UW-Madison Records Management Program

Helping in ways you never Imagined……

2012

University of Wisconsin-Madison Archives & Records Management

High Level Overview....

- UW- Madison Records Management Program
- Standards and Best Practices for Recordkeeping
- Organization and Classification of Records
- Record Retention & Disposition Schedules
- State Records Center vs. UW-Archives – What's the Difference?
- Employee Responsibility for University Records

Why Records Management???

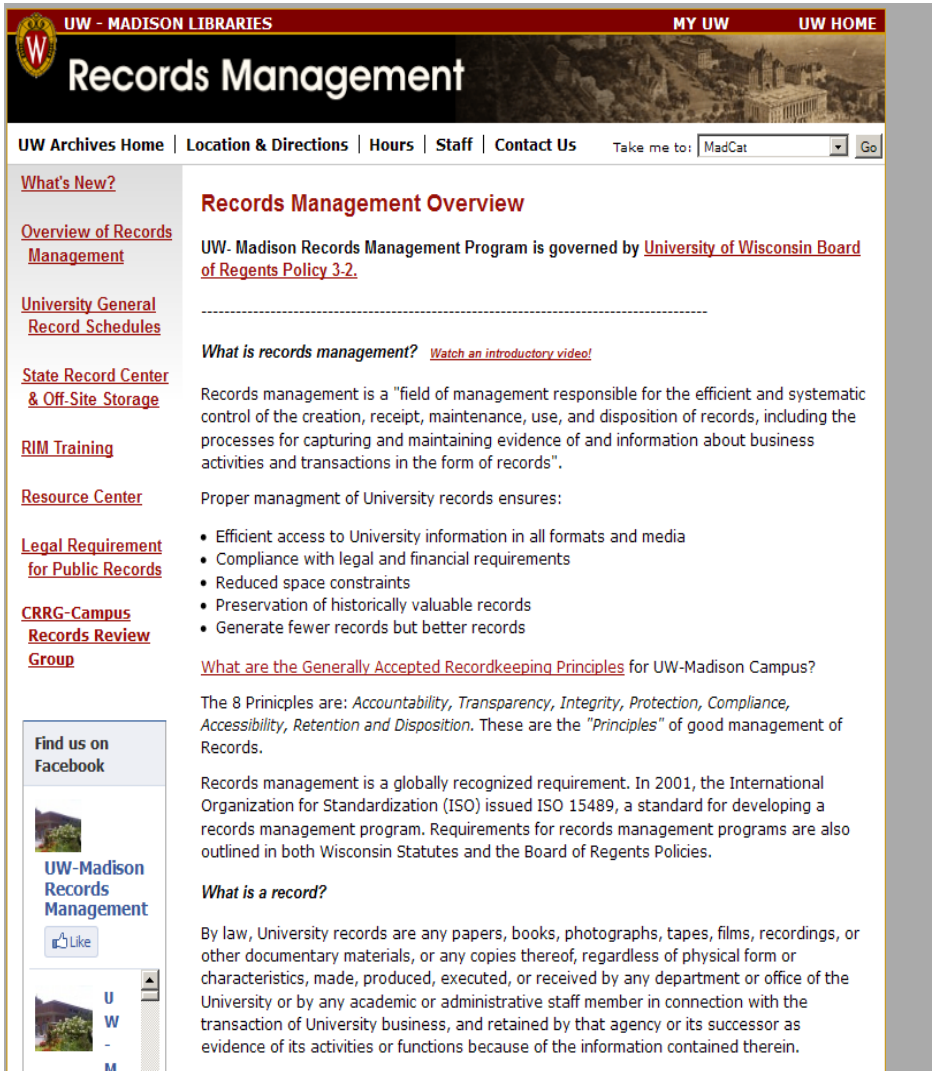
Excerpt from: Keeping Good Company: How Information Management Drives Accountability, Competitiveness & Compliance “ on ARMA. Org http://www.arma.org/learningcenter/goodcompany/index.cfm

UW-Madison Records Management Program

The University's Records Management Program is housed within the UW- Madison Archives which is a Special Library within the General Library system

The University Records Officer collaborates and consults with the campus community on records and information management issues in the areas of :

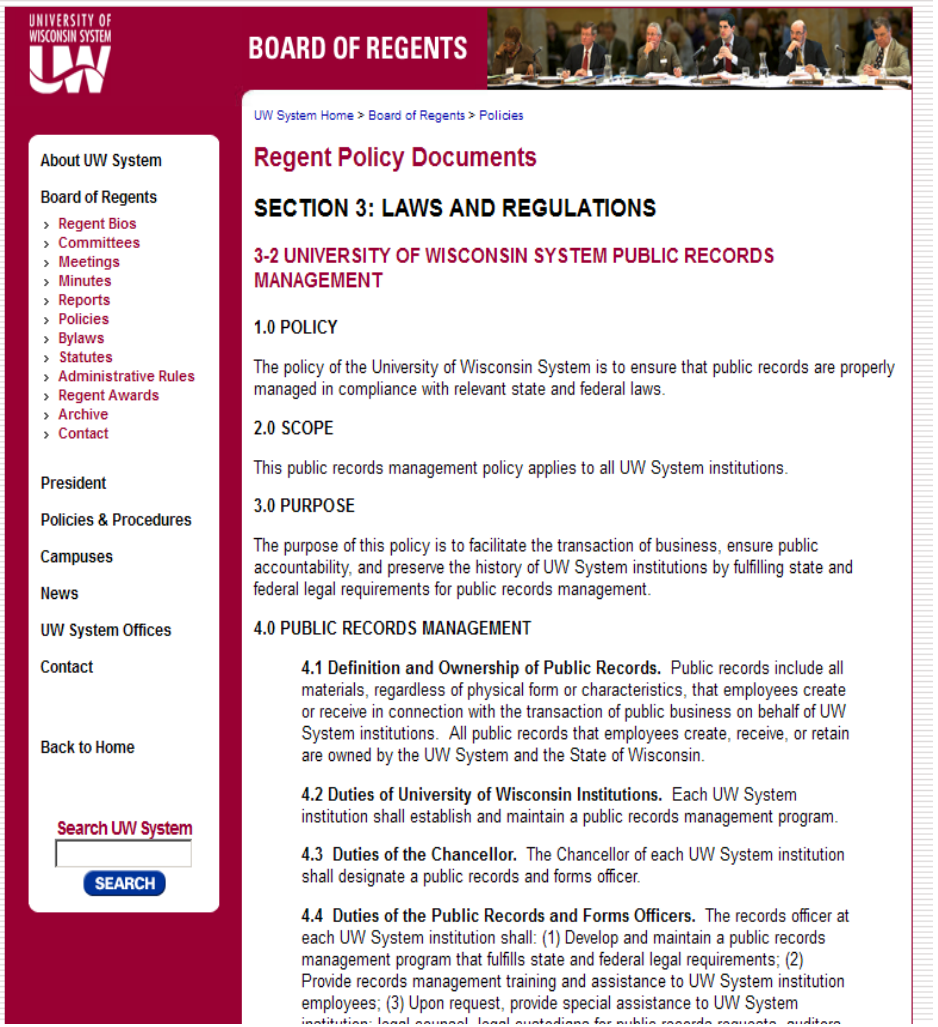
- Electronic Records including Electronic Communication (e-email),
- Classification and Files Management,
- Development and maintenance of Records Retention Policy's
- Campus-wide Communication and Training
- Support for IT projects such as Academic Excellence (AE)
- E-discovery and open records and audit.



