records, please contact the University Records Management Office at [records@virginia.edu](mailto:records@virginia.edu) or call 434-243-9162.

- [Searchable Database for State General Schedules](#)

**Approved Schedules in PDF format:**

- GS-101, Administrative Records (Sep 08)
- GS-102, Fiscal Records (May 08)
- GS-103, Personnel Records (Oct 07)
- GS-104, Mailroom Records (Mar 01)
- GS-105, Motor Vehicle Records (Apr 01)
- GS-106, General Services Records (Sep 00)
- GS-107, Food Service Records (May 01)
- GS-108, Fire, Safety and Security Records (Sep 05)
- GS-109, Library and Museum Records (Aug 01)
- GS-110, Electronic Records (Oct 98)
- GS-111, College and University Records (Sep 07)

The left sidebar contains a navigation menu with the following items: ABOUT, VIRGINIA PUBLIC RECORDS ACT, TRAINING, EMAIL MANAGEMENT, ELECTRONIC RECORDS MANAGEMENT, SCANNING/REFORMATTING PUBLIC RECORDS, TRANSFERRING RECORDS TO SPECIAL COLLECTIONS, RECORDS STORAGE, COORDINATORS & ADMINISTRATORS, CONTACT/LOCATION, and HOME.

# Destruction: Step ii

- ◆ (ii) a certificate of records destruction . . . has been properly completed and approved by the agency's designated records officer;
- ◆ Certificate of Destruction (RM3)

**LIBRARY OF VIRGINIA**  
 Archival and Records Management Services Division  
 800 E. Broad St., Richmond VA 23218  
 (804) 883-3600

**CERTIFICATE OF RECORDS DESTRUCTION**  
(Form RM-3 July 2014)

This form documents the destruction of public records in accordance with the Virginia Public Records Act, § 42-1-79 through 42-1-81 of the Code of Virginia.

<b>1. Agency / Locality</b> University of Virginia, Charlottesville, VA		<b>2. Division / Department / Section</b> Facilities Management, FF&C, Finance			
<b>3. Person Completing Form</b> Garth Anderson		<b>4. Address</b> 575 Alderman Rd.		<b>5. Telephone Number &amp; Extension</b> 982-5367	
6. Records to Be Destroyed					
a) Schedule and Records Series Number	b) Records Series Title	c) Date Range (month)	d) Location	e) Volume	f) Destruction Method
832002	Accounts payable, invoices for construction or personal services <small>These invoices have been scanned</small>	July 88 - present	Leake Bldg	2 boxes	Recycle
832002	Accounts payable, long distance phone bills, only bills > \$100 are approved by employer and supervisor	2004 - 2005	Leake Bldg	2 boxes	Recycle

**Destruction Approval:**  
NOTE: Public records may not be destroyed without receiving prior approval from your agency or locality Records Officer. We certify that the records listed above have been retained for the scheduled retention period, required audits have been completed, and no pending or ongoing litigation or investigation involving these records is known to exist.

<b>7. Approving Official (Print)</b> _____	<b>Signature</b> _____	<b>Date</b> _____
<b>8. Designated Records Officer (Print)</b> _____	<b>Signature</b> _____	<b>Date</b> _____
<b>9. Records Destroyed By (Print)</b> _____	<b>Signature</b> _____	<b>Date</b> _____

## Destruction: Step iii

- ◆ (iii) there is no litigation, audit, investigation, request for records pursuant to the Virginia Freedom of Information Act.
- ◆ How do you know?
- ◆ How Records Management will help!



# Records Management Coordinators & Administrators

- ◆ Knows organization of unit, where records are located, and how records are handled/used.
- ◆ Appointed by administrative head.
- ◆ Responsibilities included in work plan.
- ◆ Contacts with University Records Management Office
- ◆ Attends additional training:
  - Records Management II: In Detail



# Records Mgmt Coordinator

- ◆ Assists with completion of RM3 Destruction forms with other faculty/staff in office.
- ◆ Reminds faculty/staff about importance of Records Management
- ◆ Does not do all the heavy lifting themselves!!



# Records Mgmt Administrator

- ◆ Signs all RM3 forms from the office as the “Approving Official”
- ◆ Supports the work of the RM Coordinator and stands in when needed.
- ◆ Supports proper records management by all faculty/staff in unit.



