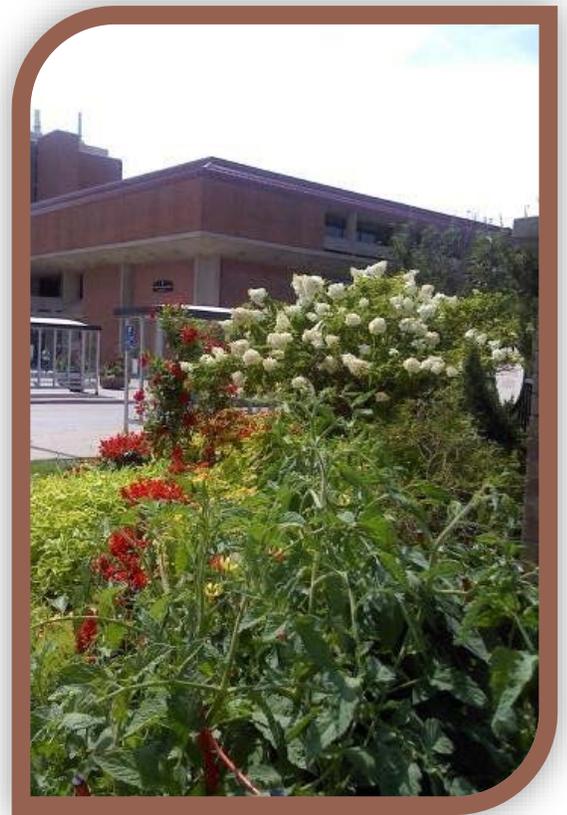


UW- Madison Records Management Program Report 2016-2017



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Executive Summary

University Records are important assets in the operation of the University. All university employees, at all levels, use, distribute and retain university records through their entire records lifecycle. University records are to be organized, accessed and managed in accordance with record management best practices such as ARMA International's Generally Accepted Recordkeeping Principles® or "[The Principles](#)" and ISO Standard 15489 Information and Documentation-Records Management Parts 1 and 2. The 8 Principles provide a high level strategic framework for the way information is managed in all formats and media. *The 8 Principles*® are: **Accountability; Transparency; Integrity; Protection; Compliance; Availability; Retention; and Disposition.**

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

An organized workplace is more conducive to creating new ideas and improved efficiencies and compliance with university recordkeeping responsibilities. The University Records Officer plans, organizes, and directs the activities of the university's Records Management Program by identifying and communicating record policies and industry best practices for university records.

The Records Management File Plan: The University Records Officer has continue to recommend and communicate the need for all university departments and units to develop a Records Management File Plan to document the university records they create and manage. A Record Management File Plan is a departmental roadmap that identifies the *What, Who, When, Why, Where and How* in the management of Department/Units information. The File Plan can be an excellent tool for training new employees and providing transparency to the management of the records that a department or unit creates. The Records Officer has given several presentations on this topic to departments in Bascom Hall in March 2017, the Division of Diversity Equity, and Educational Achievement (DDEEA) April 2017 and to the Human Resources Rep. Group in May 2017.

The University Records Management website: Over the past year, the university's Records Management website has been improved for ease in searching and finding guidelines and training materials. The university's record series were entered into a WordPress template to allow for ease in searching terms to allow user to find the appropriate record series to use. The record schedules are divided out by their functional area: Administrative, Student, Financial, Employee, Operational, and Research. In addition, there is now the ability to find the unique department specific schedules through a reporting feature in the Zasio Records Schedule database. This allows a report to be created and posted on the website for transparency. Before this capability, the department was sent the approved schedule thorough and email attachment which may or may not have made the schedule available to the entire department or unit. Posting on the Records Management website promotes this transparency.

Records Management Training:

3 new training videos were produced with the assistance of the Records Management Student Assistants.

- 2017 [Introduction to University Records Management](#) – YouTube Video 11:25 min. *NEW*
- 2017 [Retention and Disposition of Records](#) – YouTube Video 8:42 min *NEW*
- 2016 [Organization and Management of Shared Drives](#) – YouTube Video 9:32 min

2 new guidelines were approved by the University Records Management Advisory Group.

