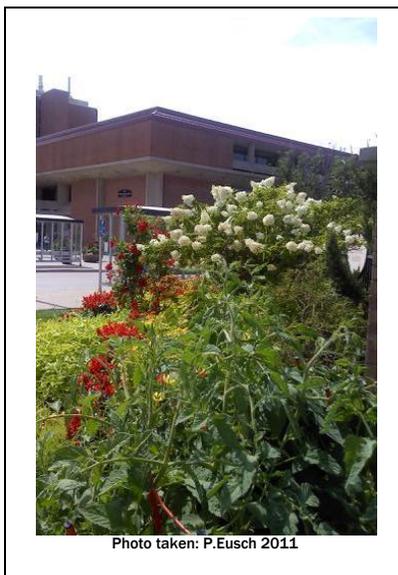


University of Wisconsin - Madison Records Management Program 2011 - 2012



UW MADISON ARCHIVES AND RECORDS MANAGEMENT

2012

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University of Wisconsin-Madison Records Management Program

2011 -2012

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UNIVERSITY OF WISCONSIN - MADISON

RECORDS MANAGEMENT PROGRAM

2011 - 2012

EXECUTIVE SUMMARY:

The UW-Madison Records Management Program has limited visibility within the campus community, but is an essential part of all university employees' daily activity. All departments/units contain University Records, which should be organized and accessed and managed according to the Generally Accepted Recordkeeping Principles. The UW-Madison Records Officer is here to consult with all university departments/units to improve the creation, distribution and use of university information in all formats.

There are many components to a records management program that bring value to the UW-Madison campus besides development of Records Retention schedules. The Records Officer provides consultation in organization of records in electronic and paper formats, digital imaging, e-mail management, database management, taxonomy and filing systems to name a few. If any university record is created, then it needs to be managed through its lifecycle, whether it is in e-mail, a document stored in a network shared drive or paper. The University Records Officer has to be strategic yet tactical in the management of the program. In order to accomplish this, the University Records Officer relies on the Campus Record Review group to support and give direction to Records Management initiatives.

For 2012 the Records Management highlights were:

- In 2012 UW-Records Management participated in the Quality Showcase with a poster titled: ***UW-Madison Records Management: Electronic Communication Guidance for the Management of E-mail, Text and Chat Records.*** The poster highlighted the guidance and management of e-mail records and retention as a campus best practice. Departmental presentations on this topic were also given to departments.
- UWHC was reorganized as a separate public authority in 1996. **The transfer of around 100 records series back to UWHC was completed by January 2012 saving storage costs to the University.**
- Developing and instituting a campus wide high level University Records Management Liaison Program to help facilitate communication across the campus on new schedules, or other records management issues.

- Planning and discussion to implementation of Perceptive Software’s “Retention Policy Manager” to manager retention for records stored in the ImageNow application. A work team is being put together by the Director of ISIS and the University Records Officer.

The Records Officer and the Records Management Program have a close working relationship with other University & Sponsored Programs including the CIO Office, Provost, Administrative Legal Services, Quality Improvement, and University Research. The University Records Officer is always looking for working relationships to assist with getting the Records Management message out, through departmental presentations, new or updated records guidelines, and new technologies.

The University Records Management Programs goals for 2012 – 2013 consist of the following:

- Establish top level support for a Records Liaison network for point persons at a high level in UW-Madison Administration and Deans offices for communication of records management issues.
- Continue to seek new approaches to communication and training though social media avenues such as webinars and training videos on the Records Management portion of the UW Archives website.
- Develop with CRRG a Campus Records Management Survey in conjunction with the GARP Authority Model to bench mark the UW- Madison Records Management Program.
- Continue to nurture working partnerships with the Provost’s Office, Administrative Legal Services, CIO and Campus IT units, Quality Improvement, Enrollment Management, the Graduate School and the Research Community.
- Increase recognition and collaboration with other campus groups and communities across campus on Records and Information Management best practices and GARP Principles. This would be approached through communication outreach in various formats, one on one meetings, departmental meetings and group presentations.
- Continue to seek new avenues to provide easier access and use of the University Records Retentions Schedules for employees.