# University Records Management Application Phases

- ◆ ID RM Coordinators and Administrators
  - Includes initial storage survey
- ◆ Rewritten Records Retention and Disposition Schedules specific to UVA
- ◆ Storage Inventory Application
  - Inventory of records stored off site, basements, attics, etc.
  - Tracks retention of records stored off site and initiates RM3 process.
- ◆ Electronic Certificate of Records Destruction (RM3)
- ◆ Transfer of Records with historic value to Special Collections

# Special Records issues

- ◆ Email



- ◆ Electronic Records



- ◆ Storage



# Email: not a record series

Email is a format, not a record series. Asking how to file an email is the same as asking how to file a piece of paper.

The content determines the disposition.



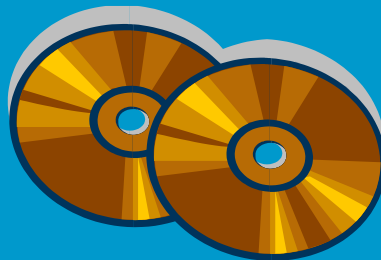
## 5 tips for Email Management

- ◆ Always proofread your emails.
- ◆ Does your subject line make sense?
- ◆ Check the “to” line before hitting send?
- ◆ Don't put anything in an email you don't want on the front page of the newspaper.
- ◆ Attend Email Management Training:
  - Two offerings Spring 2010 – dates/times/place coming soon.



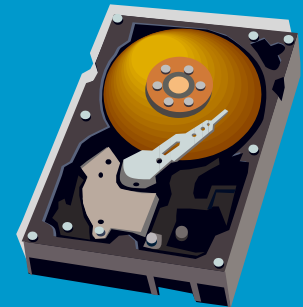
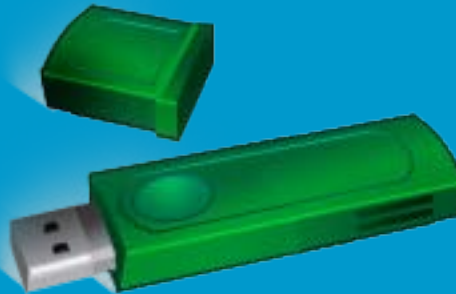
# Records Retention & Disposition Schedules

- ◆ The scheduling process covers all records,  
*“...regardless of physical form or characteristics...”*



## Electronic Records

- ◆ Retention time periods are the same for electronic and paper records.
- ◆ Do not retain electronic records beyond the retention periods in the schedules.



# Current Storage Issues



# Proposed Storage Solution

- ◆ Managed and secure storage of records with a retention of 5 years or more from retention:
  - Clinical Trial Participant Info & Protocols/Admin
  - Contracts and Grants required to be kept for Bond documentation
  - Contract and Grant financial records from Procurement and/or other locations
  - Records with historic value that are closed for a time period to public access.
  - Facilities Records – construction contracts, drawings, etc.
  - Records under a litigation or audit hold for an extended period.

## Proposed Storage Solution

- ◆ Managed storage through Records Management Office
  - Tracked through URMA Storage Inventory Module.
- ◆ Funded either through individual departmental billing or 0.25% F&A overhead from research
  - 90% of records on list are from research and meeting federal requirements



# Storage Solution



# Records Management Day

- ◆ Annual event to weed, destroy, and preserve

			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	



Coming Soon . . .

- ◆ Records Management Day, January 8, 2010
  - 9-11 a.m. - Fontaine Research Park
  - 2 – 4 p.m. – Carruthers/Michie
- ◆ Records Management Day, July 23, 2010



# Records Management Mailing List

- ◆ Records Management Email Mailing List:
  - Website rollout/updates
  - Training schedules/announcements
  - Interesting Records Management news articles

- ◆ To Join:

<https://list.mail.virginia.edu/mailman/listinfo/records-management>

# Attend more training. .



- ◆ Personal Records Management
  - Dec 17, 9 – 10:30 a.m., Commonwealth Room, Newcomb
- ◆ Spring Schedule Coming soon at [www.virginia.edu/recordsmanagement](http://www.virginia.edu/recordsmanagement)

# Need Help?

- ◆ Records Management to the RESCUE!!
  - Website: [www.virginia.edu/recordsmanagement](http://www.virginia.edu/recordsmanagement)
  - Call US with Questions?
    - Caroline – 243-9162 or Lori - 243-7624
  - Email Questions
    - [records@virginia.edu](mailto:records@virginia.edu)
  - Schedule a SITE VISIT to your office or storage



Questions??

# Questions?



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