University of Wisconsin-Madison Records Management Program

2013

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EXECUTIVE SUMMARY:

The UW-Madison Records Management Program has limited visibility within the university campus, but records and information management is an essential part of all university employees’ daily activities. All university departments/units create, use and distribute and retain University Records until disposition. These records should be organized, accessed and managed according records management best practices such as the Generally Accepted Recordkeeping Principles or “The Principles” in all formats and media.

There are many facets to a records management program that bring information value to the UW-Madison campus besides development of University Records Retention schedules. There is the opportunity to improve productivity and save costs by documenting workflow electronically in the recordkeeping systems being utilized on the campus as part of process improvement.

The University Records Officer provides consultation to university departments/units in the organization of records in both electronic and paper formats, digital imaging of documents, e-mail management, database management, taxonomy and filing systems for collaboration tools such as Box.net or shared network drives. When university records are created the information should be managed through its entire records lifecycle, whether it is stored in e-mail, in a network shared drive, a collaborative application such as Box.net or in hard copy paper.

The University Records Officer functions both tactical and strategically in the management of the records program with limited resources. In order to accomplish this, the University Records Officer relies on the University Records Management Advisory Group (URMAG) to provide support and give direction to Records Management initiatives. The University Records Officer also relies on the partnerships, collaboration and expertise of other campus wide groups. And this past spring collaborated with the SLIS Records Management Class which produced two videos on email and digital imaging.

For 2013 the Records Management Program highlights were:

- The University Records Officer was a team member of the AE Policy Work Group, which, was charged with developing a policy on the proposition, formulation, review and approval, cataloging, archiving, revision, and elimination of administrative policies written to support Administrative Excellence work teams.

- The University Records Officer is a team member with the AE Data Center Aggregation - Organization and Governance. This ongoing project was created to assess the current state of these centers, adopt industry standards for security, power and backup and consider ways to aggregate centers providing redundant services.

The University Records Officer and URMAG submitted a Records Management Proposal to Bruce Maas-CIO and Alice Gustafson - APR to include Records Management involvement in the AE IT Decision Making Model.

The University Records Officer procured Zasio’s Versatile Retention software for management of workflow for university records schedules, which, includes a legal data base for legally compliant schedules.

Developed and produced training videos for YouTube with collaboration with the SLIS Spring 2013 Records Management Class. Videos on Organization of E-mail and Digital Imaging of Records are posted on the UW-Madison Records Management website on the RIM Training and Communication page. http://archives.library.wisc.edu/records/training.html#schedule

The University Records Officer is in the process of continually updating and refining the UW-Madison Records Management website and retention schedule to be easier to locate and more user friendly to understand in a grid format.

The University Records Officer is in the process of clearing up records series which have sunset per the Wisconsin Public Records Board. As of October 2012 there were 903 record series that had sunset and need to be updated, superseded or closed. As of November 4, 2013 the number has been reduced to 255 records series remaining.

The University Records Officer is in the process planning and discussion in the evaluation of Perceptive Software’s “Retention Policy Manager” to manage retention for records stored in the ImageNow application. A work team has been put together with Ilene Seltzer, Martha Pelkey from Enrollment Management, Guy Stalnaker from Division of Information Technology and Peg Eusch, CRM University Records Officer.

The University Records Officer and the UW-Madison Records Management Program have a close working relationship with other University and Sponsored Programs including the CIO Office, Provost, Office of Legal Affairs, Quality Improvement, and University Research, Risk Management, and Environmental Health and Safety, among others. The University Records Officer is always seeking working relationships to assist with getting the Records Management message out, through departmental presentations, new or updated records guidelines, and new technologies.
The University Records Management Programs goals for 2014 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 approached through communication outreach in various formats such as one on one meetings, departmental meetings and group presentations.

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

- Continuation on communication and training in the management of e-mail in Office 365 and the use of the University Records Retention Schedule for Business Communication. [Link](http://archives.library.wisc.edu:2784/records/schedules/Grids/Business%20Communications%20Records%20Schedule%20GRID.pdf)

- 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.

