



## Record Management Handbook

Effective March 27, 2022

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## SCOPE

The University of Wisconsin is a public institution, which means all records created by a public employee, student, staff, or faculty, regardless of form or format, must be properly managed to ensure administrative records or records of historical value are kept according to State and Federal laws.

The purpose of the Handbook is to educate employees in the record management process to:

- Understand Wisconsin State law relating to records
- **Comply with record retention**
- Know where the Record Schedules are
- Interpret a Record Schedule
- Understand the various formats that records come in
  
- **Manage the proper storage and handling of records**
- Learn how and when records can be disposed of
- Learn the process for documenting and destroying records
- Learn the process for transferring records to the Archives
- Identify business records within your department
- Assess your records with an Inventory Management Worksheet
- 
- Understand how a Records Schedule is created
- Know who your Records Officer is

This training applies to all areas of the UW Green Bay community regardless of their location.

### Included Sites in Records Management Requirement

- Green Bay Campus (Brown County)
- Manitowoc Campus (Manitowoc County)
- Marinette Campus (Marinette County)
- Sheboygan Campus (Sheboygan County)



## RECORDS MANAGEMENT AND THE LAW

The State of Wisconsin Public Records Law requires that all public records shall be open to the public because people must be informed about the workings of their government. Therefore, every record here at the University is presumed to be available to the public per Statutory authority at [Wis. Stat. Sec. 16.61](#). This statute gives the State Public Record Board (PRB) authority to oversee how agencies store and dispose of records through Record Management.

Supporting the Wisconsin Statutes are UW System [Fundamental Activities of Record Management](#). Because all documents – or records – essentially belong to the public – every agency is required to have a Records Management program. Records Management is the official term for controlling all the documents we create AND STORE during the course of our daily work.

Further, [Wisconsin Executive Order #189](#) requires public records training for all employees and regular training for all supervisors, that our University requires every two years. Here at UW-Green Bay the Record Officer coordinates routine training for our campus.

Although most of us don't respond directly to a public record request, knowing what records are created within our department, where they are located, and understanding the retention requirements of each keeps the University in compliance with public records law.

Having administrative control of records throughout their life cycle ensures efficiency in the creation, use, handling, control, maintenance, and disposition. That's quite the list! That's why educating employees is an important step in ensuring the University remains in compliance with Public Records Law. In a nutshell, Records Management is understanding what constitutes a record, identifying how long we have to keep it through the approved Record Schedules, and how we manage and dispose of records.



It starts with you. Because we are state employees, our records are considered a state public record. We cannot discard any documents that may be deemed of administrative or historical value according. We consider these options through understanding the Records Management program here at UW-Bay. Records Management consists of two important functions:

- Record Retention
- Managing Records

We will discuss both of these elements throughout this Handbook.



## OVERVIEW

### Employee Responsibilities

In order to follow the state requirements laid out for us, all employees, paid or unpaid, volunteers, and students actively involved in University business have the following public record responsibilities:

- Recognize when you have a public record
- Understand what is not a public record
- Comply with record retention
- Manage records
- Complete records management training

**Comply with Record Retention.** Employees have a responsibility to follow the state approved Record Schedules that relate to records in and around your department. Many of us inherit records when we jump to new jobs. This means no purging old files unless you know the proper retention period for that record.

**Manage Records.** All employees have a responsibility to manage records that are created, duplicated, saved, or stored in the course of doing business for the University.

All employees must be aware of the requirements related to records management, AND regularly review departmental records and determine the proper method for removing such records, i.e. either transferring to the Archives or destruction.

**Supervisors** and **Managers** have a secondary duty to ensure employees under your supervision are aware of these record management requirements *and* ensure your department records are safely stored and assessed. Other basic duties include:

- Ensure staff have basic knowledge about records management through training
- Know program area business records and ensure they are managed according to an approved records schedule
- Safeguard confidential, sensitive, and personally identifiable information (PII) contained in a record
- Ensure department records are disposed of in accordance with an approved record schedule
- Follow established business processes for Transfer Records to Archives and the Confidential Destruction Process
- Identify and transfer records prior to employee departures
- Have a method to identify legal holds that halt records disposition
- **Identify a Records Custodian in your department and notify the Records Officer**



## Definitions

**Record:** A document created, received, scanned, or copied by offices or employees that allows them to conduct University business. Records are not defined by their format and can be paper, electronic, cloud based, or media.

