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**STATE OF WISCONSIN
CLASSIFICATION SPECIFICATION**

**RECORDS/FORMS MANAGEMENT SPECIALIST
CLASSIFICATION SERIES**

I. INTRODUCTION

A. Purpose of This Classification Specification

This classification specification is the basic authority under ER 2.04, Wis. Adm. Code, for making classification decisions relative to present and future professional positions which manage records and/or forms. This classification specification is not intended to identify every duty which may be assigned to positions allocated to this classification series but is intended to serve as a framework for classification decision making in this occupational area.

Classification decisions must be based on the “best fit” of the duties within the existing classification structure. The “best fit” is determined by the majority (i.e., more than 50%) of the work assigned to and performed by the position when compared to the class concepts and definition of this specification or through other methods of position analysis. Position analysis defines the nature and character of the work through the use of any or all of the following: definition statements; listing of areas of specialization; representative examples of work performed; allocation patterns of representative positions; job evaluation guide charts, standards or factors; statements of inclusion and exclusion; license or certification requirements; and other such information necessary to facilitate the assignment of positions to the appropriate classification.

B. Inclusions

This classification series encompasses positions which, for a majority of the time, oversee the records program and/or the records/forms program for an agency. Positions are primarily involved in the development, management and technical review for all records and forms/publications management activities.

C. Exclusions

Excluded from this classification series are the following types of positions:

1. Positions that meet the statutory definition of supervisor or management as defined in s. 111.81(19) and (13), Wis. Stats., as interpreted and administered by the Wisconsin Employment Relations Commission.
2. Positions that do not, for a majority of the time (more than 50%) function as the Records/Forms Management Specialist for an agency.

3. Positions that perform administrative support related to the records management program and are more appropriately classified as Records Program Associate.
4. All other positions that are more appropriately identified by other classification specifications.

D. Entrance Into and Progression Through This Series

Employees enter positions within this classification series by competition. Movement to the Advanced level is by competition.

E. Definition of Terms used in this Classification Series

Department size: Department, or agency, size refers to the number of classified and unclassified permanent full time equivalent positions within a department and is defined as follows: major department, greater than 1,500 positions; large department, between 500 to 1,500 positions; medium department, between 100 to 499 positions; small department, between 51-99 positions; very small department, between 1 and 50 positions.

II. DEFINITIONS

RECORDS/FORMS MANAGEMENT SPECIALIST

Positions at this level work under close progressing to general supervision. Positions are able to apply knowledge of records and/or forms management principles and practices upon entrance into this series. Positions are responsible for the development, management and technical reviews for all records and/or forms/publications management activities. Positions perform research and analysis of records management systems to oversee records retention and disposal; consult with business unit management and staff in the development and modification of records and forms; and provide direction and/or advice to management and staff on the application of statutes and/or policies related to records and/or forms within their agency, division, or institution.

Positions work collaboratively with management and staff in implementing and monitoring records and/or forms and/or publications and, in some cases, managing and implementing the Department's open records program. Positions are responsible for ensuring the proper retention of both paper and electronic records according to the established Records Disposal Authorization (RDA); participate in developing and/or updating and implementing records/forms procedures and policies; consult with business management and staff to assign or assist in creating appropriate RDA designations for new and/or updated business records/forms; perform assignments in fulfilling records request; and consult with legal counsel as necessary. Positions will assist more experienced staff or supervisors on complex initiatives (e.g., involving multiple divisions, management and/or legal counsel) and/or controversial issues (e.g., decision on what is responsive to a records request, legal precedents), but this would not comprise a majority of time spent. These positions may provide training and/or consultation to staff on the agency's records/forms management programs and/or policies.

Positions in this classification level should be comparable to scope, depth, and complexity as outlined in the representative positions, below.

Examples of duties that may be performed at this level include:

- Provide technical reviews and consultation to management and staff to strengthen their understanding of records, forms and/or publications.
- Initiate and develop records or forms management policy/procedure materials.
- Develop and oversee training including developing resource materials.
- Analyze records, forms, and image or workflow program changes in order to identify impacts, recommend changes, and ensure customer needs are met.
- Conduct research and analysis to determine viability of records based on business needs.
- Participate in committees or workgroups on records/forms programs.
- Provide input on open records review process based on statutory changes or legal decisions.
- Redact records, including audio/visual records, prior to release in accordance with statutory, legal, case law, and agency practice and recommend updates to redaction process if needed while ensuring protection of subjects' privacy.

Representative Positions:

DCF BMCW Records Specialist: This position conducts work related to the Department of Children and Families (DCF), Bureau of Milwaukee Child Welfare (BMCW) records management system. The position provides coordination of technical assistance and direction for all records management activities within the BMCW, including incorporating the management of electronic records (including bar coding) into the BMCW records system. This position develops and manages the system of reports and data related to all these records. This position represents the BMCW on all records-related issues and provides direction and technical support to all BMCW staff related to records management, retention and processing.