- Develop with URMAG, a University Records Management Survey in conjunction with the “The Principles” Authority Model to bench mark the UW- Madison Records Management Program.

- Continue to seek new approaches to communication and training though social media avenues such as webinars and training videos on the Records Management portion of the UW Archives website.

- Continue to nurture working partnerships with the Provost’s Office, Administrative Legal Services, CIO and Campus IT units, Quality Improvement, Enrollment Management, the Graduate School and the Research Community and SMPH.

This annual summary report will be compiled each year for the Vice Provost for Libraries and University Librarian, Provost, Chief Information Officer (CIO), Vice Chancellor for Finance and Administration and University Records Management Advisory Group members and other university leadership.

The following is a more in depth report of the status of the UW-Madison Records Management Program from through 2013.
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 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.

The first University Records Officer was Nancy Kunde, CA, CRM. Nancy created and put the Record Management program in place. She retired at the end of 2008.

In October of 2009, Margaret (Peg) Eusch, MLIS, 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://archives.library.wisc.edu/records/Index.html

University Mission and Records Management

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.”

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. http://www.arma.org/garp/index.cfm

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” provides an overarching best practice for evaluation of all information management decisions.
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 are core to the understanding and management of our university records and complement the strategic planning of campus leadership. A trial run at auditing by the University Records Officer using the Information Governance Maturity Model provided an overall score of 64%. A yearly review completed to try to improve the score and the overall University Records Management Program. [http://www.arma.org/garp/index.cfm](http://www.arma.org/garp/index.cfm)

**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 tasked by the Provost's Office to provide direction and support for the campus 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 groups roll.

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 addition to offering policy and guidance on records management issues for the UW-Madison campus, 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 Administrative Legal Services, Director of Archives and the University Records Officer.

**2013 Membership included:**

- **Eden Inoway-Ronnie** – Sr. Special Assistant - Provost’s Office
- **John Dowling** – Office of Legal Affairs
- Bruce Maas-CIO & Vice Provost for Information Technology – (Judy Caruso, Director of Policy & Planning, CIO Office)
- Martin Cadwallader- Vice Chancellor for Research and Dean of the Graduate School (Steve Hahn, Assistant Dean - Graduate School)(Ryan Moze, Office of Research Policy)
University Records Management 2013 Initiatives:

- Participation on the AE Teams for Policy, E-mail and Calendaring and Aggregation of the Data Centers - see Record Management Partnerships: CIO and Campus Information Technology Partnerships

- Procurement of Records Management software to manage the workflow in management and updating of the University’s record retention schedules. Zasio’s Retention Manager provides workflow and a legal database for development and updating and maintenance of the university record schedules.

- Perceptive Software’s “Records Policy Manager” Application:
  Many units on campus are currently utilizing Perceptive Software’s ImageNow Content Management application as part of their workflow and imaging of records. Digital records created by ImageNow should be managed throughout their lifecycle through disposition. This currently has to be accomplished manually. Records are being kept indefinitely due to the difficulty of manually implementing the university’s record schedules in a consistent manner. The volume of information being kept in the application is causing the system to slow down. The University now has a campus license for the complement application of “Retention Policy Manager”. A Student Records team has been put together by the University Records Officer and the ISIS Director to begin evaluation of records in the student information system and the implementation of the Retention Policy Manager. This initiative will be continued into 2014.

Records Management Communication and Training

Communication and Training are key components of the UW-Madison Records Management Program. For 2013 Basic Records Management, E-mail Management and Document Imaging were popular topics for presentations.

1. Presentations:

   Campus presentations included:
   - A yearly presentation as part of the Department Administrator Certificate Program on records management and archival records was conducted December 2012.
Presentation with Nancy Lynch, Senior University Legal Counsel at IT Forum “University Records and the Cloud. 2-11-2013.

A Presentation with Ben Griffiths-Administrative Legal Services as part of the Research Series on Public Records “UW Madison and University Research Records” Feb 2013.

