

UBC Social Ecological Economic Development Studies (SEEDS) Student Report

The Records Management Challenge: Comparing the Records Management Program of the University of British Columbia to the Records Management Program of Ohio State University and ISO 15489

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Introduction

The University of British Columbia (UBC) launched its Sustainability Initiative in early 2010 as an effort to “explore and exemplify the principles and products of sustainability” (“Welcome Message”). As a part of this effort, the Sustainability Office has identified these two themes that are to underlie all sustainability programs at UBC: “campus as a living laboratory” and “the university as an agent of change (“Welcome Message”). One of the key ways that the Sustainability Office is fostering these themes is through UBC Social, Ecological, Economic, Development Studies (SEEDS), a program that encourages collaboration between students, faculty and staff to develop sustainability programs at UBC while providing excellent learning opportunities for students, practical teaching opportunities for faculty and program and policy development opportunities for staff.

Records Management reduces both paper and electronic records maintenance costs and environmental impact; however, it is difficult to find available information which details how Records Management impacts sustainability. As a relatively new department at UBC, Records Management is taking advantage of the UBC SEEDS program to evaluate its current levels of sustainability and expand upon these levels to further reduce its costs and environmental impact. The purpose of this study is to determine how UBC can improve its records management program, particularly in terms of its promotion of sustainability, by comparing it with the much more mature records management program at Ohio State University (OSU) along with the most commonly cited records management standard: *ISO 15489: Information and Documentation – Records Management*.

Overview of the University of British Columbia's Records Management Program

UBC is a publicly-funded institution with an estimated 45,000 FTE students and 14,500 faculty and staff. The University Archives holds the responsibilities for maintaining archives and managing records. The Archives is staffed by three professional archivists, including University Archivist, Christopher Hives, and two support staff. The University Archivist reports to the Associate University Librarian and Collections Department. Records Management is staffed by one professional archivist, Alan Doyle, who reports to the University Archivist.

The policy related to the Archives is delivered clearly and explicitly through Board of Governors' *Policy No. 127: University Archives at UBC Vancouver*, approved in March 1996. The policy related to Records Management is delivered clearly and explicitly through Board of Governors' *Policy No. 117: Records Management*, also approved in March 1996. This second policy was developed in cooperation with Legal Counsel and the Freedom of Information Manager. As stated in this policy, Legal Counsel provides approval for records retention and disposition schedules; however, this particular portion of the policy has not worked as expected. The policy does not specify a relationship with IT and associations between Records Management and IT are distant.

The formalized records management program at UBC has a campus-wide mandate for records management, but not specifically for electronic records management. A formalized electronic records management program is in the planning stages, but is budget-dependent. The records management program was formerly overseen by the University Archives and Records Management Advisory Committee until its activities were concluded in 2004, at which time the University retained Alan Doyle on contract. The dedicated budget for Records Management is controlled by the University Archives, is limited to salary and excludes operating and

discretionary considerations. At the present time, stakeholders in the records management program are limited to the University Archives.

Training for staff/units on campus is conducted through “in-unit” sessions and co-presentations with the Freedom of Information Officer and are open to all University staff and faculty. In addition to the training and information offered through the Archives website, the records management program is publicized by utilizing electronic mailing lists to notify staff and faculty of upcoming education sessions.

The most important issues to the Records Manager are the appropriate retention and disposition of University records, which includes issues relating to security, time periods and formats. The most important issues to individual departments/units are the storage and retrieval of records, which includes preserving institutional memory. Records storage is the most requested Records Management service by departments/units. UBC does not have any other centralized services to help manage department/unit records, nor does Records Management provide records storage facilities for campus departments/units.

The Sustainability Office at UBC is responsible for administering the Board of Governors’ *Sustainable Development Policy* as well as the sustainability component *Place and Promise: The UBC Plan*. The Sustainability Office does not formally produce statistics related to information management on campus, but does conduct research into areas of common interest. Records Management is currently involved in efforts to reduce the environmental impact of information management through participation in the Sustainability Office’s Social, Ecological, Economic, Development Studies (SEEDS) program.