UW-Madison Records Management Program

UNIVERSITY OF WISCONSIN SYSTEM
PUBLIC RECORDS MANAGEMENT
Board of Regents Policy 3-2

http://www.wisconsin.edu/bor/policies/rpd/rpd3-2.htm



University Records Management Best Practices: *8 Principles*

"The Principles"

ARMA's ***Generally Accepted Recordkeeping Principles*** *should be applied to all records whether they are physical format, electronic format or stored in the cloud.*

"The Principles" = Campus Best Practice in Recordkeeping

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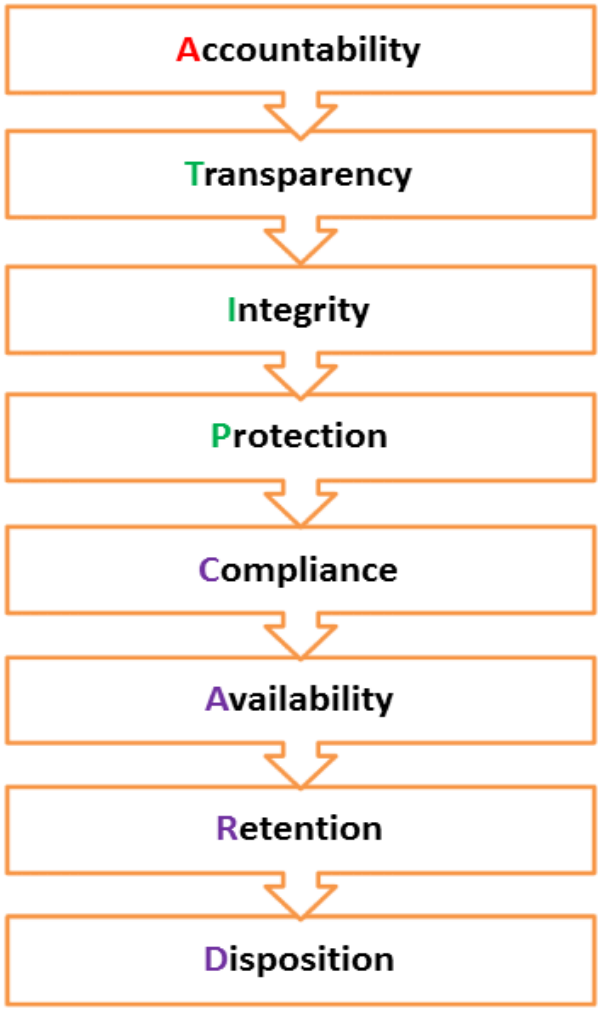


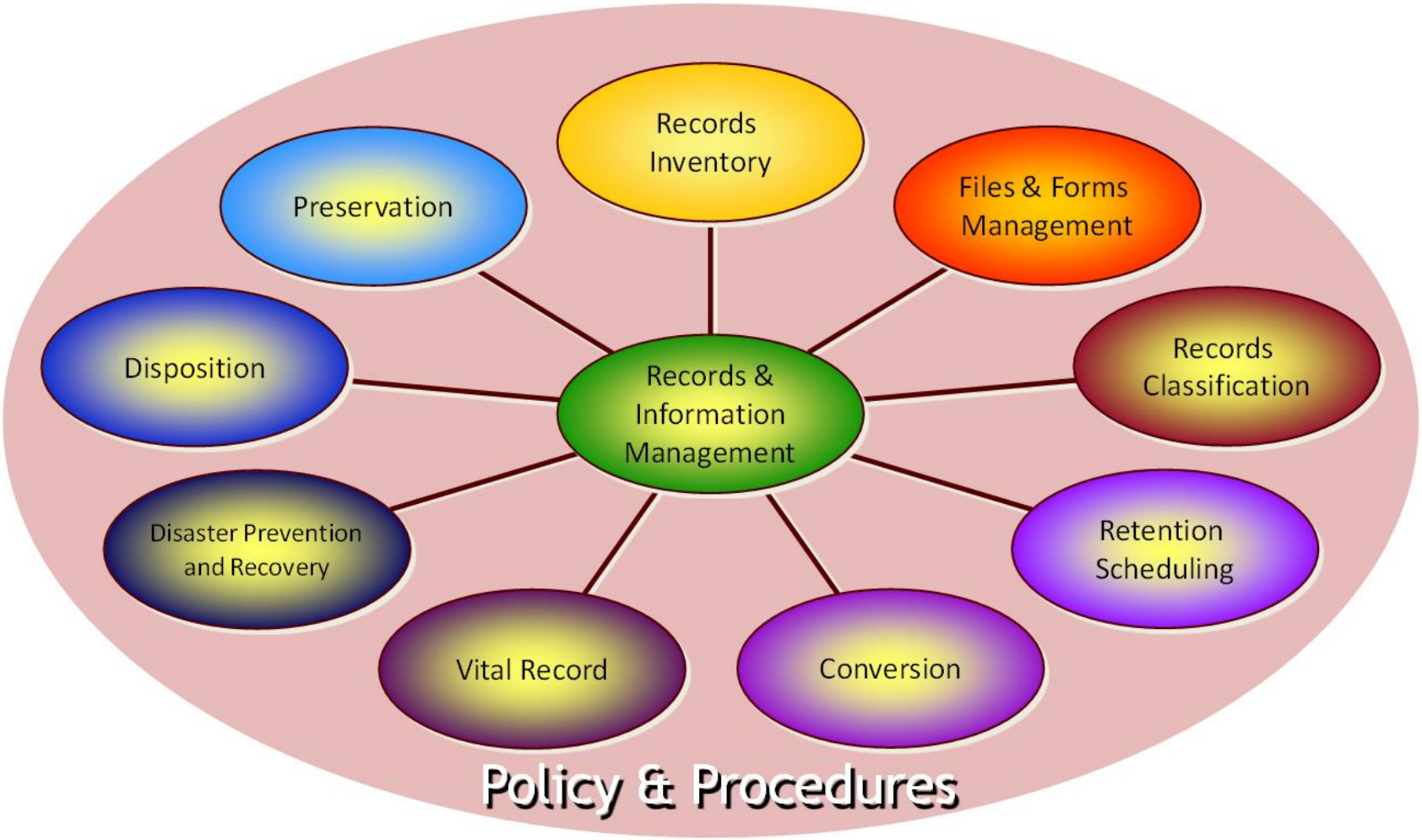
Why is Records Management and the *"THE PRINCIPLES"* important?