**Disposable Record:** a record that does not meet the criteria of a record. These include duplicate or convenience copies of correspondence, drafts of letters or reports, routing slips, or correspondence not related to your job duties.

**Record Schedule:** an assigned record schedule describes a record, the period of time it must be retained, and how it is to be disposed of. Record schedules are approved by the state Public Records Board and kept updated by the campus Records Officer. Employees must use these record schedules to retain all records. Example, record schedule *UWADM001 Policies and Procedures* is a schedule within the *Administrative* series of schedules. Any records pertaining to policies and procedures are to be retained based on this record schedule.

**Inventory Management Worksheet:** a document used to assess your department records. This form allows user to capture the type of records within your department, the records schedule that matches the record, retention period, and the manner in which you will be able to safely dispose of a record. Entries on this worksheet are easily transferrable to the Confidential Disposal Form, should records be determined to be destroyed.

**Confidential Destruction Process:** a process initiated by the UWGB Records Officer (or designee) to coordinate the disposal of records that have passed their retention period and are approved for confidential destruction.

**Confidential Disposal Form:** a document used to confirm records to be confidentially destroyed have passed their retention period identified on a record schedule. This form is used during UWGB's confidential destruction process initiated by the Records Officer (or designee).

**Transfer to Archives:** a document used to request records to be transferred to the Archives. Archives reviews all forms and coordinates with requestor for records transfer.



## What Defines a Record?

Most of us are familiar with what a record is. A more formal definition is:

A document created, received, scanned, or copied, by offices or employees that allows them to conduct University business. Records are not defined by their format and can be paper, electronic, cloud based, or media.

Whether you've just started in your position, or been at the University awhile, it's vital to be aware of all the records you are creating and handling.

**An easy test:** If a document helps you perform your job description or documents the history and/or administration of your office, it is probably a record and should be handled appropriately. This includes email and Teams messages!

Records come in a variety of forms:

| Paper   | Electronic   |
|---|--|
| Faxes<br>Copier prints<br>Diagrams<br>Notes<br>Reference Materials<br>Stock Copies (vendor catalogs, blank forms) | Email<br>Computer Files<br>Database Systems<br><br>Other Electronic Records:<br>SharePoint<br>Social Media Posts/Ads<br>CD<br>Flash Drive<br>Video |

In today's work environment, so much of what we do is electronically based. We may handle paper periodically, but typically those papers are printed from an electronic document. Regardless of its form, all records are either:

|           |  |
|-----------|--|
| Originals | Must be clear, legible and easily located                                    |
| Copies    | Printed copies of an original record, which makes a copy a disposable record |

## Email

Email is the electronic record created in the greatest quantity and used by the most people, but it is also one of the hardest formats to deal with from a records management perspective. Email retention is important as Microsoft Outlook retains emails as long as you have an open account, access it at least once a month, and do not exceed your storage limits.

- **Email Retention:** You essentially retain all of your emails for the duration of employment with the University. Note: the University's IT Department does not retain email records on a backup server. It is the responsibility of each individual to manage their email. **Remember, emails are records that need to be determined to be either a disposable record or matched with a record**



**schedule for retention purposes AND you should review them annually.** You cannot arbitrarily just delete emails.

Determine the nature of the email content and determine if it is transitory or needs has relevant content that needs to be matched to a record schedule. The record schedule will determine how long the email needs to be retained.

- **Printed Emails:** Once you've printed an electronic record – if you have the original stored on your computer or other shared drive – the paper version becomes a duplicate copy and can be disposed of immediately. As indicated earlier, the original email would need to be retained to determine content against a record schedule retention period.