- [Managing Electronic Records in Information Systems: Shared Drives; Content Mgt. Sys.; Doc Mgt. Sys; Collab Tools and other Electronic Inf. Systems.](#)
- Guideline is related to Vital Records and the Continuity Operations Plan or COOP plan

4 Job Aids were also created and approved in May by the URMAG.

- Vital Records
- Electronic Record Systems and Recordkeeping Requirements
- Destruction of Records
- Destruction of Records Checklist

Public Records Board/State Records Center Compliance: In 2009 when the current Records Officer was hired there was a backlog of 1600 record series that had “sunset”. As of December of 2016, this backlog has been updated and brought into compliance and verified by the State Record Center’s Versatile application that houses the official state record schedules.

Records Management Placement: During 2016 and 2017 the University Records Officer and URMAG reviewed and discussed the placement of the University’s Records Management Program and where the best fit was for it. The Vice Provost of the Libraries approached the Office of Compliance, which is a new department, but they declined with the office being so new. The Records Officer still feels that the Office of Compliance would be better suited for placement of the Records Management Program and would like to approach the Director again next year. The other option is reporting to the Chief Information Security Officer (CISO) through the CIO, but there are pros and cons to this placement with the issue of addressing records issues at higher levels which are not in scope of the CIO or CISO. The Office of Compliance would lend itself well to the mission of the Records Management Program and compliance with regulatory and legal requirements for retention of records and Records Management Training. The University Records Officer, Director the Archives and Vice Provost for Libraries met with the Provost regarding placement the placement of the program and are awaiting a report that was conducted by our peer - Penn State that includes reporting lines before continuing discussions. A final report was sent to the Vice Provost for the Libraries and the Provost in May.

On the following page is a more in-depth report of the status of the UW-Madison Records Management Program from 2016 through 2017.

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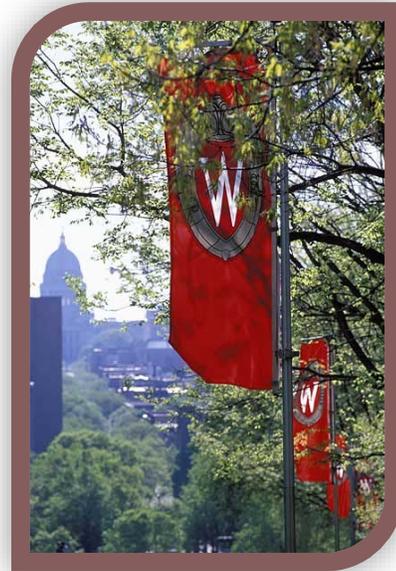
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UW-Madison Records Management Program

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

The University Record Management Program is managed in accordance with the UW Board of Regents Records Management Policy 3-2 and the Wisconsin Public Records Board requirement for agency record management programs. In addition, the program follows ISO Standard 15389 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. From May 2016- May 2017 there was the addition of 2 Record Management Student Assistants.

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.

University Records Management Program Background

The first University Records Officer was Nancy Kunde, CA. CRM. Nancy created and put the Records 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 and is retiring in June 2017.

The UW-Madison Records Management Program is currently located on the 4th floor in Steenbock Library and has a presence on the Web at

<http://www.library.wisc.edu/archives/records-management/>

The University Records Officer and the UW-Madison Records Management Program have a collaborative working relationship with the Provost Office, CIO/CISO Office, Office of Legal Affairs, Risk Management, and Chief Data Officer among others campus partners on records management issues affecting the campus.

The University Records Officer is always seeking out working relationships to assist with getting Record 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 consulting and training through software applications and venues such as Showcase 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, transmission and management of information are basic to the University's mission of teaching and learning. University Records are a key resource and asset in the operation of the 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 its 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 the university's 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**- *Is there a designated role to be custodian of the records created by the department?*
- 2) **Transparency**- *Is there document of records management process for records created by the department?*
- 3) **Integrity** – *Is there a demonstrated chain of custody to show authenticity and reliability of records?*

4) **Protection**- *Has appropriate access and protection been applied to records which have Personally Identifiable Information (PII), intellectual property or are legally protected content such as FERPA, HIPAA?*

5) **Compliance**- *Can Compliance with State and Federal regulations including university policies regarding records be demonstrated?*

6) **Availability**- *Is there efficient organization of records to retrieve records with Taxonomies, Controlled Language, Tagging or other filing schemes?*

7) **Retention**- *Can compliance with the university retention policies be demonstrated?*

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

These 8 principles provide the basic high level university framework for the management of our records and complements the strategic planning of campus leadership.

