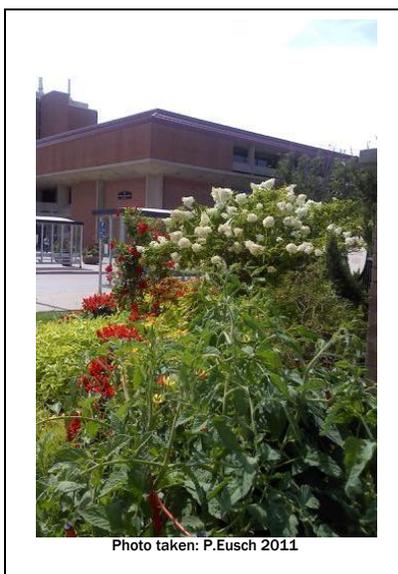


University of Wisconsin - Madison Records Management Program

2009 - 2011



UW MADISON ARCHIVES AND RECORDS MANAGEMENT

2011

Authored by: Peg Eusch, CRM; University Records Officer

University of Wisconsin-Madison Records Management Program

Contents:

- **UW-Madison Records Management Program Background** Page 2
- **UW-Madison Records Management Program Summary** Page 2
- **The Campus Records Review Group (CRRG)** Page 3
- **Records Management Communication and Training** Page 4
- **Records Management and Campus Partnerships** Page 6
- **Records Management and the Public Records Board and State Records Center** Page 7
- **Records Management Consultations** Page 8
- **Records Management Program Goals and Objectives** Page 9

UNIVERSITY OF WISCONSIN - MADISON RECORDS MANAGEMENT PROGRAM

2009 - 2011

UW-Madison Records Management Program Background

The UW 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 first University Records Officer was Nancy Kunde, CA. CRM. She retired at the end of 2008. In October of 2009, Margaret (Peg) Eusch, MLIS, came on board as the second University Records Officer. In October 2010, she received her certification as a Certified Records Manager (CRM) through the Institute of Certified Records Managers (ICRM).

The UW- Madison 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.

Currently the Records Management Program is staffed by 1 FTE, the University Records Officer, and one 15 - 20 hour a week student employee.

The UW-Madison Records Management Program is located on the 4th floor in Steenbock Library and has a presence on the Web at <http://archives.library.wisc.edu/records/index.html>

UW-Madison Records Management Program Summary

This is a summary of the status of the UW-Madison Records Management Program from 2009 through June 2011. An annual summary report will be compiled at the end of each fiscal year for the General Library System (GLS), Provost's Office, Chief Information Officer (CIO), Campus Records Review Group members and other university leadership.

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

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

The Campus Records Review Group (CRRG)

The Campus Records Review Group (CRRG) is a broadly representative body tasked by the Provost's Office to provide direction and support for the campus records and information management program. The CRRG is comprised of UW-Madison representatives from different divisions on campus.

2009-2011 Membership includes:

- Eden Inoway-Ronnie – Sr. Special Assistant - Provost's Office
- John Dowling - Administrative Legal Service
- Joanne Berg, Interim CIO & Vice Provost for Information Technology – (**Judy Caruso**, Policy & Planning, CIO Office)
- Martin Cadwallader- Vice Chancellor for Research and Dean of the Graduate School (Steve Hahn, Assistant Dean - Graduate School, Mark Fields, Information Technology – Graduate School)
- Joanne Berg, Vice Provost of Enrollment Management (Scott Owczarek – Registrar and Ilene Seltzer - ISIS)
- Robert Golden, Dean – School of Medicine and Public Health (Mary Hitchcock MLIS - Health Sciences Library)
- David Null, Director, UW-Madison Archives & Records Management
- Peg Eusch, CRM, Records Officer, UW-Madison Archives & Records Management

HISTORY of CRRG

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 to support for the CRRG and the UW-Madison Records Management Program.

In addition to offering policy and guidance on records management issues for the UW-Madison campus, the CRRG is also the campus authority for approval of records retention schedules before going to the Wisconsin Public Records Board for state approval.

During the past year and a half the CRRG has been active in promoting best practices in recordkeeping campus-wide through the endorsement in the fall of 2010 of ARMA International's Generally Accepted Recordkeeping Principles (GARP).

The Generally Accepted Recordkeeping Principles (GARP)

GARP consists of 8 recordkeeping principles:

-  **Accountability**
-  **Transparency**

- ✚ Integrity
- ✚ Protection
- ✚ Compliance
- ✚ Accessibility
- ✚ Retention
- ✚ Disposition

These 8 principles are core to the understanding and management of our university records and complement the strategic planning of campus leadership.

