Name of Standard: Records Management

Responsible Department
UMMS Office of Management (OoM)
Contact: PrivacyandCompliance@umassmed.edu or 508-856-TEAM

STANDARD STATEMENT
A clear, well-designed and routinely applied records management system shall be implemented to assist CWM to improve business process, ensure compliance with contractual, legal, audit, or public information requirements and limit liability. Each Business Unit shall adopt a standardized records management process that incorporates applicable retention standards and establishes procedures for maintaining, managing and destroying documents, regardless of medium, as soon as permitted and pursuant to appropriate standards for destroying confidential or sensitive data.

REASON FOR STANDARD
To establish consistent, systematic and secure practices for the proper management, retention, storage and disposal of records; identify record retention schedules and disposition processes, limit risk of losing statutorily protected or business critical records and ensure compliance with state and federal law and university policy.

ENTITIES AFFECTED BY THIS STANDARD
All Workforce and Business Units of Commonwealth Medicine.

RELATED DOCUMENTS
- Statewide Records Retention Schedule
  http://www.sec.state.ma.us/arc/arcrmu/rmuidx.htm
- Electronic Records Management Guidelines/Appendix to Statewide Records Retention Schedule
  http://www.sec.state.ma.us/arc/arcrmu/rmuidx.htm
  http://www.sec.state.ma.us/rec/reform/formidx.htm
- University of Massachusetts Record Management, Retention and Disposition Policy
- Record Management Guidelines (issued by the Office of General Counsel 1/28/13)

SCOPE
Applies to all records created or held by CWM Business Units, regardless of medium, including:
1. records owned by UMMS/CWM; and
2. records owned by another entity but created or maintained by CWM pursuant to a contract, Interdepartmental Service Agreement (ISA), or other agreement.
STANDARDS

1. Retention Schedule
   a. Retain CWM records that are University records according to the University Policy & Guidelines.
   b. Retain CWM records, created for or provided by a state agency partner, with which CWM has an ISA, contract, or other agreement, in accordance with the Statewide Records Retention Schedule or the ISA, contract, or agreement, as applicable.
   c. Retain CWM records that are created for or provided by other entities with which CWM contracts and that are owned by the other entity, according to the terms of the contract between CWM and such other entity.
   d. Retain all records that are the subject of a legal hold, where a directive is issued to retain certain records for which an investigation, litigation, or other legal action has been, or may be, filed against the University or a client of the University on whose behalf CWM is the custodian of the records (Legal Hold).
   e. Each Business Unit shall develop a record retention schedule that addresses the applicable retention periods for all records for which it is the official custodian.
      i. Determine retention period after reviewing all applicable retention periods.
      ii. Retain records covered by multiple retention requirements for the longest applicable retention period.

2. Records Management
   a. Ensure that active records are organized in such a manner as to be identifiable and accessible.
      i. Maintain electronic records on a network drive, not a local drive, to ensure such records are always backed up.
      ii. Maintain paper and electronic records with security appropriate to the records' level of sensitivity or importance for business continuity.
   b. Records Custodian shall develop and maintain a current inventory identifying records to be stored on or off-site that includes:
      i. date entered into inventory;
      ii. clear description of records;
      iii. owner of the records (University, state partner, or other entity);
      iv. whether records contain Personally Identifiable Information (PII);
      v. barcode and/or alternate identification number for records put into storage;
      vi. format of records (paper or electronic);
      vii. date range of records included in storage unit;
      viii. organizational format of records [chronological, by client, by subject, etc.];
      ix. volume of records in cubic feet;
      x. relevant retention period established by University, State, or contract;
      xi. earliest date for which permission to destroy or return may be requested [ex: 7 years from end of contract, return to EOHHS; or 5 years, may request permission from Records Conservation Board in 2015]; and
      xii. indication of likelihood of retrieval of records during retention period.

Records Management
c. Store inventory with records.
   i. Include a cover sheet detailing the contents with each box and maintain a copy of
      cover sheet at the Business Unit; and
   ii. Mark exterior of boxes prior to storage with, at a minimum, the bar code or alternative
       identification number, Business Unit, and earliest date for which destruction can be
       requested or records returned.

d. Inactive records shall be inventoried and stored at UMMS or off-site with a contracted
   vendor, ensuring that the room:
   i. is environmentally controlled;
   ii. has a fire suppression system, such as water sprinkler system, and heat and/or smoke
       sensors;
   iii. has adequate security controls to prevent theft, loss, or alteration of documents; and
   iv. is organized to ensure accessibility to those records most likely to be retrieved and to
       allow for disposal of records on an ongoing basis.

e. For records including PII stored in non-UMMS facilities, whether in paper or electronic form,
   the contract must include a Data Management or Business Associate Agreement with
   Breach notification requirements.

