Electronic Records Management at MSU

Cynthia Ghering, Director UAHC
Whitney Miller, University Records Archivist
Deborah Gouin, Electronic Records Archivist
Richard Adler, Electronic Records Archivist
Ajay Patel, Information Technologist
Records Management Topics

- What is good Records Management?
- What makes something a record?
- How do we classify and organize records?
- When do we keep or destroy records?
- What is a Records Management program?
- What are the challenges of electronic records?
- How will MSU approach RM in the future?
- What is required to manage e-records?
Records Management is Vital

“Records Management [RM] is intrinsically unglamorous but vital to the efficient running of your institution's daily operations. It is also the essential tool which underpins your institution's legal and regulatory compliances.”

JISC: Joint Information Systems Committee, UK
Why is RM Important?

• Ensure compliance with institutional policies
• Ensure compliance with federal and state laws
  – FERPA, FOIA, HIPAA
• Protect personal information
• Identify and preserve vital records
• Improve efficiency
• Respond to e-discovery requests
• Provide access to historical data
• Preserve MSU’s heritage
Records Management

Records Management (RM) is the intentional management of all records, regardless of whether they are paper or electronic, created in the course of business activities as an institutional asset for legal, fiscal, administrative or historical purposes through the records' entire life cycle.

Electronic Records Management (ERM) applies the same principles in an electronic environment. A successful RM program must now address both paper and electronic records.
Records Life Cycle

Record Life Cycle

CREATION (or RECEIPT) → MAINTENANCE & USE (ORGANIZATION, DISTRIBUTION RETENTION, SCHEDULING, RETRIEVAL) → DISPOSITION → TEMPORARY STORAGE → DESTRUCTION
What is a Record?

A record is “information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.”

ISO 15489 – The International Records Management Standards

Data or information that has been fixed on some medium; that has content, context, and structure; and that is used as an extension of human memory or to demonstrate accountability.

Components of Record

1. **Fixed content**: substance of the record

2. **Structure**: physical character and internal organization of record content

3. **Context**: organizational, functional, and operational circumstances surrounding the record’s creation, receipt, storage and use; also includes creation, modification, and disposition dates and record’s relationship with other records
Records can be:

- traditional/paper or electronic/digital
  - based on its storage media
- active, inactive, or archived
  - based on its current use
- structured or unstructured
  - depending on its form/format
- vital or routine
  - based on its importance
- temporary or permanent
  - based on need for its retention
Records Classification Scheme

• **Record Groups/Series:** A group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity.

• Currently at MSU our university records are organized by the creating office or department.
  – Classification scheme was created in 1970s
  – University organizational structure changes frequently
  – Challenging to maintain scheme over years
# MSU Record Groups

<table>
<thead>
<tr>
<th>Record Group</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>UA 1</td>
<td>Records of the Board of Trustees</td>
</tr>
<tr>
<td>UA 2</td>
<td>Records of the President's Office (and directly sub-ordinate units)</td>
</tr>
<tr>
<td>UA 3</td>
<td>Records of the Provost (and directly subordinate units)</td>
</tr>
<tr>
<td>UA 4</td>
<td>Vice President for Governmental Affairs - Administration and Public Affairs</td>
</tr>
<tr>
<td>UA 5</td>
<td>Records of the Vice President for Finance and Operations and Treasurer (and subordinate units)</td>
</tr>
<tr>
<td>UA 6</td>
<td>Records of the Vice President of Student Affairs and Services (and subordinate units)</td>
</tr>
<tr>
<td>UA 7</td>
<td>Records of Enrollment Services Office (and subordinate units)</td>
</tr>
<tr>
<td>UA 8</td>
<td>Records of the Vice President for University Relations (and subordinate units)</td>
</tr>
<tr>
<td>UA 9</td>
<td>Records of Administrative Committees (deal with issues that cross over individual unit divisions)</td>
</tr>
<tr>
<td>UA 10</td>
<td>Records of the Vice President for Development (and subordinate units), The Alumni Association, and the Personal Papers of Alumni</td>
</tr>
<tr>
<td>UA 11</td>
<td>Records of the Vice President for Research and Graduate Studies (and subordinate units)</td>
</tr>
<tr>
<td>UA 12</td>
<td>Records of Student Organizations</td>
</tr>
<tr>
<td>UA 13</td>
<td>Miscellaneous Central Administration Records (including commencement records and memorial occasion records)</td>
</tr>
<tr>
<td>UA 14</td>
<td>Records Relating to Academic Governance (including Academic Senate, Academic Council, Secretary for Academic Governance, and subordinate committees)</td>
</tr>
<tr>
<td>UA 15</td>
<td>Records of the Colleges</td>
</tr>
<tr>
<td>UA 16</td>
<td>Records of Teaching, Research and Service Units within the University</td>
</tr>
<tr>
<td>UA 17</td>
<td>Personal Papers of Faculty and Staff</td>
</tr>
<tr>
<td>UA 18</td>
<td>Records of Affiliated Faculty and Staff Organizations</td>
</tr>
<tr>
<td>UA 22</td>
<td>Records of Units Defunct in 1974</td>
</tr>
<tr>
<td>UA 23</td>
<td>Records relating to Interuniversity and Regional Programs</td>
</tr>
<tr>
<td>UA 24</td>
<td>Vice President of University Programs (created in Jan. 1995)</td>
</tr>
</tbody>
</table>
Records Retention

• **Retention Period**: The length of time a given record series is retained for administrative, legal, and historical reasons.