As a key resource in the operation of the University, records must be created, organized, secured, maintained, and used in a way that effectively supports the activity of the University, which includes:

1. Facilitating and sustaining day-to-day operations.
2. Promoting organizational efficiency by allowing for efficient access to information in all formats and media.
3. Reducing space constraints and saving storage costs in cabinets and server space.
4. Assisting in answering questions about past decisions and activities.
5. Demonstrating and documenting compliance with applicable laws, regulations, and standards and reduces risk.
6. And a way to preserve historically valuable university records.

It's more that just RETENTION.....

Components of an Effective Records and Information Management Program



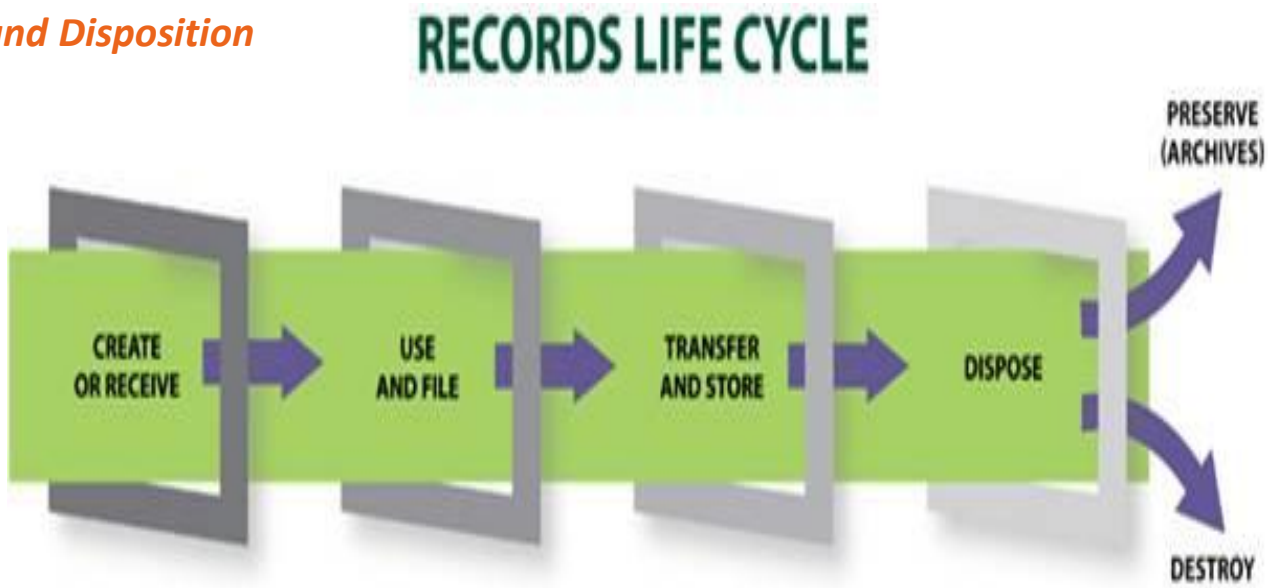
Identifying University Records and where they Live……

Photo courtesy of UW-Parkside Archives

Records Management is defined as: Applying Systematic Controls on records throughout the records Life-cycle.

The records lifecycle consists of:

- ***Records Creation***
- ***Distribution and Use***
- ***Storage and Disposition***



Active Records | Inactive Records | Disposition

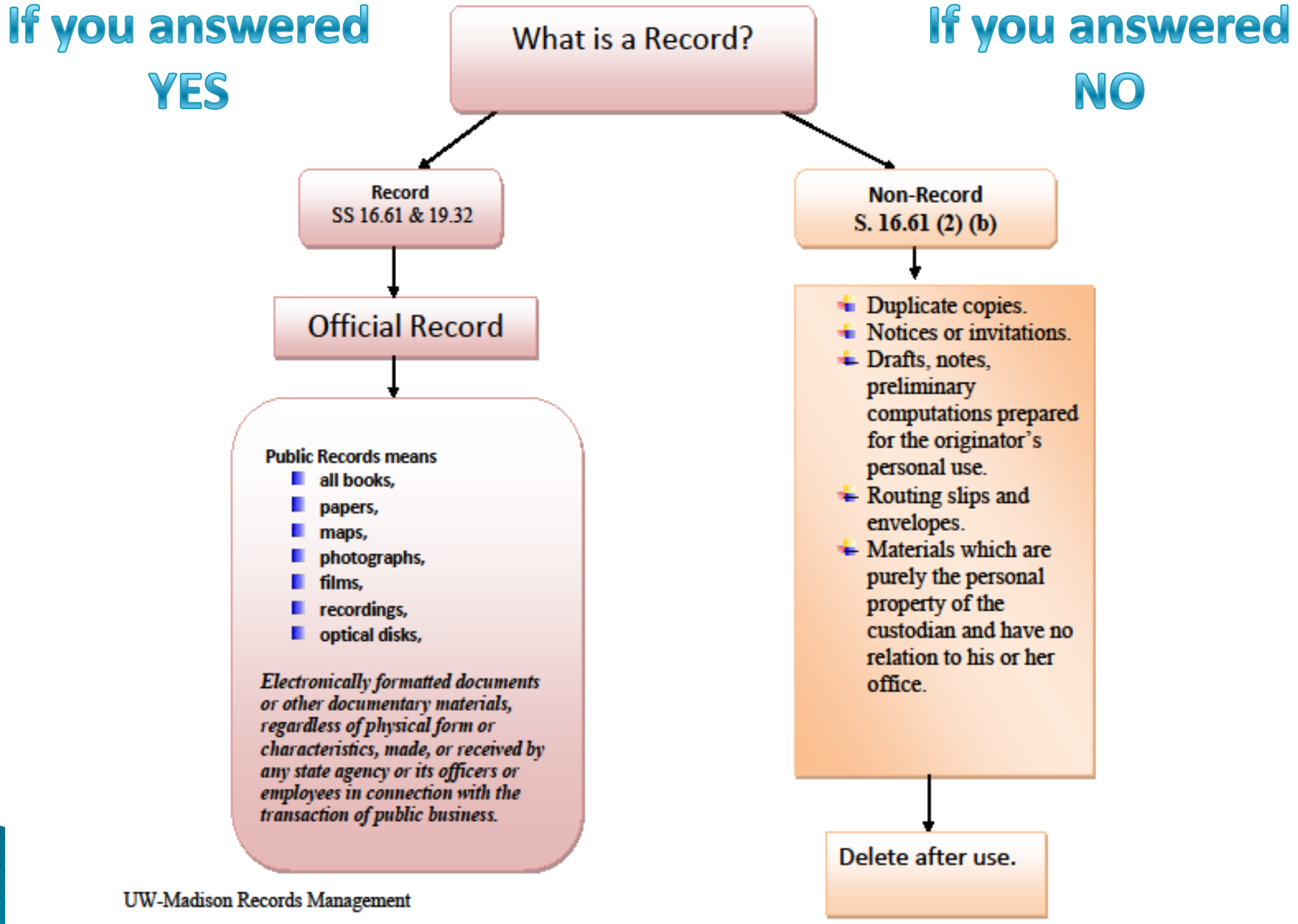
Records over time go from an Active phase to an Inactive phase to Final Disposition.