## **Social Media**

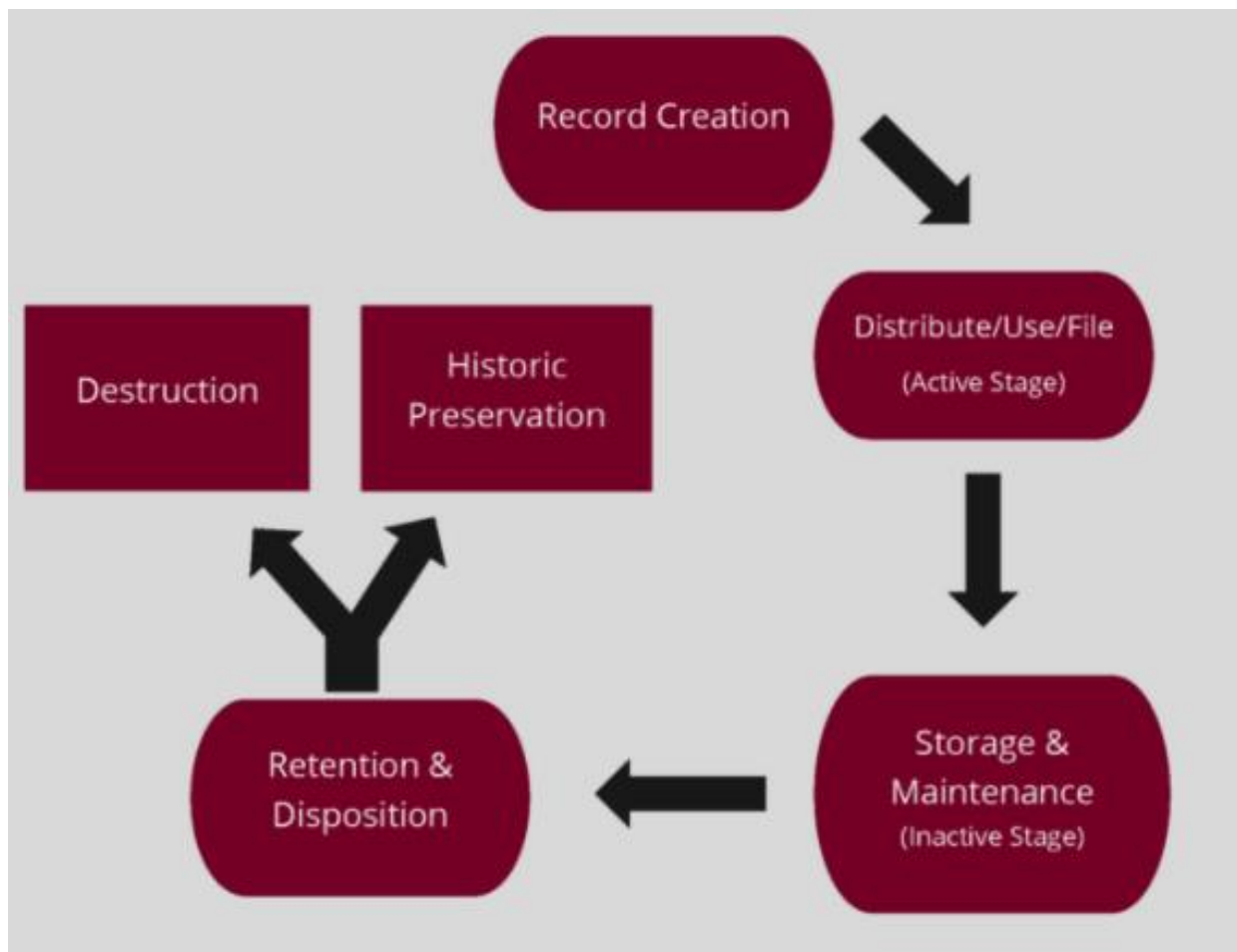
Social media integrates web technology, social interaction, and user-generated content. It typically features content that is shared, interactive, internet-based, personal, and informal. Social media depends on mobile and web-based technologies. Any posting on social media creates a record. . The State of Wisconsin Public Records Board webpage on [social media](#) tells us that information and posts typically NOT considered a public record are those that are access/reference copies, or duplicates of official records already being retained elsewhere.



## Lifecycle of a Record

All UWGB employees are to be aware of the proper method to manage records described in this handbook and training on the [Records Management](#) webpage.

The lifespan of a record will be maintained and disposed of according to a Record Schedule. The following reflects the lifecycle of a record.



Records must be retained until they meet the retention period ascribed in an approved record schedule. Department lists of retention must not be used or relied upon.





## SECTION 1 – RECORD RETENTION

Under [Wis. Stat. Sec. 16.61](#), the State Public Record Board has approved agency Record Schedule or Record Disposition Authorization's (RDA's) for us to dispose of records. The record schedule - or RDA - provides agencies with the legal authorization to dispose of records eligible for disposition. Records may not be disposed of in a shorter period of time.

