UW-Madison Records Management Program

Helping in ways you never imagined......
High Level Overview....

- UW- Madison Records Management Program
- Standards and Best Practices for Recordkeeping
- Organization and Classification of Records
- Record Retention & Disposition Schedules
- State Records Center vs. UW-Archives – What’s the Difference?
- Employee Responsibility for University Records
Why Records Management???

The University Records Officer collaborates and consults with the campus community on records and information management issues in the areas of:

- Electronic Records including Electronic Communication (e-mail),
- Classification and Files Management,
- Development and maintenance of Records Retention Policy's
- Campus-wide Communication and Training
- Support for IT projects such as Academic Excellence (AE)
- E-discovery and open records and audit.
UNIVERSITY OF WISCONSIN SYSTEM
PUBLIC RECORDS MANAGEMENT
Board of Regents Policy 3-2

http://www.wisconsin.edu/bor/policies/rpd/rpd3-2.htm
University Records Management Best Practices: 8 Principles

“The Principles”
ARMA’s Generally Accepted Recordkeeping Principles should be applied to all records whether they are physical format, electronic format or stored in the cloud.

“The Principles” = Campus Best Practice in Recordkeeping
Why is Records Management and the “THE PRINCIPLES” important?

As a key resource in the operation of the University, records must be created, organized, secured, maintained, and used in a way that effectively supports the activity of the University, which includes:

1. Facilitating and sustaining day-to-day operations.
2. Promoting organizational efficiency by allowing for efficient access to information in all formats and media.
3. Reducing space constraints and saving storage costs in cabinets and server space.
4. Assisting in answering questions about past decisions and activities.
5. Demonstrating and documenting compliance with applicable laws, regulations, and standards and reduces risk.
6. And a way to preserve historically valuable university records.
It's more than just RETENTION.....

Components of an Effective Records and Information Management Program

Policy & Procedures
Identifying University Records and where they Live......

Photo courtesy of UW-Parkside Archives
Records Management is defined as: Applying Systematic Controls on records throughout the records Life-cycle.

The records lifecycle consists of:

• *Records Creation*
• *Distribution and Use*
• *Storage and Disposition*

Records over time go from an Active phase to an Inactive phase to Final Disposition.
Identifying Public Records

Public Records are defined in Wisconsin State Statute 16.61 and 19.32.

How Do I know if I have a Public Record?

- *Was the record created in the course of business?*
- *Does the record document university activities and actions?*
- *Is the record mandated by a legal requirement?*
- *Does the record support financial obligations or legal claims?*
- *Does the record communicate University requirements?*
What is a Record?

If you answered YES

- Record
  - SS 16.61 & 19.32
- Official Record
  - Public Records means
    - 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.

If you answered NO

- Non-Record
  - S. 16.61 (2) (b)
  - Duplicate copies.
  - Notices or invitations.
  - Drafts, notes, preliminary computations prepared for the originator’s personal use.
  - Routing slips and envelopes.
  - Materials which are purely the personal property of the custodian and have no relation to his or her office.

Delete after use.
Records are stored in many formats and devices:

- Personally Owned Devices
- Electronic Files
- FAX
- Websites & Social Media
- Desktops & Personal Drives
- Network Shared Drives
- Databases
- E-mail
- Paper Files
Electronic Records and Wisconsin Administrative Rule 12

Electronic Public records are covered under Administrative Rule 12 and requires the following:

- Must maintain accurate linkages to sites.

- Must be able to produce records that will continue to have meaning throughout their life.

- Must have the capability to delete and purge records from a system in accordance with an approved records retention schedule.

- Must be able to accurately reproduce a record with a high degree of legibility and readability and correctly reflect the original record.

- Must insure the records authenticity. Information systems must be able to document that only authorized persons were involved in the creation, receipt, transmission, maintenance and disposition of records.

- Must have a documented migration plan for electronic records

See Administrative Rule 12: Legal Requirements for Public Records on Website.
Organization and Classification

Is this something I should save?

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

How should I tag this document?

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

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

Utilize the record series categories created by the Record Schedule as a guide for organizing and filing.
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 should be filed in:
- Chronological order
- Numeric order
- Alphabetical order
- Alpha-numeric order
- Electronic Format
Using color to find folders
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 Reviews</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>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>Author or Creator</td>
<td>Hesslell</td>
<td></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>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>
<tr>
<td>File Extension</td>
<td>.doc</td>
<td></td>
</tr>
</tbody>
</table>
Record Retention Policy and Record Schedules
A Records Retention Policy documents and describes a group of records and mandates:

- How long the records are kept (retention).
- What happens to the records at the end of the time period (disposition).
- These Record Schedules are based on the Value of the record.
  - Operational/Administrative value
  - Legal/Regulatory value
  - Fiscal value
  - Historical Value
  - Research value
“Retention Schedule”: Under Wis. Stat.16.62(4), government agencies must identify the period of time to retain public records in a retention schedule and obtain Public Records Board approval of that policy.
What is meant by a “Record Series”? 

- A group of related records that are normally used and filed as a unit.
- Permits evaluation as a unit for retention scheduling purposes.
Inventory & Analysis

Fig: Mapping Process to Records

- Process Step 1.1
  - Process Step 1.2
  - Decision
    - Process Step 1.3
  - Record 4/ Metadata
- Process Step 2.0
  - Step 2.0.11
  - Process Step 2.1
- Record 1/ Metadata
- Record 2/ Metadata
- Record 3/ Metadata
- Process Step 3.1
  - Process Step 3.2
  - Process Step 3.3
  - Process Step 3.3.1
  - Record 5/ Metadata
  - Record 6/ Metadata
- Process Step 4.1
  - Process Step 4.2
  - End State
Process Mapping

- In order to correctly manage a process, you must be able to describe it in a way that can be easily understood.

