

**University of Wisconsin System: Records Management**

**Nancy Kunde**, University of Wisconsin-Madison, Records Officer and Archivist  
**Laura Dunek**, UWSA, Office of General Counsel, Regent Records Policy Advisor

**University of Wisconsin System Archives Council**  
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UW Parkside

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**A history lesson....**

- Cooperative Records Inventory, Analysis and Appraisal Project
- 6 campuses participated
- GRS for student financial aid, personnel, and fiscal/accounting

Survey of C & U rec mgt practices and training program conducted as part of the project

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**'80 Cooperative RM Project-what we learned**

- One size frequently does not fit all in the UW system
- Other needs identified by the project:  
System Administration Support  
Can't adopt GRS from other institutions  
Records schedules do not stand for all time  
Establishment of RM programs  
Attention to e-records issues-new enterprise systems on the horizon (People Soft)

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NHPRC Grant Project was example of project based records management :

- Some real RM work was done and a product was produced
- Leads to conclusion that when the project was done, records management is done.
- No ongoing commitment to a program

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### Managing Change

Changing office environment	Rapid changes in technology
- Less formal document production	-Email
- Better access to data from the desktop	-Data warehouses, data repositories
- Desire to share data	-Internet
- Decline in administrative support positions	-Collaborative tools
- Do more with less	

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## Managing Risk

- Physical security
- Computer security
- Privacy
- Competing interests
- University liability
- Audit trails

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## Managing Change

- Creating an infrastructure across the enterprise
- Integrating RIM into the enterprise
- Competencies
- Project Management

For records professionals, electronic records is about technology-yes, but more importantly, it is about educating and motivating staff to change.

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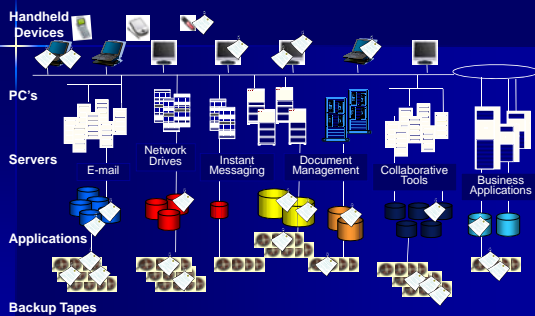
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## Content Life in the Infrastructure



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## Building teams and identifying partners

- Records Manager – Archivist
- Legal Counsel
- Audit
- IT, IS, IS Processing Consultant,
- Data Administration
- Applications Programmer
- Program manager
- Computer / Systems Support

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## GRS-General Records Schedules

- What are they?  
General records schedules provide a way to consistently apply retention and disposition practices to a set of records or record series across an organization. They are usually functionally based and include all records regardless of storage media or format. General records schedules are also referred to as master retention schedules or enterprise-wide retention schedules.

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## Benefits of GRS

- The major reason for using a GRS is that it provides a mechanism for the application of consistent records retention practices across an organization
- It eliminates the necessity for researching, developing, and approving duplicate retention schedules for the same type of record in each state agency or UW institution.

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## More Benefits

- A GRS identifies recordkeeping responsibilities by designating the official or record copy holders as well as working copy holders.
- A GRS promotes consistent filing practices.
- GRS's, appropriately developed and implemented limits the accumulation of records whether in hard copy or electronic format.
- A GRS can provide education and training opportunities for the records management program.

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## UW Madison GRS

- Similar motivations-benefits
- Available at <http://archives.library.wisc.edu/RM/GENSKED/gensched.html>

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## Public Records Board: General Records Schedules Development

- Priorities Set by the President of the Public Records Board, Dr. Peter Gottlieb:
1. Reduce the number of records schedules, which is now functionally unmanageable– at more than 10,000 schedules among state agencies.
  2. Develop General Records Schedules, in order to achieve manageability, consistency, and preserve records.

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## Public Records Board: Existing Records Schedules

- The current list of records schedules is maintained by the Department of Administration, Records Management Division:
  1. Schedules do not expire, despite a statutory requirement.
  2. Schedules are not withdrawn, unless an agency makes a direct request.

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## General Records Schedule Development Committee

- Consists of records managers from several state agencies, including the University of Wisconsin, and the Departments of: Administration, Transportation, Natural Resources, Workforce Development, and Trust Funds.

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## General Records Schedule Development Committee

### Development Process:

1. Individual members draft general schedules.
2. Schedules are circulated for comment and review among committee members.
3. Schedules are circulated within state agencies for comment and review by respective records managers.
4. Revisions are completed.
5. Schedules are submitted to the Public Records Board for review, revisions, and approval.

