University of Wisconsin - Madison Records Management Program 2014 - 2015
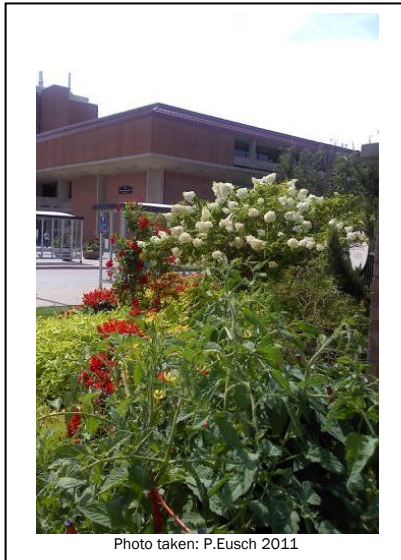

Photo taken: P.Eusch 2011

UNIVERSITY OF WISCONSIN - MADISON ARCHIVES AND RECORDS MANAGEMENT

June 2016
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University of Wisconsin-Madison Records Management Program

2014 - 2015

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UNIVERSITY OF WISCONSIN - MADISON RECORDS MANAGEMENT PROGRAM 2014 - 2015

EXECUTIVE SUMMARY

University Records are key assets in the operation of the University. Records and Information Management is an essential part of <u>all</u> university employees' daily activities. All university staff, at all levels, use, distribute and retain university records from record creation through disposition. University records should be organized, accessed and managed in accordance with records management best practices such as the Generally Accepted Recordkeeping Principles or *"The Principles"* in all formats and media. An organized workplace is more conducive to creating new ideas and improved efficiencies.
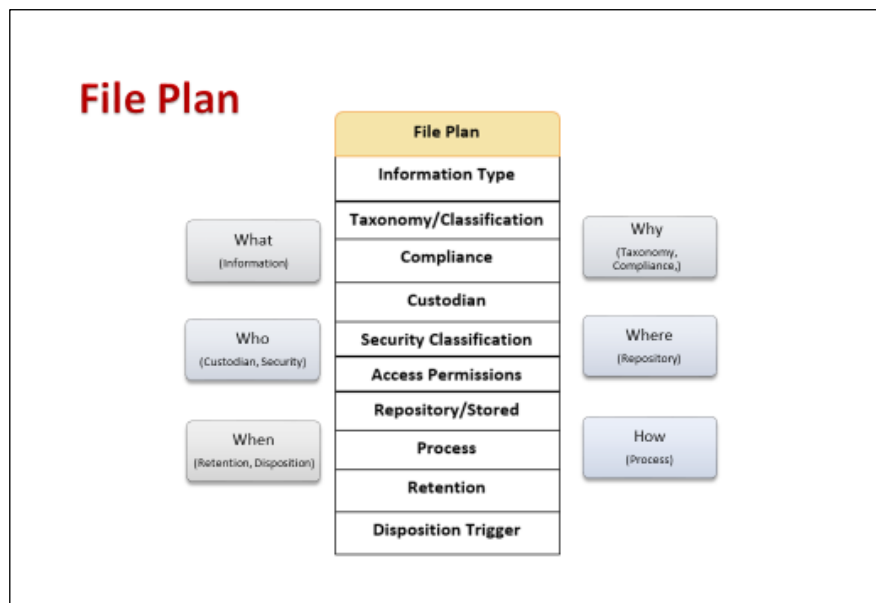
The University Records Manager/Officer plans, organizes, and directs activities of the university records management program by communicating records policies and industry best practices for university records. The UW- Madison Records Management Program has limited visibility within the campus and requires more resources to adequately reach all areas of the university. There are many facets to a records management program that bring information value and reduce risk to the UW-Madison campus. There is an opportunity to improve productivity and save costs by documenting process and workflow of information in the recordkeeping systems that are being created and utilized on the campus as part of process improvement. In order to accomplish this, this University Records Officer serves on a variety of university committees across campus concerned with records and information management issues and relies on the University Records Management Advisory Group (URMAG) to support and give direction to Records Management initiatives.

