

RIMS

RECORDS AND INFORMATION
MANAGEMENT SERVICES

ANNUAL REPORT FY 2019

UNIVERSITY OF ILLINOIS SYSTEM
URBANA-CHAMPAIGN • CHICAGO • SPRINGFIELD

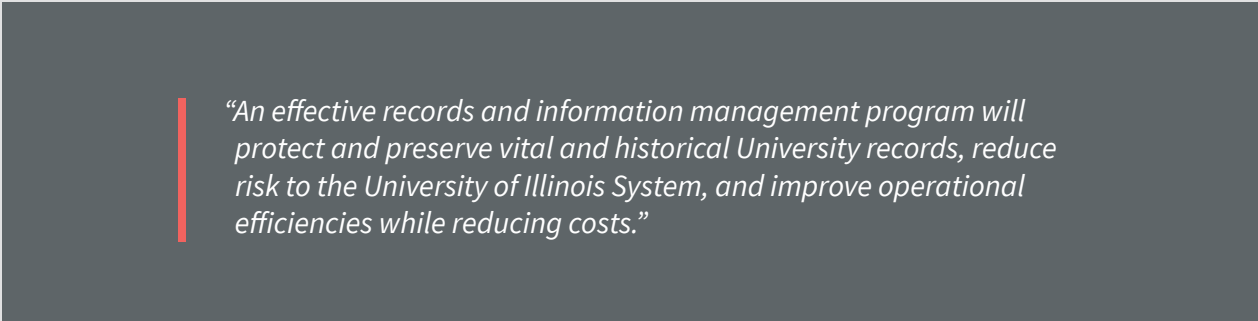
UNIVERSITY OF ILLINOIS

ADMINISTRATIVE INFORMATION
TECHNOLOGY SERVICES
BUILDING

50 E Gerty Drive

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“An effective records and information management program will protect and preserve vital and historical University records, reduce risk to the University of Illinois System, and improve operational efficiencies while reducing costs.”

The Records and Information Management Services office focuses on improving operational efficiencies for the University of Illinois System while being mindful of the need for securing our information assets. We do this by coordinating our activities across all Universities within the University of Illinois System. We consult with individuals from various offices that focus on information security, data management, compliance, and audit. We seek out opportunities to draft guidance and best practices documents that clarify requirements for managing records and other information assets.

In an effort to reduce operational costs for departments and free up space that can be assigned to more high value functions, we provide storage for inactive records not yet eligible for purging. Storage is conveniently located directly on the Urbana, Chicago, and Springfield campuses.

Acting as a conduit to the University Archives on each campus, RIMS helps departments identify records having archival value and we facilitate getting those records into the care of the University Archivists.

We are cultivating a long-standing partnership with the State of Illinois through our work with the Illinois State Archives (ISA). This work is currently focused on finding a practical means of preserving electronic records. We are taking what we learn through our work with ISA and leveraging it to benefit the University of Illinois System. Project outcomes have in turn helped us gain a strong foothold in the academic digital preservation community by creating opportunities to present at and host international conferences.

In this report we outline our achievements for FY19 and underscore opportunities for further engagement moving into FY20.

OVERVIEW

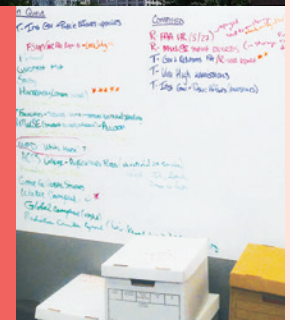
"I want to thank you for your assistance and also to express sincere gratitude to you... There was no way that I would have been able to accomplish the task as consistently and thoroughly..."



"I am amazed that (your student) was able to complete the folder-level inventory in such a timely manner. Much Appreciated!"