**Profession Presentation:**

- April 2013 at Midwest Archives Conference on “*UW-Madison Records Management Program and Campus Communication*”.

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2. **UW-Madison Records Management Facebook** [http://tinyurl.com/cey6s4g](http://tinyurl.com/cey6s4g)

In December 2010 as an alternative way to communicate to the campus community, the [UW-Madison Records Management Facebook](http://tinyurl.com/cey6s4g) page was launched. As of the October 2013 the Records Management Facebook page has 57 active users. 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.

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3. **Brochures and Handouts:**

- The Office of Human Resources Development (OHRD) includes the handout on “*Your Work Responsibilities and University Records*” in New Employee Orientation packet. [http://tinyurl.com/cg5zb8b](http://tinyurl.com/cg5zb8b)
In conjunction with the upcoming migration to Office 365 for email and calendaring a brochure on email was created: Brochure: Management of University E-mail – 2013

Email Decision Workflow

Examples for Managing University E-mail Records

Listed below is a narrative about how Tom managed his e-mail records when he was planning an event as part of his job responsibilities at the university.

Example: Non-Record: Non-business or personal, a duplicate copy or spam (delete it!) Tom received an email to campus reservations asking about removing a room on January 15th for a campus function planned by that department. Staff from campus reservations responded to Tom in his tone that no rooms were available for that date. Tom was很容易 of these emails.

Tom can immediately delete these e-mail messages from his mailbox because he is not the original of either message—these messages he received are copies of e-mails/messages which are not considered records for Tom.

Example: Transitory Communication Record: Information about workplace events, Userv, or a quick response to a request. Think of transitory as replacing in-person communication: keep 7 days until superseded or event has expired (delete it?) Tom followed up with campus reservations about receiving a room for an event on January 15th. Staff at campus reservations responded that a room was available for the event on January 15th.

Tom saved this email until January 14th and then deleted the message since the event had already taken place on January 15th.

Example: Routine Communication Record: Normal communications between team member(s) working on a project—keep 6 (6) months after event, project or activity, Tom and staff from campus reservations exchanged email about a request for a microphone for the campus forum event on January 15th.

Tom kept these e-mail messages for six months after the event which took place on January 15th.

Example: University Records: policies and directives, correspondence related to official business, user schedules, meeting agendas and minutes, any document that initiates, authorizes, or completes a business transaction, reports, tenure documentation, admission documentation, search and screen documentation. Depending on the content of the e-mail communication, refer to the University Records Retention schedule for how long to keep. Tom received an invoice bill for his January 15th event embedded in an e-mail message from campus reservations.

Tom has saved this record in accordance with the University General Retention Schedule (GSR) for Fiscal and Account Records.

4. Training Video’s:

With the assistance of 4 SLIS Records Management students, short videos were being created and uploaded to You Tube on Imaging University Records and Organization of Email records to provide information to campus. The Introduction to Records Management was revised and converted from JING to a stable format and uploaded to You Tube.

Click links below or visit the UW Records Management - RIM Training and Communication page http://archives.library.wisc.edu/records/training.html#schedule

Have 6 minutes? Please view Introduction to Records Management

Need help organizing your e-mail? E-Mail Organization for Records Management and Compliance

11:21 minutes - SLIS RIM Students Abigail Springman and Pete DeWind
Thinking about Imaging University Records? Digitization Guidelines for Records 6:26 minutes
Handout for Document Imaging - SLIS RIM Students Eric Tollefson and Lyuba Stadnik

Records Management Campus Partnerships

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.

CIO and Campus Information Technology Partnerships
The University Record Officer has a working relationship with the CIO Office and other Campus IT.

- Ongoing participation on the CIO Policy Committee,
- Participated in several IT Community Forums.
- Member of the AE Aggregation of Data Centers
- Working to get Records Management included with the AE IT Decision Making model.

