

# UW MEDICINE RECORDS MANAGEMENT SERVICES

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RECORDS MANAGEMENT 101

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# WORKSHOP OVERVIEW

- UW Medicine Records Management Services
  - Who are we?
- Records Management
  - What is a Record/Public Record (RCW 42.56)?
  - What is a Records Retention Schedule (RCW 40.14)?
  - How can I manage my Electronic Records?
  - What can I do about Email?
  - How can I digitize and destroy records?
- Records Center
  - How do I send records to the Records Center?
  - How do I retrieve & return boxes/files from the Records Center?
  - How are records dispositioned?
  - How do I send/retrieve files from the Medical Records File Room?
- Questions

# TMI?

## We're Here to Help

**Too Much Information?** Not here. We manage information, because it's what drives business. When we work hard at it, we get better - more compliant and more competitive. When it hits your inbox, make sure your information works hard.

[YOUR LOGO HERE](#)





**GOT RECORDS & INFORMATION TO MANAGE?**

# THINK OUTSIDE THE BOX



**THINK WINNING RECORDS & INFORMATION ISN'T YOUR JOB?**  
**THINK AGAIN.** WE THINK. EMAIL. WE INSTANT MESSAGES. WE PAPER. WE WORD. MAIL. WE CONTRACTS. WE ARCHIVES. WE RETENTION. WE SHARED. WE FLUSH DRIVE. WE SECURITY. WE STORAGE. WE NETWORK. WE POLICY. WE BILLING. WE RESEARCH. WE INTERNET. WE INFO. WE COMPLIANCE. WE POL. WE AUDIT. WE INTEGRITY. WE ECONOMY. WE CONSUMER...


**THINK RECORDS & INFORMATION MANAGEMENT IS YOUR**

**Records & Information Management Is in Your Hands**

[YOUR LOGO HERE](#)

[www.arma.org](http://www.arma.org)



# WHO ARE WE?

1. Our Role
2. Your Role
3. Our Services

# WHO ARE WE?

- Our Role
  - Implement strategic information management for UW Medicine records (including email)
  - Manage information lifecycle – regardless of format
  - Ensure adherence to State approved retention schedules and disposition (destruction or preservation) of public records (WAC 44-14-03005, RCW 40.14.050/060)
  - Represent UW Medicine at State Records Committee
  - Ensure a culture of compliance and mitigate risk regarding records and information management

# WHO ARE WE?

- Your Role
  - Records Authority
    - Authorizes disposition; makes significant decisions regarding department's records; authorizes other staff for access to records at the Records Center
  - Records Coordinator:
    - Primary contact; assures day to day maintenance of records transferred to and requested from Records Center; assures department has documentation regarding Records Center inventory; completes RTI's in an accurate and meaningful way
  - Submitted by
    - Performs activities of a Records Coordinator; recognized by system as a contact

RMS AND RECORDS  
COORDINATORS PARTNER  
IN MANAGING RECORDS

# WHO ARE WE?

- Our Services
  - Management of UW Medicine Records Center
    - Records inventory database (Versatile)
      - Manages box and file inventory
      - Publishes reports
      - Sends automatic notifications
    - Transferring records and records storage
    - Records retrievals and returns
    - Overdue records reminders
    - Dispositions (records destruction or preservation)
  - Management of UW Medicine Medical Records File Room
    - Retrievals and returns
      - Paper charts
      - Microfilm
      - Images

# WHO ARE WE?

- Our Services (continued)
  - Workshops/Consultations
    - Records Management “101”
    - Records Center “101”
    - Digitizing and Destroying Records
    - Managing Email
    - Files Management
    - Electronic Files Plans
    - Unstructured Data Organization and Retention

# RECORDS MANAGEMENT SERVICES

- What is a Record?
  - A record contains evidence of UW Medicine actions, decisions, approvals, or transactions
  - A record is determined because of its content (topic and elements) **not because of its physical form or characteristics**
  - Records at UW Medicine are **public records** (RCW 42.56)
  - Records cannot be dispositioned without using a State approved records retention schedule (RCW 40-14.050/060)



# RECORDS MANAGEMENT SERVICES

- What is a Records Retention Schedule?
  - A comprehensive list of record series
  - Groups records
    - Common functions and activities
  - Describes records
    - Records series – group of related records, filed, used and evaluated together for retention purposes
  - Establishes a timetable for their lifecycle
  - Indicates disposition (preservation or destruction)