The following is a summary of the status of the UW-Madison Records Management Program from August 2011 through July 2012. An annual summary report will be compiled each year for the Director of General Library System (GLS), Provost’s Office, Chief Information Officer (CIO), Campus Records Review Group members and other university leadership.

UW-Madison Records Management Program Background

The UW-Archives was founded in 1951. As a result of the changing needs and management of campus records, the Records Management Program was founded in 1985. Records Management is housed in Archives and reports through the General Library System.

The first University Records Officer was Nancy Kunde, CA., CRM. She retired at the end of 2008. In October of 2009, Margaret (Peg) Eusch, MLIS, came on board as the second University Records Officer. In October 2010, she received her certification as a Certified Records Manager (CRM) through the Institute of Certified Records Managers (ICRM).

The UW- Madison University Records Management program is managed in accordance with the UW Board of Regents Records Management Policy 3-2 and the Wisconsin Public Records Board requirements for records management programs. The program follows ISO Standard 15489 for Records Management and the ARMA International's Generally Accepted Recordkeeping Principles (GARP).

Currently the Records Management Program is staffed by 1 FTE, the University Records Officer.

The UW-Madison Records Management Program is located on the 4th floor in Steenbock Library and has a presence on the Web at <http://archives.library.wisc.edu/records/Index.html>

University Mission and Records Management

The creation, management, and distribution of records and information is at the heart of what the University is all about. Knowledge and the transmission of information are basic to the University mission:

"The primary purpose of the University of Wisconsin-Madison is to provide a learning environment in which faculty, staff and student can discover, examine critically, preserve and transmit the knowledge, wisdom and values that will help ensure the survival of this and future generations and improve the quality of life for all."

The UW-Madison Records Management Program strives to meet this mission and purpose through the endorsement of *The Generally Accepted Recordkeeping Principles (GARP)* as a campus records management best practice. <http://www.arma.org/garp/index.cfm>

The Campus Records Review Group (CRRG)

The Campus Records Review Group (CRRG) is a broadly representative body tasked by the Provost's Office to provide direction and support for the campus records and information management program. The CRRG is comprised of UW-Madison representatives from different divisions on campus.

In 2007, Provost Farrell approved the restructuring of the CRRG to include a diverse membership and expanded the mission to ensure a more collaborative and systematic approach to records management on

campus. In 2010 Vice Chancellor & Provost Paul M DeLuca reaffirmed the charge and mission of support for the CRRG and the UW-Madison Records Management Program.

In addition to offering policy and guidance on records management issues for the UW-Madison campus, the CRRG is also the campus authority for approval of records retention schedules before going to the Wisconsin Public Records Board for state approval.

2011-2012 Membership includes:

- Eden Inoway-Ronnie – Sr. Special Assistant - Provost’s Office
- John Dowling - Administrative Legal Services
- Bruce Maas-CIO & Vice Provost for Information Technology –
(**Judy Caruso**, Director of Policy & Planning, CIO Office)
- Martin Cadwallader- Vice Chancellor for Research and Dean of the Graduate School
(**Steve Hahn**, Assistant Dean - Graduate School)
- Joanne Berg, Vice Provost for Enrollment Management
(**Scott Owczarek** – Registrar)
(**Ilene Seltzer** – Director of ISIS)
- Robert Golden, Dean – School of Medicine and Public Health
(**Mary Hitchcock** - Health Sciences Library)
- David Null, Director, UW-Madison Archives & Records Management
- Peg Eusch, CRM, University Records Officer, UW-Madison Archives & Records Management

The Generally Accepted Recordkeeping Principles “THE PRINCIPLES”

The CRRG endorsed ARMA International’s *Generally Accepted Recordkeeping Principles* in 2010. *THE PRINCIPLES* consists of 8 recordkeeping principles for information governance:

- 1. Accountability**
- 2. Transparency**
- 3. Integrity**
- 4. Protection**
- 5. Compliance**
- 6. Accessibility**
- 7. Retention**
- 8. Disposition**

These 8 principles are core to the understanding and management of our university records and complement the strategic planning of campus leadership. A trial run at auditing by the University Records Officer using the Information Governance Maturity Model provided an overall GARP score of 64%. A yearly review completed to try to improve the score and the overall University Records Management Program.