Overview of Ohio State University's Records Management Program

OSU is also a publicly-funded institution with 63,217 FTE students, making it the largest single-campus institution in the United States. The University Archives are headed by Tamar Chute, Associate University Archivist, and Daniel Noonan, Electronic Records Manager/Archivist. Because the University Archives is a division of the Special Collections department of the University Libraries, both of these individuals report to Raimund Goerler, Assistant Director for Special Collections and Archives. The Archives' staff is comprised of two FTE members (Tamar and Daniel) and five supporting professionals. As the University Archives is responsible for both records management and archival functions, the staff share duties between the two functions.

The documentation and practice of current records management policy and mandate, along with the presence of a FTE records manager evince a clear formal records management program at OSU. OSU's records management policy is clearly defined in their *Records Management Policy*, available online. The policy details the authority of the University Archives as the body responsible for developing and maintaining records retention and disposition schedules for records common to many offices and units with unique records. Additionally, the policy provides a definition for a "record" which, according to the State of Ohio, includes examples within the scope of the University's functions. Familiarization with the *General Records Retention Schedule*, developed by the University Archives, is required by all units. Additionally, all units must conduct inventory and map their records to the *General Schedule* (1/10). All unique schedules must be approved by the University Archivist.

The policy originated in 1965 with the hiring of the University's first archivist. Soon after, the Archives Advisory Committee charged the University Archivists with the preparation

of a procedures manual, which was written, approved and distributed to all units of the University in 1967. In addition to the internal origin of policies, records management was developed in accordance with Ohio State law, which required public universities to submit records retention schedules to the State for approval. In 1992, the law changed so that records schedules needed be developed by the Inter-University Council (IUC) and would not need state approval. Currently, the IUC issues and maintains the IUC Manual and model schedules, which are applied with respect to local rules to each of the universities in the Council. Since 1992, records management policies and procedures at OSU have been governed by the University Archives, Legal Affairs and the IUC. In 2009, The Board of Trustees explicitly reaffirmed the authority of the Director of Libraries and the University Archives over records management, including retention, preservation and disposition.

The mandate for records management is defined in the *Records Management Policy* manual first in terms of the University Archives as follows:

- document the origin, development and operation of the university units;
- relate the roles of the faculty and staff and/or student organizations to the operational activities of Ohio State or campus life.

The mandate is applied further in section B of the policy, which outlines the purposes of keeping records, including legal, fiscal and administrative considerations.

A separate mandate for e-records management does not exist as OSU's policies are based on record type, not format. The University Archives does not have a formal e-records management program. The Electronic Records Manager works on implementing and maintaining electronic document management systems within individual groups and units. There are many electronic document systems in use by units of the University, though many do not

have any true records management capabilities. Units currently using electronic document management systems have yet to submit records to the Archives, though the first batch from the President's Office is expected in Fall 2011. The Electronic Records Manager closely ties the University Archives to IT as the position is jointly funded by the Office of the Chief Information Officer and the University Libraries.

The most important issues to individual departments and units are storage of paper and electronic documents, management of records with an emphasis on e-mails management and handling public records and discovery requests. The two most frequent requests received from campus units are for approval of certificates of records destruction and visits to storage areas to access records.

OSU does hold several records series in centralized campus units, which include the Offices of Human Resources, Registrar, Facility Design and Construction and Academic Affairs. The University Archives does not act as or provide a records center for campus units other than for the Committee on Academic Misconduct and the Libraries.

Training is conducted through two workshop opportunities, one through the University's Office of Human Resources and another through the Office of the Controller's Financial Training group. The workshops disseminate the policies and procedures outlined in the *Records Management Policy* and receive participation from the University Archivist. The workshops take place over one day, or two days for anyone new to the University who handles financial records. In addition to an extensive and thorough web presence and the training workshops, the University Archives publicizes its program by placing notices in the University's online newsletter. A current challenge that the Archives hopes to overcome soon is developing means to contact and update departments with schedules older than the current *General Records*

Retention Schedule. In addition to keeping its policies and procedures current and consistent, the Archives considers publicizing the existence of the policies and procedures to be the most important issue in records management at OSU.

The President's Council on Sustainability is charged with developing a process to implement the President's Climate Commitment, which was developed to meet the American College & University Presidents' Climate Commitment standard. A formal sustainability policy does not yet exist for the University or individual departments or units. The Council does not produce any statistics related to information management on campus. The University Archives is not currently involved in any efforts to reduce the environmental impact of information management.

Comparison of Ohio State University's Program with UBC's Program and ISO 15489

UBC and OSU are both large publicly-funded academic institutions with records management programs. While OSU has a records management program with two full-time staff members, UBC has only one records manager. OSU's records management policy originated in 1965, whereas UBC's was not created until 1996.