For 2014 and 2015 years the Records Management Program highlights were:

- The University Records Officer worked in 2014 to update and streamline the UW-Madison Student Records Schedule to define ownership, and to standardize the retention time frames to make the schedule more electronically friendly. Work is in progress to identify record types within the student information management system (ISIS) with Martha Pelkey- Interim Director of ISIS.

- The University Records Officer is in the process of continually updating and refining the UW-Madison Records Management website to allow for easier user access to training materials, guidelines and General Campus-wide Records Retention schedules. In 2015 the website was upgraded to WordPress, which allowed for better access to the university's records schedules. Other solutions are still being evaluated to improve access to university wide records schedules.

- The University Records Management Program was highlighted in April 28, 2015 Inside UW-Madison under *Around Campus* *"Gatekeeping has advice on recordkeeping"*.

The University Records Management Programs goals for 2016 consist of the following:

- Elevate the visibility of the UW-Madison Records Management Program. Increase recognition and collaboration with other campus groups and communities across campus on Records and Information Management best practices and *The Principles*. This would be accomplished through communication outreach in various formats such as one on one meetings, departmental meetings and group presentations.

- Continue to work with the State Records Center to review and update and process record schedules which have sunset. In 2009 there were 1600 record series which were sunset and never updated with the State Records Centers database. In the past 6 years this has been reduced to currently 137 record series with the goal to be up to date by the end of 2016.

- Strategically review and discuss with the University Records Management Advisory Group the feasibility of where the University Records Management Program would get the most support.

- Presentations on the management of E-mail and Document Imaging continue to be the topics that are continually requested. For 2016, there will be a push for all university department to develop a Records File Plan to document the management of university records. A File Plan is a departmental roadmap that identifies the What, Who, When, Why, Where and How in the management of their information. The File Plan is a tool for training and management of the records and information that a department or unit create. See image below.

File Plan

File Plan
Information Type
Taxonomy/Classification
Compliance
Custodian
Security Classification
Access Permissions
Repository/Stored
Process
Retention
Disposition Trigger

What (Information)
Who (Custodian, Security)
When (Retention, Disposition)
Why (Taxonomy, Compliance,)
Where (Repository)
How (Process)

This summary report is compiled for the Provost, Vice Provost for Libraries and University Librarian, Chief Information Officer (CIO), Vice Chancellor for Finance and Administration and University Records Management Advisory Group members and other university partners.

On the following page is a more in depth report of the status of the UW-Madison Records Management Program from 2014 through 2015.

UW-Madison Records Management Program

Background and History

The UW- Madison 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 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 aka *"The Principles"*.

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

Definitions:

- **CRM= Certified Records Manager** credential through the Institute of Certification Records Managers. The *Institute of Certified Records Managers* (*ICRM*) is an international certifying organization of and for professional records and information managers.
- **CA= Certified Archivist**, which is certified through the Academy of Certified Archivist. The Academy of Certified Archivists is an independent, nonprofit certifying organization of professional archivists.

The Records Management Program:
The first University Records Officer was Nancy Kunde, CA. CRM. Nancy created and put the Record Management program in place in 1985 and was the University Records Officer through 2008 when she retired.

In October of 2009, Margaret (Peg) Eusch, CRM, came on board and is the current 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://www.library.wisc.edu/archives/records-management/

University Mission and Records Management Program

The University Records Manager/ Officer and the UW-Madison Records Management Program have a good working relationship with the Provost Office, CIO Office, Office of Legal Affairs, Risk Management, Chief Information Security Officer and Chief Data Officer among others campus partners. The University Records Officer is always seeking out working relationships to assist with getting Records Management initiatives out to the campus. This is accomplished through participation on campus teams/groups, giving departmental presentations, creation of new or updated records guidelines, and providing training using new technologies to reach out to the campus community.

