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The Valley Library – SCARC – University Records Program

CSA/LFA SEMINAR SERIES - UNIVERSITY RECORDS

THURSDAY, MAY 30TH FROM 2 TO 3PM IN THE WILLAMETTE WEST CLASSROOM & VIA ZOOM



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RECORDS MANAGERS: WHY WE DO OUR JOB?

Records Management: What Is It?

Records Management refers to the planning, budgeting, organizing, directing, training, and control involved in managing the life cycle of records in any medium.

- This life cycle encompasses the interrelated and interdependent phases of records creation or collection, records maintenance and use, and records disposition:
 - Creating records
 - includes the early capture of records to provide adequate and proper documentation of OSU activities
 - Using and maintaining records
 - includes document control; file management; identification of active/inactive records; maintenance of vital records and records requiring special protection
 - Records disposition
 - includes appraising (placing value on) records; retiring, storing and retrieving records; preserving historical records
 - Records that have reached the end of life should be destroyed at the time specified in the Records Schedules.

Records Management: Why Is It Important?

- Saves Time and Effort
 - Streamlines filing & retrieval process
 - Limits searching for the latest version
- Improves Accountability
 - Safeguards confidential records
 - Protects privacy
 - Ensures compliance
- Limits Space Taken up By Files
 - Eliminates drafts, outdated documents
 - Helps businesses operate at a higher level of efficiency

OSU Records Program

What is the role of the Program?



Serve the entire OSU campus community



Provide records mgmt. and archival expertise to campus community

Provide a wide range of processes and policies at the department level



Valued partner in Shared Governance



Concentrate of risk & legal mitigation



Manage two on-campus secure record centers for storage of paper records

It's all about service to a community





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RECORDS PROGRAM CURRENT PROJECTS – HOW WE SERVE!

