UW-Madison and University Research Records

UW-Madison Records Management Program

2015

UW Archives and Records Management
Remember..... ARMA’s Generally Accepted Recordkeeping Principles® should be applied to all records stored in all formats and media

“the Principles” = Campus Best Practice in Recordkeeping

Is there accountability for the records being created, Transparency- Is the records process documented; Integrity- are the records authentic; Protection- are there proper access requirements in place for sensitive information; are we in compliance with policy's and laws; Executing retention in the normal course of business; and disposing them in accordance with the schedule.
“The Principles” are persistent throughout the Records Lifecycle.
What are University Records??

Records are documents which:
- Contain recorded information.
- Are produced or received in the initiation, conduct or completion of an activity.
- Are retained as evidence of that activity, or because they have other informational value.
- The recorded information may be in any medium or format (e.g. text, image, sound, 3-D)
- Comply with Wisconsin State definition of Records and WI. Adm. Rule 12 for Electronic Records
- Can be a public record
- Covered under Wisc Stat 16.61
What makes up a Research Record?

1. Records which document the research process.
   e.g. research protocols; applications for regulatory approvals and approvals granted, research proposals, observations, lab notes, modeling and sampling

2. Records documenting research outcomes or products.  e.g. technical reports; monographs.

3. Records documenting the management of the research process/project(s).
   e.g. applications for funding; contracts; purchase invoices; staff timesheets.

4. Research data in both “raw” and “analyzed” form.
   e.g. notes; completed questionnaires; audio/video recordings; photographs; instrument readings; databases; samples, lab notebooks.

Taken from: JISC / JISC infoNet. HEI Records Management: Guidance on Managing Research Records sites
http://tools.jiscinfonet.ac.uk/downloads/bcs-rrs/managing-research-records.pdf
The Creation and Maintenance of records is integral to the research process. Records should be Complete, Authentic and Reliable.

- Records document the planning, history, results and outcomes of the research project
- Demonstrate good research practice and strengthen the reliability of research evidence
- Safeguard researchers and institutions from allegations of research misconduct
- Demonstrate effective stewardship of resources to auditors and to research sponsors
- Protect individual and institutional intellectual property rights
- Demonstrate compliance with legislation, regulations and other requirements
Records Questions to think about…

1. Decide who will be responsible for management of the research project records. Is it the PI or someone else?

2. Decide where and how should research records be stored? Are they in an accessible format?

3. Who will have access to research records and how are they protected and secured?

4. How long should research records be kept? Are there sponsor or other requirements.
Management

- Different formats – pdf, tiff, word, audio etc

- Stored in many areas- Onsite, State Records Center, Shared Drives, Personal Drives, and now collaboration platforms such as UW-MadisonBox.net

- Document file plan at creation phase on how research records will be organized and filed both in paper and electronically.

- Use of consistent naming conventions for folders (accessibility and usable in the future.) This should be the same for e-mail, shared network drive and Box.
Classification and Naming (Accessibility)

Often depicted as a directory or folder structure

Conventions

- Hierarchical
  - Function Activity
    - Topic
    - Subtopic

E.g. XYZ Clinic Study – Research Data – Audio Video Recording

Use of controlled vocabulary
Note about University E-Mail

E-mail may be a Public Record

An E-mail system is not a recordkeeping system

• Business Communications Records Schedule: Routine, Transitory, and declared records

• Electronic Communications Guidelines for University Employees

Visit the UW-Madison Records Management Website for more information.
University General Record Schedules

http://archives.library.wisc.edu:2784/records/rda.html#general-records

RESEARCH RELATED RECORDS SCHEDULES

UW-Madison Research Data and Records (Company Level) See (Data Stewardship, Access, and Retention Policy)

UW-Madison Research Policy and Compliance - 2013 (Company Level)- Grid

UW-Madison Maintenance of IRB Records

UW-Madison Retention of IRB Records

ANIMAL RECORDS SCHEDULES

UW-Madison VMTH Records Schedule

UW-Madison RARC Animal Health Records Schedule - 2013

UW-Madison RARC Records Schedule - 2013
Some Clinical and Research areas have department schedules in place with a retention period which is longer than 7 years. The department should follow the schedule for their department for consistency. If you are not sure if there is a departmental schedule contact the University Records Officer recmgmt@library.wisc.edu
Other Resources

Research Data Services - http://researchdata.wisc.edu/#&panel1-1

Departmental Records schedules will complement your Data Management Plans
Contact me if you need assistance with development of a Research Record Retention Schedule for your department or unit.

Peg Eusch, CRM  
*Certified Records Manager*  
University of Wisconsin-Madison Records Officer  
University Records Management Program  
432 Steenbock Library  
550 Babcock Drive/ Madison, WI. 53076 
[recmgmt@library.wisc.edu](mailto:recmgmt@library.wisc.edu) / 608-262-3284