

State & Local Government Records Management



*October 19, 2017
Exhibition Hall - Alliant Energy Center
Madison, Wisconsin*

Welcome!

Welcome to the inaugural State & Local Government Records Management Conference. The Wisconsin Department of Administration and the State Records Center are excited to provide this educational and networking opportunity.

The conference is designed to provide public employees with tools to effectively manage important government documents and records, which is the foundation of a transparent and open government. We will learn and share thoughts and experiences by networking with our peers to improve and enhance our abilities as records managers and custodians.

Let's have a great conference!

*Cate Zeuske,
Deputy Secretary, Department of Administration*

*Building a solid foundation today for strong electronic records
management tomorrow*

Records Management Conference Website
<http://www.doa.wi.gov/RecordsManagementConference>

General Details

Conference Location

The conference will be held in Exhibition Hall – Alliant Energy Center. The address of the Alliant Energy Center is

1919 Alliant Energy Center Way
Madison, WI 53713

Event Information-Registration Desk

The conference planning team will be available to answer any questions at the centrally located, first floor registration desk.

Registration Fee

A \$60 fee is required to attend the conference, which includes parking, breakfast, and lunch.

Meals

The registration cost includes the continental breakfast, luncheon, and breaks.

Parking

Parking is included with your registration fee. If asked when entering the parking area, please tell the attendant you are with the State & Local Government Records Management Conference. Parking is available at each hotel for registered guests.

General Notes

Casual business attire is recommended. As a courtesy to others, please program all cellular telephones and pagers to mute or vibrate.

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General Session Descriptions

Opening Session (8:30 – 9:45 a.m.)

Keynote Speaker: Kathleen Roe, former Director of Archives and Records Management Operations at the New York State Archives



New York State Archives, Albany, New York

Kathleen Roe will provide a big picture view of the full circle of records retention at the local, state, and national levels as records move toward becoming assets in an archive collection. Additionally, she will explain the value of a sound records management program and how it ultimately affects the ability to collect quality state and local records for permanent preservation.

Transitioning to Electronic Recordkeeping: The National Archives, Digital and Open Government (11:45 a.m. – 1:00 p.m.)

Luncheon Speaker: Megan (Meg) Phillips, National Archives & Records Administration (NARA) External Affairs Liaison



National Archives & Records Administration, Washington, DC

Meg Phillips will discuss the development of a robust electronic records program in the Federal government, and how NARA garnered management support for the effort. She will also address challenges faced, lessons learned, and—most importantly—the successes that resulted.

Conference Wrap Up with State Experts (2:45 – 4:00 p.m.)

Panel:

The closing panel will provide three different perspectives on records management. They will speak to the responsibilities of the Public Records Board as well as the connections between the State Records Center and the Wisconsin Historical Society in the management and transfer of historically significant records. They will discuss the value of public records and the important role that records officers play in ensuring the preservation of the state's memory. Additionally, they will discuss the potential challenges with an electronic records management program and hold a Q&A session to conclude the conference.

Breakout Session Descriptions

Track 1 – Electronic Records Management Today and Tomorrow

Session 1 – Current State of Electronic Records in Government (10:00 – 10:45 a.m.)

The presenters will share information on electronic management projects currently being completed throughout the State of Wisconsin. The Department of Administration, Division of Enterprise Technology will share information on current state efforts in the field of OnBase implementation, and the Village of DeForest will share their efforts, successes, and lessons learned in the implementation of Electronic Records Management (ERM).

Learning Objectives:

- Identify what is currently being done with ERM at the state and local levels
- Identify ERM issues that managers and experts are currently working on and lessons learned
- Gain an understanding of the Wisconsin Historical Society's (WHS) Wisconsin State Preservation of Electronic Records (WiSPER) grant project

***Presenters: David Meyer – Technical Architecture & Project Management Bureau Director, Department of Administration/Division of Enterprise Technology
LuAnn Leggett – Deputy Administrator/Village Clerk, Village of DeForest
Abbie Norderhaug – Assistant State Archivist, Wisconsin Historical Society***

Session 2 – Implementing Electronic Records Management (11:00 – 11:45 a.m.)