UBC's records management program is in the beginning phases of implementation and has not yet successfully established working relationships with IT or legal counsel. OSU's records management program, on the other hand, has been supported for decades with a policy approved by the Board of Trustees in 1965. They have a close working relationship ^{with} IT and also often work closely with Legal Affairs. Neither institution has a specific dedicated budget for records management.

Neither institution has an existing e-records management program, though both institutions are in the planning stages and hope to start a specific e-records program soon. OSU does have a full-time Electronics Records Manager who works with various groups within OSU about document management systems, including the President's Office which uses ImageNow. However, none of these electronically managed records have yet come to the Archives; the first batch will arrive in 2011. Although there are several other document management systems on campus, many are not especially catered to true records management. UBC is hoping to begin an e-records management program, but the implementation of such a program is entirely budget dependent, which is difficult, since records management has no designated budget for discretionary spending.

Both UBC and OSU publicize their records management programs to a small degree. OSU periodically puts notices in the university's online newsletter and also has workshops for staff and faculty who work with records. They are working on ways to work with departments that still have old retention schedules from before the general schedule was created. UBC only publicizes their program on the Archives website and through electronic mailing lists to promote training sessions. Both records management programs struggle with departments who do not know that the records management program exists.

The two programs see different issues as being the most important. These clearly reflect their status as established and newer programs. UBC, who does not have a well established retention schedule, sees appropriate retention, including security, time period and format as the most major issue in the records management program. OSU, who already has an established general retention schedule, works to promote knowledge of the general retention schedule to departments within the university and they also always strive to keep current and remain

consistent in their work and implementation of the policy. Individual departments at both universities require storage from records management. UBC's records manager specifies that in addition to storage, departments most often need retrieval and institutional memory. OSU's program is more detail-oriented and their records manager says that departments confront issues in managing records, especially the ever confusing battle of managing email. The departments also work hard with handling public records and discovery requests.

Sustainability is an issue most universities are striving to improve. OSU has a policy on sustainability, though it hasn't yet had any major effect on records management. UBC has a specific department dedicated to sustainability and the records manager is working with them to research how to apply their sustainability policy to the records management program through the SEEDS Records Management Survey project.

ISO 15489-2:2 states that a records management policy should be a statement of intentions. The policy should demonstrate endorsement and active visible support by senior management and the allocation of the resources necessary for implementation. It should explicitly allocate the responsibility of records management and should refer to other policies and be supported by other documents such as procedures and guidelines. The policy should meet the needs of internal and external stakeholders. The policy should require employees to create records, ensuring that information processing systems that support business activities create appropriate records. The policy should ensure transparency, maintenance, storage and preservation for period of usefulness and proper disposal. Lastly, the policy should define authorities and responsibilities of all employees involved in records management.

OSU's records management policy provides detailed descriptions of retention schedules, responsibilities, procedures (including retention, disposition, requests/litigation holds and

conversion) and allocates responsibilities. OSU's records management policy does not comply completely with ISO standards, but they do comply with numerous other sources. OSU's policy does not follow the design suggested by ISO, but it does contain most of the recommended content.

The responsibility section of OSU's policy is fairly vague, but basically covers all the bases referenced in ISO 15489-2:2. Since OSU did not attempt to create an ISO-compliant policy, but rather followed numerous Ohio policies in the creation of their records management policy, it seems unfair to give it too harsh of a review. The policy does mandate the creation and retention of appropriate records, though does not explicitly specify requirements for transparency. The maintenance, storage and preservation requirements are implied in the policy, though probably not to the ideal level for ISO compliance.

UBC's records management policy is very short. UBC's policy covers control, retention schedules, disposition, security of personal information and operational responsibility. Most of the specific content within the policy is not the exact content recommended by the ISO standards, such as including information for and about stakeholders. The policy does not relate to other supporting documentation, which would give it significantly more power.

ISO 15489-2:6 specifies training recommendations for all who create records or use the records management system. The responsibility for training should be assigned to a manager or a third-party and the training should emphasize commitment to the implementation of policies and procedures. Upon culmination of training there should be an evaluation and review to promote the best training possible.

