



# UW-Madison Archives and Records Management

2017

University  
Employee  
Guide to:

## Creating a University Vital Records Plan

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**OVERVIEW:** In collaboration with Department of Information Technology - Dolt, UW-Madison Police Department and the Office of Risk Management, the University Records Management Program has developed this guide to ensure the protection of vital university records. The purpose of this guide is to assist in the development of a plan that will identify, analyze vulnerability, project losses and protect vital university records.

The Vital Records Plan will be included as part of the [Continuity of Operations Plan \(COOP\)](#). **COOP** is a procedural document that identifies essential functions and provides a strategy for the continuation of these functions during a disaster or emergency. Managing university records is an *ONGOING PROCESS*; these plans ought be reviewed and updated regularly to ensure continued operations.

Having a [File Plan](#) for your department records will aid in this process. File Plans allow for a department to know and effectively manage the records they create. File Plans include documentation of information type, taxonomy and classification strategies, compliance requirements, security, access, location and storage of records.

## **WHY DEVELOP A VITAL RECORDS PLAN?**

It is essential for organizations to maintain good recordkeeping practices. Good records management aids in the business process, allowing for better productivity, compliance and overall operations. In addition, vital records have the potential to pose a significant impact on the university. Identifying and having a plan in place to manage and access vital records in case of an emergency will reduce recovery time. There are risk management, legal, security, and accountability risks involved with inadequate management of vital records.

Consider conducting a cost benefit analysis for your department or unit to assess the potential risks of losing vital records and information. This analysis should also include a cost assessment of reproduction and reconstruction of records if they were to be damaged or lost.

### ***Questions to Consider:***

1. Does your department have a COOP in place and are you aware of the procedures to take in the event of an emergency or disaster?
2. If a disaster were to occur, making access to your building impossible for a week or more. Would you have the records you need to preform essential functions?
3. Does your department have access to extra equipment that can be used immediately after the event?

If you answered NO to any of these questions, you may not be able to perform essential functions.

**NOTE: This is a collaborative effort, time and resources will be required to develop a vital records plan. Support from upper management is essential.**

## WHAT ARE VITAL RECORDS?

All records created in the course of university business are important, however only a small percent (3-7%) are considered **VITAL** to the function of the university. These records are fundamental for the continuance of operations and contain information critical to the continuation or survival of an organization during or immediately following a crisis. Such records are necessary to recreate legal, financial, and operational status, and to determine the rights and obligations of employees, customers, students and faculty. These records, regardless of format or archival value, should have additional protection and be managed more comprehensively.

### There are two types of Vital Records:

1. Emergency Operating: These are essential to the continued functioning during an emergency situation (within the first 72 hours).
  - In addition to the COOP, other essential operational records required to continue business functions include, but are not limited to: organizational charts, staff lists, policies and procedures.
2. Legal and Financial Rights: These are essential to the protection of university assets, rights and interests.
  - This includes, but is not limited to: accounting, payroll, personnel files, leases, contracts, licensing and compliance records.

### IDENTIFYING VITAL RECORDS:

1. Know what records you create and maintain a File Plan.
2. Examine functions of the department and identify the essential records associated with them.
3. Review records retention schedules.
4. Do the functions you identified correspond to a record series that indicates it is a vital record?
5. Recognize the stakeholders who depend on your services and those you depend on.
6. Identify relevant statutes, regulations and standards that apply to your department functions and records.
7. Prioritize vital records according to their necessity during an emergency and have an access strategy in place.

Priority	Definition	Access
<b>1</b>	Mission critical records that are necessary for emergency response (e.g. COOP)	<b>IMMEDIATE ACCESS:</b> A physical document will be easily and quickly accessed in case of an emergency. Physical protective storage must be in close proximity to the disaster response site.
<b>2</b>	Records necessary to resume and continue business operations (e.g. Payroll)	<b>24-96 HOURS:</b> To continue business operations storage must be close to the disaster response site. Physical or electronic records are easily accessible and backups can be restored.
<b>3</b>	Records required for the protection of legal and financial rights (e.g. Contracts)	<b>96+ HOURS:</b> Physical protective storage is accessible and outside the disaster area.

