UDC/DSI Records Management Review and Recommendations Study Summary

January 16, 2014

Objective of the Study

- To identify and recommend the steps required to modernize UDC records management infrastructure and policies.

- To recommend steps for restarting the ORM scanning operation based on best practices and a modernized infrastructure.

Summary of Study Recommendations

- Establish a UDC Records Management infrastructure
  - Benefits:
    - Ability to store and find, content having legal, historic, and/or business import.
    - Decrease the requirement for physical records storage
    - Standardized tools and procedures for scanning, indexing, retention and destruction of UDC records
- Implement a Sustainable Records Management Program
  - Benefits:
    - Compliance with Mayor's Order 2007-50
    - UDC-wide awareness of Records Management
    - Ability to defensibly destroy records based on established retention policies.

Current Challenges

- No (approved) University-wide records policy or records schedule for retention/destruction.
- Student records and other documents are in multiple places
  - Online, in Banner PROD/PROD replica, LegacyAX and OCTO data bases
  - In 1,052 boxes in multiple locations (Bldg 41 (multiple rooms); Taylor Street warehouse; other city warehouses; Learning Resource Center.
- Office of Records Manager (ORM) – Scanning has been in "Hold" status for several years, awaiting both an approved retention/disposition policy, as well as resolution of a hardware/software compatibility issue.

Current Opportunities

- Implement technical platform to support records management. Use a vendor-provided, JITC-certified, Records Management Application. Integrate RMA with Banner.

- Define UDC Records Management policy, procedures and retention/disposition schedule. Educate staff.

- Prepare ORM to restart scanning, manage disposition/destruction, utilize DC Archives. Consider management of non-paper records (e.g., video, photos, email).

Proposed Implementation Team

Role	Duties
Project Manager	• Project Schedule • Resource Coordination • Project Reporting
Records Manager SME	• Update and Finalize UDC Records Policy for legal review • Create Retention/Disposition Schedule • Create Records Inventory • Training for departmental records coordinators
ECM Technology Specialist	• Implements Records Management Application (RMA) • Integrates RMA with Banner ERP • Implements Production Scanning Platform
Legal Counsel (UDC)	• Reviews records retention policy
On-site Production Imaging Team	• On-site team to staff the production scanning platform • Scanning and indexing and q/c for an estimated 1,052 boxes
Departmental RM Coordinators	• Works with Records Manager SME to identify records classes, index fields, and retention/disposition schedules