• **Retention Schedule**: A set of policies and procedures that identify and describe an organization's records. Retention schedules provide instructions for the disposition of records throughout their life cycle.

• Current MSU retention schedules are based on *function* of the records:
  – Academic
  – Administrative
  – Financial
  – Personnel
Current MSU Retention Schedule

ADMINISTRATIVE

Schedule Number : 108.98
Schedule Approved Date : General
Title : Correspondence, General
Disposition : 2 years
Disposition Description : Retain in office for 2 years or as long as it is active, then destroy.
Functional Category : Administrative
Description : General inter/intra and non-institutional office communication that deals with the operation of a campus unit and its personnel. This communication can be in the form of notes, memorandums, or letters that have no historical, long-term value.
Offices : Any
Records Management Program

A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses the creation, maintenance and use, and disposition of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, publicizing the program, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

Federal Records Management Glossary
Elements of RM Program

- Policies and Procedures
- Records Inventory
- Records Retention Schedule
- Records Coordinators
- Records Advisory Committee
- Audit and Evaluation
- Vital Records and Disaster Plans
- Long Term Preservation
- Disposal and Destruction
- Training and Guidelines
ERM Challenges

- Redundancy hinders disposal implementation and complicates legal discovery
  - multiple versions of a document
  - multiple storage locations
  - multiple printed copies and stored for later use
- Inconsistent arrangement by records creators complicates:
  - retrieval of records
  - legal discovery
  - disposition of records
  - sharing records
- Reactive decision-making risks loss of records
  - can’t wait until boxes are dropped off
Vision for New RM Program

- Manage *active* records as well as inactive
- Develop policies and procedures
- Create a “Records Advisory Committee”
- Utilize unit “Records Coordinators”
- Develop training and guidelines
- Help develop *reliable* information systems
- Provide preservation environment for university’s permanent e-records
Next Steps for MSU’s RM Program

- Inventory MSU business records
- Evaluate and update records retention schedules
- Identify Records Coordinators & Advisory Committee
- Revise records classification schemes
- Identify “metadata” associated with records
- Identify vital records and develop disaster plans
- Prepare university RM policies and procedures
- Develop *trustworthy information systems* for electronic records
Trustworthy Information Systems

• **Authenticity**: typically inferred from internal and external evidence, including an object's origin, physical characteristics, structure, content, and context.

• **Integrity**: whole and unaltered through loss, tampering, or corruption.

• **Reliability**: created by a competent authority, according to established processes, and being complete in all formal elements.
MSU Information Management Maturity Level

- **Level 1: Aware**
  - There is awareness that problem exists but organization has taken little or no action.

- **Level 2: Reactive**
  - Awareness and action occur in response to issues. Action is either system or department specific.

- **Level 3: Proactive**
  - Information management is part of the IT Charter and enterprise management processes exist.

- **Level 4: Managed**
  - Information is managed as an enterprise asset. Well-developed governance mechanisms exist.

- **Level 5: Optimized**
  - Information management is a strategic initiative with well-developed governance mechanisms including monitoring processes for continuous improvement.

- **Current MSU IMM level**

- **Desired MSU IMM level**
Improving IMM: Seven Facets to Consider

- Data Security and Confidentiality
- Records Management
- Business Rules Coherence
- Data Usability
- System Development Life Cycle
- Data Coherence
- Systems Integration
ERM Functional Requirements

• Declare records and classify
• Assign unique ID number to records
• Approval process for records disposition
• Purge records that have met retention
• Suspend records disposition
• Query records in system
• Add descriptive metadata
• Audit trail
ERM Functional Requirements (cont)

- Metadata and records must be bound together for contextual understanding
- Security control and access
- Ensure records are accessible
- Enforce version control
- Preserve records and metadata for historical purposes
Implementing ERM requirements

ERM functional requirements can be addressed:

- Policies
- Procedures
- Systems
  - dedicated ERM systems
  - enhancements/configuration of business systems
- Services
  - automated (software components)
  - manual (archivists and records managers)
Conclusions

• We need good records management at MSU.
• Good records management practices should apply to both print and electronic records.
• Good records management can be achieved by a combination of policies, procedures, systems and services.