Therefore, you must refer to a record schedule before a document can be disposed of. Each "schedule" as assigned a specific number, describes a record, the length of time it is required to be kept, and what to do with it after that time has passed.

- Never assume a record can be destroyed
- Don't use old department logs or lists regarding retention
- ALWAYS use an approved record schedule

A Record Schedule will tell you **WHEN** you can dispose a record and **HOW** it is to be disposed.

Every record in your office is governed by a Record Schedule – UNLESS it is considered a Disposable Record. Record Schedules are approved by the State Public Records Board. Becoming familiar with record schedules that match your office records will save you time when you need to determine how long to keep a record AND the proper disposal method.

**NEVER follow any direction relating to records except for an approved record schedule. It MUST BE an approved record schedule and not some other list your department uses.**

### Locate a Record Schedule

All the approved record schedules are listed on the [UWGB Record Management](#) website under the [Record Schedules List](#).

The searchable list looks like this:

| Schedule Category      | Sub-Dept                    | Schedule # | Title                                       | Records Description   | Retention Period | Event                                   | PII      | Confident | Original Disposal      |
|------------------------|-----------------------------|------------|---|---|------------------|---|----------|-----------|------------------------|
| Administrative Records | Governance                  | ADMIN301   | Boards, Councils, or Commissions            | Records associated with boards, councils, commissions, or their subcommittees, that are established by legislation or Governor's Executive Order. May include, but not limited to, member listings, appointment notifications, charter or project mandate, operating rules, roles and responsibilities, agendas, meeting notes and attached documentation, interim reports, | EVT+5 Years      | Date of meeting or approval of document | Possibly | Possibly  | Transfer to Archives   |
| Administrative Records | Governance                  | ADMIN302   | Department Lobbyist and Lobbying Activities | Records used for filing lobbying time or expenditure and activity reports at the state level. May include, but not limited to, all accounts, bills, receipts, books, papers and other documents necessary to substantiate the expense statement, including records identifying the amount of time that is spent on lobbying each day as described by Wis. Stat. § 13.68(5). | EVT+3 Years      | Date of submittal of expense statement  | Yes      | No        | Destroy Confidentially |
| Administrative Records | Communication and Reporting | ADMIN354   | Activity and Production Reports             | May include, but not limited to, progress reports, workload reports, status of work assignments, backlog or production reports, and ad hoc reports.   | CR+1 Year        | Date of creation                        | No       | No        | Destroy                |



## Match a Record to a Schedule

Use the Record Schedule List to locate a schedule that matches records you have in your area. You can search by filtering on the *Schedule Category* – a series of like records, such as Student Records or Fiscal and Accounting. A keyword search is also helpful.

### Schedule Category Search Example

Your database has generated letters to students indicating their acceptance to the University. Using the record schedule list, filtering on *Schedule Category* for *Student Records* you can easily scroll through the records relating to students. UWSTU001 matches this description.

| Schedule Category | Schedule # | Title  | Records Description  | Retention Period | Event                                 | PII | Confidential | Original Disposal Method |
|-------------------|------------|--|--|------------------|---------------------------------------|-----|--------------|--------------------------|
| Student Records   | UWSTA027   | Academic Misconduct Records                    | Notification of academic misconduct and documentation of sanctions or disciplinary action including correspondence, reports, requests for hearings, appeals and petitions.   | EVT+6 Years      | Date of creation                      | Yes | Yes          | Transfer to Archives     |
| Student Records   | UWSTU001   | Acceptance Letters (Enrolled Students)         | Comprising this series are the university's copy of notification letters in any format sent to admitted freshmen or transfer students as a response to application to the university. Such letters may include an invitation to orientation and indicate any further steps needed to be taken by the admitted student. | EVT+5 Years      | Date of graduation or last attendance | Yes | Yes          | Destroy Confidentially   |
| Student Records   | UWSTU002   | Acceptance Letters (Not Enrolled)              | Comprising this series are the university's copy of notification letters in any format sent to admitted freshmen or transfer students as a response to application to the university. Such letters may include an invitation to orientation and indicate any further steps needed to be taken by the admitted student. | EVT+1 Year       | Date of application                   | Yes | Yes          | Destroy Confidentially   |
| Student Records   | UWSTU003   | Applications for Admission (Enrolled Students) | any format by prospective students for admission or readmission to the institution   | EVT+5 Years      | Date of graduation or last attendance | Yes | Yes          | Destroy Confidentially   |
| Student Records   | UWSTU004   | Applications for Admissions (Not Enrolled)     | any format by prospective students for admission or readmission to the institution.  | EVT+1 Year       | Date of application                   | Yes | Yes          | Destroy Confidentially   |

