UW-Madison Records Management

Engage in the Records Management Experience ....

2015 UW-Madison Records Management Program
University of Wisconsin-Madison Archives & Records Management
UW-Madison Records Management

• Understand what records management is and why it is important to manage our university records through the entire records lifecycle.

• Knowledge and awareness of the 8 Generally Accepted Recordkeeping Principles.

• Understand what a university record is and that records are stored in many different formats.

• Knowledge that records should be classified and organized for timely retrieval and access.

• Understand what a records retention schedule is and where to find the schedules.

• Understanding that all employees are responsible for good management of university records in accordance with University Policy's, and State and Federal rules and requirements.
What is Records Management???
It’s more that just RETENTION.....

Components of an Effective Records and Information Management Program

- Preservation
- Records Inventory
- Files & Forms Management
- Disposition
- Disaster Prevention and Recovery
- Records Classification
- Retention Scheduling
- Vital Record
- Conversion

Policy & Procedures
Choose to Actively Manage Records

The application of “systematic controls” to recorded information.

A logical and practical approach to the creation, maintenance, use and disposition of records and therefore to the information those records contain.
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

About ARMA International and the Generally Accepted Recordkeeping Principles®
ARMA International (www arma org) is a not-for-profit professional association and the authority on information governance. Formed in 1955, ARMA International is the oldest and largest association for the information management profession with a current international membership of more than 10,000. It provides education, publications, and information on the efficient maintenance, retrieval, and preservation of vital information created in public and private organizations in all sectors of the economy. It also publishes Information Management magazine, and the Generally Accepted Recordkeeping Principles®. More information about the Principles can be found at www arma org/principles.
University Records Management and Compliance

University Records are a key resource and asset in the operation of the University. University Records are created, organized, secured, maintained, and used in a way that effectively supports the activities of the University, and meets business obligations in:

1. Records sustain day-to-day University operations.

2. Records can answer questions about past decisions and activities.

3. Records promote organizational efficiency and productivity by allowing for efficient access to information in all formats and media.

4. Records management reduces space constraints and saves storage costs in cabinets and server space and reduces risk through good retention practices.

5. Records preserve historically valuable university records.
“records are the memory of your business, holding knowledge and evidence of commercial activities forgotten when people move on”

Barclay T. Blair, founder of the Information Governance Initiative
Definition of a Record

- all books
- papers
- Maps
- photographs
- films
- recordings
- optical disks
- 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
## Identifying University Records

Some Examples of Official Records:

<table>
<thead>
<tr>
<th>Category</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policies and Directives</td>
<td>Policies and Directives</td>
</tr>
<tr>
<td>Correspondence related to official business</td>
<td>Correspondence related to official business</td>
</tr>
<tr>
<td>Work schedules</td>
<td>Work schedules</td>
</tr>
<tr>
<td>Meeting minutes and agendas</td>
<td>Meeting minutes and agendas</td>
</tr>
<tr>
<td>Any document the initiates, authorizes or completes a business transaction</td>
<td>Tenure Documentation</td>
</tr>
<tr>
<td></td>
<td>Student Admission Documentation</td>
</tr>
<tr>
<td></td>
<td>Search and Screen</td>
</tr>
</tbody>
</table>
What are considered Non-Records?

• Personal information not related to business
  ➢ let’s do lunch emails, soccer schedule

• Reference material
  ➢ vendor catalogs, phone books, “how to” documents

• Duplicate copies
  ➢ copies of records (paper or email) used for convenience or reference purposes only

• Draft or working paper
  ➢ draft documents without substantive comments, rough notes, calculations

• General announcements and unsolicited email (internal or external)
  ➢ reminders received by all staff, listserv messages, spam

• Computer generated response or confirmation
  ➢ automated calendar requests and confirmations, password change notices
There is also Wis. Stat 19.32 (2) used for Open Records Requests

- "Record" means any material on which written, drawn, printed, spoken, visual, or electromagnetic information or electronically generated or stored data is recorded or preserved, regardless of physical form or characteristics, which has been created or is being kept by an authority.

- "Record" includes, but is not limited to, handwritten, typed or printed pages, maps, charts, photographs, films, recordings, tapes, optical disks, and any other medium on which electronically generated or stored data is recorded or preserved.

- "Record" does not include drafts, notes, preliminary computations and like materials prepared for the originator's personal use or prepared by the originator in the name of a person for whom the originator is working; materials which are purely the personal property of the custodian and have no relation to his or her office; materials to which access is limited by copyright, patent or bequest; and published materials in the possession of an authority other than a public library which are available for sale, or which are available for inspection at a public library.
Identifying University Records

- Document in any format
  - Draft or Copy
    - Yes: May Not be a Record under Wis. Stat. 16.62(2)(b)
    - No: Does the record communicate University requirements?
      - Yes: University Record
      - No: Is the record mandated by a legal requirement?
        - Yes: University Record
        - No: Check the University Retention Schedules before Destroying or Deleting records for Disposition. Retention schedules are suspended for litigation or audit
Records are stored in many Formats:

- Personally Owned Devices
- Electronic Files
- Text, Chat
- Microfilm
- FAX
- Paper Files
- Websites & Social Media
- Network Shared Drives
- E-mail
- Databases
- Desktops & Personal Drives
- Collaborative Spaces

University Records Retention Schedules apply to all
A files plan is a well thought out plan and is one of the essential components in management of university records.