Identifying Public Records

Public Records are defined in Wisconsin State Statute 16.61 and 19.32.

How Do I know if I have a Public Record?

- *Was the record created in the course of business?*
- *Does the record document university activities and actions?*
- *Is the record mandated by a legal requirement?*
- *Does the record support financial obligations or legal claims?*
- *Does the record communicate University requirements?*



If you answered YES

If you answered NO

What is a Record?

Record
SS 16.61 & 19.32

Official Record

Public Records means
- all books,
- papers,
- maps,
- photographs,
- films,
- recordings,
- optical disks,

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.

Non-Record
S. 16.61 (2) (b)

- Duplicate copies.
- Notices or invitations.
- Drafts, notes, preliminary computations prepared for the originator's personal use.
- Routing slips and envelopes.
- Materials which are purely the personal property of the custodian and have no relation to his or her office.

Delete after use.

UW-Madison Records Management

Records are stored in many formats and devices:

Personally Owned Devices

Text, Chat

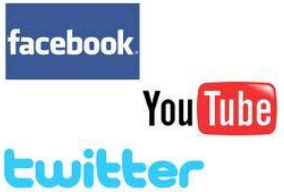
Electronic Files

FAX

Network
Shared Drives

Paper Files

Desktops
&Personal
Drives



Websites & Social Media

E-mail

Databases

Electronic Records and Wisconsin Administrative Rule 12

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

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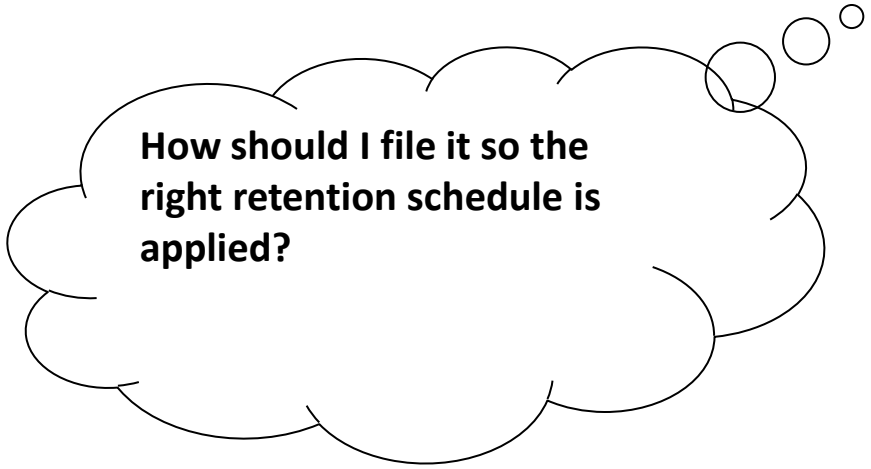
*See Administrative Rule 12: **Legal Requirements for Public Records** on Website.*

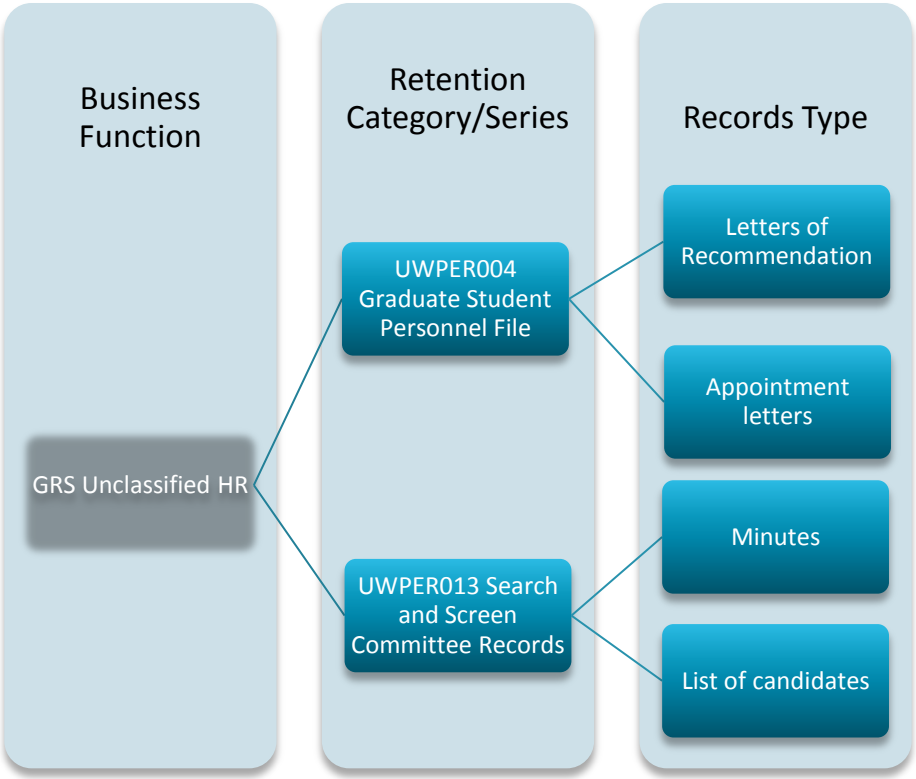
Organization and Classification



Filing and Classification

A filing system is the “systematic indexing and arranging of records based on established procedures”

