



University of Wisconsin-Madison Archives and Records Management

University Records and Information Governance

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University of Wisconsin-Madison, Archives and Records Management

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Top 8 Questions to ask yourself:

- Do you know what a records retention schedule is? Do you know if your department has any records schedules or is required to follow a general records schedule?
- Do you have a designated records coordinator for the department?
- If you received an open records request today for electronic records including email relating to a particular issue within your department, could you conveniently locate, and retrieve those records?
- Do you know the procedure for a litigation hold and e-discovery request for records?
- When purchasing or implementing system software what records management issues should you take into consideration?
- Do you know where your vital records are?
- Does your department have a disaster recovery plan for your paper and electronic records?
- Do you know how to manage University records in the Cloud?

UNIVERSITY RECORDS MANAGEMENT PROGRAM

The University's teaching, research, and outreach mission depends upon the effective and efficient management of information assets and resources which are increasingly digital and linked to information technologies. Managing a hybrid record keeping system, (paper and electronic), requires the balancing of concerns for information content and context with the capabilities of utilizing information technology. This balance can only be achieved by creating strategic partnerships for records management. Collaboration will be an important part in building a infrastructure for managing the University's records and information resources. Strategic partnerships are being forged with campus departments and units with related concerns or with whom archives and records management may have shared goals and objectives.

The UW-Madison Records Management Program is supported by the Board of Regents Policy 3-2 and the Provost Office through the Campus Records Review Group (CRRG). The Campus Records Review Group (CRRG) guides the Records Officer and Records Management Program in the development of records management policies and procedures for the UW-Madison campus. The CRRG is comprised of UW-Madison employees from different divisions on campus, including Legal, Records Management, Archives, Graduate School, Enrollment Management, School of Medicine and Public Health, CIO's Office, and the Provost's Office. In November 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. This charge was renewed in 2010 by Provost DeLuca.

UW System-wide records management support is provided by the UW Records Officer Council (UWROC), which includes records officers from each campus within the UW System.

The Policymaking body for public records is governed by the Public Records Board (PRB), a statutory authority for records management in State Government. Authority for the PRB is mandated by WisStat 16.61.

WHAT IS A RECORD?

By law, University public records are any papers, books, photographs, tapes, films, recordings, or other documentary materials, or any copies thereof, regardless of physical form or characteristics, made, produced, executed, or received by any department or office of the University or by any academic or administrative staff member in connection with the transaction of University business, and retained by that department or its successor as evidence of its activities or functions because of the information contained therein. More generally, a record is a document, data, or set

Record Lifecycle:

- Creation & Receipt
- Distribution & Use
- Disposition/ Destruction
- Preserve and Transfer to Archives.

The GARP Principles:

- Accountability
- Transparency
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition

“The GARP principles identify the critical hallmarks of information governance, which Gartner describes as an accountability framework that “includes the processes, roles, standards and metrics that ensure the efficient use of information in enabling an organization to achieve its goals.” ARMA International GARP Information Governance Maturity Model. -

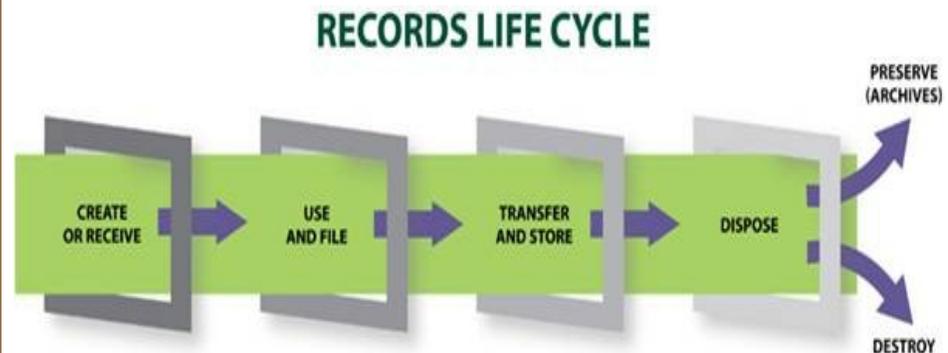
State and UW System Policies :

- UW Board of Regents Records Management Policy 3-2
- Wisconsin Law
- Admin Rule 12

International and National Standards

- Records Management: ISO 15489
- Metadata: ISO/TS 23081-2:2007
- PDF-A: ISO 19005-1:2005/ COR 1:2007
- Media Sanitization: NIST SP 800-88

of data that is created or received in the course of the organization’s business.



RECORDS MANAGEMENT PROGRAM AND INFORMATION GOVERNANCE

A successful records management program includes records retention policies, procedures where records are classified and assigned a record value. This value could be operational, administrative, legal/regulatory, or historical/archival. As records go through their life cycle, retention periods are defined and destruction procedures assigned.

UW –Madison’s records management goals are to:

- Maintaining consistent recordkeeping practices in accordance with Generally Accepted Recordkeeping Practices (GARP)
- Reduce operating costs associated with storage of records and improving operational efficiency.
- Comply with Federal and State laws and regulations.
- Consistency within the normal course of business with records disposition.
- Compliance with Contingency Management programs
- Support for litigation or auditing of records

Records management begins with information governance and good recordkeeping . In 2009 ARMA International came out with GARP Generally Accepted Record Keeping Principles. Their 8 principles to good recordkeeping are: Accountability, Transparency , Integrity, Protection, Compliance, Availability, Retention and Disposition.

Another international standard for records management governance is the International Organization for Standardization (ISO) 15489 Records Management Standard. 15489 was issued in 2001 as the first international standard to benchmark records management programs.