## RISK ASSESSMENT AND BUSINESS IMPACT ANALYSIS

After identifying the vital records that are essential to your department, an assessment of potential risks and business impact for these records needs to be conducted. This assessment will identify current and potential risks that could result in the loss of information and inability to resume normal operations.

### ***This survey will include:***

A review of the division's building and office space where records are stored.

- ✓ Identify potential physical risks concerning the location and surroundings of the building or office. Where are high risk areas, such as basements near water pipes, heaters, potential fire hazards?
- ✓ What security measures and controls are currently in place?
- ✓ Then assess vulnerable areas and the probability and risk of threats.

Review storage methods for records.

- ✓ Location: Basement, attic, off-site, etc.
- ✓ Format: Paper, electronic (PDF, Word, Microfilm, etc.)
- ✓ Accessibility: How quickly can you get these if needed?
- ✓ Contingency plans in case of loss of personnel, locked encryption data compromised, loss of power.

It is important to remember and take into account the costs associated with vital records.

- ✓ Cost of reproduction, recovery and business value lost.
- ✓ Cost of protection and supplies.

*\*See Appendix 1 for forms to conduct the risk assessment and business impact analysis.*

## ESTABLISH RECORD PROTECTION STRATEGIES

Take the necessary steps to minimize the likelihood of damage or loss of information in the event of an emergency or disaster. Vital records that have a long or permanent retention will be stored and treated differently.

- ✓ Format and Accessibility
  - Vital records that will be needed in the event of an emergency will need to be readily available.
  - Know when these records have met their retention and plan accordingly to dispose of old copies and replace with the current record. Electronic format and hardware obsolescence need to be taken into account.
  
- ✓ Increase security and limit access
  - Records containing sensitive information should be secure. Have a safe or locked file cabinet with limited access.
  - Limit user and administrative options on content management systems. Limit who has the authority to view and change documents.
  
- ✓ Evaluate alternative storage options
  - Duplication and dispersal of vital records to different staff and locations.
  - The [State Records Center](#) is an economical and environmentally sound method of storing records.
  - [Electronic records](#) ought be backed up on an external hard-drive, and securely stored. Records with a long retention could be stored on magnetic tape, microfilm, or in a data warehouse.
  
- ✓ Purchase the necessary supplies and equipment for protection and/or recovery.
  - Secure, fire proof file cabinets or safe for records or external hard-drives.
  - Rolls of plastic sheeting, work gloves, protective face masks.

## ELECTRONIC RECORDS

When evaluating protection strategies for electronic records consult with DoIT or your IT department. Determine the best possible methods for back up, storage, security and data recovery options. Under Wisconsin Administrative Rule 12, regular maintenance is required for electronic records.

### Backup Systems and Procedures:

- ✓ A migration plan should be prepared for when the storage method becomes outdated as required.
- ✓ The backup procedures should be a routine business process.
- ✓ The Division of Information Technology- [Systems Engineering and Operations](#) supports shared computational services and cyber infrastructure providing resources and support for managing data back-ups storage and disaster recovery.

## IMPLEMENTATION

A final report will be compiled with all the information gathered during the risk assessment and site survey. This report should be included as part of your department's Continuity of Operations Plan. This report will include:

**Risk Assessment Survey** identifying potential threats and risks to your department and records. This will include a list of vital records, access information and floor plans laying out where records are located. See Appendix 1 for Vital Records and Electronic Records and Equipment information tables.

**Protection Strategies and Procedures** that are already in place that protect vital records. Set goals to accomplish better records protection and preparation for your records in case of an emergency or disaster.

**Recovery Strategies Procedures** to help in restoring operations and systems to return to normal operation status. In the event of an emergency or disaster the following resources will assist in the recovery process. Contact the University Records Officer and other departments to aid in recovery.