### Keyword Search Example

You have Council Minutes; using the record schedule list, search for “minutes”, “meeting” would locate the ADMIN301 schedule.

| Schedule Category      | Schedule # | Title                            | Records Description  | Retention Period | Event                                   | PII      | Confidential | Original Disposal Method |
|------------------------|------------|----------------------------------|--|------------------|---|----------|--------------|--------------------------|
| Administrative Records | ADMIN301   | Boards, Councils, or Commissions | Records associated with boards, councils, commissions, or their subcommittees, that are established by legislation or Governor's Executive Order. May include, but not limited to, member listings, appointment notifications, charter or project mandate, operating rules, roles and responsibilities, agendas, meeting notes and attached documentation, interim reports, presentations. | EVT+5 Years      | Date of meeting or approval of document | Possibly | Possibly     | Transfer to Archives     |

Once you have located a record schedule, review the schedule to determine how long to retain the record and the method for disposal after the retention period. The *Record Disposition* section describes the process for *Transferring to Archives* and the *Confidential Destruction Process*.



## Record Schedule List Descriptions

There are three key pieces of information you should identify on a record schedule:

|                  |   |
|------------------|---|
| Record Title     | This title should match, or mostly match, your record content/description   |
| Retention Period | The duration with which you must retain a record                            |
| Disposal Method  | Method for which a record can be disposed (transfer to archives or destroy) |

| List Descriptions      | Explanation   | Example  |
|------------------------|---|--|
| Series Title           | The category or series the schedule relates to.                                     | Administrative Records   |
| Record Schedule Number | The schedule number that has been assigned by the State PRB.                        | ADMIN301   |
| Record Title           | Record description.   | Boards, Councils, or Commissions   |
| Description            | Full description of the record.   | Records associated with boards, councils, commissions, or their sub committees....roles and responsibilities, agendas, meeting notes....                                     |
| Retention Period       | Duration a record must be kept.   | EVT + 5 Years<br>The record can be disposed of five years <b>after</b> the date of the meeting or approval of document   |
| Time Period            | The event plus time period a record must be kept.                                   | EVT+5 Years  |
| Event                  | The event or situation that initiates the time period.                              | Date of Meeting or Approval of Document  |
| Disposal Method        | The manner in which a record can be removed or disposed.                            | Transfer to Archives   |
| Descriptors            | Identifying information about the record that determines the method of destruction. |  |
| PII                    | A record that includes Personal Identifiable Information                            | Possibly   |
| Confidential           | A record that includes confidential or sensitive information                        | Possibly<br>If the confidential description is YES or POSSIBLY, the record is confidential, and must be destroyed confidentially, not through a regular recycle or shredder. |



## Common Record Schedules

The most commonly used schedules pertain to communication, such as memo's, correspondence, including email and other records you save. Keep in mind that emails and documents scanned or saved to a network drive also need to be managed.

*Internal Communication* between units regarding operations are to be retained for 3 years and then destroyed confidentially.

*External Communication* also include photographs, social media, and are to be retained for 3 years and then transferred to the Archives.

*Transitory records* have no documentary value and may be destroyed confidentially at any time.

