



University Records and the Cloud

IT Forum 2-11-2013

UW-Madison Records Management Program



Records are a Key University Information Asset:

- Records facilitate and sustaining day-to-day university operations.
- Records support organizational activities such as student admissions, research or budgeting and planning.
- Records assist in answering questions about past decisions and activities to make better decisions going forward.
- Records demonstrate and document compliance with applicable laws, regulations, and standards.

Definition of a Record

Wisconsin State Statutes 16.61(2)(b) defines a Public Record as all books, papers, maps, photographs, films, recordings, electronically formatted documents or other documentary materials, *regardless of physical form or characteristics*, made, or received by any state agency or its officers or employees in connection with the transaction of public business

ISO 15489-1 *Information and Documentation– Records Management –Part I: General* gives the following definition for a record:

“Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.”



Wisconsin Administrative Rule 12

- The purpose of this chapter is to ensure that public records in electronic format are preserved and maintained and remain accessible for their designated retention period.
- It establishes defined requirements, standards and guidelines for state and local government accessibility of electronic public records from creation through active use, long-term management, preservation and disposition.



Wisconsin Administrative Rule 12 – Electronic Records

Electronic Public records are covered under Administrative Rule 12 and requires the following:

- ✓ *Must* maintain accurate linkages to sites.
- ✓ *Must* be able to produce records that will continue to have meaning throughout their life.
- ✓ *Must* have the capability to delete and purge records from a system in accordance with an approved records retention schedule.
- ✓ *Must* be able to accurately reproduce a record with a high degree of legibility and readability and correctly reflect the original record.
- ✓ *Must* insure the records authenticity. Information systems must be able to document that only authorized persons were involved in the creation, receipt, transmission, maintenance and disposition of records.
- ✓ *Must* have a documented migration plan for electronic records.

Tools: See Administrative Rule 12: *Legal Requirements for Public Records on Website.*

Challenges of Recordkeeping in a Collaborative Environment

- The lack of common standards such as file format.
- Interactive content management – sites dynamic.
- Capture of frequently updated records.
- Ownership and control of data that resides with 3rd party.
- Implementation of records disposition schedules, including the ability to transfer and permanently delete records or perform other records management functions.



Overarching University Principles for Recordkeeping

The 8 Generally Accepted Recordkeeping Principles

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



“The Principles”

ARMA International introduced 2009.

“The Principles” were Endorsed by the Campus Records Review Group (CRRG) as a University Campus Best Practice for recordkeeping in Nov 2010

Availability

- ▶ What records will be stored, processed, and how are they accessed?
- ▶ Network Access and Uptime- Is available 24/7?
- ▶ Organization of information. Establish a good file structure and consistent naming conventions for accessible records.
- ▶ Mapping and Knowledge of where ESI is stored.



Integrity

Importance of Digital Chain of Custody ... Regardless of the collection method employed, strict chain of custody must be maintained for all documents, data, and objects collected so that their **authenticity** can be assured.

A sort of paper trail of sorts....who handled the records and when, and where are the records/data stored?



Protection

- Access and Security of the records/data

Encryption: Is the data encrypted when it is in the cloud?
Who holds the keys to un-encrypting the data?



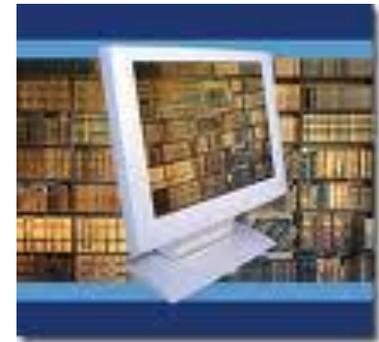
Storage, Accessing, Privacy concerns handling of record containing (PHI and PII)
FERPA, HIPAA or FISMA in the cloud.

Data Location: Where is the data repository located and stored?

Data Backup and Recovery: Is there proof of back up plans and documentation in agreement?

Retention

- How do we insure that our retention obligations are met for records generated in and stored in the cloud?
- ***“Retention Schedule”***: Under Wis. Stat.16.62(4), government agencies must identify the period of time to retain public records in a retention schedule and obtain Public Records Board approval of that policy.



Disposition

- An organization shall provide secure and appropriate disposition for records that are no longer required to be maintained by applicable laws and the organization's policies.

How is disposition completed in the cloud or can it be? What about legal holds?



Challenges for the Management of University Records in the Cloud.....

Scope of records: What university records will be stored, processed, or accessed through the cloud? *Think overarching Records Principles of Accountability, Transparency, Integrity, Protection, Availability, Compliance, Disposition and Retention.*

Retention of Records: Often multiple copies of the data are store on Geographically- dispersed servers. *How will the vendor ensure destruction of all copies of the records that have met retention? Can there be establish procedures and protocols for data disposition , which may include multilevel approvals and audit trails?*

Legal/Policy Compliance: Cloud computing may not adequately address compliance issues such as FERPA, FISMA, HIPAA or PCI security requirements there should be mechanisms for implementing and management of legal holds or open records or audits. *Is there a Data Map for ESI?*

Interoperability: It is important to ensure that records are not trapped in a proprietary system in the cloud that will require considerable expense or effort to migrate it to another system. *Are records management process documented to meet WI ADM 12?*

Thank You....

Contact:

Peg Eusch, CRM

University Records Officer

432 Steenbock Library

meusch@library.wisc.edu