Electronic records are records too but the implications of that truism are not always clear to the records creator. Brad Houston will cover the key elements of electronic records management for creators to think about as well as successful and unsuccessful approaches to education in this area.

Learning Objectives:

- Learn how to identify important considerations to address when establishing an electronic records management program
- Recognize and learn to avoid common mistakes that are made with ERM programs
- Understand the planning that needs to be completed to begin implementing an ERM project
- Learn the approaches to receiving buy-in from upper management on ERM efforts and the options for managing e-mail at the staff level

Presenter: Brad Houston – Records Officer and Document Services Manager, City of Milwaukee

Breakout Session Descriptions

Session 3 – Wisconsin Historical Society – Tools to Manage Digital Content (1:00 – 1:45 p.m.)

The presenters will provide a high-level overview of the best practices and tools that can be used to manage digital content as well as an introduction to Digitization Guidance that can help you manage digitization projects.

Learning Objectives:

- Become knowledgeable on the digitization guide and how to use it
- Understand the Best Practices guidance and how to put it to work
- Gain an understanding of the various e-records tools that can be used to manage e-records
- Learn how to find digital records management tools

Presenters: Sarah Grimm – Electronic Records Archivist, Wisconsin Historical Society

Hannah Wang – Archivist, Wisconsin Historical Society

Andrew Baraniak – Local Government Records Archivist, Wisconsin Historical Society

Session 4 – The Future of Electronic Records: Where do we go from here? (2:00 – 2:45 p.m.)

The presenters will discuss attaining management support in your ERM efforts, available resources, and how to start an ERM project. Additionally, a Q&A period will be included if time permits.

Learning Objectives:

- Understand the overall practices that best suit a records management system
- Identify the most important considerations when establishing both an electronic and a paper records management program
- Understand the techniques for advocating for a records management program and engaging stakeholders, while consistently identifying the mistakes with ERM and how to avoid them
- Understand the planning that needs to be completed to begin the implementation of an ERM project
- Learn the techniques to approach upper management for buy-in efforts on ERM projects and the options for managing e-mail at the staff level
- Learn to operate the framework of Wisconsin Administrative Code ADM12. Electronic Records Management – Requirements and Standards

Presenters: David Meyer – Technical Architecture & Project Management Director, Department of Administration/Division of Enterprise Technology

Brad Houston – Records Officer and Document Services Manager, City of Milwaukee

Breakout Session Descriptions

Track 2 – Building a Solid Foundation

Session 1 – Records Management 101 (10:00 – 10:45 a.m.)

The presenters will cover the fundamentals of records management, including best practices, program establishment, and process overviews. Statutory requirements that government records must be identified and retained. Also, they will discuss using statutory citations on the Records Disposition Authorization (RDA).

Learning Objectives:

- Understand the best practices of records management, including electronic records management
- Learn how to establish a records management program for both electronic and print records
- Identify the main steps in records management process and the potential risks of poor records management
- Learn to identify the difference between records and non-records
- Understand the records scheduling process from the initial records survey to writing and submitting an RDA, receiving its approval, and implementation

***Presenters: Kathryn Egeland – Program & Policy Analyst, State Records Center
Melissa Schmidt – Designee of the Legislative Council Director, Public Records Board
Andrew Baraniak – Local Government Records Archivist, Wisconsin Historical Society***

Session 2 – Records Disposition Authorizations (11:00 – 11:45 a.m.)

A panel will discuss the procedures for processing Records Disposition Authorizations (RDA) from creation to completion. They will explain how to identify a records schedule, how to use the Public Records Board (PRB) forms, how to use the RDA checklist, and how to submit to the PRB quarterly review cycle.

