

Keeping Records or
Recordkeeping : Something
Old, Something New

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Today's workshop

- ⌘ Review of trends impacting records management
- ⌘ Legal issues-emphasis on Administrative Rule 12
- ⌘ Basic steps to take to begin to manage electronic records

Everything is Miscellaneous

⌘ Book by David Weinberger

"The miscellanizing of information means that information is plucked from the tree of its birth and is available to anyone who can make use of it. It becomes more authoritative precisely because it is not on the business that produced it. ... This is of course also and opportunity...."

Digital trends:

- ⌘ Major technological shifts every 3 years or less
- ⌘ Predominance of email
- ⌘ The World Wide Web
- ⌘ Increased use of scanning
- ⌘ Expectation of online access
- ⌘ Digital photography
- ⌘ Rapid technological obsolescence

Related trends:

- ⌘ Customized delivery of information and records
- ⌘ Proliferation of mobile communication devices
- ⌘ Demand for transparency and accountability
- ⌘ Copyright
- ⌘ Privacy and information security
- ⌘ Impact of open records laws
- ⌘ Law is still evolving when it comes to e-records

Impact on records:

- ⌘ Not sure what records are or who is responsible for them
- ⌘ Mixed media environment
- ⌘ Records created on the fly
- ⌘ Information (records) overload



What does it mean to document ?

- ⌘ Documentation is the only way your organization:
 - Provides accountability
 - Defends court actions



Implications of good documentation

- ⌘ Good policies and procedures are in place (approved records schedules)
- ⌘ Structured databases and naming conventions are very important
- ⌘ Version control is well documented

Basic Records Management Still Applies:

- ⌘ Records belong to the University
- ⌘ Know your records; what you have original / official responsibility for and what you do not
- ⌘ Maintain records so they can be accessed
- ⌘ Comply with University policies and State/Federal records laws and rules

Basic Records Management

- ⌘ If you do not have records retention schedules for your records, work with appropriate staff to get them developed and approved.

Partner with IT staff

- ⌘ Can not do electronic records management without involvement and support of department IT staff
- ⌘ Knowledge of information technology, backup cycles, IT practices, etc.

Digital Preservation

- ⌘ "Data is the natural resource of the information age.... Data is fragile and needs to be stewarded in the 'cyberworld' just like we take care of rain forests and the environment in the physical world. Preserving valued data in the information age is fundamental to ensure that it will continue to inform and enrich our world for the foreseeable future."

-- Fran Berman, Director-San Diego Super Computer Center

Overview of records law:

- ⌘ Duties of Department Heads
- ⌘ Records Scheduling and Disposition (Chapter 16.61)
- ⌘ Public Records & Property
- ⌘ Open records (Chapter 19)
- ⌘ Privacy Laws
- ⌘ Other; rules of evidence, Uniform Practices Act, Confidentiality

Administrative Rule 12

- ⌘ Does not mandate an agency keep records electronically; but if it chooses to do so, the Rule provides a set of technical criteria that must be satisfied to keep records 'reliable, authentic, accessible, and retrievable over time.'

New Administrative Rule on Electronic Records Management

- ⌘ Applies to public records being maintained solely in electronic format
- ⌘ Outlines basic records keeping requirements
- ⌘ Specifies some requirements for information systems that maintain official public records

What is current UW policy re electronic records?

- ⌘ ARMS Bulletin # 5
- Electronic Records Policy Principles:
Information is valuable resource
Management regardless of storage medium
Records retention is based upon appraisal and analysis of the information content of the record

What is current UW policy re electronic records?

- ⌘ Departments are responsible for migrating and refreshing records stored in electronic formats throughout their life cycle.
- ⌘ Electronic records management requires a partnership among several staff and information management professionals



Basic Strategy for Managing Electronic Records

- ⌘ Implement existing retention policies
Visit ARMS web site
www.library.wisc.edu/libraries/Archives/rm/rechome.htm
- ⌘ Manage e-mail
- ⌘ Dispose /destroy records systematically in accordance with retention policies

Three categories of digital records:

- ⌘ Communications: E-mail, blogs, text messages, collaborative tools
- ⌘ Document objects: word processing, presentations, spreadsheets, etc.
- ⌘ Data objects: application data, etc.