UBC offers "in unit" training sessions as well as co-presentations with the Freedom of Information Officer, which are open to all university staff and faculty. Both types of training are

assigned to the Records Manager. OSU offers a workshop through the university's Office of Human Resources' staff development program, titled "Paper and Bytes" which explains what a record is, how to determine retention, what happens next, etc. OSU also offers a workshop given by the Office of the Controller's Financial Training group, which has a two-day workshop for anyone new to the university who handles financial records.

Reflection and Recommendations

One of the objectives of UBC's SEEDS program is to provide interesting, real-life learning; despite only addressing two distinct records management programs, this study has certainly achieved this. One of the first things that the authors noted in this study was the lack of dedicated budgets for records management programs in large universities, which may directly contribute to incredibly small staffs and small programs. Although Shepherd and Yeo do suggest that records management budgets are often a portion of a larger budget for the department in which the records management department is located, the lack of dedicated budgets at both UBC and OSU demonstrates that this may be more common than having specific and dedicated funds for the use of the records management department (262). This is of great concern to the authors, who believe that a dedicated budget will provide greater flexibility for the records management department to achieve its mandate.

Related to this, these programs are also, surprisingly, more decentralized than publicly available material suggests. The presence of records management policies, professionals and a University-endorsed web presence gives an impression very different from the reality. A sentiment that was echoed by both universities was that the institutions they represent are so large and the number of people working in records management is so small that it is difficult to

manage all of the aspects of records management. It appears that, due to a lack of resources, a large part of the responsibilities for managing records is held within the individual units or departments and thus, many different methods exist for implementing the same policy. This is also a cause for concern to the authors, who have great concerns about the legal implications that may arise given the variances of each department's approach to records management policy implementation. In addition to a central policy, the authors feel that UBC's records management program requires central policies for the policy's implementation.

Stemming from this decentralized nature of records management programs, along with the continual changes in both the records management program and the human resources within an organization, the importance of adequate training in developing and maintaining a successful records management program came to the fore during this study. Training is vital not only for disseminating information about policies and practices to new staff, but also to ensure that veteran staff are aware of changes to policies and practice as well as new features in the records management program. The authors were surprised that training in both of these institutions was not more overtly mandatory. For example, at OSU, each unit was responsible for being familiar with records management and the university-wide policy, but participation in the workshops is not compulsory. Given the legal implications that can potentially arise in a records management situation, it is shocking that more is not being done to ensure compliance with the policies and procedures that have been established. As Jennifer Borland mentioned, it is better to have no policy in place than to have one that is not fully adhered to and can therefore cause an organization to be in non-compliance.

A final issue that was noted in this study was the noticeable lack of electronic records management programs at each of the universities. According to Donald Force, as the volume of

electronic records continues to grow at a rapid rate, it becomes ever more crucial that organizations develop and implement electronic records management programs that are as thorough and effective as their paper records management programs. That UBC's plans for this area of records management are budget dependent raises^{an} alarm with the authors. Not only does this indicate that the priority at both UBC and OSU is based on paper records and is not reflective of the current reality that electronic records permeate the organization but it also indicates that very little has been done to encourage sustainability efforts in the records management procedures across campus. In developing, implementing and promoting an e-records management program, the authors believe that UBC's records management department will have the good fortune of establishing itself as a leader in sustainability within its community. However, with this initiative must also come solutions to the other issues that have been addressed, including a dedicated budget, standard policies and procedures and a mandatory training program for those affected by the records management program.

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Appendix 1 – Records Management Survey

1. Is your institution state-supported or private?
2. What is the size of your institution? (Number of students: FTE)
3. Does your institution have an archivist?
4. To whom does he/she report?
5. How many employees (FTE's) constitute Archives staff? How many professionals? How many clerical?
6. If your institution does not have an archivist, who manages campus records deemed archival?
7. Is there a policy related to Archives? What is the origin of the policy? (Is it University, Library, Departmental, other?)
8. Does your institution have a records manager?
9. To whom does he/she report?
10. How many employees (FTE's) constitute Records Management staff? How many professionals? How many clerical?
11. If your institution does not have a records manager, how does your institution manage active and semi-active records?
12. Is there a University Policy related to Records Management? What is the origin of the policy? (Is it University, Library, Departmental, other?)
13. Does your institution have a formal records management program?
14. Is there a campus-wide mandate for records management? Is there a campus-wide mandate for e-records management?
15. Is there a campus-wide oversight/advisory committee? If so, who is involved?
16. Is there a dedicated budget for Records Management?
17. Who controls the budget for records management?
18. How much is the budget?
19. Does your institution provide records storage facilities for campus units?
20. Does your institution have other centralized services to help departments manage records?
21. Who are the major stakeholders in the records management program?
22. Who was included in developing the records management policies and procedures?
23. What is your relationship with IT?
24. What is your relationship with legal counsel?

