Nomination of University of Virginia Records & Information Management Program for the 2023 NAGARA Program Excellence Award

Summary:

The University of Virginia (UVA) Records & Information Management (RIM) team is a prime example of Program of Excellence. Since 2009, the RIM team has been providing excellence in service, support, and compliance to the University. Managing records in all formats, providing training and guidance, managing requests for Electronically Stored Information (ESI), and assisting departments with records cleanups, as described below, shows their contributions to the University.

The RIM team regularly collaborates with other departments on managing records in paper and electronic formats, reviewing systems for RIM compliance, and supporting various offices in the collection and review of electronically stored information for legal, business continuity, and internal requests.

RIM has been creative and innovative in their response to the needs of the University community, by using technology for training, offering low-cost physical records storage, and providing support to units struggling with managing physical and electronic records through clean-up projects.

Overall, the RIM team serves as a resource to get answers to questions about records and information management and is known for their helpfulness. Based upon their contributions to UVA, the Records & Information Management team deserves to be recognized with the NAGARA Program Excellence award.

Full Narrative

The UVA Records & Information Management Office was created in 2009 from a UVA Process Simplification study, which demonstrated the need to improve compliance with the Virginia Public Records Act, reduce costs for storage of paper records, and begin to manage records in electronic formats. UVA was keeping information longer than the required retention periods, storing physical records in locations that did not protect them from damage and theft, and lacking proper training and guidance to staff and faculty on managing their information (in all formats).

Caroline Walters, University Records Officer, leads the RIM team reporting to Information Security. The RIM team currently reports to Audit and Compliance. The RIM team currently includes 3 FTEs, Caroline, Jessie Graham (Electronic Records Manager) and Anita Vannucci (Senior Records Analyst). Previous staff members include Lori Kressin, Jessica Burgess, and Esther Grace. All have contributed to the program's success.

Over the past 14 years, the RIM team has assisted in multiple clean-outs of old paper records stored in basements, UVA owned warehouses, contract U-store-it locations, storage rooms in

various buildings and even an old/empty pool. RIM is not afraid to enter dark and dirty locations, finding spiders (and other larger critters) and moving heavy boxes. By using Gimmal Physical (Infolinx) and a contracted storage vendor (Patterson Pope/FileSolve), the RIM team has moved thousands of boxes to secure storage, with proper indexing and retention time periods assigned. Many more boxes having met retention were destroyed.

The University Records Management Application (URMA) also known as Gimmal Physical (Infolinx) was implemented in 2012. This allowed for the management of physical and electronic records in connection with the records retention schedules approved under the Virginia Public Records Act and the Library of Virginia. Integration with the system provides a searchable database of the records series approved for university use to staff and faculty via the RIM website (www.virginia.edu/recordsmanagement).

Departments wanting to use the off-site storage vendor, are required to enter boxes into the URMA system, so the RIM team can manage the pick-up, delivery, and requests for scan-on-demand services electronically via the system. Departments may also enter other physical records and electronic records into the URMA system to track retention that are stored onsite (in approved storage locations) or electronically on servers or in systems. Twice a year (January and July) the RIM team contacts offices to approve destruction of records in URMA that have met retention. Via simple phone call or virtual meeting (Zoom or Teams) the department and Records Officer (Caroline) review the records and perform the electronic approval for destruction. Many departments enjoy this annual or bi-annual check-in and always comment about how easy this process has been made with RIM's help.

RIM held annual Records Management Days until 2017 and brought shredding trucks to grounds (campus) so offices could bring paper records that had met retention for secure destruction. Several years also included a grinder to destroy electronic hard drives and media. These one-day events resulted in more than 100,000 lbs. of paper being destroyed securely.

The RIM team worked closely with Information Security on procedures for the redaction of Social Security Numbers (formerly used as ID numbers for employees and students) from paper records, and reviewing system needs for this information. Many Records Management Days included destruction of paper records containing SSNs that offices were not sure they could destroy.

The RIM team worked with UVA Recycling, with the Records Manager from the UVA Medical Center, Ben Smith, to change the recycling services available to include secure shredding services. This expanded service, along with the continued transition to electronic records keeping, made the annual Records Management Day obsolete.