Recovery Procedure Steps:

1. Assess the damage
2. Stabilize the situation
3. Begin salvage operations
4. Begin restoration procedures
5. Resume operations

**Training** for essential staff of procedures that would take place in an emergency.

- Run through scenarios, past issues, likely disasters in your location/region.
- Reaffirm training on good records management practices is essential.

**Continually review and update** the COOP and Vital Records Plan. As part of good records management, vital records should be updated regularly.

- Review storage methods to ensure they are effective.
- Replace obsolete media and update hardware as necessary.
- Continue to consult records retention schedules.

*\*Consult with the University Records Management Webpage or Records Officer for more information regarding policies and best practices for managing university records.*

*\*See training materials regarding document imaging and scanning, electronic storage and backups, and other training materials.*

## **GLOSSARY:**

**File Plan-** documents a department/unit's records management procedures. Assists with identifying and effectively managing university records and providing accessibility.

**Continuity of Operations Plan (COOP)** - A procedural document that identifies essential functions and plans for the continuation of these functions during a disaster or emergency.

**Functions-** The activities of an organization or individual performed to accomplish some mandate or mission. (*Society of American Archivists*)

**Emergency or Disaster-** An unforeseen catastrophe, environmental, manmade, building or equipment failure, etc. that requires immediate action and response.

**Record-** "Public records" means all books, papers, maps, photographs, films, recordings, optical discs, 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, and documents of any insurer that is liquidated or in the process of liquidation under ch. 645. (Wisc. Stat. 16.61 (b))

**Retention Schedules-** The process of identifying and describing records held by an organization, determining their retention period, and describing disposition actions throughout their life cycle. (*Society of American Archivists*)

**Stakeholders-** Those who depend on your department's services and those you depend on to maintain operations.

**Vital Record-** Emergency operation records immediately necessary to begin recovery of business after a disaster, as well as rights-and-interests records necessary to protect the assets, obligations, and resources of the organization, as well as its employees and customers or citizens; essential records. (*Society of American Archivist*)

**Vital Records Plan-** A document that identifies an organizations essential records and the necessary precautions for protection in case of an emergency. It provides the necessary steps to minimize the likelihood of damage and loss of records. Contributes in the return to normal business routine.

## **CASE STUDIES:**

Emergency or disasters can occur at any time the following are instances of threats to operations and university records.

### **Systems Upgrade:**

February 2017, the UW-Madison, Humans Recourses System was inaccessible for a week to undergo updates. During the system update, employees were unable to access, benefits, payroll, direct deposit, another personal information. This event was planned and departments were able to adapt and make plans to continue to track student work hours.

### **System/Data Breaches:**

November 2016, the UW-Madison Law School was the target of computer hacking. The database breach contained personal information of applicants for 2005-2006. The incident was investigated by the Cybersecurity Office and individuals whose information was breached were notified and offered theft protection services. Since the incident, the university has undergone additional security procedures to protect data.

<http://news.wisc.edu/uw-law-school-security-breach-may-have-exposed-sensitive-data/>

### **Environmental Disaster & Facility Damage:**

June 2012, UW-Superior experienced a natural disaster that resulted in the flooding of many buildings on campus. Campus and recovery partners were able to move quickly to recover from the massive damage. Within days, most of campus operations were back to normal. However, considerable damage occurred in the library basement where collections were housed. Library staff had to be creative in how they would continue to serve the campus community. Following the flood UW-Superior has undergone a flood mitigation study of campus in order to prepare or avoid future disasters.