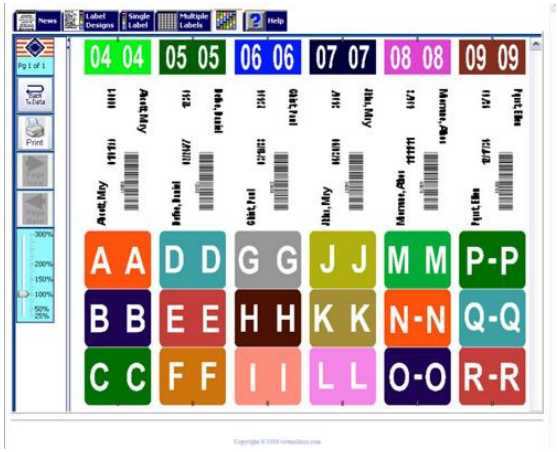
Utilize the record series categories created by the Record Schedule as a guide for organizing and filing.



Paper & Electronic Records

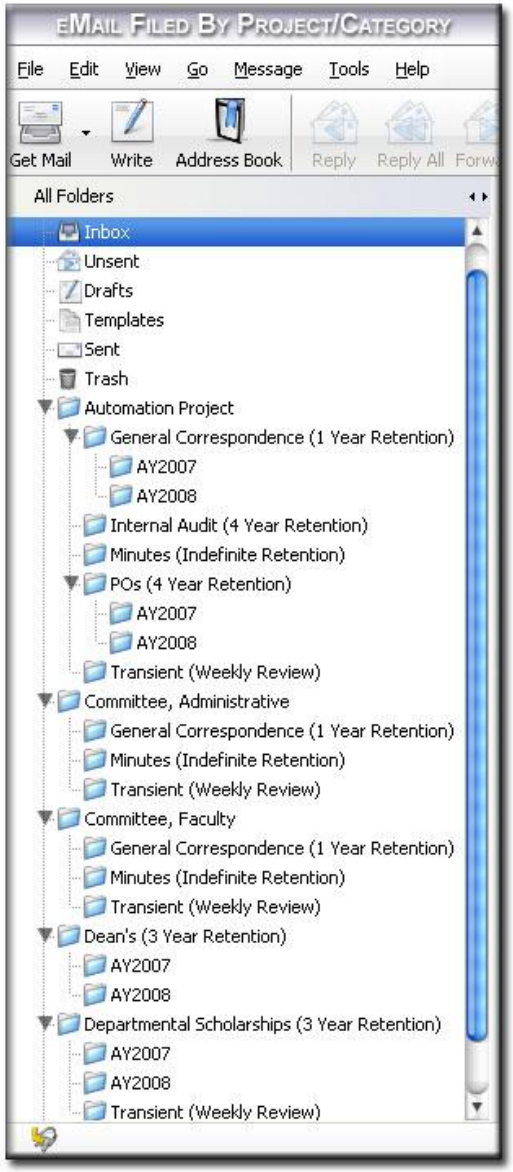
- Classification should be applied to both paper and electronic records and subject to the same retention and disposition.
- Use of Standardized Naming Conventions for records.
- Records should be filed in:
  - ✓Chronological order
  - ✓Numeric order
  - ✓Alphabetical order
  - ✓Alpha-numeric order
  - ✓Electronic Format

Using color to find folders

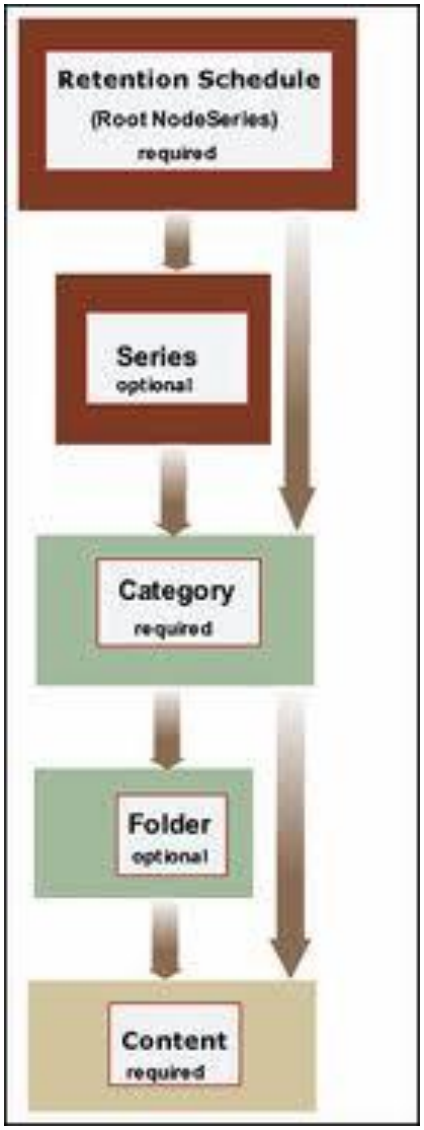


No matter which technology environment or folder structure is currently in place, the naming structure should include some or all of the following seven elements.

Name Elements	Example	Description of Need or Use
Title	Literature Reviews	The first three elements (title, version and date) are usually needed to facilitate searching for the document and the display of like documents in a logical order.
Version Number	V01	
Date (publication date, version date, or logical date relevant to the document)	2005_05_31	
Author or Creator	skessler	The middle elements (author, business unit, type) may be needed, depending on the business requirements. They can be helpful in identifying the controller of the document.
Business Unit/Program	Research	
Type (e.g. report, memo, letter)	RPT	
File Extension	.doc	The last element (file extension) is provided by the application in which the document has been created, and is always last. It is important to remember that this element should not be altered.



Record Retention Policy and Record Schedules



What is a Records Retention Policy?