| Sub-Dept                    | Schedule | Title                         | Records Description   | Retention Period      | Event                    | Confidential | Original Disposal Method |
|-----------------------------|----------|-------------------------------|---|-----------------------|--------------------------|--------------|--------------------------|
| NA                          | None     | Disposable Records            | WI. State Legislative 16.61 notes that disposable records are 1) Duplicate copies of materials the original copies of which are in the custody of the same state agency and which are maintained only for convenience or reference and for no other substantive purpose. 2) Drafts, notes, preliminary computations and like materials prepared for the originator's personal use copies of which are in the custody of the same state agency and which are maintained only for convenience or for reference. 3) Routing slips and envelopes. These records can be disposed of at any time - if any PII data contained, be sure to dispose of confidentially. | When no longer needed |                          | Possible     | Destroy                  |
| Communication and Reporting | ADMIN350 | Internal Communications       | Records that document communication within an entity/unit between staff regarding its operations. These communications may be provided through a variety of methods such as, but not limited to, documents, photographs, audio, and video. Applies to the sender of the original record and not the recipient   | EVT+3 Years           | Date disseminated        | No           | Destroy Confidentially   |
| Communication and Reporting | ADMIN351 | External Communications       | Records that document communications regarding business services and information outside the entity/unit. These communications may be provided through a variety of methods such as, but not limited to, documents, photographs, audio, video, and social media. Applies to the sender of the original record and not the recipient.  | EVT+3 Years           | Date disseminated        | No           | Transfer to Archives     |
| Communication and Reporting | ADMIN352 | Transitory Records (Business) | Records that are non substantive, required only for a short time, have little or no documentary or evidential value, and are not required to meet legal or fiscal obligations. These records shall not be used to initiate, sustain, evaluate, or provide evidence of decision-making or public policy. Both of the statements/ conditions above must be met for the records to be considered transitory and applies regardless of the format of  | EVT                   | Created or received date | Possibly     | Destroy Confidentially   |



## Disposable Records

The State has built in an exception for those records that are considered *disposable*. Under [Wis. Stat. Sec. 16.61](#), disposable records are not subject to a record schedule (e.g. the retention period).

This means that any “disposable” record can be destroyed immediately and has no set record schedule to follow. Be watchful for any disposable records that contain PII or confidential data, as these records would not go into a recycle bin.

Examples of disposable records include:

- Duplicate copies of records
- Drafts and notes
- Routing Slips
- Forms that are blank and unused

The original record or master would be the document that must be retained according to a record schedule. If you have a copy of a record, and you know the office that is maintaining the master record, then your copy becomes “disposable”.

## Records Involved in Litigation, Claims, Audits, Open Public Record Requests

A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or action involving the record is initiated before the retention period expiration. The record must be retained until completion of the action and the resolution of all issues that arise from it, or until retention period expiration, whichever is later. Any record subject to federal audit must be retained until the expiration of the audit period or the retention period expiration, whichever is later.



## RECORD DISPOSITION

There are only two options for disposing of a record according to a Record Schedule.



Records identified as “transfer” can be done so anytime after the retention period has passed following the steps in the Transfer to Archive section.



Records identified as “destroy” can be done so anytime after the retention period has passed following the steps in the Destruction of Records section.

Records identified as “destroy, confidentially” can be done after the retention period has passed, AND they follow UWGB’s confidential destruction process that is initiated by the Records Officer.

**Prior to destruction, user must verify there are no pending records requests, audits, or lawsuits that require you to hold on to it.**

Below reflects the two disposal methods noted in the Disposal Column: Transfer or Destroy

| Schedule Category      | Sub-Dept                    | Schedule # | Title                                       | Records Description   | Retention Period | Event                                   | PII      | Confident | Original Disposal      |
|------------------------|-----------------------------|------------|---|---|------------------|---|----------|-----------|------------------------|
| Administrative Records | Governance                  | ADMIN301   | Boards, Councils, or Commissions            | Records associated with boards, councils, commissions, or their subcommittees, that are established by legislation or Governor’s Executive Order. May include, but not limited to, member listings, appointment notifications, charter or project mandate, operating rules, roles and responsibilities, agendas, meeting notes and attached documentation, interim reports, | EVT+5 Years      | Date of meeting or approval of document | Possibly | Possibly  | Transfer to Archives   |
| Administrative Records | Governance                  | ADMIN302   | Department Lobbyist and Lobbying Activities | Records used for filing lobbying time or expenditure and activity reports at the state level. May include, but not limited to, all accounts, bills, receipts, books, papers and other documents necessary to substantiate the expense statement, including records identifying the amount of time that is spent on lobbying each day as described by Wis. Stat. § 13.68(5). | EVT+3 Years      | Date of submittal of expense statement  | Yes      | No        | Destroy Confidentially |
| Administrative Records | Communication and Reporting | ADMIN354   | Activity and Production Reports             | business of the unit of government. May include, but not limited to, progress reports, workload reports, status of work assignments, backlog or production reports, and ad hoc reports.   | CR+1 Year        | Date of creation                        | No       | No        | Destroy                |



## Transfer Records to Archives

- **Records retained permanently at the Archives reduce the volume of records kept in YOUR OFFICE.**
- Records marked for destruction help reduce the volume of unnecessary records kept at the University.