[https://www.uwsuper.edu/news/1-year-anniversary-of-uw-superior-flood-of-2012\\_news1649678](https://www.uwsuper.edu/news/1-year-anniversary-of-uw-superior-flood-of-2012_news1649678)



## **SOURCES:**

*Essential Records Course*. Council of State Archivists (COSA)

<https://www.statearchivists.org/programs/emergency-preparedness/essential-records-course/>

National Archives and Records Administration (NARA)

<https://www.archives.gov/preservation/records-emergency/state-tribal-local.html>

*Region VIII Essential Records Management Program*. FEMA. 2015

*Vital Records Programs: Identifying, Managing, and Recovering Business-Critical Records*. ANSI/ARMA 5-2010,

*Vital Records Protection Program Guide*. University of Missouri System,

<https://www.umsystem.edu/ums/fa/management/records/disaster-vital/>

## APPENDIX 1: Records Assessment Survey

<b>Agency #</b>	<b>Agency Name</b>	<b>UDDS#</b>
Division/Department:		Phone:
Surveyor:		Email:

Building Information	
Facility:	Address:
Roof Type and Condition:	
<b>Building Issues:</b> Is this building prone to flooding? What are potential weak spots or other structural threats?	
<b>Security:</b> Entry Alarms: <input type="checkbox"/> Doors <input type="checkbox"/> Windows <input type="checkbox"/> Other: _____ Extinguishers: _____ Other: _____	
<b>Vulnerabilities:</b> Fire: _____ Water: _____ Equipment Failure: _____	

Insects or Rodents       Extreme Temperatures       Mold/Mildew

Other: \_\_\_\_\_

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**Climate:**

Temperature Control:  Yes     No      Temperature Range: \_\_\_\_\_

Humidity Control:  Yes     No

Vital Record Information:	
<b>Record Series/Title:</b>	<b>GRS #:</b> UWXX0001
<b>Format:</b> Paper, electronic, magnetic tape, PDF, Wav. Etc.	<b>Priority:</b> 1-3
<b>Location:</b> Where and how are these records currently stored? File cabinet, folder, shared drive. Are there duplicates?	
<b>Potential Issues:</b> What are possible circumstances in which these records could be damaged? I.e., water damage, human error, and obsolete media.	
<b>Protection Strategy:</b> What steps are taken in case of a disaster and if a disaster were to occur, what will the procedure be to preserve these records? I.e. In case of water damage paper records will be digitized and stored in an external hard drive (or) copies of records will be transferred to the State Records Center.	

\*Copy this table for each Vital Record

Electronic Vital Records and Equipment:	
Record Series/Title:	GRS #: UWXX0001
Format: magnetic tape, PDF, Wav. Etc.	Priority Level: 1-3
Required Applications: What computer applications are needed to access the record or information? Adobe Reader, Microsoft,	
Required Equipment: What technology or equipment are needed to access the record or information? Disc Drive, USB port,	
Vendor: System or application vendor name, contact information	Serial #:
Backup Method and Schedule: How often are electronic vital records backed up, and where are they stored?	
Potential Issues:	
Protection Strategy:	

\*Copy this table for each Electronic Vital Record

For a more condensed version for listing vital records use the following template.

Vital Record Series/Title	Priority Level	Format	Storage/Location	Access	Maintenance Frequency