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### **The First Schedule: Fiscal and Accounting**

- An update of an existing general records schedule, which was first passed in 1995 and expired in 2005.
- Review and comment period is complete.
- The fiscal and accounting general schedule was submitted on April 3, 2006 to the Public Records Board for review, revision, and approval.
- Committee Review will occur on April 27,2006, and final approval on June 5, 2006.

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### **Boilerplate Language for all General Records Schedules**

- Boilerplate Language:
  1. Provides uniform instruction and list of resources for all state agencies.
  2. Specific information regarding the structure of the University of Wisconsin System.

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### **NEW DEVELOPMENT: Public Records Board Recognizes One Size Does not Fit All.**

- Public Records Board adopted a process that allows agencies to:
  1. Adopt an entire general records schedule.
  2. Adopt some, but not all, of a general records schedule.
  3. Reject an entire general records schedule, and submit its own schedule within six months.

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**University of Wisconsin System Administration**

- Records Management Initiative:  
Regent Records Policy Advisor

1. History of the Position
2. Goals for the Position

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**University of Wisconsin System Administration**

- Records Management Goals:
  1. Write General Records Schedules for UWSA and UWSA Departments.
  2. Work with the Department of Administration to Develop Statewide General Records Schedules.
  3. Serve as Records Custodian and Manage Public Records Requests Received by the University of Wisconsin System.
  4. Create a System for Management of University Land Records.
  5. Develop a Regent Collection Within the University of Wisconsin Digital Collection.
  6. Reformat and Develop Two New Regent Policy Documents:
    - a. Records Management Policy
    - b. Electronic Records Management Policy

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**University of Wisconsin System Administration**

General Records Schedules for UWSA and UWSA Departments.

1. Board of Regents Secretary's Office
2. Office of General Counsel
3. UWSA General Schedule for Correspondence.

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**Managing Your Email: UWSA  
General Records Schedules**

**FOUR CATEGORIES OF EMAIL**

1. Business Related Correspondence:  
Historical
2. Business Related Correspondence:  
Litigation or Audit
3. Business Related Correspondence:  
Routine
4. Business Related Correspondence: Short-  
Term

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**Statutory Basis for  
Correspondence Schedules**

- “Public records means all...materials, regardless of physical form or characteristics, made or received by any state...employees in connection with the transaction of public business.” Wis. Stats. § 16.61(2)(b)

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**Business Related  
Correspondence:**

- Correspondence that is directly connected to the transaction of public business, which is undertaken and performed by the University of Wisconsin System Administration employees.

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**Business Related  
Correspondence: Historical**

- Business related correspondence is historically significant when it affects the current or future course of the University of Wisconsin.
- **Retention Period:** Permanent  
After no more than 20 years documents must be transferred to University of Wisconsin Archives

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**Business Related  
Correspondence: Audit or  
Litigation**

- Business related correspondence may be necessary for audit or litigation.
- **Retention Period:** After a business related project is completed, litigation or audit correspondence relating to that project should be retained for a minimum of seven years.

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**Business Related  
Correspondence: Routine**

- Routine correspondence does not: establish policies, guidelines, or procedures; formalize the business activities of the University of Wisconsin System; and it is never needed for litigation or audit purposes.
- Routine correspondence is directly connected to the transaction of business, but it is needed only to: (1) assist in administering a business project, or (2) communicating routine information to project team members.
- **Retention Period:** One year

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**Business Related  
Correspondence: Short-term**

Short-term correspondence is required only for a limited time to informally communicate information or complete temporary activities.

Short-term correspondence has no business value after receipt and review, would not be filed in a records retention system, and should be destroyed when no longer needed by a University employee.

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**Business Related  
Correspondence: Short-term**

1. Messages with short-lived or no administrative value.
2. Messages created or received as part of a distribution list or received from listservs and other internet sources, solely for convenience or reference.
3. Routine requests for information or publications and copies of replies, which do not require administrative action, special compilation, or research to reply.
4. Quasi-official notices including memoranda and other records that do not serve as the basis of official action, such as notices of holidays, blood drives, charity or bond campaigns and similar records.

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**Regent Policy Documents:  
Records Management**

- Process for Policy Development
  1. Appoint committee members
  2. Review and revise draft records management policy.
  3. Gain approval for Records Management Policy.
  4. Draft, review, revise, and gain passage for Electronic Records Management Policy.

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**Plan of Action:  
Records Management Goals**

- GOAL: Consistent Records Information Management within the University of Wisconsin System.
- Appoint Committee Members and Develop Regent Policy Documents.
- Analyze whether General Records Schedules are needed for the entire University System.
- Analyze the infrastructure necessary for records management, especially for electronic records management.

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