RECORDS MANAGEMENT BEST PRACTICES GUIDE

WHY RECORDS MANAGEMENT

Effective records management is important to preserve the history and the security of our University and to avoid potential risks of a breach. University departments can contribute to the preservation of the University's records by following the guidelines in this document. You can fulfill this important role by classifying records by type, the length of time the record needs to be retained and securely destroying inactive records in a timely manner.

Major benefits of records management include:

- Compliance with statutory regulations and University requirements.

- Reduce cost by only storing those records that need to be retained per University policy.

- Improve records retrieval to support operating, audit and litigation document requests by maintaining accurate inventory.

- Minimize litigation risk by retaining records only for the period of time required by statutory regulation and/or University policy.

- Ensure records that have historical value are place in the University's Archives.

RECORD RETENTION POLICY

The University's policy is to comply with all federal, state and local laws regarding retention and disposition of University records. Each department of the University has primary responsibility for the safeguarding of University records created by their areas or under their control. This responsibility includes: 1) compliance with the Records Retention Schedule for each type or series of records within their possession; 2) disposing of records upon expiration of the Retention Period in an approved manner and 3) complying with all aspects of governmental regulations and statues (*See the Record Retention Policy*).

Key Concept: Retain only those original records for which your department has primary responsibility and only for the time period established in the Record Retention Schedule. For example, copies of accounts payable invoices do not need to be retained in departments because the original document is maintained centrally in Accounts Payable.

INVENTORY

A complete inventory of records must be maintained by departments. Each department has responsibility for properly identifying records sent to storage (*See Sample Document Inventory*).

Key Concept: Maintaining an accurate inventory of records in storage will enable accurate and timely retrieval of records as well as the timely destruction of records that have reached the end of their retention period.

RETENTION SCHEDULE

The Record Retention Schedule describes the official retention period for each type of record at the University (*See Records Retention Schedule*). Records should not be maintained after the official retention period. Record types that are not listed on the Record Retention Schedule should be brought to the attention of Spend Management for review and inclusion in the Record Retention Schedule.

Key Concept: Retaining records for the retention period ensure compliance with statutory regulations.

RECORD DESTRUCTION

No official University records are to be destroyed before the end of the Retention Period as indicated in the Records Retention Schedule. Prior to destroying records, departments must review their inventory, identify records that have met the University Retention Period and ensure that the records are not subject to litigation or audit holds.

Key Concept: Timely destruction of records that have reached the end of their retention period will reduce future audit and litigation risks as well as eliminate unnecessary storage expense. The office of the General Counsel and Controller will advise department directly when an audit or litigation hold is place on specific records.

UNIVERISTY ARCHIVES

The University Archives is the official institutional repository of records that document the history of the University of Miami. The University Archives identifies, collects, and preserves materials that have enduring historical value. Records transferred to the University Archives are subsequently administered by the University Archives and made available to researchers unless restrictions are specified in the Records Transfer Form or required by law.

Key Concept: A thorough review of records prior to storage or destruction will ensure that historically significant records are retained. When in doubt about the historical significance of records, consult with the University Archivist, before sending materials to the Archives.

More information is available at http://www.library.miami.edu/universityarchives/

IMAGING OPPORTUNITIES

Scanning of records provides a cost effective method of storing University records. Most records which are kept in a digital format should not also be kept in a hardcopy format. If records are scanned and indexed in an approved University format the hardcopy document should be destroyed using the University approved method.

Key Concept: Imaging records reduces storage cost and facilitates access and retrieval of records. Imaged records are subject to the same retention periods as hard copy records.

For assistance on record imaging please contact the following University departments:

Document Management Services www.miami.edu/dm

The University's Document Management Team has helped numerous departments streamline their operations and eliminate paper records. The team is available to help you

with the design of your electronic File Cabinets, training, technical support and everything you need to eliminate the paper. For more information, contact:

Lourdes Wolf-Marenus
(305) 284-2140
lwolf@miami.edu

CANE – CARE, Miller School of Medicine

For assistance in the scanning of Medical Records please contact:

Sandra Hernandez
HIM Manager
(305) 243-8957
Shernandez4@med.miami.edu

INDEXING

Departments must ensure that records, regardless of storage format, at easily accessible and retrievable. Indexing is the key to organizing records. University departments need to identify the best parameters for indexing their records. Such parameters may include type of record, content, record creator, department name, purpose, patient name, DOB, destruction date, etc.

Key Concept: Proper indexing will facilitate access, timely retrieval and reduced storage cost.

ACCESING YOUR RECORDS ONLINE

After records have been stored at Iron Mountain, records may be accessed online through the IM Portal. The implementation team in the Department of Spend Management can assist in providing access to your records online.

Iron Mountain – IM Connect Portal

Iron Mountain Connect facilitates online access of records, search capabilities, create inventory reports fast and secure, as well as, service order placement.

For training contact:
Karolyn Superba
Manager, Healthcare Accounts
Iron Mountain
13700 NW 2nd Street
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13700 NW 2nd Street
Sunrise, FL 33325
Phone (954) 775-4448
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IMPLEMENTATION TEAM

The implementation team will assist you with any of your record storage questions or needs. Questions relating to the University Records Retention Project should be directed to the Spend Management Department:

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