The creation, management, and distribution of records and information are at the heart of what the University is all about. Knowledge and the transmission and management 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."*

University Records are a key resource and asset in the operation of the University. University Records are created, organized, secured, maintained, and used in a way that effectively supports the activities and the mission of the University and meets obligations in:

1. Sustaining day-to-day University operations.
2. Answering questions about past decisions and activities.
3. Promoting organizational efficiency and productivity by allowing for efficient access to information in all formats and media.
4. Reducing risk through good records retention practices.
5. Reducing space constraints and saving storage costs.
6. Preserving historically valuable university records which capture the university's history, mission and teaching.

The UW-Madison Records Management Program strives to meet this mission and purpose, through the endorsement of *The Generally Accepted Recordkeeping Principles* as a university records management best practice.

The Generally Accepted Recordkeeping Principles® *"THE PRINCIPLES"*

The URMAG endorsed ARMA International's *Generally Accepted Recordkeeping Principles®* in 2010. ***Generally Accepted Recordkeeping Principles®*** or ***"The Principles"*** provide an overarching best practice for evaluation of all information management decisions and provides a matrix to bench the program against.

*1) **Accountability**- Includes recordkeeping policies and procedures and top level responsibility for records*

*2) **Transparency**- Documentation of how records are managed and processed within departments/ units*

*3) **Integrity** – Electronic records have authenticity and reliability and demonstrate chain of custody.*

*4) **Protection**- Appropriate access and protection of identity and intellectual property or legally protected content such as FERPA, HIPAA.*

*5) **Compliance**- Compliance with State and Federal regulations including university policies regarding records*

*6) **Availability**- Timely and efficient retrieval of records (Taxonomies, Controlled Language, Tagging or other filing schemes.*

*7) **Retention**- maintaining records in accordance with university retention policies.*

*8) **Disposition**-Providing for secure and appropriate disposition for records that are no longer needed in accordance with the university retention schedules. Records are either destroyed or transferred to the University Archives.*

These 8 principles provide a basic understanding for management of our university records and complement the strategic planning of campus leadership.

The University Records Management Advisory Group (URMAG)

The "University Records Management Advisory Group", formerly the "Campus Records Review Group" (CRRG), is a broadly representative body which has been tasked by the Provost's Office to provide direction and support for the university's records and information management program. The URMAG is comprised of UW-Madison representatives from different divisions on campus. The title was changed in July of 2013 to more accurately reflect the group's role.

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 URMAG and the UW-Madison Records Management Program. The URMAG offering policy and guidance on records management issues for the UW-Madison campus, a subset of members of the URMAG are also the campus authority for approval of records retention schedules before going to the Wisconsin Public Records Board for state approval. These members are from Office of Legal Affairs, Director of Archives and the University Records Officer.

2014 – 2015 Membership

- **Eden Inoway-Ronnie** – Sr. Special Assistant – Provost's Office
- **Claire Dalle Molle** – University Legal Counsel - Office of Legal Affairs (Ray Taffora – Vice Chancellor for Legal Affairs)
- **Rick Gibbs** – Director of Risk Management
- **Gary DeClute** -Policy and Planning – CIO (Office Bruce Maas – CIO & Vice Provost for Information Technology)
- **Ryan Moze** – Research and Graduate Program - Research Compliance
- **Martha Pelkey-** Director of the Integrated Student Information System (Steve Hahn, Interim Vice Provost for Enrollment Management)
- **Greta Petersen** -Associate Registrar for Student Services (Scott Owczarek – Registrar)
- **Mark Wells –** Assistant Dean For Facilities (Robert Golden, Dean – School of Medicine and Public Health)
- **David Null**, Director, UW-Madison Archives & Records Management
- **Peg Eusch**, CRM, University Records Officer, UW-Madison Records Management Program

Completion of Records Management Guidance
- The UW-Madison Guidance for Managing the Records of Departing Employees which was put out and endorsed by the University Records Management Advisory Group at the end of 2015. It is up on the Records Management website and the Office of Human Resources has a linked to it.

University Records Management 2014 - 2015 Initiatives:

## Key Issues during 2014 and 2015:

Email and migration to Office 365

The University Records Officer participated with the University's Office 365 Team in 2014. Departmental training was also provided when requested. An example would be the collaboration with the GLS Library Technology Group to prepare employees with steps for the transition and e-mail migration. The Records Officer created a presentation E-Mail for Management for O365 (and Beyond) which was shared with departments that requested it. The presentation can be found on the Records Management website under Training Videos and Presentations.

