

Records Management for Managers & Supervisors

Requirements and Responsibilities

For More Information:

www.doa.state.wi.us

Scroll left hand menu bar to "Public Records" list

WHY RECORDS MANAGEMENT?

- Ensure statutory and regulatory compliance
- Preserve the rights of citizens
- Support better decision making
- Safeguard vital information
- Preserve organizational memory
- Reduce operating costs
- Minimize litigation risks

WHAT RECORDS RESPONSIBILITIES DO MANAGERS & SUPERVISORS HAVE?

- Ensure staff has basic knowledge about records management
- Document program area business activities and decisions
- Know program area business records and ensure they have an approved records schedule
- Safeguard confidential, sensitive, and personally identifiable information (PII)
- Communicate records roles and responsibilities to your employees
- Ensure records are filed for safe storage and efficient retrieval
- Ensure records are only disposed of in accordance with an approved schedule
- Have method to address legal holds and halt records disposition
- Identify and transfer records prior to employee departures

WHAT RECORDS DO MANAGERS & SUPERVISORS TYPICALLY HAVE?

- Information pertaining to advisory boards, councils and committees
- Meeting materials
- Program, policy, and procedure development documentation
- Program area activity, production and employee reports and files
- Project files
- Business related memos or correspondence
- Open records requests and responses
- Reports to senior management
- Calendars, schedules and logs of daily activities

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, pictorial, paper, electronic, audio, video etc.*

Email

- Key substantive comments on draft action memos
- Documentation of significant agency decisions

Personal Digital Assistants (PDAs) / Blackberries

- May contain records, which must be retained
 - Synchronize email and calendars with agency servers on a regular basis

Videotapes and Webcasts

Calendars and Appointment Logs

How Do I Manage My Records?

Policies-Records schedules:

- Identify the public records
- How long to keep them
- What to do with them afterwards

Filing

- Use or develop a filing system to organize and categorize records

People

- Communicate records roles and responsibilities
- Know your agency's records officer and your area records coordinator. Contact them with questions.

*Note: Your agency may **only** dispose of public records as approved by an authorized records schedule.*

What is a Retention/Disposition Schedule?

A records management policy 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, equal rights complaints*

Supports financial obligations or legal claims

Examples: *grants, contracts, litigation case files, purchase orders*

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 copy

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

Draft or working paper

Examples: *draft documents without substantive comments, rough notes, calculations.*

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*