A Records Retention Policy documents and describes a group of records and mandates:

- How long the records are kept (retention).
- What happens to the records at the end of the time period (disposition).
- These Record Schedules are based on the ***Value*** of the record.
  - ***Operational/Administrative value***
  - ***Legal/Regulatory value***
  - ***Fiscal value***
  - ***Historical Value***
  - ***Research value***

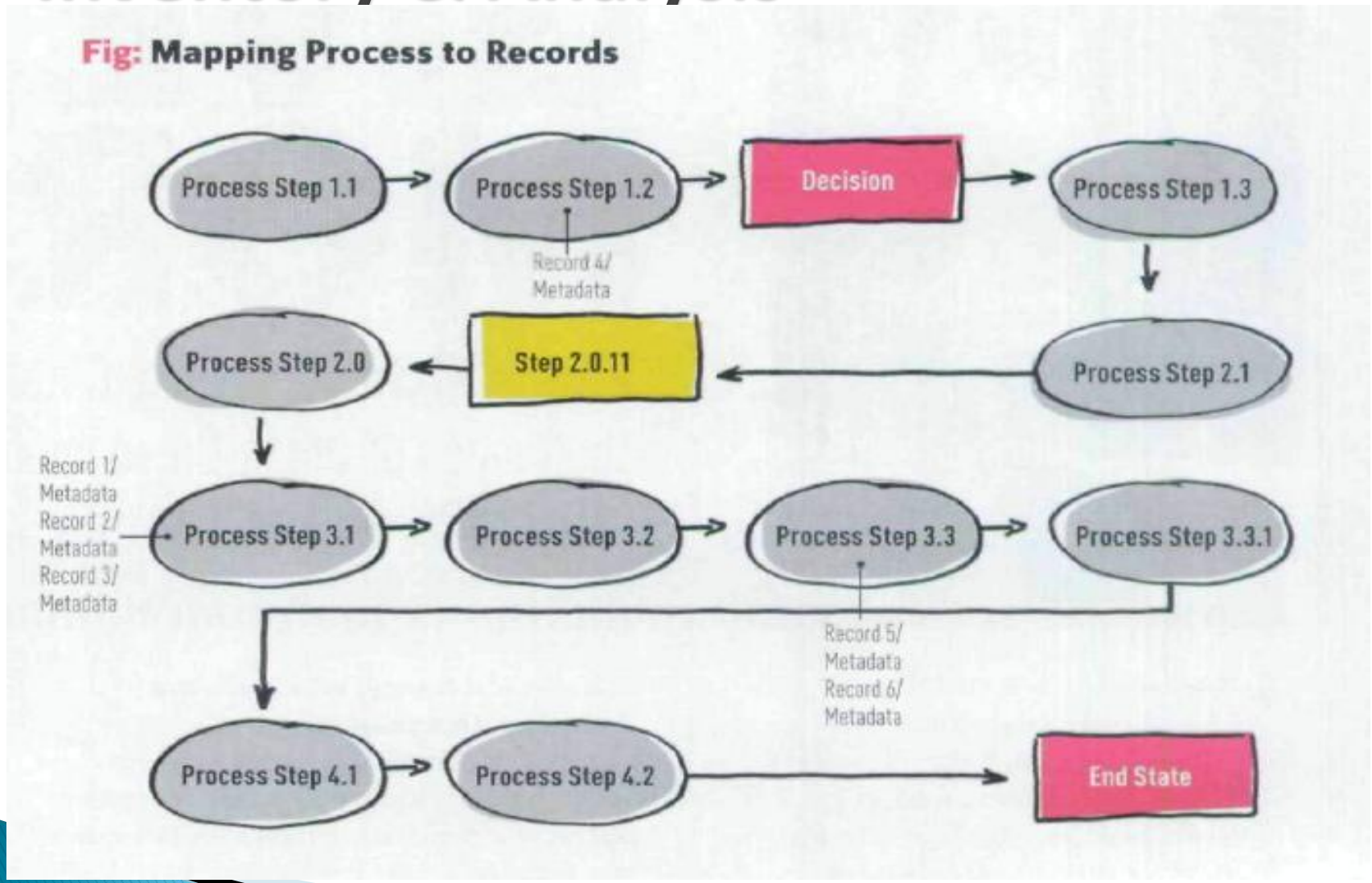
Wisconsin Law

- ***"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.

What is meant by a “Record Series”?

- A group of related records that are normally used and filed as a unit.
- Permits evaluation as a unit for retention scheduling purposes.

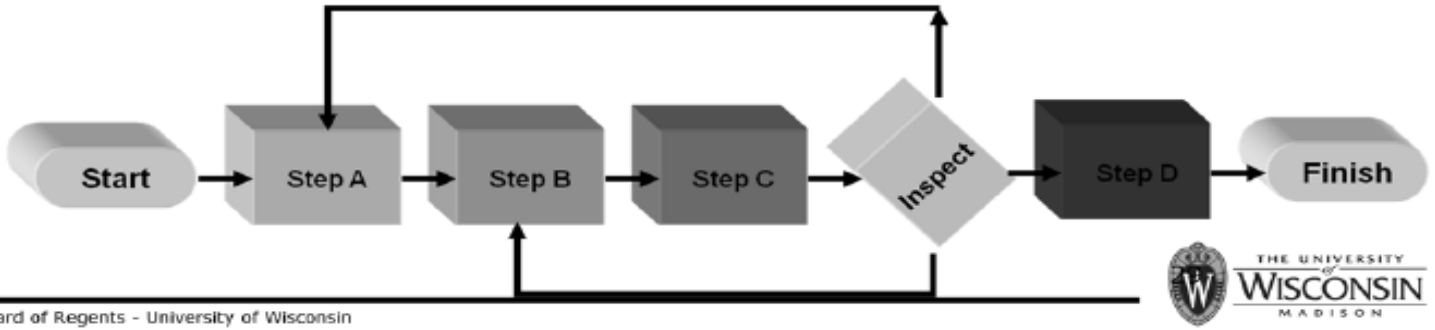
Inventory & Analysis



AIIM Infonomics. Nov-Dec 2008 . Business Process Driven Records Management

Process Mapping

- In order to correctly manage a process, you must be able to describe it in a way that can be easily understood.
- A picture is worth a thousand words – visually map out the process steps.
- There are many varieties of process maps, but all start as simple 3-7 step visual diagrams.



 © Board of Regents - University of Wisconsin

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Administrative Process Design –APR
http://www.vc.wisc.edu/apr/

Inventory and Analysis: Where are record stored?