<http://www.arma.org/garp/index.cfm>

Liaisons (URML) Program to communicate, educate, and support the UW-Madison Records Management Program and records management initiatives campus-wide. Work is being completed by the University Records Officer to finalize and to present to the upper management for support and implementation.

- **Perceptive Software’s “Records Policy Manager” Application:**

Many units on campus are currently utilizing Perceptive Software’s *ImageNow* Content Management application as part of their workflow and imaging of records. Digital records created by *ImageNow* should be managed throughout their lifecycle through disposition. This currently has to be accomplished manually. Records are being kept indefinitely due to the difficulty of manually implementing the university’s record schedules in a consistent manner. The volume of information being kept in the application is causing the system to slow down. The University now has a campus license for the complement application of “Retention Policy Manager”. A Student Records team is being put together by the University Records Officer and the ISIS Director to begin evaluation of implementation of the Retention Policy Manager.

Records Management Communication and Training

Communication and Training are key components of the UW-Madison Records Management Program. For 2011-2012 Basic Records Management, E-mail Management and Document Imaging were popular topics for presentations.

1. Departmental presentations included:

- A yearly presentation as part of the Department Administrator Certificate Program on records management and archival records was conducted October 2011.
- A presentation with John Dowling-Administrative Legal Services to School of Education – Public Records and Electronic Communication Guidance for Records – January 2012
- A presentation to Environmental Health and Safety on Digital Imaging – Feb 2012
- A Presentation with Ben Griffiths-Administrative Legal Services as part of the Research Series on Public Records
- Participated in the IT Forum and spoke about the Electronic Communication Guidelines – Feb 2012

Other communication avenues included: Articles to Business Services, Utilization of Facebook, New Brochures and Handouts, and Records Management Training Videos using the Jing application.

2. Articles to the Division of Business Services: see: [UW-Madison Administrative News](#).

Vol. 28 Number 3.....ADMINISTRATIVE NEWS - MARCH 2011

The A,B and C’s of University Records Management

Vol. 29 Number 4.....ADMINISTRATIVE NEWS – DECEMBER 2011

Update on State Records Center; Records Management Program Report. Update to the Bulletin

“Your Work Responsibilities and University Records”, Updated Records Retention and Disposition Schedule

Vol. 29 Number 1.....ADMINISTRATIVE NEWS - MARCH 2012
NEW...Just out is the Electronic Guidance for University Records.

Vol. 29 Number 2.....ADMINISTRATIVE NEWS - JUNE 2012
Update: from the University Records Program

3. **UW-Madison Records Management Facebook** <http://tinyurl.com/cey6s4g>

In December 2010 as an alternative way to communicate to the campus community, the [the UW-Madison Records Management Facebook](#) page was launched. As of the middle of July 2012 the Records Management Facebook page has 40 active users.

- Facebook is one of many communication tools used to update the campus community on records management issues, new retention policies and schedules, records management articles of interest and other records management events such as workshop or seminars.



An example how Facebook is used; communication was done this past April reaching out through Facebook. April is Records and Information Month and I posted the following:

“With April being designated Records and Information Management month; this is a great time to take a look at how your unit or department’s physical and electronic university records are organized. If you need help please refer to the 10 Steps Plan for Management of University Records”. <http://tinyurl.com/c5t2okl>

4. New Brochures and Handouts:

- The Office of Human Resources Development (OHRD) now includes the handout on “**Your Work Responsibilities and University Records**” is included in New Employee Orientation packet. <http://tinyurl.com/cg5zb8b>
- One new guideline was developed and approved by CRRG, Legal and University Communications. It was published in January 2012. “**UW-Madison Employee Guide. Electronic Communication Guide for University Records**” <http://tinyurl.com/c3maxjf>

5. Training Video’s:

With the assistance of an Archives student, short videos (5 min or less) are being created in Jing to provide information to campus. *Introduction to Records Management* has been completed. Two others on how to use the State Records Center and how use a University Records Retention Schedule are still in the works.

Records Management Campus Partnerships

Provost’s Office Support and Partnership

The Provost’s Office is an important component of the records management program through its support of the Campus Records Review Group which provides direction and support to the Records Officer and the Records Management Program.

CIO and Campus Information Technology Partnerships

The University Record Officer has a working relationship with the CIO Office and other Campus IT.