Learning Objectives:

- Identify the correct schedule for a record or determine when to write a new RDA
- Understand the benefits of using a General Records Schedule (GRS) when applicable
- Understand the RDA process, the definition of a sunset RDA, and why an RDA should not be allowed to sunset
- Learn the tips and techniques to making archived material easy to find
- Understand how to create, amend, close, renew, and supersede an RDA and how to submit the RDA to the State Records Center (SRC)

***Panel: Kathryn Egeland – Program & Policy Analyst, State Records Center
Anne Sappenfield – Designee of State Auditor, Public Records Board
Andrew Baraniak – Local Government Records Archivist, Wisconsin Historical Society***

Breakout Session Descriptions

Session 3 – State Records Center Processes: Versatile & Inventory Management (1:00 – 1:45 p.m.)

The presenters will discuss the details of the Versatile System, inventory reports, and semiannual disposition processing. They will also explain how to send records to the State Records Center as well as give direction on how to request records from the SRC.

Learning Objectives:

- Understand the consequences of RDAs that have sunset
- Learn how and when to use the SRC forms
- Understand the costs incurred with the SRC and the general SRC processes that relate to inventory, semiannual disposition cycle, weight limits, and the Versatile Inventory System
- Learn how to request new inventory and search retrieving inventory through Versatile training, which is offered through the SRC
- Understand the details of a confidential destroy

***Presenters: Steven Georgeff – State Records Center Supervisor, State Records Center
Bill LaMay – Records Forms Management Specialist, State Records Center***

Session 4 – Records Management Programs (2:00 – 2:45 p.m.)

The presenters will cover the Records Management Review process, including a discussion of the SRC Records Management Guide, Wisconsin Municipal Records Manual, and a group discussion on the current issues and potential solutions.

Learning Objectives:

- Build awareness of the guidance provided in the SRC Records Management Guide (included in the registration package)
- Understand the requirements of Administrative Code ADM12. Electronic Records Management – Requirements and Standards
- Understand the records management review process goals and outcomes
- Identify the next steps for implementing an effective records management program

***Presenters: Kathryn Egeland – Program & Policy Analyst, State Records Center
Diane Griffin – State of Wisconsin Enterprise Records Officer, State Records Center***

After the conference has concluded, all PowerPoint presentations and other handouts will be posted on the State Records Center's website.

[State Records Center](#)

Speaker Biographies

Matthew Blessing



Matt Blessing has been the Wisconsin State Archivist since 2012. He is also the Administrator for the Division of Library, Archives and Museum Collections at the Wisconsin Historical Society. Mr. Blessing serves as chair of the Public Records Board and the Wisconsin Historical Records Advisory Board. He is the immediate past president of the Council of State Archivists.

Megan (Meg) Phillips



Meg Phillips became NARA's External Affairs Liaison in August 2013. From 2010 to 2013, she served as the Electronic Records Lifecycle Coordinator in the Office of the Chief Operating Officer. In that role, Meg was involved with two large-scale electronic records initiatives, NARA's Electronic Records Archives (ERA) project and the search for automated electronic records management solutions under the Managing Government Records Directive. From 2008 to 2010, she served as the Electronic Records Project Manager and ERA adoption coordinator for the Office of Regional Records Services. Meg joined NARA in 2002 as a Senior Records Analyst in the Mid-Atlantic Region. She has been based at the National Archives at Philadelphia throughout her NARA career, helping keep her in touch with Agency and Research Services operations in the field.

Before coming to NARA, Meg ran the archives and records management program for the American College of Physicians. She has a BA in history from Haverford College, an MA in history from the University of Chicago, and a MLS from the University of North Carolina at Chapel Hill. Meg is a Certified Records Manager and an active participant in the Society of American Archivists.

Speaker Biographies

Kathleen Roe



Kathleen Roe served as the Director of Archives and Records Management Operations at the New York State Archives. In that capacity, she managed the operation of the Archives records management program, providing services to 63 state agencies and 4,300 local governments. Additionally, she provided services to the archival programs, which operate the State Archives archival facility, holding statewide programs to provide training and advisory services to over 3,000 historical records programs. She retired in 2016 from the State Archives and continues professional involvement through writing, conducting workshops, and consulting.