Think of this as a roadmap to how your dept. or unit manages their records.

See JOB AID: Documentation of Records Management Practices aka File Plan Creation
What does a File Plan Consist of?

The file structure is the framework for the file plan. It is based off the record series in the university records retention schedules and includes and utilizes records workflow processes and organizational charts.

- **Custodian**—The person responsible for filing the record copy of the electronic file or hard-copy document.

- **File Content**—A description of the documents that should be filed in order to ensure a complete, accurate record of the activity.

- **File Organization** or arrangement within file folders (how are the records filed?)

- **Active and Inactive file location** (Paper and Electronic)

- **Labels**—Instructions on how to identify the electronic or hard-copy folders.

- **File Transfer Instructions** (keep onsite so many years and then transfer to State Records Center)

- Other specific instructions that provide guidance for effective management of records, including vital records and access and security requirements.
Inventory & Analysis of Records

Fig: Mapping Process to Records
Organization and Classification of University Records

Is this something I should save?

How should I tag this document?

How should I file it so the right retention schedule is applied?

Where should I put it so we can find it later?
Organization, Classification and Filing

- A filing system is the “systematic indexing and arranging of records based on established procedures”

- Classification should be applied to both paper and electronic records and subject to the same retention and disposition.

- Use of Standardized Naming Conventions for records.

- Records could be filed in many different ways:
  - Chronological order
  - Numeric order
  - Alphabetical order
  - Alpha-Numeric order
  - Electronic Format
Filing and Classification

Classification and Naming Conventions
Often depicted as a Directory or Folder Structure

Conventions
➢ Hierarchical
   ➢ Function Activity
     ➢ Topic
     ➢ Subtopic

E.g. Financial Management – Acquisitions – Requisitions

Start with the **Record Schedules and Record Series:**
• categories created by the Record Schedule as a beginning guide for organizing and filing.
• Pre-determined buckets of information which are already created.
Using Structure and Color to Tag and File
Electronic Formats for Files and Documents

**Metadata** is “Data about Data”

It conveys *Content, Context & Structure*

Examples of descriptive metadata:

- **Title**
- **Date**
- **Creator**
- **Subject**
- **Description**
- **Format**

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No matter which technology environment or folder structure is currently in place, the naming structure should include some or all of the following seven elements:

<table>
<thead>
<tr>
<th>Name Elements</th>
<th>Example</th>
<th>Description of Need or Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>Literature</td>
<td>The first three elements (title, version and date) are usually needed to facilitate searching for the document and the display of like documents in a logical order.</td>
</tr>
<tr>
<td>Version Number</td>
<td>V01</td>
<td></td>
</tr>
<tr>
<td>Date (publication date, version date, or logical date relevant to the document)</td>
<td>2005_05_31</td>
<td></td>
</tr>
<tr>
<td>Author or Creator</td>
<td>skessler</td>
<td>The middle elements (author, business unit, type) may be needed, depending on the business requirements. They can be helpful in identifying the controller of the document.</td>
</tr>
<tr>
<td>Business Unit/Program</td>
<td>Research</td>
<td></td>
</tr>
<tr>
<td>Type (e.g. report, memo, letter)</td>
<td>RPT</td>
<td></td>
</tr>
<tr>
<td>File Extension</td>
<td>.doc</td>
<td>The last element (file extension) is provided by the application in which the document has been created, and is always last. It is important to remember that this element should not be altered.</td>
</tr>
</tbody>
</table>

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**Document in your Dept./Units File Plan**
Management of Inactive Records

OFF-SITE
State Records Center

ON-SITE
Department or Unit
On-site Storage in University Depts. or Units

- If space permits, records can be stored onsite in the department or unit until retention has been met.
- Records should be stored in filing cabinets or boxes which can be obtained through MDS.
- Records should be boxed by record series.
- A destruct log should be maintained to indicate that destruction was done within the normal course of business.
The State Records Center for Off-site Storage:

• Provides a standard method for indexing, transferring and controlling agency records.

• Provides fast and efficient reference service to the records housed at the State Records Center.

• Systematically disposes or transfers records in the normal course of agency business in accordance with approved retention schedules.
Use of Wisconsin State Records Center

• Used for offsite storage to fulfill retention
• Set up of account / liaison
• Records Center Disposition Reports
  • Annual – November
  • Semi-Annual- June

Records Held only for:
• Current litigation
• Pending litigation or audit
• An open records request
• An updated retention schedule is under development.
Applying General Schedules

- File according to record series listed
- Do not mix files from different record series
Principle of Retention
Wisconsin Law - Retention

16.61(2)(cm) **Retention schedule**" means instructions as to the length of time, the location and the form in which records series are to be kept and the method of filing records series.