25. If your institution does not have a formal e-records management program, is there one in the planning stages?
26. Do you conduct training for staff/units on campus? (Describe)
27. Do you publicize your program? If so, how and to whom?
28. What do you consider to be the most important issues in records management?
29. What are the most important issues to departments/units?
30. For which services do you receive the most requests from departments/units?
31. Is there a Sustainability Office/Department at your institution?
32. Is there a Sustainability Policy at your institution? What is the origin of the policy? (Is it University, Library, Departmental, other?)
33. Does the Sustainability Office/Department produce statistics related to the management of information on campus?
34. Is the Records Management Office of Archives currently involved in any efforts to reduce environmental impact of information management? Please describe these efforts.

Appendix 2 - Records Management Survey: UBC Responses

1. Is your institution state-supported or private?
State (province) supported public institution
2. What is the size of your institution? (Number of students: FTE)
Approx 45,000 students, 14,500 staff/faculty
3. Does your institution have an archivist?
Yes – Christopher Hives
4. To whom does he/she report?
AUL, Collections
5. How many employees (FTE's) constitute Archives staff? How many professionals? How many clerical?
3 professionals (archivists) and 2 support staff
6. If your institution does not have an archivist, who manages campus records deemed archival?
N/A
7. Is there a policy related to Archives? What is the origin of the policy? (Is it University, Library, Departmental, other?)
*Yes – University Policy #127 -
<http://universitycounsel.ubc.ca/files/2010/08/policy127.pdf>*
8. Does your institution have a records manager?
Yes – Alan Doyle
9. To whom does he/she report?
University Archivist
10. How many employees (FTE's) constitute Records Management staff? How many professionals? How many clerical?
1 professional (archivist)
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? What is the origin of the policy? (Is it University, Library, Departmental, other?)
*Yes – University Policy # 117 -
<http://universitycounsel.ubc.ca/files/2010/08/policy117.pdf>*

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 and no.
15. Is there a campus-wide oversight/advisory committee? If so, who is involved?
There was – see <http://www.library.ubc.ca/archives/uarmac.html>
16. Is there a dedicated budget for Records Management?
Yes, salary but no operating or discretionary.
17. Who controls the budget for records management?
University Archives
18. How much is the budget?
Salary publically available through UBC.
19. Does your institution provide records storage facilities for campus units?
No
20. Does your institution have other centralized services to help departments manage records?
No
21. Who are the major stakeholders in the records management program?
The only current stakeholder in the records management program is the University Archives.
22. Who was included in developing the records management policies and procedures?
Legal Counsel, Freedom of Information Manager
23. What is your relationship with IT?
Distant
24. What is your relationship with legal counsel?
Legal Counsel is named specifically in the RM Policy as one of the approvers of records schedules. The policy has not worked as expected.
25. If your institution does not have a formal e-records management program, is there one in the planning stages?
Yes, but budget dependent
26. Do you conduct training for staff/units on campus? (Describe)
Yes – “in unit” sessions, as well as co – presentations with Freedom of Information Officer (which are open to all University staff/faculty)

27. Do you publicize your program? If so, how and to whom?
Only via Archives website and to list serves when notifying of upcoming education sessions
28. What do you consider to be the most important issues in records management?
Appropriate retention (security, time period, format) of University records.
29. What are the most important issues to departments/units?
Storage, retrieval, institutional memory
30. For which services do you receive the most requests from departments/units?
Records storage
31. Is there a Sustainability Office/Department at your institution?
Yes
32. Is there a Sustainability Policy at your institution? What is the origin of the policy? (Is it University, Library, Departmental, other?)
Yes – University policy #5 - <http://universitycounsel.ubc.ca/files/2010/08/policy5.pdf>, but also as a central pillar in the most recent strategic plan - <http://strategicplan.ubc.ca/>
33. Does the Sustainability Office/Department produce statistics related to the management of information on campus?
Not formally, but does research (including this survey) into areas of common interest.
34. Is the Records Management Office of Archives currently involved in any efforts to reduce environmental impact of information management? Please describe these efforts.
SEEDS/Records Management Survey – ARST 516