# RECORDS MANAGEMENT SERVICES

- Schedules
  - UW Medicine General Schedule (UW Med GS) v1.6
  - State Government General Records Retention Schedule (SGGRRS) V6.0

<https://intranet.uwmedicine.org/BU/UWMedRMS/>

or

<http://www.uwmedicine.org/Global/Pages/Records-Management-Services-RMS.aspx>

# RECORDS MANAGEMENT SERVICES

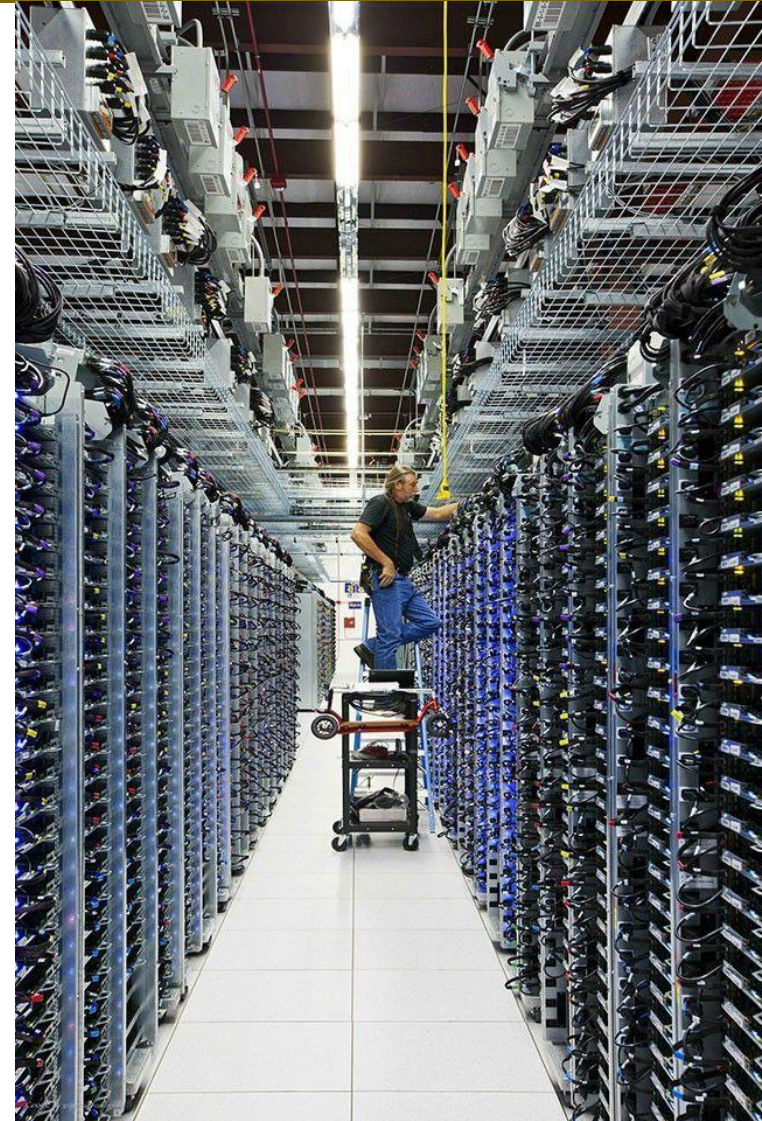
- Revising the UW Medicine Retention Schedule
  - Identify gaps in schedule
  - Draft description and retention
  - Request feedback and advice
  - Send to State Records Committee for review and approval

**Important note:** Records cannot be destroyed if they are not reflected in our retention schedules

RECORDS COORDINATORS  
AND/OR RECORDS  
AUTHORITIES ARE KEY  
PARTICIPANTS

# RECORDS MANAGEMENT SERVICES

- How do I manage my electronic records?
  - Reminder: UW Medicine Retention Schedule applies to electronic records
    - **Records include:**
      - Database Content
      - Unstructured Data (Shared Files)
      - Email



# RECORDS MANAGEMENT SERVICES

- What can I do about email?
  - In general, email is a format. However, each email represents a record
  - A record is determined by its content, regardless of physical form or characteristic, and contains evidence of business decisions, approvals, or transactions
  - Emails at UW Medicine are public records (RCW 42.56) and are subject to RCW 40.14 which applies to the preservation and destruction of public records
  - Emails must be retained for their designated retention periods
  - Most emails are transitory in nature and can be destroyed when the business purpose is fulfilled:
    - Preliminary drafts (e.g. letters, memoranda, presentations, informal notes)
    - Routine replies
    - Duplicate copies of messages
    - Reference or informational distribution
    - Personal messages not related to the conduct of business

