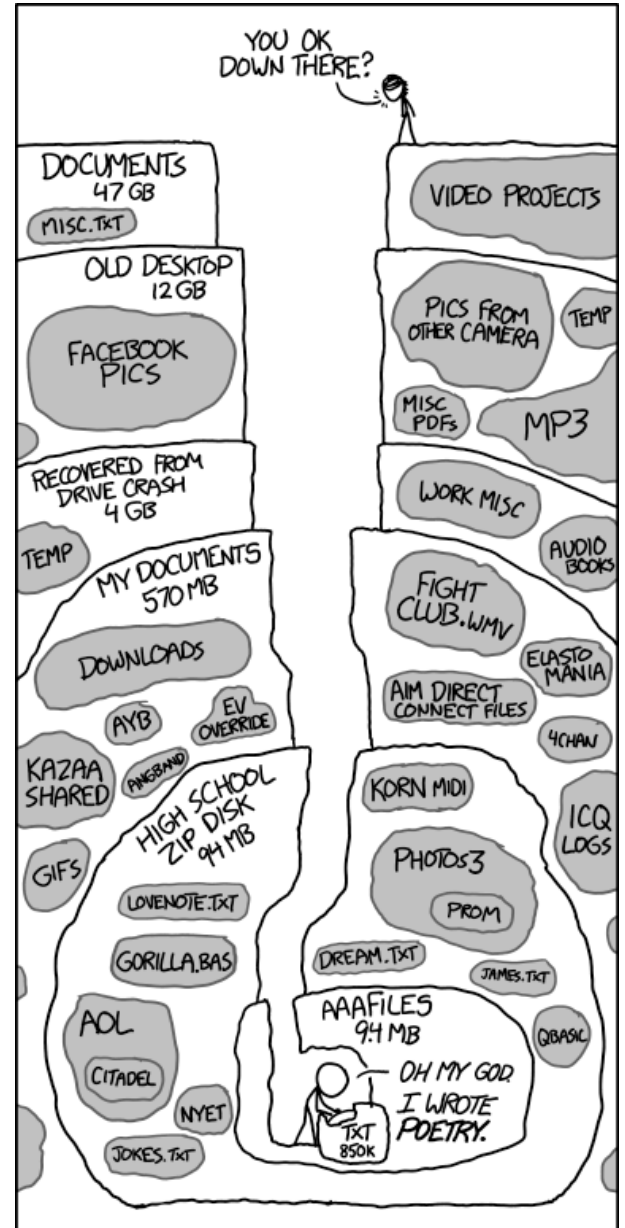


# Records 101: Records Management

Derek Webb, Records Officer  
Archives Dept., UWM Libraries  
March 18, 2022

"Old Files." XKCD: A webcomic of romance, sarcasm, math, and language. <https://xkcd.com/1360/>



# Why We Do Records Management

# Legal and Policy Requirements

Wis. Stat. 16.61

Wis. Stat. 19.31-39

University of Wisconsin Board of Regents Policy 3-2

UWM Policies:

- Archives 13-2
- Public Records Access 13-4
- Information Security 11-2



# Benefits for Offices

- Space savings
- Better access to remaining records
- No responsibility for disposed records
- Minimizes damage due to security breaches
- Preserves institutional memory




# Retention and Disposition

# Records Retention Schedules


## Academic Advising

- [Academic Advising General Records Schedule](#)  (Sunset: November 2022)


## Administrative Records

- [Administrative Records General Records Schedule](#)  (Sunset: 2022)


## Budget and Related Records

- [Budget and Related Records General Records Schedule \(DOA Schedule\)](#) 


## Business Communication

- [Business Communication General Records Schedule](#)  (May 2008)


## Financial Aid

- [Financial Aid General Records Schedule](#)  (Sunset: 2022)


## Fiscal and Accounting

- [Fiscal and Accounting General Records Schedule](#)  (Sunset: 2022)


## Grant and Related Records

- [Grant and Related Records General Record Schedule](#)  (Sunset: November 2026)

## Health Services

- [Health Services General Records Schedule](#)  (Sunset: 2024)

## Human Resources: Personnel Systems

- [Human Resources Personal Systems General Records Schedule](#) 

## Police and Parking

- [Police and Parking General Records Schedule](#)  (Sunset: 2024)


## Police and Parking Addendum

- [Police and Parking Addendum](#)  (Sunset: 2024)

## Research Records

- [Research Records General Records Schedule](#)  (March 2015)

## Residential Programs

- [Residential Programs General Records Schedule](#)  (Sunset: August 2022)

## Risk Management

- [Risk Management and Related Records Including Worker's Compensation General Records Schedule](#)  (February 2013)



## State Records Schedule

- [State Purchasing & Procurement GRS](#)
- [State Risk Management GRS](#)


## Student Affairs

- [Student-Affairs General Records Schedule \(Sunset: March-2029\)](#)

## Student Records Schedule

- [Student Records Schedule](#)  (Sunset: 2022)
- [Reference Chart](#) 

## Template General Records Schedule

- [Template-General-Records-Schedule](#) 

## Wisconsin Athletics

# Records Retention Disposition Authorization (RDA/RRDA)

## **UWADM006 REORGANIZATION DOCUMENTATION**

This record series consists of documents showing organizational changes within the college or university, including files of significant addition, deletion, or transfer of administrative, functional or regulatory responsibilities, etc.

**Retention: EVT + 2 Years** EVENT= Date reorganization is completed.

**Transfer to Archives**

**PII? Yes**

**Confidential? No**

**Copies: Destroy when no longer needed.**

## **UWADM007 ORGANIZATIONAL CHARTS**

This series consists of the records of the official organizational structure of each college of university, as well as that any smaller schools within those institutions.