Records Management File Plans

At the beginning of the fall of 2015, the University Records Officer emphasize to departments that she met with, the importance of creating a file plan to identify how records are managed, where they are stored, who has access to them. These file plans are a roadmap to how information is managed within the department or unit. File Plans can be utilized as a training tool with staff turnover meeting the Principle of Transparency. See diagram.
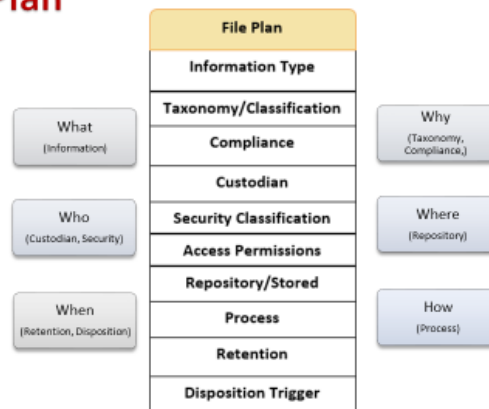
Document Imaging

All university records that are considered official records are required to have a valid records retention schedule before scanning to Wisconsin state law. Many units on campus are currently utilizing Lexmark Software's *ImageNow* Content Management application as part of their workflow and imaging of records. The University has a campus license for the Lexmark's "Retention Policy Manager". The University Records Officer is working with the IT Enterprise

Internet Services Group to counsel department on their records management responsibilities before embarking on digital imaging.

<u>Records Management Communication and Training</u>

Communication and Training are key components of the UW-Madison Records Management Program. For 2014 - 2015 Basic Records Management, E-mail Management and Document Imaging were popular topics for presentations.

Presentations:

2014 Campus Presentations:
- Presentation given to the Graduate School – July 2014
- Presentation given to the CALS Financial Group- Nov 2014
- Collaborated in 2014 with a group from Nazarbayev University sharing ideas and participating in presentations. Dec 2014
- Brown-bags were presented on Email and the transition to Office 365

2015 Campus Presentations:
- Russel Lab – Feb 2015
- Office of Corporate Relations – March 2015
- Conference for the Office Professional – April 2015
- School of Education Administrator's Forum November 2015
- Presentation to the Music Department -Dec 2015

UW-Madison Records Management Facebook:
https://www.facebook.com/UWMadisonRecordsManagement/
The UW-Madison Facebook page was launched in December 2010 as an alternative way to communicate to the campus community. 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. As of the October 2013 the Records Management Facebook page had 57 active users and as of January 2016 there are now 74 likes for the Facebook page.

Records Management Campus Partnerships

University Partnerships and Collaboration
The university records officer nurtures its partnerships with the Provost office, CIO and IT, Office of Legal Affairs, Office of Risk Management, Research community and departmental and units around campus.

Provost's Office Support and Partnership
The Provost's Office is an important component of the records management program through its support of the University Records Management Advisory Group which provides direction and support to the Records Officer and the Records Management Program. This relationship will be reestablished with the Provost in 2016.

CIO and Campus Information Technology Partnerships
The University Record Officer has a working relationship with the CIO Office, the Chief Information Security Officer and the Data Officer and other Campus IT and participates on the follow committees:

- Ongoing participation on the CIO IT Policy Committee – Gary DeClute
- Campus IT Infrastructure Group – Steve Krogull
- Monthly Data Stewardship Council Meetings – Jason Fishbain
- Meeting with the CISO –Bob Turner

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, CISO and Chief Data Officer. It is recommended that records management requirements and available record software modules that can manage retention 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 address Compliance, Access, Privacy, Retrieval, Authenticity and Disposition of records and e-Discovery requirements. Digital records created should be managed throughout their lifecycle through disposition in accordance with Wis. Adm. Rule 12 for Electronic Records. This currently has to be accomplished manually. Records are being kept indefinitely due to the difficultly of manually implementing the university's record schedules in a consistent manner. The volume of information currently being kept in these applications creates risk for migration and slower searching because of the volume of information.

