Sharing Practice:
Records Management in a Research Data Management World

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In a nutshell...

Proposals  System Design
Project Management  Data Collection
Sampling  Data Processing
Instrument Design  Reports & Analysis

20-30 active projects per year, ~140 employees
A Typical Process

• Assessing the situation
• Retention and guidelines
• Training and outreach
Assessing the Situation

• Regulatory/Compliance Environment
• Records Survey
• Research/Business Task Analysis
• Strengths & Challenges
Regulatory/Compliance

- Sponsored Project Contracts & Grants
- SRO Best Practices
- U-M Standard Practice Guides
  - 604.1 Finance
  - 201.22, 201.45 Human Resources
  - 601.8, 601.8-1 University Records
  - 601.11, 601.12 Security, Privacy, Data Resource Mgmt.
  - Guidelines on eDiscovery, FOIA, Stewardship
- University Records Manual – Bentley Library
- CFG 45.46.115 IRB, FERPA, HIPAA, etc.
Records Survey
Research/Business Task Analysis

- Documentary Sources
- Interviews
- Identify the gaps
## Strengths and Challenges

<table>
<thead>
<tr>
<th><strong>Strengths</strong></th>
<th><strong>Challenges</strong></th>
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</thead>
<tbody>
<tr>
<td>Admin Support</td>
<td>Starting from scratch</td>
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<td>Technical resources</td>
<td>Extreme variety of formats</td>
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<td>Complete records</td>
<td>Large backlog</td>
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<td>Flexible/Adaptable workforce</td>
<td>Large research workload</td>
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<td>Institutional memory</td>
<td>Limited existing classification</td>
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<tr>
<td>Best practices</td>
<td>Stringent security requirements</td>
</tr>
</tbody>
</table>
Retention Schedule

- Granular
- Accessible
- Annually reviewed
- Defensible destruction

<table>
<thead>
<tr>
<th>Activity</th>
<th>Transaction Records</th>
<th>Retention</th>
<th>Disposition</th>
<th>Contains PII?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-Award</td>
<td>Estimates: Work Scope Memo, Budget Values, Budget Justification, Correspondence, Other Documents</td>
<td>15 years or permanent</td>
<td>Archive-Funded Projects Review/Destroy — Nonfunded Projects</td>
<td>N</td>
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<tr>
<td></td>
<td>Pre-Award: Contracts, Memo of Understanding, Contract Modifications, Project Award Notice, Form 7471, Financial Operations Notifications</td>
<td>Permanent</td>
<td>Archive</td>
<td>N</td>
</tr>
<tr>
<td>Management</td>
<td>Financial Setups: CRS Specifications, Correspondence, Other Documents</td>
<td>7 years</td>
<td>Destroy</td>
<td>N</td>
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<td>Management: Process Management Docs: Kickoff Meeting Documents, Project Review Documents, Monthly Project Reports, Cost Reports, Client Reports, Client Meeting Minutes, Other Documentation</td>
<td>10 years or Permanent</td>
<td>Archive — Formal and Final — Interim and Working Versions, Review Other Docs for Archival Value</td>
<td>N</td>
</tr>
<tr>
<td>Sampling</td>
<td>Sample Design and Final Documentation: Correspondence and Minutes, Design Documentation</td>
<td>Permanent</td>
<td>Archive — Formal and Final — Interim and Working</td>
<td>N</td>
</tr>
</tbody>
</table>
Targeted Guidelines

- Email management
- File-naming, digitization
- Archive checklist
- Project closeout

Scanning Planning

- What are you scanning?
  - Physical characteristics
  - Content you are capturing
  - How much?
- How will you access the files?
  - Organization
  - Filename
  - Text search
- Where will they be stored?
  - Sensitive information
  - Storage capacity
Outreach

• Records Day
• “From the Archive” articles
• Annual updates
• Trainings
Changing Practice

• Archiving upstream
  – Real-time selection & appraisal
• Improved documentation
  – Lessons learned, technical systems, knowledge transfer wikis
• Encouraging good behavior
  – File-naming, version control
• Chain of custody
• Operational Efficiency
  – Reduction in storage, shared drive reorganization
What’s Next

• Collaboration platform

• Centralized metadata repository
  – Discovery, paradata, question bank...
  – Ingest from other systems

• Data/documentation repository

• Archival workflows
Thank you!

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