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 visible partnership and collaboration with the CIO Office and other CIO’s from Campus Information Technology units. 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 and e-Discovery.

Office of Legal Affairs
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. Attorneys with Administrative Legal Services have begun to refer questions regarding retention of records to the University Records Officer. This past year Administrative Legal Services has worked with the Records Officer on Research related schedules for Animal Research and General Research.

Internal Audit
Internal Audit is a member of the University Records Management Advisory Group as a neutral party through August 2013.

Quality Improvement
The University Records Officer is participated on the A/E Policy Team.
Risk Management
This is a new partnership. 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. The University Records Officer is collaborating with UW-Madison Risk Management to address 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 Plan for requirements for electronic data, records management plays a role as a resource for management of electronic research records throughout their lifecycle. This past year the record schedule for Research Policy and Compliance was completed. The IRB General Records Schedule is currently under revision. Record Schedule for the RARC was complete this year. The University Records Officer and Administrative Legal Services gave a presentation on Public Records and Records Management for Research records.

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 produce in all formats and media. Recommendations are made which may result in a new records schedule. The University Records Officer consulted with around 95 Department over 2013 on organizations of records, e-mail, digital imaging and record scheduling.

UWROC (University Records Officer Council)
The University Records Officer also collaborates with the University Of Wisconsin Records Officer Council (UWROC) on UW System wide schedules.

Completed schedules are posted on the Records Management Website:
http://archives.library.wisc.edu/records/rda.html#general-records

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. The State Records Center has been auditing their database for record schedules that have sunset. The SRC provided Records Management with reports with an option for an 18 month extension. The University Records Officer has been reviewing these sunset reports and has submitted the required extension of 18 months. Many of the university’s 1600 record series have sunset and are undergoing review. As of October 2012 there were 903 record series
that had sunset and need to be updated, superseded or closed. **As of November, 4,2013** the number has been reduced to 255 records series remaining.

General Records Retention Schedules:
27 departmental records schedules (RDAs) were completed and submitted for approval as of August 2013.

Work is being done as time permits, to improve the University Record Schedule and making them more user friendly by converting the schedules into grids.

See below.

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**UWS - UW-Madison General Records Schedule for Business Communications Records**

<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Record Series Title</th>
<th>Record Series Description</th>
<th>Retention</th>
<th>Media Type</th>
<th>Disposition</th>
<th>Office of Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>UWBC0001</td>
<td>BUSINESS COMMUNICATIONS: ROUTINE</td>
<td>Routine communication has continuing value as a public record, because it is directly connected to the transaction of public business that is conducted by university employees. Routine communication comprises the normal communications that occur when university employees and sometimes their colleagues who are not university employees, work together to transact public business on behalf of the University of Wisconsin System. Routine communication has no historical value; never includes records that set forth university policies, guidelines, procedures, or directives, and does not formalize the business processes of the University of Wisconsin System.</td>
<td>Retention: EVT + 6 Months EVENT: Business Activity or Project is completed</td>
<td>Electronic</td>
<td>Delete</td>
<td>Campus wide Applies to all Units and Departments</td>
</tr>
</tbody>
</table>

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**Records Disposition at the State Records Center:**
Records disposition and retention at the State Records Center is another component of working with the State and ensuring 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 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. As of September the State Records Center began auditing for correct dates within the versatile system working with the Records Officer.

**UW-Madison Records Management Program Goals and Objectives**

The University Records Management programs goals for 2014 consists 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 approached through communication outreach in various formats such as one on one meetings, departmental meetings and group presentations.

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

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- 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.

- Develop with URMAG, a University Records Management Survey in conjunction with the “*The Principles*” Authority Model to bench mark the UW- Madison Records Management Program.

- Continue to seek new approaches to communication and training though social media avenues such as webinars and training videos on the Records Management portion of the UW Archives website.

- Continue to nurture working partnerships with the Provost’s Office, Administrative Legal Services, CIO and Campus IT units, Quality Improvement, Enrollment Management, the Graduate School and the Research Community and SMPH.

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