She holds advanced degrees in history from Michigan State University and in library science/archival administration from Wayne State University. She has served as president of the Society of American Archivists and of the Council of State Archivists. She has served on or chaired several committees for both organizations. She is a Fellow of the Society of American Archivists and received the CoSA Walch Leadership Award. She has been awarded three NEH-Mellon Fellowships for the Study of Archival Administration and has been a member of several national and international archival practices research projects. She has published and taught extensively in the areas of archival descriptive practices and advocated for archives and records management programs.

Cate Zeuske



Cate Zeuske is the Deputy Secretary for the Wisconsin Department of Administration. She served Wisconsin for nearly twenty years in public office and leadership positions. Cate represented part of northeastern Wisconsin in the State Legislature for four terms, was elected statewide as State Treasurer, and served in Governor Thompson's Administration as Secretary of the Department of Revenue for five years.

In addition, Cate served as President of Forward Wisconsin—the state's former Economic Development Marketing Agency and as Deputy of WHEDA. Cate has worked for a non-profit member organization for the last fourteen years, serving as the Director of Administration for the Taxpayers Network, Inc. in Green Bay.

Cate volunteers for Green Bay community organizations and serves on the UWGB Council of Trustees and St. Francis Xavier Cathedral parish council. She is the founder of the Wisconsin State Capitol Ornament fundraiser for the State Capitol Restoration Fund.

Cate is a native of Shawano and graduate of UW-Madison. She is married to former State Assembly Speaker, John Gard, and they have two grown children. Their home is in Suamico, outside of Green Bay.

Presenter Biographies

Andrew Baraniak – Andrew Baraniak is the local government records archivist for the Wisconsin Historical Society and has been in this role since 2015. He graduated from Duquesne University (Pittsburgh) with a degree in Archival and Museum Studies in 2006. Before coming to the Historical Society, Andrew has worked in the archives of Carnegie Mellon University, Saint Francis University (PA), and the Wisconsin Veterans Museum.

Kathryn Egeland – Kathryn Egeland is the Program & Policy Analyst for the Department of Administration, Records Management section, at the State Records Center. For the past 10 years, she has been staff support to the Public Records Board. She works daily with Records Officers at every level of government—including all state agencies, UW campuses, municipalities, and counties—assisting them with all areas of their records management program.

Paul Ferguson – Paul M. Ferguson is an assistant attorney general who leads the Attorney General's Office of Open Government at the Wisconsin Department of Justice. Paul earned his Bachelor of Arts degree in communication from Seton Hall University and his Juris Doctor degree from the University of Notre Dame Law School. Paul serves as a member of the Wisconsin Public Records Board and as chair of the PRB's Records Management Committee.

Steven Georgeff – Steven Georgeff is the Inventory Control Supervisor for the Wisconsin State Records Center and has held that position for 3 years. Prior to that, he was an Inventory Control Coordinator at the Records Center for 13 years. He supervises a staff of five Inventory Control Coordinators. He is a Wisconsin native and has a Bachelor's Degree from the University of Wisconsin-Stevens Point.

Lee Grady – Lee Grady is the Senior Reference Archivist at the Wisconsin Historical Society. He has Master's Degrees in American History and Library and Information Studies from the University of Wisconsin–Madison. He has been on the staff of the Historical Society for 19 years and has a wide range of experience with the Society's archival collections.

Diane Griffin – Diane Griffin is the Enterprise Records Officer at the State Records Center and the Department of Administration Records Officer. She has over forty years of experience in state government in several departments. She leads the planning team for the inaugural State & Local Government Records Management Conference.

Sarah Grimm – Sarah Grimm is the Electronic Records Archivist at the Wisconsin Historical Society. She is currently in the middle of an NHPRC grant to increase the transfer of and access to state electronic records. Sarah is Co-Chair for the Council of State Archivists (CoSA) State Electronic Records Initiative (SERI) Education subcommittee as well as a member of the SERI Steering Committee. Sarah is a graduate of Library of Congress' Digital Preservation Outreach and Education (DPOE) training program.