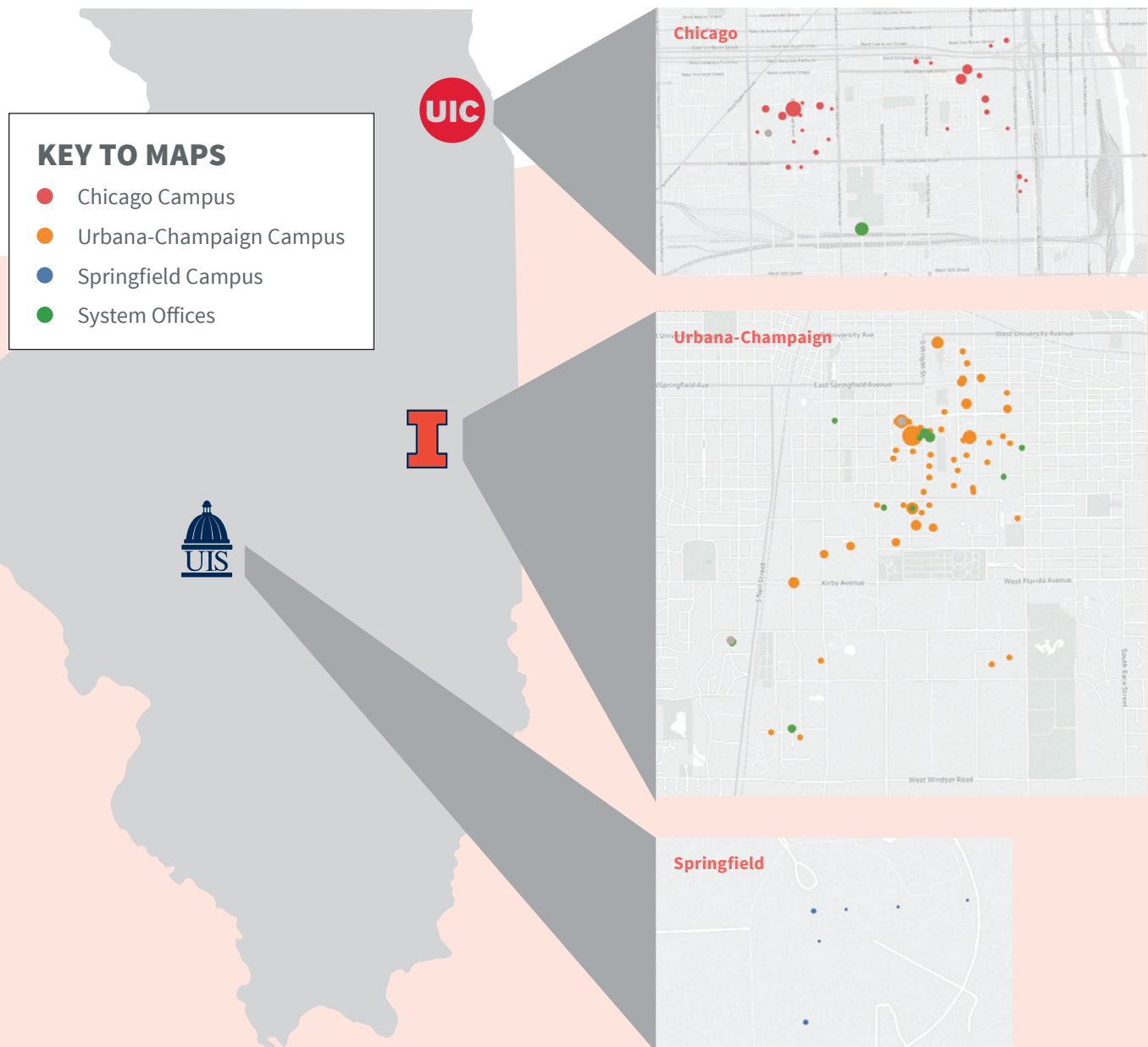
"Thanks again for all your help ... We now have a plan going forward and I feel much more confident in implementing a comprehensive records management program."



DIRECT SUPPORT

During FY19, RIMS responded to 317 unique inquiries through our Service Desk. We worked with over 147 distinct units seeking some level of assistance. Of these units, 50 were from Chicago, 11 from Springfield, 68 from Urbana-Champaign, 16 from System-level Offices, and 2 from individuals or organizations outside the University.

The below diagram provides a view of the physical reach of our work within the University of Illinois System. The bubble colors represent the unit's university (UIC, UIS, UIUC, System Offices, or multi-university efforts). The bubble size represents the number of activities RIMS worked on with that particular unit—the larger the bubble the greater number of activities.



RIMS GUIDANCE

During FY19, we answered common records and information-related questions through the ticketing system with support from our training resources and revamped website. We also provided guidance to the university community through internal presentations at the IT Pro Forum and BPI Community series events as well as through departmental-level meetings.