Paper Records

Current Projects

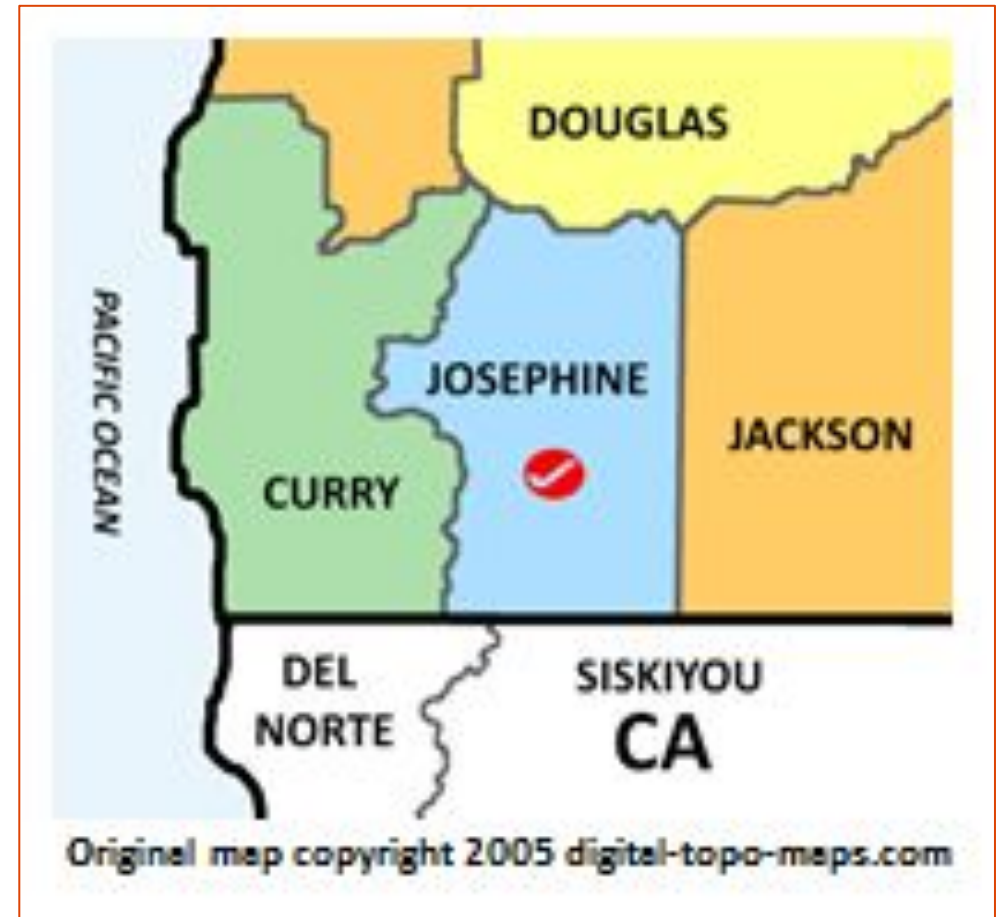
HR Benefits Paper Records Archiving

- Human Resources (HR) benefits and retirement have thousands of personnel files in need of archiving
 - Working in HR one day a week
 - Creating a list of all files to use as box contents lists
 - Employee name & OSU ID #
 - Files for employees hired pre-Knowledge/Banner
 - Very long retention!
 - Archive boxes for records owner



OSU Extension Service – Josephine County – Possible Office Closure

- I was contacted by the 4-H Youth Program Coordinator & Office Manager for the Josephine County Extension Office
 - Their office may be closed, will know about closure June 28th, when budget is approved or not
- Answered questions about their records and how to strategize on records review, archiving, preservation, relocation, preparation for long-term storage
 - Talked about paper and electronic records – volume and needs assessment



Boxed Paper Records Destruction Cycle



- The Records Program has two annual boxed records destruction cycles: January and July
- Boxed records that have met/exceeded minimum retention are identified & boxes pulled from the shelf and staged awaiting destruction
- A destruction notice is completed for each box, records owners are contacted, via DocuSign
 - Destruction notice sent to record owners for review/approval; Unit index # requested to cover cost of on-campus shredding
 - If requested, box is hand delivered to record owner for in-person review ; destruction occurs by record owner
- Signed, approved destruction notices received
- Destruction tags made to affix to each box – includes index # for Campus Recycling
- Campus Recycling pickup scheduled
- Boxed records removed from Records Center (RC) and securely shredded by Campus Recycling
- Records Manager updates RC database to document destruction of boxed records; approved destruction notices filed

Boxed Paper Records Ingest Process

- Records owners contact Records Manager to arrange for boxed records to be housed in Records Center (RC)
- New accessions paperwork and transfer documents created; sent to records owner(s), via DocuSign, for review/approval
- Pickup from record owner scheduled & delivery to RC is arranged
- Open box location identified on RC shelf
 - Box labels created for each box
 - Box label includes- retention requirement; destruction date; record owner; shelf location; record type; ingest date

KERR RECORDS CENTER New Box Ingest	
Vet Med Large Animal**	161
Vet Med Small Animal**	92
Executive Director UHDS**	6
Student Health Services (SHS)	7
Cashier's Office	56
Human Resources – Benefits and Retirement	9
Arnold Dining Center	12
McNary Dining Center	25
<i>** Future accessions, in the works...</i>	

Records Center Strategic Plan

Currently the Records Program has two on-campus records centers

- With the upcoming remodel of Weniger Hall the Records Program is losing one on-campus records center
- In preparation for the eventual loss of Weniger Hall Records Center location – we are pursuing a move to the offsite storage vendor – Iron Mountain
- [Since the Kerr Administration building is such valuable real estate, and the empty basement spaces are being built out – there may come a time soon that this space may be requested, lost]

Alternative to on campus records storage – contract with a records storage vendor:

Iron Mountain Record Storage Facility

Address: 32141 Mallard Ave, Tangent, OR 97389 Phone: (541) 926-2014

Services:

- Secure offsite document storage.
- Scanning documents to a digital storage solution.
- Secure offsite storage for vital records and specimens.
- Destroying paper records and documents, plastics, and media in a cost-efficient, safe, and compliant way.

Current OSU On-Campus Records Centers

Current Inventory (cf = 1 box)C

WENIGER HALL

6th floor; Room #0621

801 sq. ft.