In March 2011 Records Management and Archives participated in the Office of Quality Improvement's Quality Showcase with a poster titled: ***UW-Madison Records Management: Information Governance... Because It Matters***

The poster highlighted the 8 GARP Principles as a campus best practice with support from the CRRG. The showcase was a positive experience and a way to get cross campus visibility for the Records Management Program. Plans are to participate in 2012. (See attachment 1)

The CRRG also planned and sponsored the seminar: ***Record's Management and the Cloud*** on April 19, 2011. See the website for ppt. <http://archives.library.wisc.edu/records/trainmats/RIM%20Cloud%204-19-2011.pdf>

Records Management Communication and Training

Over the past year and a half communication and training have been ongoing. Basic records management, email management and imaging were popular topics. Departmental presentations included for:

- ✚ Provost's Office 11-17-2010
- ✚ School of Education 7-15-2010
- ✚ College of Agriculture and Life Science 7-29-2010
- ✚ A yearly presentation as part of the Department Administrator Certificate Program on records management and archival records was conducted in February of 2010 and February 2011.
- ✚ In April of 2011, the Archives and Records Management, CRRG, Graduate School, CIO Office and Provost's Office sponsored a seminar entitled ***Record's Management and the Cloud***. This seminar was well attended with around 70 participants. There was great interest in what constitutes a public record and in how to manage university records outside of the traditional firewall. The seminar consisted of 2 presentations and a Question and Answer panel.
 - ***NSF Funding and Data Management Plans*** which was presented by Dorothea Salo, MLIS.
 - ***Records Management and the Cloud*** presented by Peg Eusch, CRM, University Records Officer

- **Records Management Question and Answer Panel** with panelist John Dowling, Legal Administrative Services, Judy Caruso, CIO Office, David Null, Director of Archives and Peg Eusch, CRM University Records Officer.

April was chosen for this seminar because it is *National Records and Information Management Month*.

Other communication avenues included:

- **Articles to the Division of Business Services:** [UW-Madison Administrative News](#).
Vol. 27 Number 1.....ADMINISTRATIVE NEWS - MARCH 2010
Vol. 27 Number 3.....ADMINISTRATIVE NEWS - SEPTEMBER 2010
Vol. 28 Number 1.....ADMINISTRATIVE NEWS - MARCH 2011
Vol. 28 Number 2.....ADMINISTRATIVE NEWS - JUNE 2011

- **UW-Madison Records Management Facebook Page:**

In December 2010 as an alternative way to communicate to the campus community Peg Eusch launched [the UW- Madison Records Management Facebook](#) page.

Facebook is one of many communication tools used to update the campus community on new retention policies and schedules, records management articles of interest and other records management events such as workshop or seminars. As of the middle of July records management Facebook page had 30 active users.

- **New Brochures and Handouts:**

2 new brochures were developed and published over the past year and a half.

In the fall of 2010, a new brochure titled: **University Records and Information Governance** was produced. This brochure is an overview of the UW-Madison Records Management Program and the records management issues facing the campus. (See attachment 2)

In the spring of 2011 a new tri-fold handout was published in conjunction with the UW Quality Showcase and Records Management Seminar on the **Generally Accepted Recordkeeping Principles (GARP)**. (See attachment 3)

Communications and training are key components of the UW-Records Management program.

Areas to be addressed are:

- Updating the Records Management portion of the UW-Archives and Records Management website with short learning videos and PowerPoint on “*What is Records Management?*” How to use the retention schedules etc.
- Investigating the use of webinars for campus training
- Updating outdated brochures with current information

- Provide easier access to the general and departmental retention schedules.
- Developing of a Records Liaison network for point person communications at a high organizational level.
- Contacting Office of Human Resources Development (OHRD) and working on having Records Management included in Employee Orientation
- Enhancing communications with the Graduate School and Research areas with awareness training on records management and research records

Records Management and Campus Partnerships

Provost's Office Partnership

The Provost's Office is an important component of the records management program through its support of the Campus Records Review Group which provides direction and support to the Records Officer and the Records Management Program.

CIO and Information Technology Partnerships

As the University Records Officer, Peg has a working relationship with the CIO Office through ongoing participation on the CIO Policy Committee, the POD (Personally Owned Devices) team and has participated in several IT Community Forums.

- In 2010 – 2011 the CRRG and the Records Officer met with the DoIT Email, Chat and Calendaring Team. This team came to CRRG to present and get feedback regarding the new application to replace the current WISCMail and WISCAL. This resulted in the University Records Officer participation in evaluation and demonstrations of possible applications and feedback in addition to acting as resource for the team members.
- In 2010 the University Records Officer met with Cathy Riley from DoIT who manages the campus license for Perceptive Software's ImageNow. ImageNow is a content management system which integrates with Peoplesoft and other applications to capture and manage records in a digital format. There is also a companion records retention module to manage retention and disposition of the digital images. This retention module was not purchased due to the cost of the module, but Cathy did come to a CRRG meeting to show us the demonstration on how this module worked.

Due to the fact that approximately 85% of records are now being created and stored electronically, it is vital that the Records Officer have a fluid partnership and visible collaboration with the CIO Office and other CIO's from Campus Information Technology units within the campus community. Records management requirements and available record modules 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

include shared IT security and records management issues such as addressing Compliance, Access, Privacy, Retrieval, Authenticity and Disposition of records.