From 2009 through 2019, RIM, along with Compliance and Information Security, hosted an annual one-day conference for staff and faculty of the University. Initially called the Records Management Conference, and then called ISPRO (Information, Security, Policy, and Records) Conference. This conference provided education for staff about records management,

information security and other related topics presented by UVA units including Internal Audit, Compliance, UVA Recycling, Organizational Excellence, Document Imaging Support, Research, and the Freedom of Information Act (FOIA) Office.

The RIM team collaborated with the UVA Clinical Trials Office on the management of clinical trial records, including consolidating study information so that RIM could contact study sponsors for permission to destroy in compliance with federal and state regulations, and contractual agreements. This removed the burden of managing old study records from the clinical trial coordinators whose time was needed to manage active studies. This process also provided the investigational pharmacy office with a solution to the management of their paper and electronic records connected to clinical trial studies.

Through a robust training program, the RIM team provides in person and virtual training to departments, offices, and units across the University. They also continue to update training and find new ways to share information through on demand videos. In 2020, when University employees went home to work during the pandemic, the RIM team already used Zoom for virtual training, and increased training for faculty and staff as the transition to electronic records went into overdrive. During April and May 2020, over 1200 people attended virtual records management sessions focused on the challenges of work from home and managing information in the electronic environment. No employees were required to take this training, but they did so voluntarily based on the reputation of RIM and the high-quality services they provide. Most recently, RIM divided 2 hour classes into 20-minute segments, making it easier for employees to attend and digest the information.

As a result of being part of Information Security, the RIM office took the lead in requests for Electronically Stored Information (ESI) in connection with litigation, Freedom of Information Act (FOIA), internal investigations, and business continuity. Through a long process of requests, RIM successfully received one-time funding to contract with an eDiscovery vendor for a secure platform to review ESI. Continuing funding was granted in 2020 for this contract, and the University realizes significant savings over hiring outside eDiscovery services. Having an internal system allows use for small cases that would be cost prohibitive with an outside vendor. When the RIM team moved reporting lines in 2017 to Audit and Compliance, the responsibilities for ESI requests stayed with RIM.

RIM regularly communicates with University Archivist, Lauren Longwell, on the identification and transfer of records with possible historical value. The RIM team is constantly on the lookout during clean-ups (paper or electronic) for records which represent the activities and events of a large research University to document the history of the 200+ year old university. RIM uses legal hold processes within Microsoft365 (M365) to preserve emails of those UVA leaders whose correspondence is considered historical. Review of previous leaders will use the eDiscovery platform to review historical email and communications.

UVA implemented M365 in 2017-2018, and RIM was part of the implementation team and was involved in the system's settings. Purview was then called the Compliance Center, and RIM was granted administrative access (Records Manager and eDiscovery Administrator roles). The RIM team implemented and trained users on retention labels for better email management. These labels are now available to users for managing documents in OneDrive, SharePoint, and Teams. In 2023, the RIM Team successfully launched a system wide retention for Chat in M365 Teams environment and will continue to enhance the use of the Purview functionality for records management.

In conjunction with the pandemic change to electronic records in 2020, the RIM team explored and launched a simple shared drive clean-up service. Using TreeSize, the RIM team meets with individual offices, scans their drives, and provides guidance and support as the department cleans-up the drive and organizes the information. In many cases, where departments worked with RIM to tame their large unorganized shared drive, they learned the RIM team could also assist with their paper records in their offices.

The University and RIM have always had a strong commitment to professional development and collaboration outside of the University. The RIM team has always been professionally active through national and local associations including VAGARA, NAGARA, ICRM, ARMA and AIEF. RIM has also held virtual meetings with records officers from other colleges and universities within Virginia and across North America. RIM currently runs a mailing list on UVA Sympa service for college and university records officers. Through association participation, including presentations at conferences, the RIM team has built a solid reputation as a strong RIM program and a helpful colleague.

The RIM team has collected several letters of support attached to this nomination and has been overwhelmed by the response and wonderful comments from their vendor partners and "customers" within the University.