**Retention: EVT + 0 Years** EVENT= Organizational chart is superseded.

**Transfer to Archives**

**PII? Yes**

**Confidential? No**

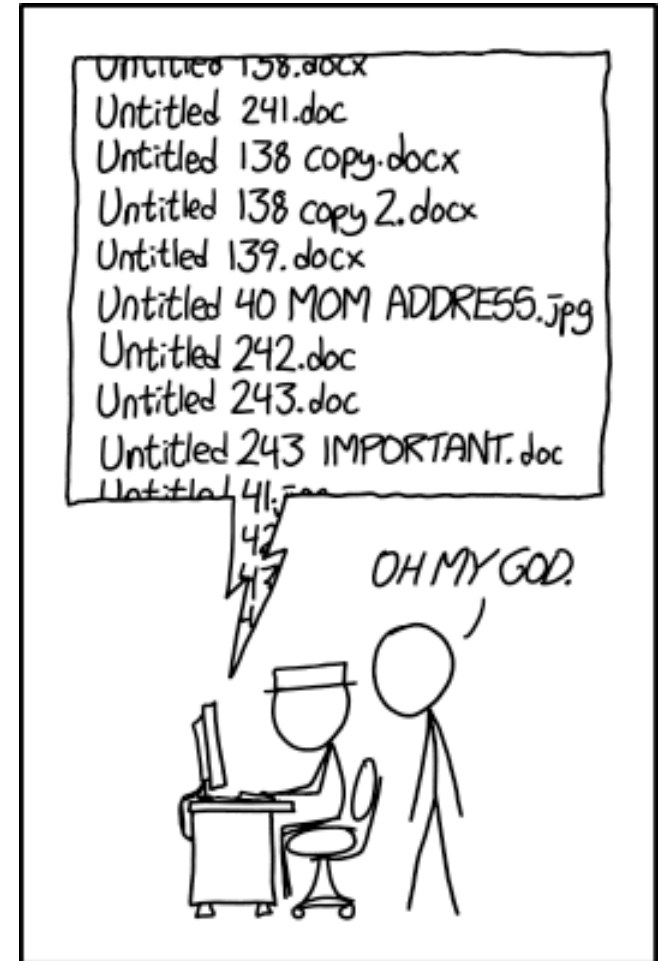
**Copies: Destroy when no longer needed.**

## **UWADM008 TRANSITION BRIEFINGS**

This series consists of records that are prepared to provide an overview of the university

# Disposition Options

- Destroy
- Destroy confidentially
- Transfer to Archives
- Transfer to Archives for review
- Exception!: audits and litigation



PROTIP: NEVER LOOK IN SOMEONE ELSE'S DOCUMENTS FOLDER.



# Transferring Records to Archives



The screenshot shows the 'ARCHIVES' website header with a navigation menu: Archives, About, Research, Teaching, Services, Genealogy, Policies, Records Management. Below the header is the 'Records Transfer Form'.

**Records Transfer Form**

**Records Transfer and Inventory**

Fill this out before transferring records to the Archives!

**Name of Transferring Office \***

Please enter your department name here.

**Types of Records, including dates and formats \***

Please provide as much information as you can about the records to be transferred.

**Approximate size of transfer (boxes)**

Please enter the number of boxes to be transferred. One standard file cabinet drawer = 1.3 boxes.

**Does your transfer include electronic records?**  Yes  No

Let us know if you will be transferring electronic records to the archives.

**Is there restricted information in the files? \***  Yes  No

<https://uwm.edu/libraries/archives/uwm-records-management/records-transfer/>

Inventory-Form-Draft [Read-Only] [Compatibility Mode] - Excel

File Home Insert Page Layout Formulas Data Review View Acrobat Tell me... Derek S Webb Share

Clipboard Font Alignment Number Styles Cells Editing

A1 Instructions: Fill out this inventory at the greatest level of granularity you can (folder level preferred), then send to askarch@uwm.edu.

	A	B	C
1	Instructions: Fill out this inventory at the greatest level of granularity you can (folder level preferred), then send to askarch@uwm.edu.		
2	[Replace this Cell with Your Office Name]		[Replace this Cell with today's Date]
3			
4	<u>Contents</u>	<u>Box</u>	<u>Folder(s) # [optional but recommended]</u>
5			
6			
7			
8			
9			
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12			
13			
14			
15			
16			

# Schedules

## System

<https://www.wisconsin.edu/compliance/landing-page/general-schedules-and-records-management-services/general-records-schedule/>

## State

<https://publicrecordsboard.wi.gov/Pages/GRS/Statewide.aspx>

# Guidelines

## Email Management

<https://uwm.edu/libraries/archives/uwm-records-management/e-mail-management/>

## Guidelines for using 3<sup>rd</sup> party cloud computing environments

[https://publicrecordsboard.wi.gov/Documents/PRBoard%20Guidance Cloud Approved 05042012.pdf](https://publicrecordsboard.wi.gov/Documents/PRBoard%20Guidance%20Cloud%20Approved%2005042012.pdf)

## Social Media Guidelines

<https://publicrecordsboard.wi.gov/Documents/Social%20Media%20Best%20Practice%20FINAL%2003-2019.pdf>

<https://uwm.edu/itsecurity/resources/socialmedia/>

# Guidelines

E-records Management FAQ

<https://uwm.edu/libraries/archives/uwm-records-management/electronic-records/>

Microsoft Teams locations and retention

<https://kb.uwm.edu/99881>



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UWM Archives

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Records Management site

<https://uwm.edu/libraries/archives/uwm-records-management/>