From review of the record schedules pertaining to our records, we'll know if our records are ready to be **Transferred to Archives** if your records have passed the Retention Period and the Disposal Method denotes "transfer". You may transfer records to Archives at any time if these conditions are met.

|                    |   |
|--------------------|---|
| Electronic Records | <ol style="list-style-type: none"> <li>1. Fill out the <a href="#">Transfer Records to Archives</a> form. This can be found on the Records Management website. You will need to provide: <ul style="list-style-type: none"> <li>▪ Department Name</li> <li>▪ Date span of records</li> <li>▪ Pertinent Details should include records are electronic and will be on a flash drive</li> </ul> </li> <li>2. Submit request.</li> <li>3. Save a copy of the email confirmation for your records.</li> </ol> <p>The Archives will follow up with you to coordinate the date/time of records transfer. Requestor may also contact archives directly at <a href="mailto:archives@uwgb.edu">archives@uwgb.edu</a>.</p>   |
| Paper Records      | <ol style="list-style-type: none"> <li>1. Go through the records. <ul style="list-style-type: none"> <li>▪ Remove items from 3-ring binders and transfer them into regular (non-hanging) file folders</li> <li>▪ Remove items from hanging file folders and transfer them to regular file folders</li> <li>▪ Maintain the original order and file folder labels used in your office</li> </ul> </li> <li>2. Box your records in standard banker boxes (10" x 12" x 15").<br/>The correct boxes may be purchased through the standard state office supplier. You should not transfer the records to the archives in paper boxes, file cabinets, plastic storage bins, etc. Boxes must be properly labeled and fit on standard archives shelving.</li> <li>3. Leave files in file folders as you had them originally labeled in your office.</li> <li>4. Clearly label boxes with permanent marker, including this information: <ul style="list-style-type: none"> <li>▪ Name of the creating department or academic unit</li> <li>▪ Name/title of the records series</li> <li>▪ Date span of the records series</li> <li>▪ Record Schedule # (if known)</li> </ul> <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; padding: 5px; width: 45%;"> <p>UW System Schedule</p> <p>Business and Finance<br/>UWADM001 Policies and Procedures<br/>01/01/2017 – 12/31/2021</p> </div> <div style="border: 1px solid black; padding: 5px; width: 45%;"> <p>UWGB Schedule</p> <p>Business and Finance<br/>UWADM018 Agendas/Minutes<br/>01/01/2020 – 12/31/2021<br/>RDA #274 Department Committee Records</p> </div> </div> </li> <li>5. Fill out the <a href="#">Transfer Records to Archives</a> form. This can be found on the Records Management website. You will need to provide: <ul style="list-style-type: none"> <li>▪ Department Name</li> <li>▪ Any pertinent details Archives should know about</li> <li>▪ Number of Boxes</li> <li>▪ Date span of records within each box</li> </ul> <p>The Archives will follow up with you to coordinate the date/time of records transfer. Requestor may also contact archives directly at <a href="mailto:archives@uwgb.edu">archives@uwgb.edu</a>.</p> </li> </ol> |



## EXAMPLE



In using this form, you are acknowledging that the records you are sending to the Archives have passed their retention period ACCORDING TO AN APPROVED RECORD SCHEDULE and the disposal of such records requires transfer to the Archives.

Today's date

Transferring Department Name

Contact Name & Email: Jane Smith, smithj@uwgb.edu

Pertinent Record Details Archives Should Be Aware of?

Example:                      1                      Director Subject Files, 1989-2005                      Yes

|     | Box #                | Brief Content Description | Date Span            | Contains Confidential Data? |
|-----|----------------------|---------------------------|----------------------|-----------------------------|
| Box | <input type="text"/> | <input type="text"/>      | <input type="text"/> | <input type="text"/>        |
| Box | <input type="text"/> | <input type="text"/>      | <input type="text"/> | <input type="text"/>        |

## Retrieving Records from the Archives

Records are easily retrieved from the Archives. Call or email Archives at [archives@uwgb.edu](mailto:archives@uwgb.edu) and let them know what you need. The Archives will retrieve it for you, and let you know when it's ready. You can use your files in the Archives, or check them out and take them back to your office. Simply return them when you are finished, and the records will get back in the right place.





