

Records Management Introduction for State Employees

Requirements and Responsibilities

For More Information:

www.doa.state.wi.us

Scroll left hand menu bar to "Public Records" list

WHY RECORDS MANAGEMENT?

- Improve your effectiveness
- Comply with state law
- Document your government activities
- Minimize litigation risk
- Faster information retrieval
- Easier decision making
- Improved office efficiency
- Decreased stress

WHAT RECORDS RESPONSIBILITIES DO EMPLOYEES HAVE?

- Learn to manage records created as part of your job duties
- Protect and save state records you create and use
- File documents (including email) according to a filing plan
- Maintain confidential and sensitive information appropriately
- Know how long to retain records
- Dispose of information that is not a record

WHAT RECORDS DO EMPLOYEES TYPICALLY HAVE?

- Business related correspondence
- Program related records
- Teams, projects, committees, or workgroup documentation
- Activity and project reports
- Training materials you have presented
- Work/information requests
- Operating procedures
- Calendars and schedules

Wisconsin Public Records Board (PRB) : Protecting the legal, financial and historical interests of the state in public records.

Where Can Public Records Occur?

*Note: **Information content** determines what is a public record and not the format in which the information is generated. Records may be textual, pictures, paper, electronic, audio, video etc.*

Email

- o Documentation of significant agency decisions

Personal Digital Assistants (PDAs) / Blackberries

- o May contain records which must be retained

Videotapes and Webcasts

Calendars and Appointment Logs

How Do I Manage My Records?

Policies

- o Become familiar with agency records management policy
- o Learn what retention schedules relate to your program

Filing

- o Develop or use an existing filing system which organizes and categorizes your records

People

- o Use your agency's records officer and coordinators.

*Note: Your agency may **only** legally dispose of Public Records as approved by an authorized records schedule*

What is a Retention/Disposition Schedule?

A records management document that groups and describes related records and mandates **how long** records are kept (retention) and **what happens** to records at the end of that time period (disposition).

Schedules may be statewide General Records Schedules (GRS) or agency specific Retention Disposition Authorizations (RDAs).

What is a Record?

Created in the course of business

Examples: *correspondence and memos (paper and email), agreements, studies, reports*

Received for action

Examples: *requests for information, controlled correspondence, open records requests*

Documents state activities

Examples: *calendars, meeting minutes, project reports*

Mandated by statute or regulation

Examples: *statutorily required programs, administrative records, dockets*

Supports financial obligations or legal claims

Examples: *grants, contracts, litigation case files*

Communicates agency requirements

Examples: *guidance documents, policies, procedures*

What is Not a Record?

Personal information not related to business

Examples: *let's do lunch emails, soccer schedule*

Reference material

Examples: *vendor catalogs, phone books, "how to" documents*

Duplicate copies

Examples: *copies of correspondence and memos (paper and email), agreements, studies, and reports maintained for convenience purposes only*

Draft or working paper

Examples: *draft documents without substantive comments, rough notes, calculations.*
It should be noted that some drafts are needed to support a decision trail or are otherwise required by an RDA

Stock copy

Examples: *agency publications or forms*

General announcements

Examples: *reminders received by all staff*

Unsolicited email not related to user's work projects

Examples: *listserv messages, spam*

Computer generated response or confirmation

Examples: *automated calendar requests and confirmations, password change notices*