Brad Houston – Brad Houston is the City of Milwaukee Records Officer and Document Services Manager. Previously, he worked at the UW-Milwaukee Libraries and Archives Department where he served as the University Records Archivist and Records Officer for the last ten years. He is an active member of archival professional organizations, including the Society of American Archivists (SAA) and the Midwest Archives Conference (MAC), for which he is serving as a member of the Nominating Committee for 2017-2018. He has facilitated or participated in records management and electronic records sessions for SAA, MAC, ARMA Milwaukee, and the International Institute of Municipal Clerks, including a 2-day intensive records management workshop for archivists through SAA.

Bill LaMay – Bill LaMay is the Records/Forms Management Specialist at the State Records Center and has been in this position since March of 2016. His responsibility is to maintain a working knowledge of State Records Center forms and operations. Bill is a native of the Madison area with a Bachelor's Degree in management and communications.

Presenter Biographies

LuAnn Leggett – LuAnn Leggett is the Deputy Administrator/Village Clerk for the Village of DeForest. For the past 12 years, she has been working to continually increase productivity and create efficiencies using ECM and workflow processes in all departments within the Village.

David Meyer – David Meyer is the Bureau Director for Technical Architecture and Project Management for the Division of Enterprise Technology and has been in this position for just over three years. His team is responsible for architecting new enterprise IT Solution and project managing enterprise initiatives. Additionally, his team supports DET's service catalog and business relationship management. Dave is a Wausau native with a Project Management Professional (PMP) certification and a Master's in business administration (MBA).

Abbie Norderhaug – Abbie Norderhaug is the Assistant State Archivist at the Wisconsin Historical Society. She has been working to manage, collect, preserve, and make accessible public records since 2008. Abbie has a Master's Degree in library science from UW-Madison School of Library and Information Studies.

Anne Sappenfield – Anne Sappenfield has served the Wisconsin Legislature since 1994. She is currently the Special Assistant to the State Auditor and General Counsel for the Legislative Audit Bureau. Previously, she was a principal attorney at the Legislative Council and worked primarily in the areas of legislative procedure, judiciary, K-12 education, and children and families. Anne earned her JD from the University of Wisconsin and her BA from Miami University in Oxford, Ohio.

Melissa Schmidt – Melissa Schmidt is a Senior Staff Attorney with the Wisconsin Legislative Council. She began working for the Legislative Council in 2008 and has been on the Public Records Board as the Director of the Legislative Council's designee since 2010. She has also clerked in Connecticut for the New Haven Superior Court. Her primary areas of practice at the Council are in the areas of children and families, constitution and federalism, consumer protection, criminal justice and criminal penalties, financial services, government operations, local government, public records, and technology. Melissa earned her JD and MPA from the University of Wisconsin and her BA from Hope College in Holland, Michigan.

Jordan Tilleson – Jordan Tilleson is the Records Management and Mail Transportation Section Chief in the Bureau of Enterprise Fleet, which is part of the Division of Enterprise Operations at the Department of Administration. Before joining the State of Wisconsin, Jordan worked in management roles in the manufacturing field for 5 years. He also served in the U.S. Army Armored Cavalry and Infantry for 10 years, leaving at the rank of Captain.

Hannah Wang – Hannah Wang is the Project Archivist for the Wisconsin State Preservation of Electronic Records (WiSPER) project at the Wisconsin Historical Society. She holds an M.S. in Information Science from UNC-Chapel Hill.

Information Booths

Division of Enterprise Technology

101 East Wilson Street #8
Madison, WI 53703
Phone: (608)267-0627
<https://det.wi.gov/>



The Division of Enterprise Technology delivers enterprise Information Technology resources and services designed to optimize Wisconsin citizen interactions with state government. At DET's information booth, you can find out about the DET OnBase Document Management Service Offering and understand the capabilities of OnBase and the benefits of electronic records management. Additionally, you can learn how DET has rolled out OnBase for their ERP system as well as how other State Agencies are using this to enable new capabilities in their agencies.