The University Records Management Advisory Group (URMAG)

The “University Records Management Advisory Group” (URMAG), 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 from Campus Records Review Group (CRRG) in July of 2013 to URMAG 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.

In 2016 Vice Chancellor & Provost Sarah Mangelsdorf reaffirmed the charge and mission in support.

The URMAG offers policy and guidance on record 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.

2016 – 2017 URMAG 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)
- **Jeff Karcher** – 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)
- **Keri Allard** -Associate Registrar for Student Services (Scott Owczarek – Registrar)
- **Mark Wells** – Assistant Dean For Facilities (Robert Golden, Dean – School of Medicine and Public Health)
- **Brianna Marshall** - Digital Curation Coordinator, Research Data Service
Cameron Cook- Interim Digital Curation, Research Data Service
- **David Null**, Director, UW-Madison Archives & Records Management
- **Peg Eusch**, CRM, University Records Officer, UW-Madison Records Management Program

Completion of Records Management Guidance

- In 2017 UW-Madison Vital Records Guidance and job aid for university offices to reference as part of their UW-Madison Continuity of Operations Plan.
- In 2016 completion of the **UW-Madison** [Managing Electronic Records in Information Systems: Shared Drives; Content Management Systems.; Document Mgt Systems; Collab Tools and other Electronic Info. Systems](#)
- 4 Job Aids were also created and approved by URMAG.
 - Vital Records
 - Electronic Record Systems and Recordkeeping Requirements
 - Destruction of Records (1)
 - Destruction of Records Checklist (2)

University Records Management 2016 -2017 Initiatives

Review of Placement of the Records Management Program

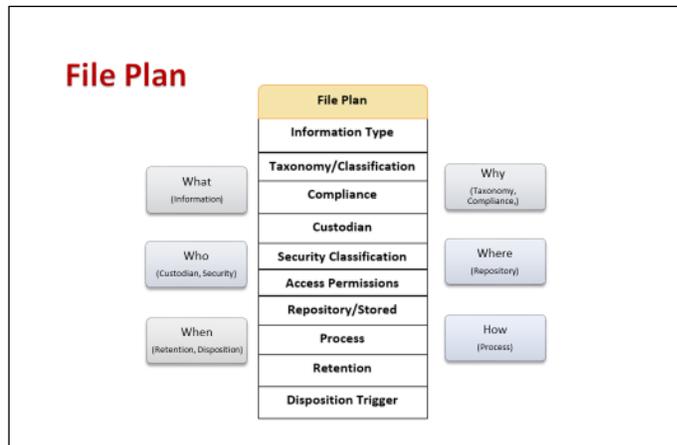
For 2016 and 2017 the University Records Officer and URMAG reviewed and discussed the placement of the University's Records Management Program. The Vice Provost of the Libraries approached the Office of Legal Compliance, which is a new department, but they declined with the office being so new. It was still felt that the Office of Compliance would be better suited for placement of the Records Management Program. The University Records Officer, Director the Archives and VP for Libraries met with the Provost regarding placement and are awaiting a report that was conducted by Penn State that includes reporting lines before continuing discussions. Another option is reporting to the Chief Information Security Officer (CISO) through the CIO. A final report was sent to the Vice Provost for the Libraries and the Provost in May.

Records Management Risk Based Approach

Records management is taking a risk based approach to the management of university records. A report on the Records Management Program was compiled in relation to the evaluation of where the University Records Management Program should be housed on campus. This report evaluated the current state of the program, the risks associated with the management of university records (*Legal/Regulatory Risk; Technology Risk; Records Control Risk and Administrative Risk.*) See appendix 1.