KERR ADMINISTRATION

Basement; Room #B0090

759 sq. ft.

Current Records Centers Boxed Records Current Record Owners

List of Current Record Owners / Stakeholders:

Academy for Lifelong Learning
Affirmative Action
Archives (University Archives, SCARC)
Budget and Fiscal Planning (ESU) (Check Stub Records)
Business Affairs (Accounts Payable Records & Student Loans)
Capital Planning and Development
College of Pharmacy
College of Public Health and Human Sciences
Counseling and Psychological Services
Disability Access Services
English Language Institute
Entomology Department
Finance & Administration-Cashiers Office Records
Finance & Administration
Financial Aid and Scholarships
General Counsel
Graduate School
Health Sciences Business Center
Insurance and Risk
International Programs and Services
International Scholar and Faculty Services
INTO OSU (Special Academic Programs Students Records)
Leasing and Strategic Real Property Management
Office of Global Opportunities

Office of Internal Programs
President's Office
Procurement, Contracts, and Materials Management
Printing and Mailing
Public Health Department
Radiation Center
Research Office - OCCD
Risk Management Services
SMILE Program (Non-Institution Student Records)
Student Affairs-Cooperative Education Records
Student Conduct & Mediation
Student Employment
Student Health Services (SHS) (Medical Records)
Student Involvement
TEAM OREGON (Non-Institution Student Records)
Triad Club
Undergraduate Academic Programs
University Administration Business Center
University Dining Centers (Arnold & McNary Dining Centers)
University Facilities Infrastructure & Operations
University Human Resources
Veterinary Diagnostic Laboratory
Veterinary Teaching Hospital
VP for Finance and Administration

Current Records Centers Boxed Records Minimum Retention

A Selection of Minimum Retention Requirements from a Selection of Archived Records

Minimum retention: 7 years after last enrollment (student academic history records)	Minimum retention: 7 years after last service or contact (medical records)
Minimum retention: 10 years (annual financial reporting records)	Minimum retention: 7 years after completion of audit (audit records)
Minimum retention: 10 years after incident (accident/injury records)	Minimum retention: 10 years (campus planning records)
Minimum retention: 10 years after substantial completion (capital construction project records)	Minimum retention: 2 years after resolution or, if not resolved, 5 years after case closed (claims/litigation records)
Minimum retention: duration of ownership or 6 years after sold (real estate records)	Minimum retention: 3 years after project completion (institutional animal care/use/medical records)
Minimum retention: 100 years after employment (benefit/retirement records)	Minimum retention: 7 years after the last day of employment (employment accommodation records)
Minimum retention: 75 years for incidents that result in expulsion, suspension, degree revocation, or negative notation on transcript; 7 years from date of notice for all other student conduct files (student conduct records)	Minimum retention: 7 years after last enrollment (application/letter of admission for matriculated student records)
Minimum retention: 7 years after last enrollment (international student records)	

Current Records Centers Statistics

RECORDS CENTERS - STATISTICS 2023-2024

MISSION: To promote regulatory compliance, preserve OSU's important records with highly secure and compliant records storage & destruction.

RECORDS CENTERS	23-Jul	23-Aug	23-Sep	23-Oct	23-Nov	23-Dec	24-Jan	24-Feb	24-Mar	24-Apr	24-May	24-Jun	Total
<i>Current Inventory (cf = 1 box)</i>													
WENIGER-6 th floor; Room #0621; 801 sq. ft. KERR-Basement; Room #B0090; 759 sq. ft.													
WENIGER													
Weniger new accessions (cf)	0	0	0	0	0	0	0	0	0	0			
Weniger deaccessions (cf)	0	0	0	69	0	0	0	0	11	0			
Weniger total volume (cf)	1363.5	1363.5	1363.5	1294.5	1294.5	1294.5	1294.5	1294.5	1283.5	1283.5			
KERR													
Kerr new accessions (cf)	0	0	0	0	0	0	0	0	104	0			
Kerr deaccessions (cf)	0	0	0	108	0	0	0	0	7	0			
Kerr total volume (cf)	1112	0	0	1004	1004	1004	1004	1004	1101	1101			
Total volume of 2 records centers (cf)	2475.5	2475.5	2475.5	2298.5	2298.5	2298.5	2298.5	2298.5	2384.5	2384.5			
Files retrieved	1	0	0	0	2	0	1	0	2 boxes	0			

WENIGER RECORDS CENTER Future Deaccessions	7/2024	2025	2026	2027	2028	2029
Total boxes to be destroyed	190	187	289	47	44	11
Grand Total = 768 (7/2024-2029)						
1283-768 = 515 (remaining boxes)						

As of 7/23 no new accessions added to Weniger Records Center.