3. Records Disposition or Disposal
   a. Timely disposal of expired records is essential to reduce risk and expense.
   b. The Records Custodian for each Business Unit should review the inventory once a year for
      expired retention periods.
   c. Records that are the subject of an investigation, litigation, or other legal action may not be
      destroyed until records are released by counsel, even if retention period is expired.
   d. Business Units may single out potentially historical material for review by the UMMS
      archivist regardless of stated retention period.
   e. For records owned by a state agency partner, confer with agency owner and return records
      or, at the direction of the agency, seek permission from the Records Conservation Board
      (RCB) to destroy records, following RCB procedures.
   f. For records owned by another third party, confer with record owner and return or, at the
      direction of the record owner, destroy records with appropriate security precautions.

4. Disposal of PII
   Business Units must implement reasonable safeguards on proper disposal procedures for PII to limit
   incidental and avoid prohibited disclosures of PII in connection with the disposal of information. Units
   must consider the potential risk to privacy and the form, type and amount of PII to be disposed. The
   PII must be rendered essentially unreadable, indecipherable and so that it cannot be reconstructed.
   a. Dispose of PII in accordance with unit-specific record retention schedule(s) and the CWM
      “Records Management” Standard and the University of Massachusetts Records
      Management, Retention and Disposition Policy.
   b. Dispose of paper PII by cross-cut shredding or placing in a locked recycle bin according to
      unit-specific procedures.
   c. Dispose of CDs containing PII by cross-cut shredding (contact the UMMS IT Helpdesk for
      assistance).
   d. Contact UMMS Facilities Management or the UMMS IT Helpdesk for assistance when
      retiring or recycling desktop or laptop computers or other media such as external hard
drives, USB thumb drives, CDs, DVDs, multi-function printers, or fax machines to ensure proper destruction of any PII saved on the media.

e. Retain a copy of the certificate of destruction along with an inventory of the records destroyed.

Anyone found in violation of the standards may be subject to disciplinary action up to and including termination.

RESPONSIBILITIES

Manager of Business Unit:

1. Ensure compliance with this Standard.

2. Appoint one individual from Business Unit as its Records Custodian to be responsible for implementing this Standard and developing relevant Business Unit procedures.

3. In consultation with Records Custodian for Business Unit:
   a. Identify and document relevant schedules, contractual obligations, or other statutory or regulatory requirements for retention periods for all Business Unit records.
   b. Create and maintain current Business Unit records retention schedule (Retention Schedule).
   c. Negotiate explicit and reasonable limitations on CWM’s obligation to retain records owned by another entity.
      i. Stipulate clear time frames for returning records to owner or for destruction of records with appropriate permission(s).
   d. Determine whether paper records may be scanned and saved as electronic records and follow appropriate University or state requirements.
   e. Ensure that records are maintained in off-site record storage facilities in compliance with these Standards.
   f. Ensure timely and secure disposal or destruction of records approved for disposal or destruction.

4. Work collaboratively with CWM and UMMS to educate staff on the requirements of the records management standard and Business Unit Retention Schedule.

Records Custodian for Business Unit:

1. Oversee records management and disposition for Business Unit.

2. Serve as point of contact for records management for Business Unit, including in particular to OoM and the UMMS Records Custodian.

3. Create and maintain current Retention Schedule and provide updated Retention Schedules to OoM for posting on the UMMS record retention schedule intranet site.

4. At a minimum, review Retention Schedule annually. Dispose appropriately of all University records eligible for disposition as soon as retention period has expired. Timely seek approval for destruction or return of records if owned by third party upon expiration of retention period.

5. Retain a copy of the certificate of destruction along with an inventory of the records destroyed.

Workforce:

1. Manage and maintain all records with which Workforce member works in compliance with this Standard and Business Unit Retention Schedule.

2. Refer records management issues or questions to Business Unit Records Custodian or manager.
3. Do not destroy any records for which the Business Unit is responsible to maintain.

4. Secure and lock records not in use.

DOCUMENT HISTORY
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APPROVAL

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