DOC, Digital Records Compliance Specialist: This position functions as the Digital Records Compliance Lead and performs work serving as one of two Department of Corrections (DOC) specialists utilizing technology tools for the retrieval, compilation, redaction, and dissemination of audio, text and visual information related to the management of public records and internal DOC needs. This position serves as a member of the Redaction Team and has responsibility for ensuring that the Department meets all state, federal and Department requirements and regulations regarding public records and internal DOC digital records management relative to managing and performing tasks related to audio, text and video redaction. This position is responsible for assisting with the Department's public records redaction program which consists of but is not limited to performing the following: digital records analysis, assisting in developing digital record redaction policies, conducting digital redaction activities, administering digital redaction training. The scope and complexity of this work includes a wide range in types of record requests making the impact of judgements and decisions of the redaction and release of records significant.

DOJ/DCI Records Specialist: This position provides a wide range of support to the Department of Justice in managing the release of public records and documents. The position recommends courses of action related to fulfilling record requests and prepares records for public consumption by redacting personal identifying information or information prohibited from being released to the general public in accordance to state statutes, state law, and DOJ divisional policies and procedures. This position is responsible for being educated on public records law, rules, and policies, and may provide input on changes to process based on legislative or legal changes. This position conducts extensive searches for responsive Division of Criminal Investigation (DCI) records, which may include investigative case files, evidence logs and property receipts, administrative records, personnel email and correspondence, and any other types of records maintained in DCI's possession. This position completes analysis of responsive records to identify and ensure required redactions are completed in accordance with established guidance and procedures and drafts preliminary responses to requests for review and approval by legal counsel.

DOJ/OOG Records Specialist: Within the Office of Open Government, the position identifies and locates potentially responsive records to requests received by the department and works across divisional lines to ensure records, including emails and related communications, are released in accordance with all applicable laws, administrative codes, settled case law, and department policies and procedures. This position reviews and analyzes records gathered and background information for record requests; makes preliminary determination regarding responsiveness and determines exemptions from disclosure; independently drafts preliminary responses to requests for review and approval by legal counsel; and makes all necessary redactions. This position assists in the management of the record-keeping of public records correspondence, acknowledgements, and responses in redacted and un-redacted forms.

DOJ Digital Records Analyst: This position supports the department's public records program through the use of advanced technology tools for the retrieval, compilation, redaction, and dissemination of records (e.g., audio, visual, and other) related to criminal investigative functions, activities, and cases. This position receives, reviews, evaluates, and coordinates responses to public records requests, identifying and performing required redactions of digital records information in the form of audio, video electronic and/or paper documents. Documents may be sensitive in nature or otherwise classified or restricted from normal view prior to release.

RECORDS/FORMS MANAGEMENT SPECIALIST – ADVANCED

Positions at this classification level work under general supervision. Positions serve as the (single) technical records and/or forms program resource/expert for a large, medium, small, or very small department, and serve as a liaison between their Department and the State Records Center, Public Records Board, Department of Administration, and/or the State Historical Society and may function as the Records Management Officer. A major state agency may be allocated up to two advanced positions if each position has technical authority and responsibility over a significant portion of the records program or the forms programs for the agency (i.e., one records manager, and one forms manager) for a majority of the time.

Positions require extensive knowledge of the Wisconsin Statutes pertaining to records management; work extensively with the Department's records, forms and/or publications management oversight program to ensure department compliance with the state and federal regulations; and develop and implement records/forms policies and regulations governing records management for the department. Positions are responsible for creating, modifying and presenting general records schedules and Records Disposition Authorities (RDA) to the State Records Board and serve as a member of the various records committees and councils. Positions work collaboratively with management and in some cases, managing and implementing the Department's open records program.

Examples of duties that may be performed at this level include:

- Lead the review, analysis and implementation of RDAs and retention policies for the agency.
- Lead the final review and analysis of all forms and publications for the department.
- Provide expert consultation on the management of the department records and/or forms and publications database and repositories.
- Review work of lower level Records/Forms Management staff and others, and ensure their work meets records management standards.
- Represent the department at the Public Records Board/Records Management Committee to provide clarification on RDAs submitted on behalf of the department.
- Actively participate in the Records Officer Council.
- Serve as Primary Expert for the Records Management Program.

Positions may also perform work identified at the lower level, though for less than a majority of the time (i.e., less than 50%).