RETENTION SCHEDULES:

State agencies are statutorily required to provide records schedules for all records not already covered by an existing records schedule. Public records can be destroyed only in accordance with approved records retention schedules. There are three types of records schedules for the University: general system-wide, general campus-wide, and department/unit specific (RDA) . Campus units are required to follow the retention and disposition policies set out in these schedules for their similar records. Although function-based schedules provide strong organizational structure, they are not especially suited for integrated software systems and more complicated organizational structures. In order to accommodate these structures and yet maintain the highest level of records creation and maintenance, the trend

is to create records schedules that are process-based. Process-based schedules identify core processes and their sub-processes in accordance with workflows. Once the core processes and sub processes are identified, the documents that fall into each record series of the identified processes are inventoried and then scheduled.

ELECTRONIC RECORDS

Electronic records management should begin with the creation of the electronic record through its retention, including the maintenance of storage media and final disposition. Tools are often necessary to effectively manage electronic records. In a paper environment, metadata, or the context and structure, of the document is often made implicit by the document itself. However, this is not the case with electronic documents. Electronic documents require metadata to be explicitly created, usually by an end user, a computer application, or both. Such software can help manage schedules, as well as prescribe metadata, facilitate search and retrieval, manage destruction, transfer or litigation holds, open records requests, and audits appropriately. The three important elements that make up a electronic record are: context, content and structure, all of which are required to provide evidence of the organization's activity.

EMAIL AND THE CLOUD

Email becomes a public record when sent or received by an agency under state or federal law, or in connection with the transaction of public business. It should be preserved as a public record when it serves as evidence of University functions, policies, decisions, procedures, operations, or other activities of the University. Computer and email software can be thought of like correspondence files in a filing cabinet. You need a standardized filing system (labels, arrangement, order) to store your messages so that you can efficiently retrieve documents. You should have a system in place whereby the deletion or long-term storage of email messages follows the records retention policies of paper correspondence and files. Think twice about using Gmail or another cloud provided for business purposes. This includes forwarding your WisMail to a third-party account provider over which you have no control since it outside of the UW information technology services. Your university email could be a public record and contain university records governed by the university retention policies. This information could be of a sensitive nature and not be protected. Strategies are being addressed to offer guidance and management to these type of university records. University public records may also be contained in social network sites like Facebook, Youtube, blogs and wikis in addition to the information on the official University websites. Future trends show that social networks such as Facebook could replace email and the way that we communicate with each other.

RESEARCH DATA MANAGEMENT PLANS

In 2010 the National Science Board, and National Science Foundation (NSF) officials announced a change in the implementation of the existing policy on sharing research data. The NSF requires that all proposals include a data management plan in the form of a two-page supplementary document. When you develop hypotheses and the design of sample collection for your new project, you should also plan for data management. Careful planning for data management before you begin your research and throughout the data's life cycle is essential to improve the data's usability, and ensure data's preservation and access both during the project and

Records management is about understanding business processes, organizational culture and communication and the importance of knowledge and infrastructure Management.

NSF Data Management Plan

Requirements beginning January 18, 2011, proposals submitted to NSF must include a supplementary document of no more than two pages labeled "Data Management Plan". This supplementary document should describe how the proposal will conform to NSF policy on the dissemination and sharing of research results. See Grant Proposal Guide (GPG) Chapter II.C2j for full policy implementation. <http://www.nsf.gov/bfa/dias/>

Admin Rule 12 requires state agencies to keep official records which are maintained in digital formats only to ensure that they are accessible.

At the present time there is not a campus-wide tool suite infrastructure to support digital preservation of institutional records. Departments are responsible for managing and preserving their records throughout the records' lifecycle.

-Campus Records Review Group

A policy statement on its own will not guarantee good records management: critical to its success are endorsement and active and visible support by senior management and the allocation of resources necessary for implementation.

-ISO 15489-2:2001 (E)

well into the future. A data management plan should be completed for any type of University related research not just NSF research as a records management best practice.

RECORDS CLASSIFICATION:

Records classification and maintenance with the appropriate metadata are necessary for identification and retrieval. To classify records, departments should identify business functions or processes of a University department and inventory the documents that comprise those functions and/or processes. The inventory will determine what records are created and used and which are active or inactive. The process of inventorying provides data needed to improve the organization of records and workflows by identifying related, duplicate and unnecessary records.

DOCUMENT MANAGEMENT AND SCANNING

For campus units in the process of deciding upon the appropriateness of digital imaging technology there are several basic questions about this technology and provides a set of recommendations that address: project planning, systems specifications and selection, uniform naming conventions and system implementation. Records management strategies need to be in place before a project should begin.

DIGITAL PRESERVATION

Records and recordkeeping have undergone dramatic changes in recent years. New technologies have expanded the types of information that need to be managed, while the internet and file transfer technologies have raised expectations for paperless processes. All of these factors combine to increase vulnerability and risks to the University. It is imperative that the University develop a coordinated approach to managing its information resources to ensure that our valuable information is protected and remains accessible over time. The choices that departments make in management of electronic records will have significant ramifications in the areas of access and preservation. Because of frequent technological change, including hardware and software obsolescence, University offices must take steps to manage and protect their records for as long as they are needed to meet operational needs and protect the legal, financial and historical interests in their records. Digital preservation presents many challenges, but addressing it is becoming a critical need for the campus.

IS THIS ENOUGH AND CAN WE DO MORE?

Of course we can! A concerted campus-wide effort is needed to effectively handle records in the digital world. A truly great university, and one that is open, transparent and accountable, will plan to safeguard its valuable information resources on into the future. The CRRG and campus records management program will be engaging the campus community to make records management an even more effective tool.

GET IN TOUCH!

To learn more about these issues or to receive guidance on a particular records matter contact:

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