16.61(4)(b)“Retention Schedule” State agencies shall submit records retention schedules for all public records series in their custody to the board for its approval within one year after each record series has been received or created unless a shorter period of retention is authorized by law, in which case a retention schedule shall be submitted within that period.

16.61(4)(c) A records retention schedule approved by the board is effective for 10 years, unless otherwise specified by the board.
What is a Records Retention Policy?

Records Retention Policy documents and describes a group of records which are record schedules and mandates:

- How long the records are kept (retention).
- What happens to the records at the end of the time period (disposition).

Record Retention is based on the value of the record:
- Operational & Administrative value
- Legal/Regulatory value
- Fiscal value
- Historical value
- Research value

Image from City of Laredo, Texas
Anatomy of a Record Schedule: What is meant by a “Record Series”?

"Records Series"

• Are records that are arranged under a manual or automated filing system
• Are kept together as a unit, because they relate to a particular subject, result from the same activity, or have a particular form
• Records Series are also known as Records Disposition Authorizations or RDA’s.
Enterprise Retention Hierarchy
EXAMPLE: GRS Faculty & Academic Staff (Unclassified)
Anatomy of a Record Series

UWPER004 Graduate Student Personnel File

A complete P-file may include the following records:
Letters of application; research proposal (at hire, if required); resume or curriculum vitae (CV); letters of
recommendation or reference; letter(s) of offer, appointment, reappointment, or promotion; letter of
acceptance of employment, position description, base rate or any changes of employment status,
performance reviews or evaluations; lists or notices of awards or grants, grievances and notices of
disciplinary actions; arbitration records; letters of resignation and notices of non-renewal of
appointment (for academic staff).
The location of the official graduate student personnel file varies throughout the UW System. Generally,
it is maintained in the office of the Provost, Dean of the employing School or College or employing
department.

Retention: Campus: EVT + 6 Years. EVT = Date of Termination.
Destroy Confidentially. PII/Confidential

Series title
Identifies the records series.

Description
Includes information on what types of records are included, statutory requirements, etc.

Keeper
Identifies the holder of the 'official' record. Not always included

Retention
Indicates how long to keep the records, and when to start counting (the "event")
University General Retention Schedules (GRS)

- Apply to all University offices campus-wide

- Available online on Records Management site under University Records Schedules: http://archives.library.wisc.edu/records/rda.html#general-records

Department Specific record schedules aka Records Disposition Authorization (RDA)
Disposition....

The Final Stage in the Life of a University Record
The Principle of Disposition....

Disposition is an accepted phase at the end of the records lifecycle.

Providing for a secure and appropriate disposition of information in accordance with university policy, and, applicable laws, regulations and other binding authorities.

All versions and copies should be destroyed in accordance with the records retention schedule.

Destruction must be done in a secure manner.

If records are converted or migrated to new media, disposition of the previous media may also be warranted.
Disposition of University Records

Disposition is written into the Records Retention Policy.

Record are disposed of either by:
• Transfer into UW-Madison Archives
• Destroyed

Disposition is completed within the Normal Course of Business.

Record schedules are suspended for discovery and litigation, audit or open records requests.
A Department Destruction Log is highly *Recommended* as a best practice to be in compliance with destruction of records (in-house) and show that records where destroyed with in the normal course of business.

**Example form:**

1. Department Name
2. Records Type/Documents/Files /Record
3. Series used for destruction from the retention schedule - *(UWPER004)*
4. Description of what was destroyed – *(i.e. Graduate Student Personnel Files)*
5. Approval signature and date of destruction
6. Type of destruction: *Confidential Shredding*
7. Destruction Company if used such as *State Records Center, Pellitteri, Shred-it etc.*
What is an Employee to Do?

- Protection
- Integrity
- Compliance
- Disposition
- Accountability
- Transparency
- Retention
- Availability
Employee Responsibility for University Records
All of us are Records Managers.....

- Employees should have an understanding that University records could be Public Records and knowledge of “The Principles”.
- Employees should understand that records are stored in all formats and media and are to follow approved university records retention schedules in the disposition and deletion of records.
- Employees should understand their responsibilities to comply with University Policies regarding Creation, Protection, Security and Retention of University records and data.
- Employees should ensure that their records are accessible when transitioning out of their positions.
- Employees should understand the importance of maintaining personal records separate from University Records.

See “Your Work Responsibilities and University Records” under Records Mgt Toolbox on website.
Put the Records Pieces Together....

- Visit the University Records Management Website for Approved University Records Schedules and other records information.

- Inventory: Know where all records are created and stored in all formats.

- Designate a records leader and have a records management plan.

- Document your Dept./Unit records management processes (File Plan).

- Organized and categorize what records are in the dept. or unit.

- Determine which records are Active and which are Inactive and use the State Records Center for offsite storage.

- Dispose of records past their retention date.

- Stay organized by auditing and reviewing records each year.
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Come visit us at http://archives.library.wisc.edu/records/
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