Records Management File Plans – Transparency for the way university records are managed.

At the beginning of the fall of 2015, the University Records Officer emphasized the importance of creating a record management file plan to identify how records are created, managed, where they are stored, who has access to them for university department or units. The Records Management File Plans or Data Management Plans in research terms, provides a roadmap to how information is managed through the information life cycle. File Plans can be utilized as a training tool with staff turnover and align with “The Principles”. See diagram below-**UW-Madison Records Management File Plan**.



Document Imaging of University Records

All university records that are considered official records are required to have a valid record retention schedule before scanning according to Wisconsin state law. Many units on campus are currently utilizing Lexmark Software’s *Image Now* 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 departments on their records management responsibilities before embarking on digital imaging. Records Officer is also collaborating on a workflow for deletion of content per the records schedule. This is ongoing through 2017.

In March 2017, contacted by Workforce Development on the imaging of personnel files in *Image Now* and the requirements and workflow for digital imaging and used of the 2016 Human Resources Record Schedule. This is an ongoing project.

Vital Records

The university records officer identified the need for vital records guidance and a tie in with the Continuity Operation Plan. The University Records Officer and her student met with the Director of Risk Management, Director of Systems Engineering and Operations. Guidance was created along with a job aid to facilitate and use in creating the department or units Continuity of Operations Plan or COOP.

Records Management Campus Partnerships

University Partnerships and Collaboration

The University Records Officer embraces 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.

HR Partnership and Support

Human Resources has reached out and is utilizing the Guidance for Departing Employees. Other Human Resources staff has met with the Records Officer to discuss the imaging of the personnel files. More work needs to continue to promote awareness in the management of university records in the human resources area.

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 was reconfirmed with the Provost in 2016.

Library Support

The VP of Libraries has been very supportive of the Records Management Program in understanding the campus wide roll that the program has. The VP of Libraries set up a meeting this past January to meet with the Provost to discuss the Records Management program and to evaluate if the Library was the best place for the program. This discussion is ongoing and waiting for the Penn State report on records management.

CIO/CISO 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 (Data Centers) – Steve Krogull
- Monthly Data Stewardship Council Meetings – Jason Fishbain
- Monthly Meeting with the CISO – Bob Turner-The University Records Officer meets with the CISO once a month and has collaborated on FISMA requirements and the Cybersecurity Data Management Plan.

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.

- Monthly meeting with Claire Dalle Molle – Legal Counsel – All UW-Madison Record Schedules are reviewed by Legal Counsel and the Director of University Archives.

Office of Risk Management

Risk Management continues to be a partner. There are many business risks 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 where they may occur.

Research Community

The University Records Officer is working to create more connections and collaboration within the research community. With the implementation of the Research 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 Department and Unit Consultations are an important part of the Records Officer's responsibilities. Consulting 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. Consultation also involves 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 Departments over 2016 - 2017 on access to using the SRC, using Versatile, 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. In 2016, the UW-Madison Records Officer, on behalf of the UW Records Officer Council drafted and submitted the UWSA System Payroll Schedule (1st quarter) and UWSA Human Resources General Record Schedule (3rd quarter) to the Public Records Board for approval.

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. As of December 2016, the university is in compliance with the sunset requirement.

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 the Director of Archives before submission. 107 Record series were approved over 2016.

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.

Record Management Operations

Archives and Records Management website:

The Records Management website has been streamlined to improve access to training information, State Record Center information and record retention schedules. The record schedules have been entered into a WordPress table and are now searchable. Record schedules are group by the following functions: Administrative, Student, Financial, Employee, Operational and Research.