- Ongoing participation on the CIO Policy Committee,
- Participated in several IT Community Forums.
- SOE CIO initiated presentation on Public Records and Electronic Communications [Merit is really the library and the head of it is also the CIO for SOE, kind of a strange set up]
- Working with DoIT on implementation of the “Records Policy Manager” application.
- Met with DoIT before migration to new calendar regarding retention of calendar entries.
- Resource for the A/E Email and Calendaring Team.

Due to the fact that approximately 85% of records are now being created and stored electronically, it is vital that the Records Officer have a visible partnership and collaboration with the CIO Office and other CIO’s from Campus Information Technology units. Records management requirements and available record modules should be viewed as part of the package for new applications whether they are within the university firewalls or out in the cloud. Agreements should include shared IT security and records management issues such as addressing Compliance, Access, Privacy, Retrieval, Authenticity and Disposition of records.

Administrative Legal Services

Administrative Legal Services is an important partner with the Records Management Program in providing legal review for the records retention and disposition schedules, collaboration with regards to public records, e-discovery and other records management issues which require legal opinion.

Attorneys with Administrative Legal Services have begun to refer questions regarding retention of records to the University Records Officer.

Internal Audit

The University Records Officer has made progress in this area and will has met with Internal Audit to regarding participation on the CRRG as a neutral party.

Quality Improvement

The University Records Officer is participating on the A/E Policy Team.

Research Community

The University Records Officer is working to create more connections and collaboration within the research community. With the implementation of the NSF Data Management Plan for requirements for electronic data, records management plays a role as a resource for management of electronic research records throughout their lifecycle.

Records Management Consultations with University Community

Records Management Departmental Consultations are an important part of the Records Officer responsibilities and consists of answering records management questions via telephone, e-mail and/or visiting campus departments/offices/units to review their records and make recommendations. Consultations involve teaching and guidance to campus records policies and records management best practices such as GARP. **These meetings involve reviewing the department/units business process, and analyzing of what types of records they produce in all formats and media. Recommendations are made which may result in a new records schedule.**

UWROC (University Records Officer Council)

The University Records Officer also collaborates with the University of Wisconsin Records Officer Council (UWROC) on UW System wide schedules. The Records Officer has collaborated on and authored completed schedules for:

- GRS System-wide Unclassified HR records
- GRS System-wide Payroll
- GRS System-wide Administrative records
- GRS System-wide Student Records
- GRS System-wide IT Business Records

Completed schedules are posted on the Records Management Website:

<http://archives.library.wisc.edu/records/rda.html#general-records>

Records Management and the Public Records Board/State Records Center

The University Records Officer acts as the liaison between the Wisconsin Public Records Board and the State Records Center on the behalf of the University. The State Records Center has been auditing their database for record schedules that have sunset. The SRC provided Records Management with reports with an option for an 18 month extension. **The University Records Officer has been reviewing these sunset reports and has submitted the required extension of 18 months. Many of the university's 1600 record series have sunset and are undergoing review.**

This is a huge undertaking for the Records Officer to identify which record series are active from those that are not. Out of this review, the Records Officer identified 100 series in the summer of 2010 as belonging to University of Wisconsin Hospitals & Clinics. **UWHC was reorganized as a separate public authority in 1996. This transfer of around 100 records series back to UWHC was completed by January 2012.**

General Records Schedule for Retention and Disposition and RDA's

37 departmental records schedules (RDAs) were completed and submitted for approval.

Records Disposition at the State Records Center

Records disposition and retention at the State Records Center is another component of working with the State. The university offers offsite storage for paper records as a way to better utilize limited space in departments and units on the campus. The Records Officer receives a Disposition Report twice a year in summer and winter. This report is quite lengthy and requires manually splitting and sending out to affected campus units for sign off on destruction of records barring litigation hold or audit.

Records Management Program Goals and Objectives

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- ◆ Continue to seek new approaches to communication and training through social media avenues such as webinars and training videos on the Records Management portion of the UW Archives website.
- ◆ Develop with CRRG a Campus Records Management Survey in conjunction with the GARP Authority Model to bench mark the UW- Madison Records Management Program.

- ◆ Continue to nurture working partnerships with the Provost's Office, Administrative Legal Services, CIO and Campus IT units, Quality Improvement, Enrollment Management, the Graduate School and the Research Community.
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