“Records Management 101” was completed during FY19 bringing easy access to RIMS guidance through short online videos aimed at beginners or those who just want to brush up their knowledge.

RECORDS STORAGE SUPPORT

Support for paper records storage continues to be a valuable service offered by RIMS as indicated by the number of distinct inquiries we received, storing an additional 1,770 cubic feet of paper records for various departments across our Universities. In addition to supporting these requests, we increased our records storage capacity in both Chicago and Urbana.



OUTREACH

The RIMS team was very active in outreach activities during FY19. We participated in many presentations, workshops, guest lectures, and webinars that spanned across venues. Many were geared toward University-specific audiences, while others catered to national or international audiences.

Outreach activities focused primarily on expanding RIMS-awareness and best practices or sharing information related to ongoing applied research with the State of Illinois Archives related to email appraisal using machine learning software tools.



SAA Conference

August 2018 | in-person presentation highlighting work on our grant-funded project related to machine learning and archival email.

BPI Community Series (2)

August 2018 and June 2019 | in-person presentations providing a general overview of RIMS.

IT Pro Forum

April 2019 | in-person presentation on DocuSign.

iPres Conference

September 2018 | in-person presentation and published paper on research project related to machine learning and archival email.

Law School Guest Lecture

November 2018 | in-person guest lecture on machine learning tools for e-discovery.

Oregon State Archives Web Presentation

January 2019 | web presentation/discussion on research project related to machine learning and archival email.

Library Research Showcase

February 2019 | in-person presentation on research project related to machine learning and archival email.

Elucian Live Conference

April 2019 | in-person presentation on the use of BDMS Xtender in the context of records management.

MAC Conference

April 2019 | in-person workshop presented on records and information management.

Uni High Agora Days Program

February 2019 | in-person multi-day computational archival science class for high school students.

National Archives Webinar

February 2019 | webinar presentation on research project related to machine learning and archival email.

IT Community Conference

May 2019 | in-person poster at Chicago promoting RIMS.

IT Pro Forum

June 2019 | in-person poster at Urbana promoting RIMS and soliciting feedback on IT data management recommendations.

OBFS BAC Program

June 2019 | in-person class presented in tandem with IT Security in support of OBFS Business Associates Certification program.

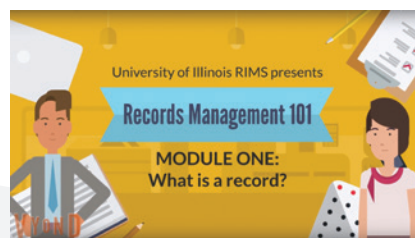
ACHIEVEMENTS

Beyond conducting our daily work supporting compliance requirements with records and information management, we achieved several other notable accomplishments.



TRAINING

Front and center, the completion of a series of four basic RIMS training videos delivered via our website has set us up to provide better support across the University by encouraging self-paced learning. The training videos are designed to answer common questions about records and information in a simple, easy-to-understand manner and to augment in-person instruction. Designed to keep the viewer engaged, each of the four modules can be completed in approximately five minutes. Closed captioning is available, as is a full transcript.

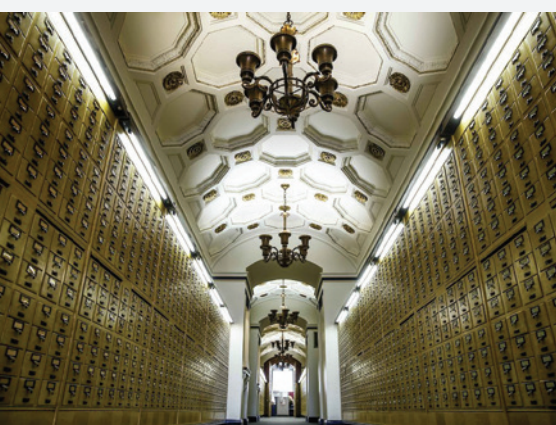


RESEARCH

Work continued throughout FY19 on a grant-funded project with the Illinois State Archives. The project is bringing hope for a sustainable workflow designed to handle email with long-term or archival value. Project findings suggest machine learning tools can significantly reduce the review process for appraising electronic records. The end result of the project will be a stand-alone machine at Illinois State Archives containing email messages available for review by researchers.