# RECORDS MANAGEMENT SERVICES

- How can I digitize records and destroy the source documents?
  - Digitizing (scanning or document imaging) is a process by which paper records are copied and saved as digital images
  - Digitized records must be accessible, retrievable, and readable
  - Departments wanting to digitize records and destroy the source documents must develop their own policy and procedures in accordance with the UW Medicine and State policies
  - The policy and procedures must include the following:
    1. Written document imaging procedures (include acceptable formats and when to manipulate images for clarity)
    2. Written quality control and security procedures (include 100% image verification, access lists, password controls, and protocols for protecting confidential information, and for security breaches)
    3. A list of record types (series) being scanned
    4. Written naming conventions and file structures (if applicable)
    5. Written documentation regarding migration and preservation (include how retention and destruction of scanned records will be assured)
    6. Written documentation regarding back-up and disaster preparedness plans (include regular back up protocol and offsite storage)

# RECORDS MANAGEMENT SERVICES

- Scanned records are to be kept for the appropriate, state approved retention periods
- Scanning records related to clinical and/or human subject research may require a more detailed process than outlined in the State document, and may require additional security steps
- Once the source documents have been scanned and verified, the source documents can be destroyed after the time period outlined in the departmental policy
- Copies of all document imaging policies, procedures, and authorizations will be kept on file at UW Medicine RMS

## IMPORTANT NOTE:

- If the UW Medicine Records Officer has not approved a departmental scanning and destroying policy, *records can still be digitized, but cannot be destroyed*
- The paper version of the digitized records can be sent to UW Medicine Records Center for storage until the retention period has been met

# RECORDS CENTER SERVICES



- How do I send records to the Records Center?
  - HRC/Request Tracker
  - Boxes/packing boxes
    - Standard size
    - FULL BOX
    - No “lumps or bumps”
  - Records Transfer Inventory (RTI) form
  - Records Transfer Inventory for Human Subject Research/Clinical Trials (RTIR) form
    - Descriptions and dates are important
  - Accession Confirmation Report

RMS WILL ASK  
QUESTIONS!



# RECORDS CENTER SERVICES

- How do I retrieve boxes/files from the Records Center?
  - Who can request?
    - Records Authorities
    - Records Coordinators
  - [HRC@uw.edu](mailto:HRC@uw.edu)
  - Location
  - Accession number
  - File or box name
  - Box number
  - Stat or routine



# RECORDS CENTER SERVICES

- How do I return boxes/files to the Records Center?
  - Same process as retrieving
  - Box content cannot change...
    - Return same records in same box
    - If records are removed, inform us prior to return
    - Do not remove Record Center labels
  - Overdue boxes and files: reminders will be sent if boxes/files are checked out longer than:
    - 90 days for boxes
    - 30 days for files



# RECORDS CENTER SERVICES

- How are records dispositioned (destroyed or preserved)?
  - Notice of disposition is sent to each department
    - Authorization required
    - Records will be returned if no authorization provided
  - Destruction
    - Secure, protected, and documented
  - Preservation
    - Processed for transfer to UW Archives

RECORDS COORDINATORS  
AND/OR RECORDS  
AUTHORITIES ARE KEY  
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# RECORDS CENTER SERVICES

- What is a Destruction Log?
  - A document that lists and verifies that records have met approved retention periods before destruction
  - Only applies to records **not** sent to the UW Medicine Records Center
  - UW Medicine RMS Records Officer approval needed before destroying records
    - 3 signatures required**
      - The individual responsible for inventorying the records
      - The Records Officer (Manager, UW Medicine RMS)
      - The individual responsible for the destruction of the listed records (completed only after both above signatures are approved)
  - Copy of destruction log sent to UW Medicine RMS when completed

# QUESTIONS

## Contact Us

206-598-2242

[HRC@uw.edu](mailto:HRC@uw.edu)

## Intranet/Internet Sites

<https://intranet.uwmedicine.org/BU/UWMedRMS/> (Use AMC account)

<http://www.uwmedicine.org/Global/Pages/Records-Management-Services-RMS.aspx>