## APPENDIX 2: Vendor List

EMERGENCY RESPONSE CONTRACTORS 2015

Complete County Listing

Updated 9-9-15

Location (Area Served)	Firm Name	Phone	Water	Smoke	Fire	BBP
Adams, Juneau, Richland, Sauk Counties	Certified Professional Restoration	715-241-9283, 866-933-7994	X	X	X	X
Ashland, Bayfield, Iron Counties	ServiceMaster/NEW Restoration	715-765-4006	X	X	X	
Barron, Polk Counties	ServiceMaster	888-467-2485	X	X	X	
Barron, Rusk, Sawyer, Washburn Counties	Chemaster	800-867-4483	X	X	X	
Brown, Door, Kewaunee, Manitowoc, Shawano Ctys.	Certified Professional Restoration	920-882-9287, 920-843-1270	X	X	X	X
Brown, Door, Kewaunee, Manitowoc, Shawano Ctys.	Square One Restoration	920-884-8815	X	X	X	
Brown, Door, Kewaunee, Manitowoc, Shawano Ctys.	ServiceMaster of Manitowoc	920-882-8668	X	X	X	X
Chippewa, Clark, Eau Claire, Taylor Counties	Certified Professional Restoration	715-241-9283, 866-933-7994	X	X	X	X
Clark, Jackson, Wood Counties	ServPro of Madison	608-221-1818, 608-438-8312	X	X	X	
Columbia, Dodge Counties	Certified Professional Restoration	920-882-9287, 920-843-1270	X	X	X	X
Columbia, Dodge Counties	Paul Davis	608-839-4100	X	X	X	X
Dane County, Madison	PuroClean of Madison	608-213-2980	X			X
Dane County, Madison	Certified Professional Restoration	866-933-7994, 920-843-1270	X	X	X	
Dane County, Madison	Paul Davis	608-839-4100	X	X	X	X
Dane, Rock Counties	Paul Davis	608-839-4100	X	X	X	X
Dane, Rock Counties	ServiceMaster Recovery Serv - Janesville	800-559-9070	X	X	X	X
Dane, Rock Counties	ServPro of Madison	608-221-1818, 608-438-8312	X	X	X	
Douglas County - NW WI	CleanWorks	715-830-5008	X	X	X	
Dunn, Eau Claire, St. Croix Counties	Steamatic of Western Wisconsin	715-834-8822	X	X	X	
Dunn, Eau Claire Counties	Tri-County Maintenance	715-589-4153	X	X	X	
Florence, Forest, Lincoln, Oneida Counties	Certified Professional Restoration	715-241-9283, 866-933-7994	X	X	X	X
Fond du Lac, Green Lake, Marquette, Waushara Ctys	Certified Professional Restoration	920-882-9287, 920-843-1270	X	X	X	X
Fond du Lac, Green Lake, Marquette, Waushara Ctys	Paul Davis	920-967-0087	X	X	X	X
Forest, Lincoln, Oneida Counties	ServPro	715-282-5979	X	X	X	
Grant, Lafayette Counties - SW WI	Exoel Cleaning	715-891-1277	X	X	X	
Iron, Price, Vilas Counties	Eagle Cleaning	715-477-0501	X	X	X	
Kenosha, Racine Counties SE WI	Damage Control Inc.	414-672-3409	X	X	X	
Kenosha, Racine Counties SE WI	Giertsen Inc.	888-671-1918	X	X	X	
Kenosha, Racine Counties SE WI	Paul Davis	414-383-3131	X	X	X	X
Kenosha, Racine Counties SE WI	Rainbow International Restoration	262-939-4108	X	X	X	
Kenosha, Racine Counties SE WI	ServiceMaster Recovery Serv - Milwaukee	262-782-3335	X	X	X	X
LaCrosse, Jackson, Monroe, Trempeleau, Vernon C	Certified Professional Restoration	715-241-9283, 866-933-7994	X	X	X	X
Langlade, Lincoln, Marathon Counties	Certified Professional Restoration	715-241-9283, 866-933-7994	X	X	X	X
Manitowoc, Sheboygan Counties	Certified Professional Restoration	920-882-9287, 920-843-1270	X	X	X	X
Manitowoc, Sheboygan Counties	Paul Davis	920-967-0087	X	X	X	X
Marathon, Portage, Wood Counties	Certified Professional Restoration	715-241-9283, 866-933-7994	X	X	X	X
Marinette, Oconto, Shawano Counties	Certified Professional Restoration	866-WeDryWI, 866-933-7994	X	X	X	X
Milwaukee & adjacent counties - Milwaukee Metro	Belfore Property Restoration - Milwaukee	414-476-3720	X	X	X	
Milwaukee & adjacent counties - Milwaukee Metro	Damage Control Inc.	414-672-3409	X	X	X	
Milwaukee & adjacent counties - Milwaukee Metro	Giertsen Inc.	888-671-1918	X	X	X	
Milwaukee & adjacent counties - Milwaukee Metro	Paul Davis	414-383-3131	X	X	X	X
Milwaukee & adjacent counties - Milwaukee Metro	Rainbow International Restoration	262-939-4108	X	X	X	
Milwaukee & adjacent counties - Milwaukee Metro	ServiceMaster Recovery Serv - Milwaukee	262-782-3335	X	X	X	X
Milwaukee, Waukesha, Washington, Ozaukee Ctys	Certified Professional Restoration	866-933-7994, 920-882-9287	X	X	X	X
Milwaukee, Waukesha, Washington, Ozaukee Ctys	Paul Davis	414-383-3131	X	X	X	X
Outagamie, Waupaca, Winnebago Counties	Certified Professional Restoration	920-882-9287, 920-843-1270	X	X	X	X
Outagamie, Waupaca, Winnebago Counties	Paul Davis	920-967-0087	X	X	X	X
Outagamie, Waupaca, Winnebago Counties	ServPro	920-832-1110, 920-422-1940	X	X	X	
Outagamie, Waupaca, Winnebago Counties	ServiceMaster of Manitowoc	800-559-9070	X	X	X	X
Polk, St. Croix Counties	Archer Services	888-436-3499	X	X	X	
Statewide Availability	Cat5Restoration	855-479-0911, 262-993-9063	X	X	X	
Statewide Availability	Paul Davis	414-383-3131	X	X	X	X
Statewide Availability	The Solutions Company	855-321-3108	X	X	X	
Statewide Availability	Universal Restoration Services	877-864-5111	X	X	X	