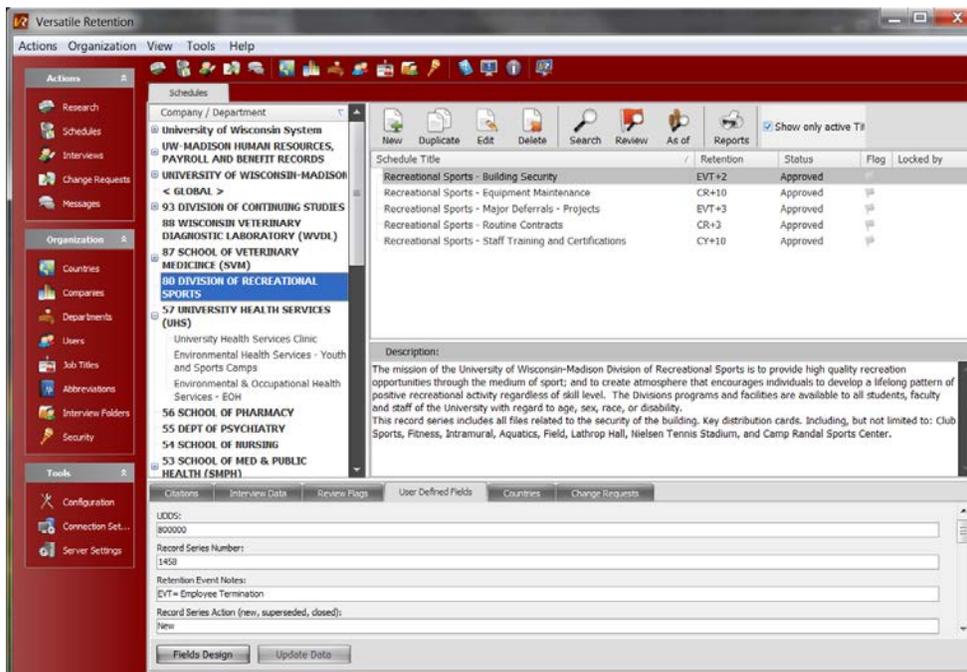
- **Administrative Related Record Schedule** – includes University Business Communications records; Administrative records; Academic Planning and Institutional Research records, University Project Management records; University Legal Affairs records; Library related records and Alumni records.
- **Student Related Record Schedule** – includes Student and related records including Financial Aid records, Residential Programs and Housing and related records and University Health Services records.
- **Financial Related Record Schedule** – includes Budget and related records; Fiscal and Accounting records; Purchasing records; Gift Fund records and Research Gift and Grant contract records.
- **Employee Related Record Schedule** – includes Payroll and Human Resources and related records.
- **Operational Related Record Schedule** – includes Risk Management and Workers Comp records; Fleet and Aircraft records; Facility Planning and Management records; Environmental Health and Safety Records; Emergency Management Records; University Police Records and Information Technology records.

- **University Research Related Record Schedules** – includes Research Data Policy schedule 01649; Office of Research Policy records; IRB records; Invention and Patent Participation records; Animal Health Records; RARC Animal Care and Use Committee Records and University Grant and Related Records.

In addition, the unique departmental schedules are now available in a pdf on the website. These schedule had never been available and it was up to the department or unit to make them available. These schedules are broken out by the first 2 digits of their UDDS number. The pdf are created using the Zasio Database.

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. Quarterly reports for unique schedules are printed and posted on the website.**



Zasio Record Retention Database

UW-Madison Records Management Program - 2017-2018 Goals and Objectives

The University Records Management programs goals for 2017 - 2018 consists of the following:

- Continue discussions on the proper placement of the University Records Management Program and where it would get the most support with the VP of Libraries, and Director of Archives. Office of Legal Compliance would be a good fit.
- Continue to work with the HR Team and the Image Now Team on record requirements for digitizing personnel files.
- Continue to work with the OHR Training on Supervisor Training and Departing Employees.
- Continue working with Risk Management, Emergency Management and Network/Systems on vital records and disaster recovery.
- Initiate a Record Coordinator network to provide communication and training.
- Continue to look for opportunities to promote and elevate the visibility of the UW-Madison Records Management Program through collaboration with other campus groups and communities across campus on Records and Information Management best practices and *The Principles*.
- Continue 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 serving on teams and committees.
- Continue to find ways to reach out to the Research Community.
- Continue to recommend and reach out to all university departments and units to develop a Records File Plan to document the management of university records. A Record Management 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. Gave a presentation on this topic to departments in Bascom Hall in March 2017, Office of Diversity – April 2017 and HR Reps May 2017.