Appendix 3 – Records Management Survey: OSU Responses

1. Is your institution state-supported or private?

State supported

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

63, 217

3. Does your institution have an archivist?

Tamar Chute - Associate University Archivist;

Daniel Noonan - Electronic Records Manager/Archivist

4. To whom does he/she report?

Raimund Goerler - Assistant Director for Special Collections and Archives

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

Two FTE members (Tamar and Daniel); five supporting professionals

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

N/A

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

[THE FOLLOWING IS FROM OUR RECORDS MANAGEMENT POLICY, WHICH IS AVAILABLE ONLINE IF YOU WOULD LIKE TO REVIEW IT.] "The Board of Trustees approved the hiring of OSU's first archivist, Bruce Harding in September 1965. Secretary of the Board of Trustees, John Mount, announced the appointment in a memo dated October 8 1965, to Dean's, Department Chairs, and Administrative heads that Harding was to provide leadership for "...the development of a program which is designed to produce an effective system for the creation, use, maintenance, and disposition of University records..."

"John Mount, as the official records officer of OSU, chaired the Archives Advisory Committee that represented the financial, academic and administrative leadership of the University. On April 18, 1966 he convened the first meeting of the Archives Advisory Committee charging the University Archivist "...to prepare a chapter for the 'Procedures Manual' and submit it to the Committee members for consideration. The concept of using 'Schedules of Records Retention and Disposition' was approved and the Archivist is to include the procedure for their development in the procedures manual." By April of 1967 Section 9 had been written, approved, and distributed to all units of the University."

In 2009 the Board of Trustees reaffirmed the authority of the Archives to schedule records (see: <http://trustees.osu.edu/Minutes/documents/071108.pdf#page=42> for the Board's resolution).

Something you need to know is the history of records management in Ohio for the public colleges and universities. Before 1992, the public colleges and universities were required by Ohio law to submit records retention schedules to the State for approval. In 1992, the law was changed and the responsibility for records management was placed on the public colleges and universities. The Inter-University Council (13 public colleges and universities) had to follow some sort of retention scheduling, but did not have to go through the State for approval. A committee of people throughout Ohio hired and worked with Donald Skupsky (Information Requirements Clearinghouse) to create the first IUC Manual and model schedule. I can send you the most recent model schedule if you're interested.

All of the colleges and universities use the manual in slightly different ways. We all have variations depending on local rules. But we try to be consistent if possible. Recently, the IUC purchased the Retention Manager 3 software from Skupsky. The software is all the legal research behind the schedules and is updated quarterly. OSU is responsible for the software and for updating anything in the IUC model schedule that needs to be changed. <http://library.osu.edu/find/collections/the-ohio-state-university-archives/about-the-archives/statement-of-authority/>

8. Does your institution have a records manager?

ERM/Archivist - Daniel Noonan

9. To whom does he/she report?

Raimund Goerler - Assistant Director for Special Collections and Archives

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

Two FTE members (Tamar and Daniel); five supporting professionals – same people as for the Archives

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? What is the origin of the policy? (Is it University, Library, Departmental, other?)

Yes - <http://library.osu.edu/projects-initiatives/osu-records-management/osu-records-management-policy/>

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?

See above for the first question. There is no separate mandate for e-records management. Our records management program is based on record type, not format. So we are constantly reminding people that the format doesn't matter, it's what the content is.

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

No

16. Is there a dedicated budget for Records Management?

No

17. Who controls the budget for records management?

N/A

18. How much is the budget?

N/A

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

We do not have a records center, just an archives, with a two exceptions – We keep the records for the Committee on Academic Misconduct (50 year retention) and the Libraries (since we are a unit of the Libraries)

20. Does your institution have other centralized services to help departments manage records?
OSU Archives - Committee on Academic Misconduct and the Libraries

The following are several records series that are held by centralized campus units, and should not be maintained locally:

- *OFFICE OF HUMAN RESOURCES*
 - *Benefits documentation*
 - *Sick leave documentation (final) – retained for 10 years per Ohio law*
 - *Position descriptions – maintained in PeopleSoft*
 - *Retirement Systems Exemption Requests*
 - *State Service Record*
 - *W-4 Forms*
- *OFFICE OF THE REGISTRAR*
 - *Student records (transcripts, change of course forms, change of grade forms)*
 - *New course forms*
 - *Student Evaluation of Instruction forms (SEI)*
- *OFFICE OF FACILITY DESIGN AND CONSTRUCTION*
 - *Blueprints*
 - *Construction documentation*
- *OFFICE OF ACADEMIC AFFAIRS*
 - *Promotion and Tenure documents*