Joshua Hackel, project student assistant



Illinois State Archives catalog room

SPECIAL PROJECTS

We provided direct support to 2 unique projects at UIC. One focused on student records and the College of Medicine. The other project involved records retention inquiries related to the John Marshall Law School merger. Improving methods to provide quicker, more reliable access to records and helping identify compliance requirements for records retention are core to RIMS objectives.

Spring of 2019 also marked the launch of our pilot “records assessment” program aimed at assisting the archivists in review, appraisal, and processing of archival records. Beginning with Urbana, we worked with two graduate students from the i-School to conduct the preliminary inventory and archival review of administrative records. During this initial pilot phase, the students were able to review over 400 cubic feet of materials and ready them for disposal or transfer to the Archives. Beyond the inventory and review stage, we are developing opportunities for the students to work directly with the Archives staff to gain experience with archival processing so the materials can be made publicly available.

The completion of a long-awaited RIMS Communication, “Managing Orphaned Data,” was the product of a multi-year task force assignment led by RIMS team members. In FY19, we published a RIMS Communication and guidance regarding the handling of “orphaned data” on the RIMS website.

The expansion of our records storage capabilities in Chicago and Urbana is another FY19 notable achievement. Total storage space has been increased by over 1,770 cubic feet bringing our total capacity to over 10,000 cubic feet. The physical storage space provided by RIMS reduces the need for units to store their records within higher-value office space or to rely on external records storage vendors. This benefit, in turn, saves the units and the Universities real dollars by freeing up office space and minimizing the need for vended storage. Supporting on-campus controlled storage also makes timely disposal of our records according to retention requirements more likely.

RIMS played a facilitative role in the hosting of the Joint Conference on Digital Libraries (JCDL) held in Champaign. JCDL draws academics and practitioners across the globe to discuss the challenges and opportunities of creating and managing a broad array of digital content, much of which is then made available for further research and instruction.



UNIVERSITY OF ILLINOIS URBANA-CHAMPAIGN • CHICAGO • SPRINGFIELD Managing Orphaned Digital Content Communication 006

Introduction

As a state agency, the University is expected to manage its information resources in an accountable, efficient, and effective manner. The University must manage its information to avoid the loss of valuable content. Moreover, the University must also regularly eliminate terminated accounts and Orphaned Digital Content*, due to the risks associated with security breaches, compliance, and litigation costs associated with storage and retrieval as well as the expense to monitor and maintain these services.

Responsible Party

The Service Center** for each IT System and Service is responsible for managing Orphaned Digital Content.

Managing Orphaned Digital Content

For each IT System and Service used within the University of Illinois Systems, the Service Center is expected to establish and follow a written process by which Orphaned Digital Content is routinely identified, purged or transferred to the custody of an Appropriate Party†. This applies to all Orphaned Digital Content regardless of the cause for being orphaned (e.g., misadventure, termination of account, retirement, loss of affiliation, or withdrawal) or where the content resides, (e.g., University owned or controlled devices, personally owned or controlled devices, or devices owned or controlled by a third party under contract obligations with the University). Such written processes should be clearly published and easily accessible by affected end users.

Related Information

- University Records and Other Information Assets – RIMS Communication 005
- RIMS Quick Help guides

*The responsibility for management of security records is indicated by the State Records Act (SRA) (20/05/19).

†Orphaned Digital Content is information asset left behind by University-owned individuals (employees, students, affiliates, etc.) after termination of service.

**The Service Center is considered the primary IT manager responsible for providing access to a digital repository space.

†An appropriate Party is someone with responsibility and business needs similar to those of the individual who originally created or had responsibility for the digital content, i.e., a unit manager, systems administrator, or the Service Center (in some instances, the Appropriate Party may be the University, a faculty or a designated manager of research data).



FY20 OBJECTIVES

During FY20 RIMS will work to support the mission and underlying vision of the University of Illinois by offering services and expertise that help us meet our records and information management responsibilities in the most cost effective manner. Our chief objectives will be improving the delivery of our services, supporting the services of other departments geared toward process improvements, and advancing applied research as it is relevant to managing electronic records or supporting our University Archives.



SPECIFIC OBJECTIVES

1

Completing revisions to records retention schedules

2

Revamping outreach strategy via overhaul of web published content and training guidance

3

Assisting units in managing digital content

4

Providing support to University-wide training and process improvement efforts

5

Assisting units with records inventory projects

6

Supporting applied research as it applies to RIMS work

CONTACT US

**RECORDS AND
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