Personally Owned Devices

Text, Chat

Electronic Files

FAX

Paper Files

Network Shared Drives

Desktops

Personal Drives

Databases

facebook

YouTube

twitter

Websites & Social Media

E-mail

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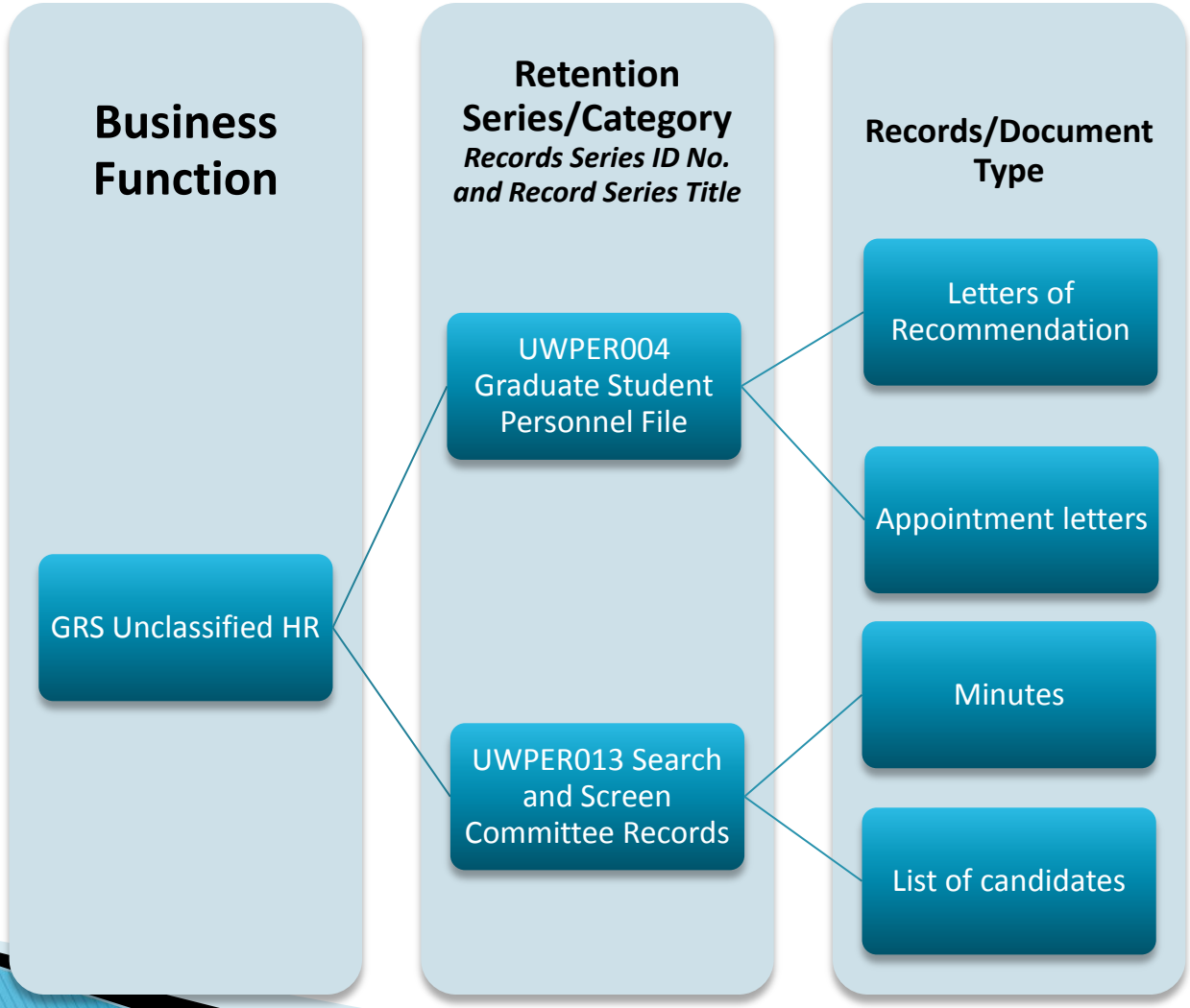
Enterprise Retention Hierarchy

EXAMPLE: GRS Faculty & Academic Staff (Unclassified)



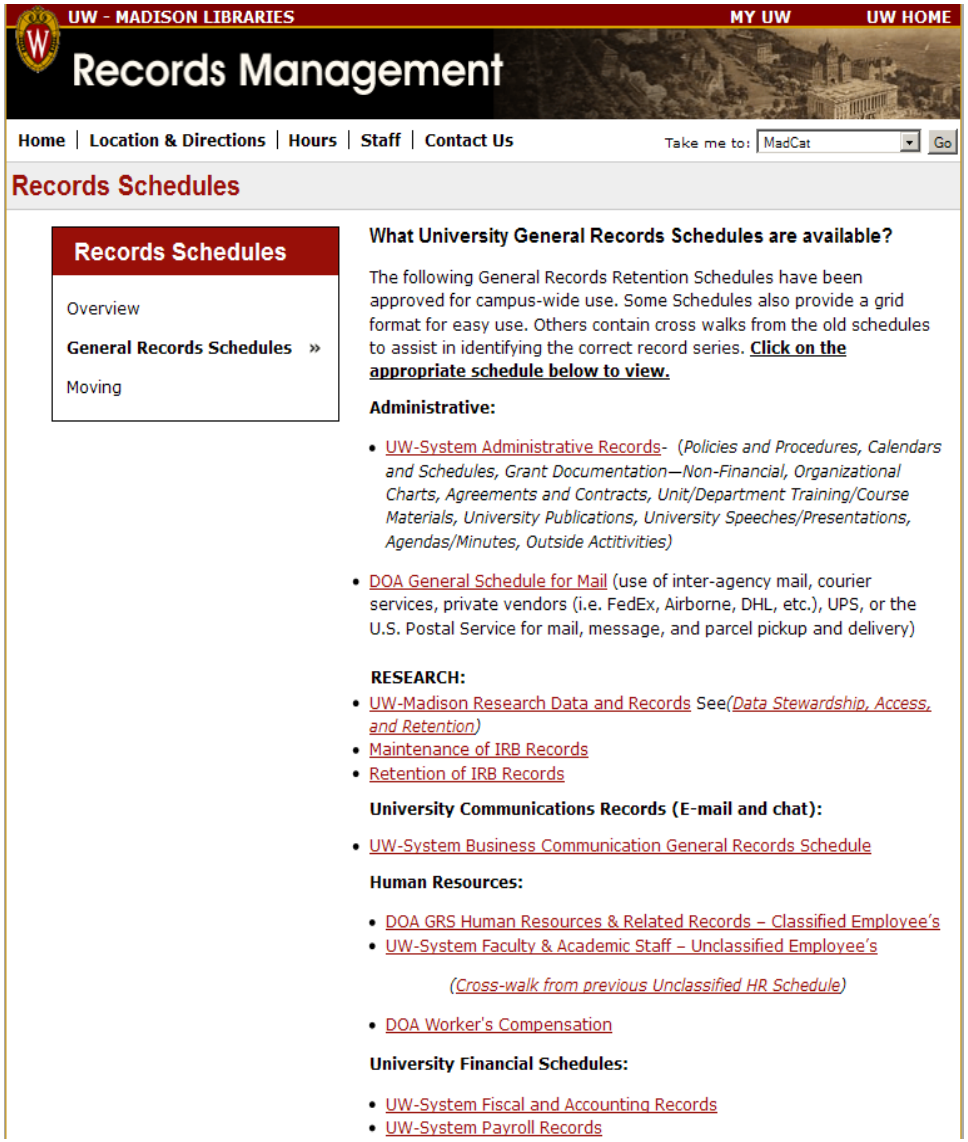
Records Retention & Disposition Schedules – GRS & RDA