21. Who are the major stakeholders in the records management program?
I'm not 100% sure what you are looking for here. Of course Legal Affairs is interested in our records management program and any area that is worried about compliance (like our Laboratory Animal Research Center). Our university is huge, so getting everyone to know and comply with the retention schedules is challenging (especially since there are only 2 of us doing it).
22. Who was included in developing the records management policies and procedures?
Once we had the authority, it's really been the Inter-University Council of Ohio, Legal Affairs, and the Archives.
23. What is your relationship with IT?
The Electronic Records Manager's position is joint-funded between the Office of the Chief Information Officer and the University Libraries. We are also in the process of creating a unique records retention schedule specifically for their unit.
24. What is your relationship with legal counsel?
We do not have an official relationship with Legal Affairs. However, we work closely with them when we have legal questions regarding retention (usually for unique schedules) and to promote the general records retention schedule. We work with them also when there are public records requests. Legal Affairs also transfers their permanent records to the Archives.
25. If your institution does not have a formal e-records management program, is there one in the planning stages?
We don't really have a e-records management program. The Electronic Records Manager has worked with various groups on campus in terms of document management systems. This has included the President's Office which is using ImageNow. However, none of those records have yet come to the archives. The first batch from the President's Office is supposed to come next fall (2011). There are several other management systems on campus, many do not have any true records management abilities. If you want more information on these, I can give you our Electronic Records Manager's contact information.
26. Do you conduct training for staff/units on campus? (Describe)
We have two different training opportunities. The first is a workshop given through the University's Office of Human Resources' staff development program. The workshop is titled "Paper & Bytes" and explains what a record is, how to determine retention, what happens next, etc. [If you would like a copy of the presentation, I'd be happy to email it to you.] The second opportunity is through a workshop given by the Office of the Controller's Financial Training group. They have a two day workshop that is for anyone new to the University who handles financial records. I go to the first day of the workshop for a half hour and talk about the general schedule, records management, and how we can help the new staff person.

27. Do you publicize your program? If so, how and to whom?
We periodically put a notice in the university's online newsletter. We also have the workshops. We are thinking about ways to contact departments who still have very old schedules (from before the general schedule was created). There are challenges that we hope we can overcome soon.
28. What do you consider to be the most important issues in records management?
Keeping current, being consistent, and letting people know we exist and the retention schedule exists
29. What are the most important issues to departments/units?
Storage (paper and electronic), management of records (particularly email), and how to handle public records requests/discovery requests
30. For which services do you receive the most requests from departments/units?
Approval of certificates of records destruction; next would be visits to storage areas to look at materials
31. Is there a Sustainability Office/Department at your institution?
There is a President's Council on Sustainability (see: <http://president.osu.edu/sustainability/>)
32. Is there a Sustainability Policy at your institution? What is the origin of the policy? (Is it University, Library, Departmental, other?)
See above for the policy and more information
33. Does the Sustainability Office/Department produce statistics related to the management of information on campus?
No, at least they haven't yet
34. Is the Records Management Office of Archives currently involved in any efforts to reduce environmental impact of information management? Please describe these efforts.
No

**Appendix 4 – Certificates of Completion: Interagency Advisory Panel
on Research Ethics – Introductory Tutorial for the Tri-Council Policy
Statement: Ethical Conduct for Research Involving Humans (TCPS)**

Certificate of Completion

This is to certify that

Michael Jenkins

*has completed the Interagency Advisory Panel on Research Ethics'
Introductory Tutorial for the
Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS)*

*Issued On: **September 16, 2010***

Certificate of Completion

This is to certify that

Rebecca Martens

*has completed the Interagency Advisory Panel on Research Ethics'
Introductory Tutorial for the
Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS)*

Issued On: **October 21, 2010**

Certificate of Completion

This is to certify that

Alicia Reuter

*has completed the Interagency Advisory Panel on Research Ethics'
Introductory Tutorial for the
Council Policy Statement: Ethical Conduct for Research Involving Humans (IC*

Issued On: **October 22, 2010**
