

Records 101: Records Management

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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



The Main Reason: Trust



Records Retention Schedules

UW System Records Schedules

Records Management Forms

- Records Management Education
- Guidelines, Laws, and Policies
- Archives Transfers
- Staff

Show 10 entries Search:


RRDA #	Series Title	Description	Retention	Trigger Event	Disposition	Confidential?	Category
ADMIN200	Business Records -- Appointed Staff or Equivalent Positions	Business-related correspondence, files, calendars and records of appointed staff or equivalent	3 years	date of separation from institution	Transfer to archives	follow agency specific statutory citations	Administrative (State)
ADMIN201	Business Records -- Non Appointed Staff	Business-related correspondence, files, calendars and records of non-appointed staff or equivalent	1 year	creation	Destroy confidentially	follow agency specific statutory citations	Administrative (State)
ADMIN202	Transition Briefings -- Appointed Staff or Equivalent Positions	Records prepared to provide an overview of the organization during transitions from outgoing management to incoming management	2 years	date outgoing employee separates from institution	Destroy	no	Administrative (State)
ADMIN203	Transition Briefings -- Non Appointed Staff	Records prepared to provide an overview of a position during a transition from an outgoing employee to an incoming employee	1 year	date new employee begins their position or decision made not to refill	Destroy	no	Administrative (State)
ADMIN250	Organizational Planning Documentation	Strategic business and operational planning files. May include, but not limited to, final plan and supporting background documents.	6 years	date plan is completed or superseded	Transfer to archives	no	Administrative (State)
ADMIN251	Organizational	Documentation of organizational	2 years	date change is	Transfer to	no	Administrative (State)

Official Copies


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

Individual Schedule Structure

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.

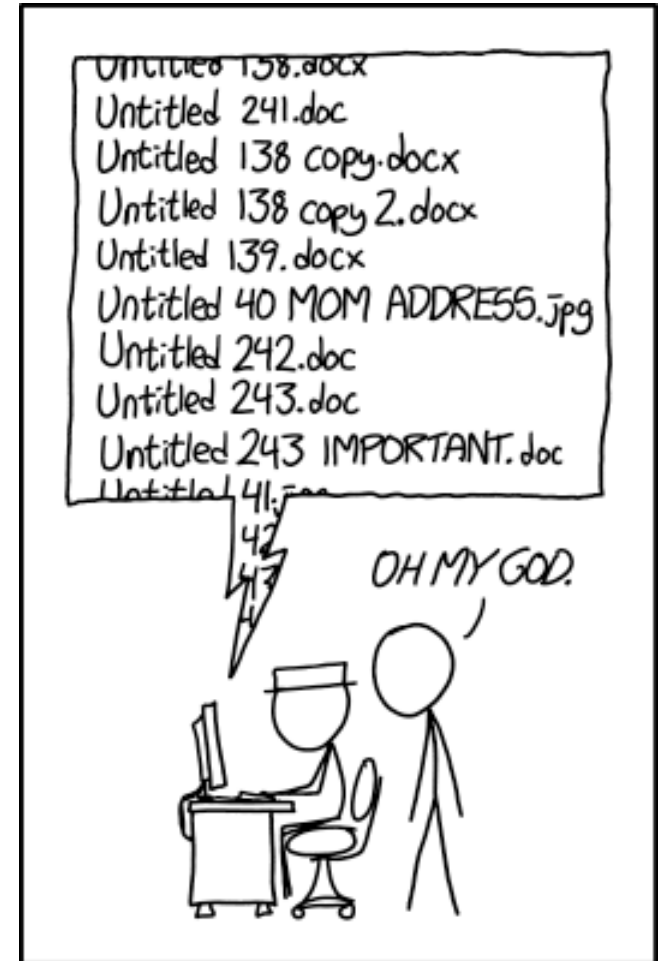
UWADM008 TRANSITION BRIEFINGS

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

Disposition Options

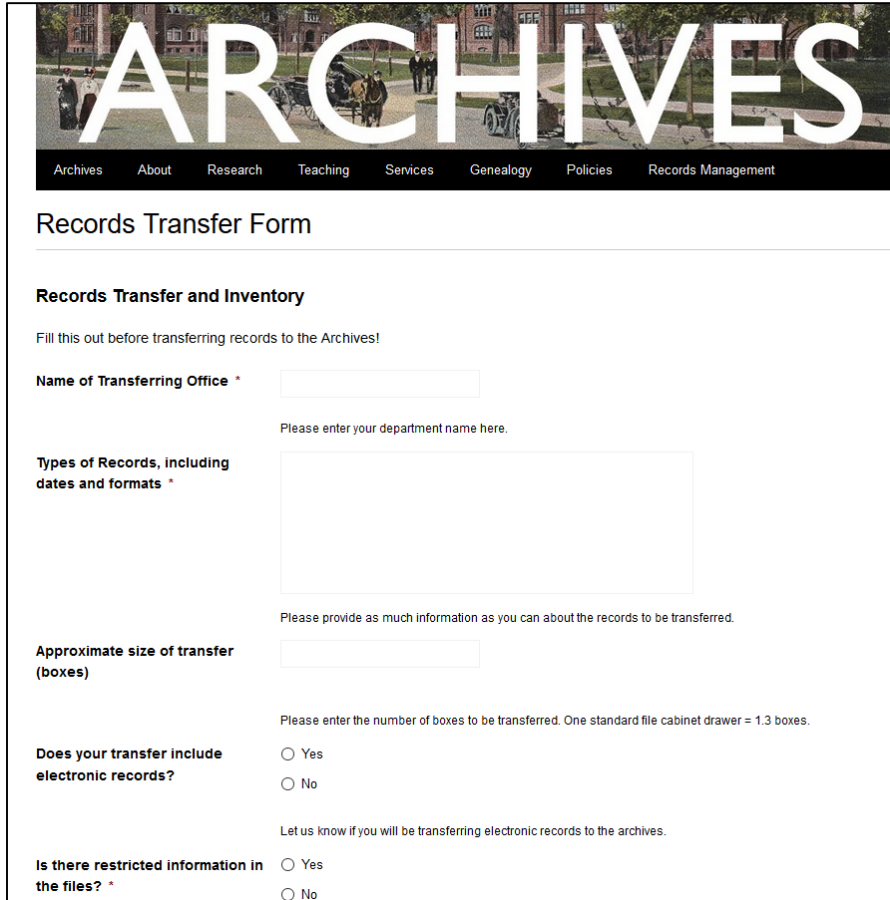
- Destroy
- Destroy confidentially
- Transfer to Archives

- Exception!: audits and litigation
- Convenience copies



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

Transferring Records to Archives



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

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			
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Schedules

Searchable Table

<https://uwm.edu/libraries/archives/records-management/records-schedules/uw-system-record-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 3rd 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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Records Management site

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