Office of Legal Affairs
Office of Legal Affairs 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.

Office of Risk Management

Risk Management continues to be a partner. There are many business risk associated to records management. There are risk related to technology and records, risk related to uncontrolled environments, risks related to records management and litigation to name a few. The University Records Officer is collaborating with UW-Madison Risk Management to address records and data risks.

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 Plans several years ago records management plays a role as a resource for management of electronic research records throughout their lifecycle. In 2015 the Records Officer established a partnership with Research Data Services.

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 on best practices for management of information. Consultations involve teaching and guidance to campus records policies and records management best practices such as The Principles. These meetings involve reviewing the department/units business process, and analyzing of what types of records they create and produce in all formats and media. Recommendations are made which may result in a new records schedules. The University Records Officer consulted with around 75-100 Departments over 2014 - 2015 on organizations of records, e-mail, digital imaging and record scheduling.

UWROC (University of Wisconsin Records Officer Council)
The University Records Officer also collaborates with the University of Wisconsin Records Officer Council (UWROC) on UW System wide record retention schedules and records management issues affecting the System. In 2015, the UW-Madison Records Officer, on behalf of the UW Records Officer Council drafted and submitted the UWSA System Payroll Schedule to the Public Records Board for approval in the first quarter of 2016.

Records Management and the Public Records Board/State Records Center

The University Records Officer is the designated liaison between the Wisconsin Public Records Board and the State Records Center on the behalf of the University. The State Records Center conducted an audit of their database for record schedules that have sunset and to update the information in the system. In 2009, there were 1600 record series had sunset and had not been updated in the State Records Centers database. As of January 2016 this has been reduced to 137 record series outstanding left to be updated with the goal to have these completed by the end of 2016.

Quarterly the University Records Officer submits records schedule for approval 2 months ahead, attending the Records Management Committee meeting the month before the Public Records Board meeting. All records schedules are reviewed and signed off on by Legal Counsel and Archives before submission.

General and Departmental Records Retention Schedules:
- 14 Records Schedules with a total of 49 record series were submitted and approved in 2014.
- 22 Records Schedules with a total of 74 record series were submitted and approved in 2015.

Records Disposition at the State Records Center:
Records disposition and retention at the State Records Center is another component of working with the State to ensure the proper disposition of university records. The university provides 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 late spring and late fall. This report is quite lengthy and requires manually splitting department out and sending to affected campus units for sign off on destruction of records barring litigation hold or audit.

New Website:
In 2015 the Archives and Records Management site was migrated over to WordPress. This was a big improvement allowing for a more user friendly access to the University General Records Schedules.