1. ***General Retention Schedules (GRS)***

- Apply to all University offices campus-wide.

- Available online on Records Management site under University Records Schedules: http://archives.library.wisc.edu/records/rda.html#general-records

2. ***Department Specific*** records schedules Records Disposition Authorization (RDA)



INACTIVE RECORDS STORAGE

What's the Difference?

State Records Center vs. UW- Madison Archives

SRC

- SRC is a **fee-supported** service
- SRC provides loading dock **pick up and delivery** services
- Department/Unit **retains legal custody** of records and information transferred to the SRC

UW –Madison Archives

- UW Archives is a **special library** within the General Library System of UW-Madison
- Be **prepared to come** to the UW Archives to do the research and/or pick up the records.
- Legal and physical custody of the records are **transferred** to the UW Archives

The State Records Center:

- Provides a low cost facility for the orderly and periodic transfer of agency records.
- Provides a standard method for indexing, transferring and controlling agency records.
- Provides fast and efficient reference service to the records housed at the State Records Center.
- Systematically disposes or transfers records in the normal course of agency business in accordance with approved retention schedules.

Use of State Records Center for Offsite Storage

- **Used for offsite storage to fulfill retention**
- **Set up of account / liaison**
- **Records Center Disposition Reports**
  - Annual – January
  - Semi-annual- July

Records Held only for:

- Current litigation
- Pending litigation or audit
- An open records request
- An updated retention schedule is under development.

Visit the Wisconsin State Records Center website:

http://www.doa.state.wi.us/section_detail.asp?linkcatid=218&linkid=49&locid=2

Procedures to Transfer Boxes to State Records Center (SRC)

1. Set up account with SRC through Records Management.
2. Be sure GRS or RDA (records schedule) is valid.
3. Obtain boxes (MDS) Materials Distribution Services.
   http://mds.bussvc.wisc.edu/order/default.asp
4. Prepare inventory with one copy for inside the box and keep other for reference.
5. In Versatile there is Unlimited area in Description Field for listing all files in the box. Important for search and access!
6. Log into Versatile Web
   http://vssweb.wi.gov/recordsroot/default.asp

Disposition....

Final Stage

Disposition

Disposition is an accepted phase of the records lifecycle.

Record are disposed of at the end of the lifecycle either by:

- Transfer and Accession and review into UW-Archives
- Or Destroyed

Disposition is written into the Records Retention Policy

Completed within the Normal Course of Business

Record schedules are suspended for discovery and litigation, *a*udit or open records requests

There should be good, well-considered reasons why your office would retain records past their final disposition date.

- *Keeping everything is costly and expensive to store and manage both in electronic and paper.*
- *Cost in Time and Money for searching and retrieval of info.*
- *More information = Increased risk in lost files or misfiles*

Record Schedules should be executed in the Normal Course of Business – Discovery & Litigation.

There should be a University commitment to the records scheduling process…..
Retaining everything is not good records management practice.

What is an Employee to Do?

Employee Responsibility for University Records.. All of us are Records Managers

- Manage Public Records in accordance to State and University policy.
- Understanding that university records are public records in all formats and media.
- Responsibility to follow university policies regarding Protection, Security and Retention of university records.
- Maintain Personal records and University records separately.

Now your ready to land with Good Recordkeeping Practices....

- Apply the 8 "*PRINCIPLES*" of *Accountability, Transparency, Integrity, Protection, Compliance, Accessibility, Retention and Disposition* to how records are managed. http://www.arma.org/garp/index.cfm

- Review the UW-Madison Records Management Website for resources.
- Designate a records leader and have a records management plan documented.
- Determine what records you have and where they are located.
- Determine which records are Active and which are Inactive.
- Dispose of records past their retention date and use offsite storage which have not met retention.
- Stay organized through a yearly review or records.

Contact the University Records Officer for a Records Management Consultation *recmgmt@library.wisc.edu*

Additional Information

UW-Madison CIO IT Policies: http://www.cio.wisc.edu/policies/

- **Access to Files** http://www.cio.wisc.edu/policies/access.aspx
- **Handling University Data** http://www.cio.wisc.edu/security/uwdata.aspx

UW- Madison Legal Administrative Services: Public Records
http://legal.wisc.edu/reference/public-records.html

UW-Madison Vice Chancellor University Relations: Social Media Guidelines
http://universityrelations.wisc.edu/policies/social-media.php

UW- Madison Research Policy on Data Stewardship, Access, and Retention
www.grad.wisc.edu/research/policyrp/rpac/datasteward.doc

UW- Madison Research Data Management Plans

- **What's YOUR Data Plan?** http://researchdata.wisc.edu/
- **Data Plan Essentials** http://researchdata.wisc.edu/make-a-plan/data-plans/

ARMA International: http://www.arma.org/

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UW Archives and Records Management Contact Info:

Steenbock Memorial Library

Room 425
550 Babcock Dr.
Madison, WI 53706-1201
(608) 262-5629
http://archives.library.wisc.edu/

Records Management Questions:

- Peg Eusch, CRM – University Records Officer
- meusch@library.wisc.edu

Archives Questions:

- David Null- Director of Archives
- dnull@library.wisc.edu
- Cathy Jacob – Operations Program Associate
- cjacob@library.wisc.edu
- Vicki Tobias – Image/Digital Archivist
- vtobias@library.wisc.edu

Oral History Questions:

- Troy Reeves – Head, Oral History Program
- treeves@library.wisc.edu

Thank you….

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