**Note:** This is an advisory list only. The above are contractors with a proven record of emergency response. Other contractors may be equally qualified and available.

BBP = Bloodborne pathogens

G:\Risk Management\Property-Liability Program\Emergency Contact Vendors\Emergency Response Contractors 2015

## APPENDIX 3: Recovery Guides

### *Recovery Guide / Solution*

Damage	Solution	Instructions
Water Damage	Vacuum Drying	Vacuum drying wet paper records helps prevent mold or mildew and the swelling of bound volumes. It also prevents further deterioration while recovery and restoration are carried out.
	Freezing	Freezing is helpful when documents have received direct water damage. Begin this process within 48 hours to deter mold.
	Air Drying	Air drying is effective with a smaller volume of records that have humidity-related damage. Separate the records and spread them out to dry. Complete this within 72 hours.
	Dehumidifying	Dehumidifiers and air movers are also useful, especially with larger quantities that have humidity damage. Leave the documents in their original containers and bring in dehumidifiers and air movers. Depending on the volume, this process can take weeks to complete.
Fire Damage	Clean and Microfilm	Remove soot and smoke deposits, neutralizing odors. Chard records may have to be microfilmed or photocopied to retain the information.
Pests	Clean and Microfilm	Check storage areas regularly to determine if there is an infestation. Consult the <a href="#">Division of Facilities Planning &amp; Management</a>
Removing hazards		Information on records damaged by hazardous chemicals must be transferred to another media, and originals destroyed. Consult the <a href="#">Division of Facilities Planning &amp; Management</a>

*Recovery Guide / Handling Materials*

Record Type	Handling Materials	Instructions
Paper Documents and Books	Cardboard bankers boxes	Handle wet materials carefully, rinse off any heavy mud or dirt. Pack book spine down and documents upright.
Blue Prints and Maps	Containers that will support the materials in their current form, e.g. pipes for rolled maps.	Do not separate materials until they are dry. Place groups of hanging drawings on clean, heavy cardboard, interleaved between each set.
Micrographics	Shipping supplies to offsite vendor/recovery center.	Keep film reels together. If wet place in a plastic bag and keep cold.
Photographs	Shipping supplies to offsite vendor/recovery center. Plastic bags	Keep wet materials cold and do not let them dry out. Rinse away mud. Place in plastic bags, seal and label for shipping to recovery center.
Tapes	Shipping supplies to offsite vendor/recovery center. Plastic bags	Keep wet materials together. Place in plastic bags and ship within 24 hours.
Discs and Drives		Keep wet materials together. Place in plastic bags freeze and ship within 24 hours.

(Articulate Storyline, [www.articulate.com](http://www.articulate.com))