Administrative Legal Services

Administrative Legal Services 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.

- As an example of this, Peg and John Dowling met with DoIT Voice Services regarding record implications of the new voicemail system. [See the voice mail retention policy](#)

Internal Audit

The Records Officer has met with the Internal Audit, but has not had a commitment on participation regarding records management compliance. Compliance that your records management policies are working is one of the principles of GARP and a good records management program.

Research Community

As the University Records Officer, Peg is working to create more connections and collaboration within the research community. With the implementation of the NSF Data Management Plan for requirements for electronic data, records management plays a role as a resource for management of electronic research records throughout their lifecycle. Peg has met with several research areas including the Graduate School, The Office of Research Policy, and Research Data Services.

- As an example of the collaboration between the University Records Officer and the research community, the CRRG asked Dorothea Salo, MLIS from Research Data Services to give a presentation on Data Management Plans at the Records Management Seminar this past spring.

Records Management and the Public Records Board/State Records Center

The University Records Officer acts as the liaison between the Wisconsin Public Records Board and the State Records Center on the behalf of the University. On the Public Records Board side, many of the university's 1600 record series have sunset and are undergoing review. This is a huge undertaking for the Records Officer to identify which record series are active from those that are not. Out of this review, the Records Officer identified 100 series in the summer of 2010 as belonging to University of Wisconsin Hospitals & Clinics. UWHC was reorganized as a separate public authority in 1996. The University Records Officer has a letter from UWHC to transfer those records series and is working with the State Records Center to complete the transaction by fall of 2011.

The State Records Center/ Public Records Board have been auditing their database for agencies for record schedules that have sunset. The SRC provided reports with an option for an 18 month extension. As Records Officer, Peg has been reviewing these sunset reports and has submitted the required extension of 18 months. The review of sunset records series is ongoing.

General Records Schedule for Retention and Disposition and RDA's

Completion of 22 departmental records schedules (RDA's) during this time period which were submitted for approval.

There have been several large Campus General Retention Schedules which have been approved by the Public Records Board.

- School of Veterinary Science Medical Teaching Hospital
- Campus-Wide Facility Planning and Related Records
- Campus- Wide Purchasing and related records

Campus-wide schedules currently being updated are the Student and Academic Schedule and the General Administrative Schedule, Emergency Management Schedule.

The University Police Schedule has been completed and will be submitted for the November Public Records Board meeting.

The University Records Officer also collaborates with the University of Wisconsin Records Officer Council (UWROC) on UW System wide schedules which replace current campus or department schedules.

The Records Officer collaborated on and completed schedules for:

- GRS System-wide University Health Schedule
- GRS System-wide Financial Aid Schedule
- GRS System-wide University Residential Life Schedule

Schedules currently complete and under review are the GRS System-wide Unclassified Schedule and the GRS System-wide Payroll Schedule. Completed schedules are posted on the Records Management Website: <http://archives.library.wisc.edu/records/rda.html#general-records>

Records Disposition at the State Records Center

Records disposition and retention at the State Records Center is another component of working with the State. The university offers offsite storage for paper records as a way to better utilize limited space in department and units on the campus. The Records Officer receives a Disposition Report twice a year in summer and winter. This report is quite lengthy and requires manually splitting and sending out to affected campus units for sign off on destruction of records barring litigation hold or audit.

Records Management Consultations

Records Management Departmental Consultations are an important part of the Records Officer responsibilities and involves either answering records management questions via telephone or email and/or visiting campus departments/offices/units to review their records and make recommendations. Consultations involve teaching and guidance to campus records policies and records management best practices such as GARP. These meetings involve reviewing the department/units business process,

analysis of what types of records they produce in all formats and media. Recommendations are made which may result in a new records schedule.

Records Management Program Goals and Objectives

The University Records Management programs goals for 2011 – 2012 consists of the following.

- Seek top level support for establishing a Records Liaison network for point persons at a high level in UW-Madison Administration and Deans offices for communication of records management issues.
- In addition to group presentations, seek new approaches to communication and training through social media avenues such as webinars and training videos on the Records Management portion of the UW Archives website.
- Work with CRRG to conduct a Campus Records Management Survey in conjunction with the GARP Authority Model to benchmark the UW- Madison Records Management Program.
- Nurture working partnerships with the Provost's Office, Administrative Legal Services and establishes and continues working partnership with the CIO Office and the new CIO Bruce Maas. and foster new partnership with the Graduate School and the Research Community.
- Increase recognition and collaboration with other campus groups and communities across campus on Records and Information Management best practices and GARP Principles. This would be approached through communication outreach in various formats, one on one meeting, departmental meetings and group presentations.

CONTACT INFORMATION:

Peg Eusch, Certified Records Manager
University Records Officer
550 Babcock Drive
432 Steenbock Library
Madison, WI. 53706
meusch@library.wisc.edu