ALL can be RECORDS

Email Mgt.

- ⌘ Campus Appropriate Use Policy
- ⌘ Email is subject to open records
- ⌘ Email can be subpoenaed
- ⌘ Email is subject to same laws governing hard copy such as public records law, FERPA, HIPAA
- ⌘ Privacy

Email Mgt.

- ⌘ Delete Non-records
 - Personal email
 - Junk mail, Spam
 - Listserves
 - Announcements of a general nature
 - Correspondence of an insignificant nature

Determining Record Value

- ⌘ Determine record status:
 - Interprets or executes policy
 - Record of important meetings
 - Documents accountability
 - Facilitates department action or process
 - Conveys an action
 - Supports a transaction
 - Supports or conveys a decision

Determining Record Value

- ⌘ Record value is:
 - Based on the content of the document/message
- ⌘ Focus on *major functions* of the department
- ⌘ Consult campus-wide retention policies on ARMS website

Scheduling E-Records

- ⌘ Same requirements as paper records
- ⌘ Schedule at the series level
- ⌘ Schedule all formats together
- ⌘ Identify relationships between various media if appropriate

Classification and Naming Conventions

- ⌘ Hierarchical
 - ☒ Function → Activity → Topic → Subtopic
 - ☒ E.g. Financial Management – Acquisitions – Requisitions
- ⌘ Often depicted as a directory or folder structure
- ⌘ Controlled vocabulary

Classification and Naming Conventions

- ⌘ Classification is used in records management to create file plans, filing systems, and records retention schedules.
- ⌘ Records retention schedules are a type of classification.
- ⌘ In most cases, records are classified by function (e.g., payroll functions, accounting, personnel).

Classification and Naming Conventions

- ⌘ Naming Conventions:
 - ☒ Alphabetical
 - ☒ Chronological
 - ☒ Numerical
 - ☒ Alpha-numerical
 - ☒ Abbreviation

Metadata

- ⌘ "Data about data"
- ⌘ Conveys content, context & structure
- ⌘ CONTEXT is the business activity at the time of creation
- ⌘ CONTENT is the subject matter; the topics or matter treated in the work
- ⌘ STRUCTURE is the form and relationships
- ⌘ Creates a full & accurate record

Metadata

- ⌘ Examples of descriptive metadata:
 - ☒ Title
 - ☒ Date
 - ☒ Creator
 - ☒ Subject
 - ☒ Description
 - ☒ Format

Websites and Records

- ⌘ Websites should not be viewed as a storage mechanism
- ⌘ Relationships to records elsewhere
- ⌘ Consistency with department policies
- ⌘ New content management tool

E-records Storage

- ⌘ Work with department IT staff
- ⌘ Separate section on the department server
- ⌘ Digital repository
- ⌘ Warehouse
- ⌘ CDs DVDs --not viable long term storage
- ⌘ Secured, monitored, backed up
- ⌘ Must have the ability to dispose/delete or transfer to the UW Archives

Records Destruction- Disposition

- ⌘ Principles:
 - Authorized
 - Appropriate
 - Secure
 - Timely
 - Documented, if necessary

Records Disposition- Destruction

- ⌘ No open audit
- ⌘ No pending open records requests
- ⌘ No pending litigation
- ⌘ Appropriate notifications have been sent if required
- ⌘ Met scheduled retention

Records Disposition- Destruction

- ⌘ Magnetic media—can be bulk erased
- ⌘ Optical media-physical destruction

Strategy for Managing Electronic Research Records

- ⌘ Research data
Find out funding agencies requirements
Work closely with data administrator or IT specialist



Electronic Records Preservation

- ⌘ Necessity of a migration plan
Technology shifts every 3-5 years
- ⌘ Need for quality control
- ⌘ System upgrades / conversions--excellent opportunity to address records keeping issues
- ⌘ Need campus wide strategy

Conclusion

⌘ Questions???

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