

Archives and Records Management in the University

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What's happening to records and records keeping?

- ⌘ Major technological shifts have occurred
 - Mainframe to client server
 - Web site development
 - Enterprise-wide systems applications
 - Data base driven information systems
- ⌘ Emphasis on information sharing
 - Faster communication –information on the move
 - Less human involvement
- ⌘ Drive to be paperless

What's happening to records and records keeping?

- ⌘ Impact on records
 - Not sure what they are
 - Not sure who is responsible
 - Mixed media environment




Impact of Multiple Technologies

- ⌘ E-mail
- ⌘ Imaging systems
- ⌘ Internet / intranet
- ⌘ Data base technology
- ⌘ Communication devices; PDAs, Blackberries
- ⌘ Others—more to come

Two major questions:

- ⌘ What constitutes an organization's official records?
- ⌘ Who is responsible for them?



Government in the Sunshine

- ⌘ Government in the Sunshine -
 - "... all persons are entitled to the greatest possible information regarding the affairs of government and the official acts of those officers and employees who represent them. . . " Wis. Stat. s. 19.31

What do the Statutes require?

- ⌘ Duties of Department Heads
- ⌘ Manage public records (including designation of archival repositories)
- ⌘ Public Records & Property
- ⌘ Open records
- ⌘ Privacy Laws
- ⌘ Other; rules of evidence, Uniform Practices Act, Confidentiality

How are statutory requirements implemented on campus?

- ⌘ Chancellor = Department Head
- ⌘ Department Chair--FP& P 5.31 C and D
- ⌘ Committee Chair--FP&P 6.07
- ⌘ ARMS--FP&P II-500
- ⌘ Campus Records Review Group
- ⌘ University Archives-official archival repository
- ⌘ UW Madison Records Officer

Board of Regents

- ⌘ The Public Records Management Policy for the University of Wisconsin applies to all UW System institutions and was approved by the Board of Regents in April 2007. The policy sets forth public records management roles and responsibilities in order to ensure that UW System institutions fulfill relevant state and federal legal requirements.
- ⌘ <http://www.uwsa.edu/gc-off/records/>

Goals of Records Management

- ⌘ Develop and implement sound record keeping practices
- ⌘ Identify, appraise, locate, manage university information resources
- ⌘ Maintain consistent record keeping practices
- ⌘ Satisfy statutory requirements
- ⌘ Generate fewer records, but better records

Information as a Resource

- ⌘ Manage information as an institutional resource
- ⌘ If we think of information as a resource, then we see records and information as not just so much paper and so much data, but we see records and information as having certain values.
- ⌘ The values will dictate the time and effort required to manage the records and information.
- ⌘ The outcome should be information resources which are more useable, more effective, and helps accomplish the mission of our organization.

Employee Responsibilities

- ⌘ 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 and State records policies

Employee Responsibilities

- ⌘ If you do not have records retention schedules for your records, work with appropriate staff to get them developed and approved.
- ⌘ Be in touch with department IT staff, data administrator, technology specialist, etc.

Employee Responsibilities

- ⌘ Be aware of the need for extra attention to electronic records--storage, access, security, etc.
- ⌘ If you have records schedules, implement them systematically.
- ⌘ Familiarize yourself with ARMS web site

What is a public record?

Short answer:

Documentation of public decisions and transactions . . .

What determines records status?

⌘ Content

- ☒ Interprets or executes policy
- ☒ Record of important meetings
- ☒ Documents accountability
- ☒ Facilitate department action or process
- ☒ Conveys an action
- ☒ Supports a transaction
- ☒ Supports or conveys a decision

How does records management process work?

- ⌘ Identify your records; what are they, where are they, what format are they in, who has responsibility for official record (records inventory)



Balancing Act

- ⌘ Violation of public trust / responsibility
- ⌘ Material not available when needed
- ⌘ Opposition has copies of material we don't
- ⌘ Public embarrassment

Retaining Public Records

- ⌘ 4 different reasons : Administrative, Legal, Financial and Historic
- ⌘ May only dispose when authorized by an approved RDA (Records Disposition Authorization)
- ⌘ Most public records now generated electronically
- ⌘ Program /business area determines retention needs: IT has custodial responsibility

Develop Records Retention Policies

⌘ Appraise records values:

- Legal
- Audit
- Administrative
- Historical
- research



Develop Records Retention Policies

⌘ Approval process:

- Campus Records Review Group
- Public Records Board



Campus-wide Records Retention Schedules

- ⌘ UW System-wide policies
<http://www.uwsa.edu/gc-off/records/schedules/>
- ⌘ UW Madison
<http://archives.library.wisc.edu/RM/GENS KED/gensched.html>

Implement Records Policies

- ⌘ Assign responsibility for implementation
- ⌘ Inactive Records Storage: State Records Center
- ⌘ Preservation: University Archives
- ⌘ Disposal

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



Strategy for Managing Electronic Records

- ⌘ Is it a record?
- ⌘ Identify the office of record
- ⌘ Familiarize yourself with office hardware and software

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

Email

- ⌘ Subject to same retention and disposition as hard copy equivalent.
- ⌘ File in an appropriately designated folder.
- ⌘ Determine to manage email within the client or outside of it.
- ⌘ Ideally file related records in the same folder.
- ⌘ Annually, folders should be closed and new ones created.

Email and Metadata

⌘ Critical e-mail metadata includes:

- To, from date subject
- Header information
 - To authenticate path message has taken
- Can include other data
 - Categories (confidential etc)
 - Retention schedule, planned disposition
 - Other . . .

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

Administrative Rule 12- State Policy 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

Administrative Rule 12

- ⌘ Does not require State or Local government agencies to maintain records electronically
- ⌘ If maintain public records in digital format only, then must meet provisions of Admin Rule 12
- ⌘ Maintain accessibility, retrievability, authenticity of records throughout their retention life

Questions

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