Electronic Records

Current Projects

Cyber Security Event - SharePoint Site

Met with David McMorries, Chief Information Security Officer, Office of Information Security, about UIT destruction and archiving of March 2021 Cyber Attack event content

- Discussed records relating to the “major cybersecurity event” from 2021. The insurance claim just finally closed out (10/2023) and that meant OSU could think about what to do with all the records stored in a SharePoint site from that event. (Records consist of 1,000s of screenshots + other records)
- The Records Manager consulted with the State Archives...there is a State document that says that cybersecurity records should be retained for 3 years – OSU determined the 3 years should begin after the claim is finally closed.
 - A disposition memo—was created to document the destruction process, signed by UIT, General Counsel, Records Manager
- Next session in June – discuss the various record types; total # of records; the review process, and any concerns

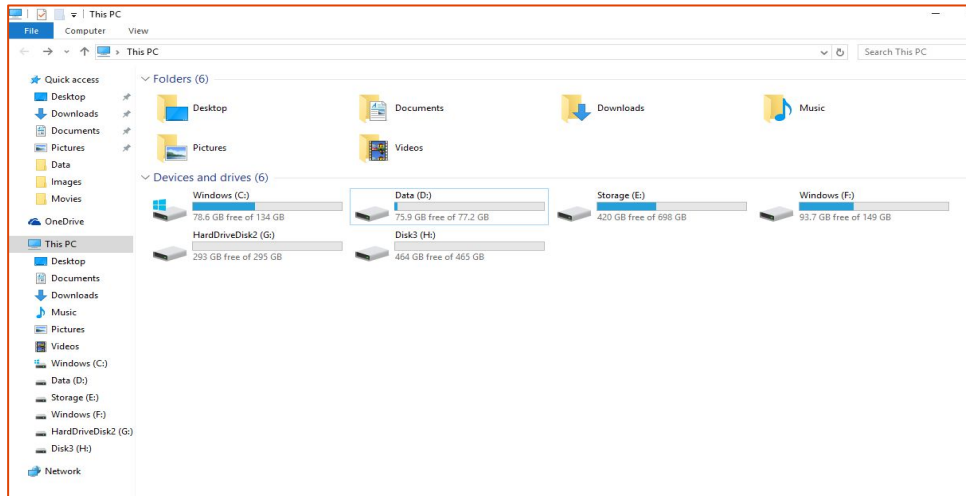
AMP Project Support

Met with Trey Sisson, Associate Director, Administrative Modernization Program (AMP), and AMP team to discuss collaboration with AMP/UIT on retention requirements and records ownership

- AMP team, when meeting with OSU units, identify records relevant to the unit processes under discussion
- AMP team is creating a huge spreadsheet to capture all records encountered during these OSU unit reviews
 - The spreadsheet is reviewed by the records owners, AMP staff, General Counsel, and the Records Manager provides retention and archiving requirements
- This is an on-going very long involved, ever changing process
- Future discussions will include transfer process- to transfer permanent/historical relevant records to SCARC

Office of Audit, Risk and Compliance Data Migration Support

- The purpose of this collaboration is to conduct records review before a data migration
 - The migration is from office Shared Drives to SharePoint site
 - Complete data organization and record retention best practices ahead of the office-wide data clean-up scheduled for June 20-21, in anticipation of the SharePoint migration in July
 - Meet with staff at office: Kerr, Business Affairs Conference Room – B100A



QUESTIONS??



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THANK YOU FOR
YOUR TIME &
ATTENTION!



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