Records Evolution at UC San Diego

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What Next?

Morning program learning:
• Design our processes with the end in mind
• Ensure we comply with applicable laws
• Consider the security of our records
• And understand the privacy impacts of storing various kinds of records

Whew! That’s a lot to think about.

Where do we even begin?
A Record’s Lifecycle - Five Stages

- Creation
  - Records Produced
- Distribution & Use
  - Transmitted to other users
- Storage & Maintenance
  - Classified, filed and stored
- Retention & Disposition
  - Become inactive, may be destroyed or preserved long-term
- Archival Preservation
  - Permanently preserved
What does this look like in practice?
Physical records:

- Physically creating a document, writing something, printing something, chiseling onto stone…
- Find a place to put the document – this takes up room in the real world and takes up valuable real estate in office buildings
- Decide whether to lock up the location and who gets a key
- Keep a record forever, in which case actual physical storage comes in to play: boxes, cabinets, rooms, etc.
- Destroy a record: recycle, shred, pulp
- Someone must actually physically move records from place to place
Physical records -
Benefits:

• Longevity
• Archival technology is robust
• Easy to secure
• Training is straight forward
• Destruction is simple, once it’s gone, it’s gone
Physical records –
Down sides:

- Time and effort needed to locate records can be exorbitant
- They take up lots of space
- Can be damaged by water, fire, sun
- They are difficult to manage in bulk
- If you have to move them, it can be time-consuming
- If there is only one copy, that increases institutional risk
- Difficult to share
Electronic records:

- Electronic records can be created manually or they can automatically generated via a computer program or system.
- Electronic Records come in many formats including: text, image, sound, and system-generated data.
- Electronic records can come from anywhere – they might be generated by someone at UC San Diego or they may be created elsewhere and sent to us.
Electronic records – (not in a system):

- Electronic records not stored in a system might be kept on shared drives, thumb drives, on hard drives, CDs or other storage devices.

- These records may be organized, that is, they may be labeled and located in files with structure but their management is still manual.

- These records are portable, easily distributed and, depending on the storage medium, easy to secure.

- They are not optimized for archival preservation.
Electronic Records Systems vs. EDMS

**Electronic System**
- Records are created and/or stored in a contained system
- Examples include: ISIS, VAC, PPS, Kuali, TRIRIGA, Marketplace, etc.
- Designed for a single purpose: the system does what it does

**Electronic Data Management System**
- Can talk to other electronic systems and ingest records
- Highly configurable
- Has records management functionality
- Can be designed to be secure to very high standards
Electronic records – Benefits and Downsides:

- Portable
- Easily shared
- Easily copied
- Takes up little physical space
- Records easily located

- Portable
- Easily shared
- Easily copied
- Require specialized equipment and knowledge to maintain
- Software can be costly to maintain
- Must be backed up
- Archival preservation techniques are still developing
EDMS – What are the benefits?

- Allows for work to happen “in the system” ie: no more emailing documents
- Sharing occurs in the system ie: more secure
- The system has version control ie: no more updating the wrong drafts
- Work flows and collaboration can be built into the system along with the transparency required to allow all relevant actors to see the status of an action (ex: signature item)
- Audit and compliance features can be built into the system
- Every action taken in the system is recorded ie: if there is a misappropriation or breach, it is more easily traceable
OnBase is coming to UC San Diego!
OnBase – How do we get here?

Remember the video at the beginning of this presentation? We talked a little bit about creating a file plan.

Prepping your records environment is the first step in preparing for incorporating your records into an EDMS system.

The next step is documenting all processes that would be moved into the EDMS. (We can help with that too!)
Policy & Records Administration

- Departmental consulting
- Training
- Records Review
- Retention Assistance
- Questions Answered

If it’s records related – we can help!
Contact Us

http://rmp.ucsd.edu/policy-records/

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