Representative Positions:

DCF Records and Forms Officer: This position is responsible for the management of all Department of Children and Families (DCF) records and forms/publications activities including providing leadership, technical assistance and direction to department staff. This position provides direction to the division records and forms/publications coordinators in implementing and monitoring the records and forms/publications for their division. The position is responsible for ensuring electronic records are managed in accordance with Records Disposition Authorization and Public Records Board guidance. This includes developing new methods of records management that utilize current technologies. The DCF Records and Forms Officer represents the department in both areas at the Public Records Board/Records Management Committee, on enterprise level workgroups/teams, and at Records Officer Council meetings, to ensure department priorities are considered when these groups are developing policies, procedures and/or general records schedules for all agencies.

DOC Forms Manager: This position is responsible for the review, analysis, design, production, purchasing and inventory of the Department's Forms Program. Work includes forms development, business and process analysis, participation in database design, consultation on electronic data capture and enhanced workflow procedures and systems integration of electronic forms, data administration, and end user and forms program support. Through on-going consultation and audit, assure DOC forms adhere to policies, procedures, laws, and administrative rules to meet the state-level requirement for the management of forms.

DOJ Records Manager: This position is responsible administration of the department's open government program and provides specialized work in the areas of public records law, open meetings law, and other legal areas related to the open and transparent government for the full range of the department's program area. This position research responses to open government issues brought to the department by outside agencies; develops agency responses to records request; provides final review of sensitive records requests before release (e.g., officer involved critical incidents); and, develops, maintains and implements legal resources and open government policies, procedures and protocols. This position also provides support to legal counsel for intake and evaluation of citizen complaints and inquiries regarding open government to include reassign legal issues and developing recommendations for resolution and develops and updates DOJ open meetings law and public records law compliance guides.

DOC Records Management Compliance Officer: This position ensures the Department meets all state, federal and departmental requirements and regulations regarding records management. This position conducts records analysis and develops Retention/Disposition Authorizations (RDAs) and retention policies for the department and represents the Department at State Public Records Board Meetings. This position manages retention, storage and destruction of all DOC records and assists in the coordination and management of all State Records Center related activities for off-site storage of inactive Department records, serves as the liaison to the State Records Center and Wisconsin Historical Society and provides training, consultation and advice on records management policies and procedures for all agency staff.

DOT Records Officer: This position ensures the department's compliance with all records and information management (RIM) laws and rules. This position develops, manages, maintains and communicates all department records management policies, procedures and guidance; oversees all records management functions and serves as an advisor to agency staff and management; represents the department to the Public Records Board and conducts research pertaining to emerging records management issues. The position has close working partnerships with internal and external staff, including records coordinators in all divisions; the WisDOT Forms Technician, WisDOT managers and other staff in the Bureau of Information

Technology Services; the Public Records Board, the Department of Administration (including the State Records Center) and the Wisconsin Historical Society. This position consults with General Counsel Staff and the Department of Justice on records management topics to ensure that WisDOT provides access to and appropriate management of the records program.

III. QUALIFICATIONS

The qualifications required for these positions will be determined at the time of recruitment. Such determinations will be made based on an analysis of the goals and worker activities performed, and by an identification of the education, training, work, or other life experience which would provide reasonable assurance that the knowledge and skills required upon appointment have been acquired.

IV. ADMINISTRATIVE INFORMATION

This classification series was created effective May 18, 2003 and announced in Bulletin MRS-SC-158 as a result of the WPEC Broadbanding and Class Collapsing Study. This classification specification was modified effective October 5, 2003, and announced in Bulletin OSER-0003-MRS-SC to reflect the addition of two positions allocated to the Records/Forms Management Specialist - Senior classification at the DHFS.

This classification series was revised effective December 12, 2004 and announced in Bulletin OSER-0057-MRS-SC to reflect the removal of the DNR allocation as a represented position.

This classification was revised effective November 13, 2005 and announced in Bulletin OSER-0082-MRS/SC to reflect the movement of the DOC allocation to the Senior level, reflect the Records/Forms Management Specialist–Senior position at the DOT, and to reflect modifications to the agency position allocation descriptions.

This classification was revised effective June 11, 2006 and announced in Bulletin OSER-0103-MRS/SC to add an allocation at the Senior level for a new position at the DOA and remove the allocation for the DOA from the Records/Forms Management Specialist level.

The specification was modified effective April 8, 2012 and announced in bulletin OSER-0302-MRS/SC to make changes to the definition language to allow inclusion of other agency positions with similar level work as the listed allocations.

The specification was modified effective December 15, 2013, and announced in Bulletin OSER-0348-MRS/SC as a result of the Records/Forms Management Specialist Personnel Management Survey to reflect the change in the class title of the Records/Forms Management Specialist-Senior to Records/Forms Management Specialist-Advanced and realign the duties and responsibilities of the positions in this classification.

This classification was modified effective January 30, 2022, and announced in bulletin DPM-0564-CC/SC, following a study and review of positions at the Department of Justice and a desk review of additional positions; representative positions were edited and modified, entrance/progression language was updated, a definition of terms section was added, and which positions can be at the advanced level was clarified.

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