University Records Management Program
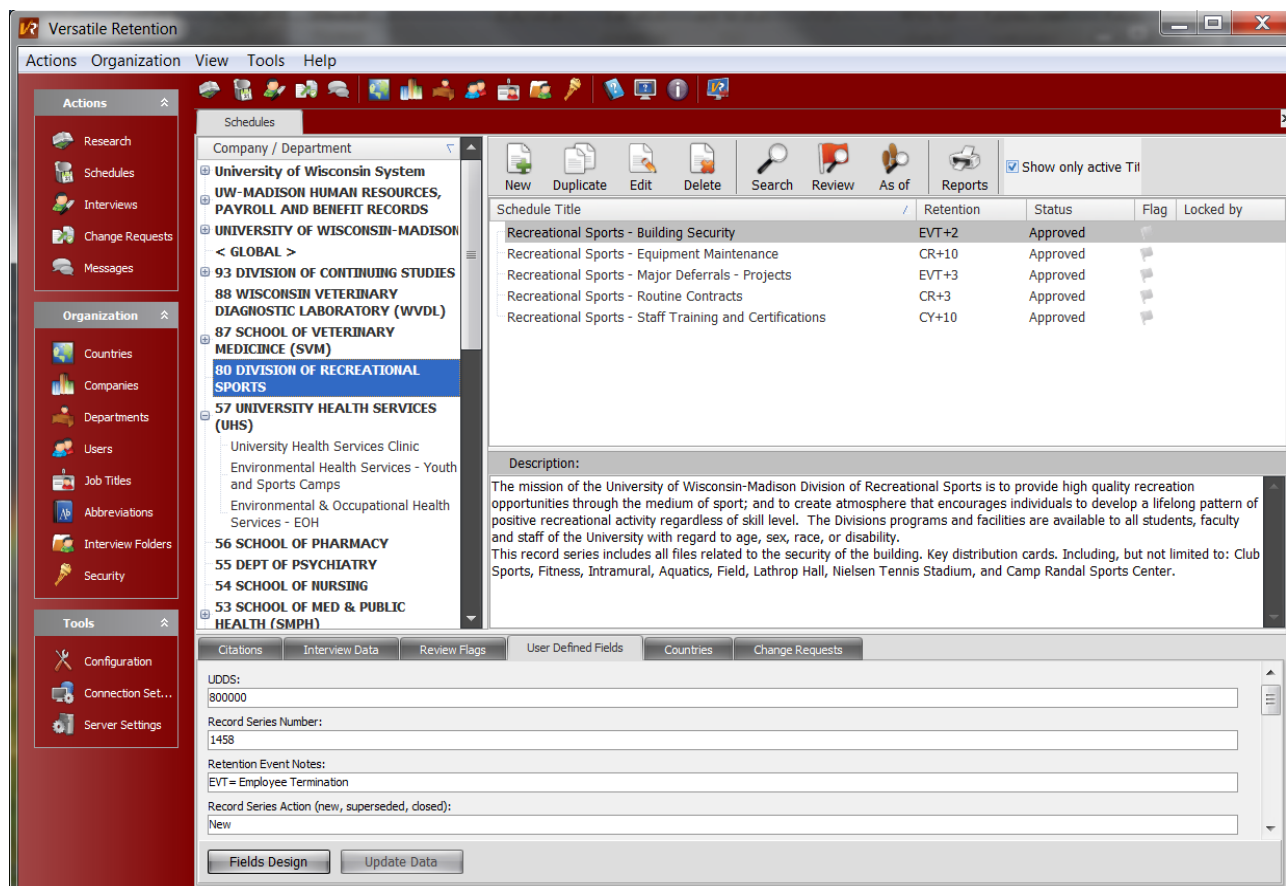
New in Records Management
See what's new under this section. New content such as Guidance, Policies or Campus wide Records Retention schedule will be highlighted under this section. Other content such as new presentation or other training materials will also be found under this section. Older content and

Program Overview
The UW-Madison Records Management Program collaborates and works with the campus community on all levels on good records management practices through the entire records life-cycle. Records Management is placing systematic controls on university records using the Generally

Zasio Retention

The Zasio database is university's database for management of the university's records retention schedule. This database provides for legal citations and record schedule reporting. **It is used in combination with the permanent hard copies of all records schedules, which are kept in the Office of the Records Officer.**

<u>UW-Madison Records Management Program Goals and Objectives</u>

The University Records Management programs goals for 2016 - 2017 consists of the following:

• Continue to educate departments and units on the importance of File Plans.

- Strategically review and discuss with URMAG where the Records Management Program should be on campus.

- Continue to elevate the visibility of the UW-Madison Records Management Program. Increase recognition and collaboration with other campus groups and communities across campus on Records and Information Management best practices and *The Principles*. This would be approached through communication outreach in various formats such as one on one meetings, departmental meetings and group presentations.

- Continue to seek new formats to provide easier access and use of the University Records Retentions Schedules for employees and navigation of the UW-Madison Records Management site.

- Continue to clean up outdated record schedules and update with the State Records Center.

- Continue to nurture working partnerships with the Provost's Office, Office of Legal Affairs, CIO, CISO and Data Officer, Campus IT units, Enrollment Management, the Graduate School and the Research Community and SMPH.

- Push for a Campus strategy for Digital Asset Preservation for electronic records which are management and stored in campus systems and the archives.

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