- A picture is worth a thousand words – visually map out the process steps.

- There are many varieties of process maps, but all start as simple 3-7 step visual diagrams.
Inventory and Analysis: Where are record stored?

- Personally Owned Devices
  - Text, Chat
  - Electronic Files
  - FAX
- Paper Files
  - Network Shared Drives
  - Desktops
  - Personal Drives
  - Databases
  - Websites & Social Media
  - E-mail
Enterprise Retention Hierarchy

EXAMPLE: GRS Faculty & Academic Staff (Unclassified)

- Business Function: GRS Unclassified HR
- Retention Series/Category: UWPER004 Graduate Student Personnel File
- Records/Document Type:
  - Letters of Recommendation
  - Appointment letters
  - Minutes
  - List of candidates

- Records Series ID No. and Record Series Title:
  - UWPER013 Search and Screen Committee Records
Records Retention & Disposition Schedules – GRS & RDA

1. **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](http://archives.library.wisc.edu/records/rda.html#general-records)

2. **Department Specific** records schedules Records Disposition Authorization (RDA)
INACTIVE RECORDS STORAGE
What’s the Difference?

State Records Center vs. UW- Madison Archives
<table>
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<tr>
<th>SRC</th>
<th>UW –Madison Archives</th>
</tr>
</thead>
<tbody>
<tr>
<td>- SRC is a <strong>fee-supported</strong> service</td>
<td>- UW Archives is a <strong>special library</strong> within the General Library System of UW-Madison</td>
</tr>
<tr>
<td>- SRC provides loading dock <strong>pick up and delivery</strong> services</td>
<td>- Be <strong>prepared to come</strong> to the UW Archives to do the research and/or pick up the records.</td>
</tr>
<tr>
<td>- Department/Unit <strong>retains legal custody</strong> of records and information transferred to the SRC</td>
<td>- Legal and physical custody of the records are <strong>transferred</strong> to the UW Archives</td>
</tr>
</tbody>
</table>
The State Records Center:

- Provides a low cost facility for the orderly and periodic transfer of agency records.
- 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 State Records Center for Offsite Storage

- Used for offsite storage to fulfill retention
- Set up of account / liaison
- Records Center Disposition Reports
  - Annual – January
  - Semi-annual - July

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

Visit the Wisconsin State Records Center website:
http://www.doa.state.wi.us/section_detail.asp?linkcatid=218&linkid=49&locid=2
Procedures to Transfer Boxes to State Records Center (SRC)

1. Set up account with SRC through Records Management.
2. Be sure GRS or RDA (records schedule) is valid.
   http://mds.bussvc.wisc.edu/order/default.asp
4. Prepare inventory with one copy for inside the box and keep other for reference.
5. In Versatile there is Unlimited area in Description Field for listing all files in the box. Important for search and access!
6. Log into Versatile Web
   http://vssweb.wi.gov/recordsroot/default.asp
Disposition....

Final Stage
Disposition

Disposition is an accepted phase of the records lifecycle.

Record are disposed of at the end of the lifecycle either by:
- Transfer and Accession and review into UW-Archives
- Or Destroyed

Disposition is written into the Records Retention Policy

Completed within the Normal Course of Business

Record schedules are suspended for discovery and litigation, audit or open records requests
There should be good, well-considered reasons why your office would retain records past their final disposition date.

- Keeping everything is costly and expensive to store and manage both in electronic and paper.
- Cost in Time and Money for searching and retrieval of info.
- More information = Increased risk in lost files or misfiles

Record Schedules should be executed in the **Normal Course of Business** – Discovery & Litigation.

*There should be a University commitment to the records scheduling process..... Retaining everything is *not* good records management practice.*
What is an Employee to Do?
Employee Responsibility for University Records.
All of us are Records Managers

- Manage Public Records in accordance to State and University policy.

- Understanding that university records are public records in all formats and media.

- Responsibility to follow university policies regarding Protection, Security and Retention of university records.

- Maintain Personal records and University records separately.
Now your ready to land with Good Recordkeeping Practices....

- Apply the 8 “**PRINCIPLES**” of Accountability, Transparency, Integrity, Protection, Compliance, Accessibility, Retention and Disposition to how records are managed. [http://www arma.org/garp/index.cfm](http://www arma.org/garp/index.cfm)

- Review the UW-Madison Records Management Website for resources.
- Designate a records leader and have a records management plan documented.
- Determine what records you have and where they are located.
- Determine which records are Active and which are Inactive.
- Dispose of records past their retention date and use offsite storage which have not met retention.
- Stay organized through a yearly review or records.

Contact the University Records Officer for a Records Management Consultation  [recmgmt@library.wisc.edu](mailto:recmgmt@library.wisc.edu)
Additional Information

- Access to Files [http://www.cio.wisc.edu/policies/access.aspx](http://www.cio.wisc.edu/policies/access.aspx)
- Handling University Data [http://www.cio.wisc.edu/security/uwdata.aspx](http://www.cio.wisc.edu/security/uwdata.aspx)


UW- Madison Research Policy on Data Stewardship, Access, and Retention [www.grad.wisc.edu/research/policyrp/rpac/datasteward.doc](http://www.grad.wisc.edu/research/policyrp/rpac/datasteward.doc)

UW- Madison Research Data Management Plans

UW Archives and Records Management Contact Info:

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(608) 262-5629
http://archives.library.wisc.edu/

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Thank you....