Wisconsin Historical Society

816 State Street
Madison, WI 53706
(608)264-6535
<http://www.wisconsinhistory.org/>



The Wisconsin Historical Society is our state's memory and foremost storyteller and is considered one of the nation's finest historical institutions. Their information booth will include material on the programs and services offered by the WHS. Information for government units will include identifying publications to send to the WHS, material about the local government records program, and material related to electronic records management and digitization. There will also be material addressing genealogy available at the WHS, microfilm services, and general information on the collections of the Library and Archives.

Wisconsin State Records Center

4622 University Avenue
Madison, WI 53705
Phone: (608)266-2995 Fax: (608)266-5050
[State Records Center](#)



The State Records Center (SRC) is a secure, low cost facility that offers State agencies and local units of government off-site control over semi-active and inactive records. This booth will have information on the bi-annual disposition and inventory transfers to the State Historical Society. You will be able to pick up Records Center Fact sheets, pricing information, forms, and delivery and courier information. You will also have your questions answered by one of the Records Center staff members.

ACKNOWLEDGEMENTS

Appreciation and thanks are extended to all that have contributed toward making the first State & Local Government Records Management Conference a success!

2017 Conference Planning Committee

Diane Griffin, Department of Administration
Elizabeth Barnum, Department of Administration
Hans Huiras, Department of Administration
Dawn Oashgar, Department of Financial Institutions
Kyle Hofstetter, Employee Trust Funds
Abbie Norderhaug, Wisconsin Historical Society

Special Thank You to Our Speakers:

Cate Zeuske, Department of Administration

Matthew Blessing, Wisconsin Historical Society

Megan Phillips, National Archives & Records

Kathleen Roe, New York State Archives

Thank You to Our Session Presenters:

Brad Houston, City of Milwaukee
Kathryn Egeland, Department of Administration
Steven Georgeff, Department of Administration
Diane Griffin, Department of Administration
Bill LaMay, Department of Administration
Jordan Tilleson, Department of Administration
David Meyer, Division of Enterprise Technology
Paul Ferguson, Public Records Board

Melissa Schmidt, Public Records Board
Anne Sappenfield, Public Records Board
LuAnn Leggett, Village of DeForest
Andrew Baraniak, Wisconsin Historical Society
Lee Grady, Wisconsin Historical Society
Sarah Grimm, Wisconsin Historical Society
Abbie Norderhaug, Wisconsin Historical Society
Hannah Wang, Wisconsin Historical Society

Thank you to the Department of Administration, State Records Center for all their efforts in organizing the conference.

Thank you to all who attended our inaugural conference and we look forward to seeing you in the future!

Hotels

Traveling from out of town? No problem! There are plenty of hotels near the Alliant Energy Center that are available for the conference.

Clarion Suites at The Alliant Energy Center



2110 Rimrock Road
Madison, WI 53713
(608)284-1234

<https://www.choicehotels.com/wisconsin/madison/clarion-hotels/wi103?source=gyxt>

Comfort Inn Madison – Downtown

722 John Nolen Drive
Madison, WI 53713
(608)255-7400

<https://www.choicehotels.com/wisconsin/madison/comfort-inn-hotels/wi249?source=gyxt>



Holiday Inn Express & Suites Madison Central



610 John Nolen Drive
Madison, WI 53713
(608)709-5050

https://www.ihg.com/holidayinnexpress/hotels/us/en/madison/msnrr/hoteldetail?cm_mmc=GoogleMaps-_-EX-_-USA-_-MSNRR

Sheraton Madison Hotel



706 John Nolen Drive
Madison, WI 53713
(608)251-2300 | 888-627-7077

<http://www.sheratonmadison.com/>

There are a variety of other hotels in Madison. For more information, visit <http://www.visitmadison.com/accommodations/>

For Madison area events and attractions, visit <http://www.visitmadison.com/events/>