## Destruction of Records

- Records retained permanently at the Archives reduce the volume of records kept in YOUR OFFICE.
- Records marked for destruction help reduce the volume of unnecessary records kept at the University.**

From review of the record schedules pertaining to our records, we'll know if our records are ready to be **Destroyed** if your records have passed the Retention Period and the Disposal Method denotes "destroy". You may destroy records at any time if these conditions are met.

There are two ways to destroy a record: recycling or confidential destruction. Some records contain Personal Identifiable Information – or PII – and other records contain confidential information. Any record identified on a record schedule as having PII or being Confidential must be Destroyed Confidentially.

Records can NEVER be disposed of – or destroyed – unless the assigned retention period has passed according to the record schedule. If a record is marked for destruction, but you think it has historical value, check with the Records Officer (or designee) or the Archives.



Before completing the destruction process, you must:

- Confirm your record against a record schedule retention period.
- Confirm there are no pending record requests, audits, or lawsuits that require you to hold the record.

### Recycling of General Records

Only recycle general records if the assigned retention period has passed and the Record Schedule indicates the record is NOT a confidential record or contains PII. Place records in your regular recycling or waste receptacle.

### Confidential Destruction

Some records contain social security numbers, credit card numbers, medical information, or other personal and confidential information.

**Records to be confidentially destroyed need to be documented.** The confidential destruction process is initiated by the UWGB Records Officer (or designee) twice a year. Records are disposed of upon approval.



## Confirm Retention with a Record Schedule

From review of the record schedules pertaining to our records, we'll know if our records are ready to be disposed of in a **general recycle bin** or must go through the **Confidential Destruction Process**.

In this example, records would be destroyed in a recycle bin. Can you explain why? *Hint: because the disposal method is listed as "destroy" and Confidential is marked as "no".*

| Sub-Dept            | Schedule | Title                     | Records Description  | Retention Period | Event                                     | Confidential | Original Disposal Method |
|---------------------|----------|---------------------------|--|------------------|---|--------------|--------------------------|
| Training and Events | ADMIN453 | Training Course Materials | Materials prepared and used by staff to provide routine training targeted to internal and external audiences. Records may include, but not limited to, presentations, handouts and other materials | EVT+3 Months     | Date materials are superseded or obsolete | No           | Destroy                  |

In this example, voting material records can be destroyed, but must be done so confidentially. Can you explain why? *Hint: because the disposal method is listed as "destroy confidentially" and Confidential is marked as "yes".*

| Sub-Dept   | Schedule | Title                                | Records Description  | Retention Period | Event   | Confidential | Original Disposal Method |
|------------|----------|--------------------------------------|--|------------------|---|--------------|--------------------------|
| Governance | ADMIN305 | Public Record Requests and Responses | Records relating to requests for public records as specified under the provisions of Wis. Stat. §§ 19.35-19.37 and the Federal Freedom of Information Act (FOIA). Includes original request, notice of scope changes to the request..... | EVT+3 Years      | Date response is provided or request is abandoned or withdrawn. | Yes          | Destroy Confidentially   |

**Although the disposal method may be "destroy", the RETENTION PERIOD MUST HAVE PASSED – watch your document dates!**



## Confidential Destruction Process

If your records are not identified as being confidential by a record schedule, nor are they sensitive in nature, we can immediately take them to the recycle bin.

Otherwise, we must follow the Confidential Destruction process. The Records Office will send out email communication announcing the Confidential Destruction process dates. Once you receive your notice, get your records ready!

**Your part in the confidential destruction process is as follows:**

### 1. Confirm Records Ready for Disposal

All records for disposal must match an approved record schedule that has passed the assigned retention period. You should use the Record Schedule List to quickly search for a record schedule. Records that may be destroyed include:

- CONVENIENCE COPIES that are no longer needed by the department, **or**
- OFFICIAL RECORDS (paper, email, electronic) past their retention period date, **and**
- The record has no pending record requests, audits, or lawsuits that would require retention, **and**
- The Record Schedule Retention is: Destroy Confidentially.

### 2. Document Record Disposition

Using a Confidential Disposal Form (CDF), list the record schedule number, dates, record description, retention period, retention disposal method, and if record is an Original or Copy.

*Example of CDF entry that must match one of the Record Schedules for retention and disposal*

| Box or E-File # | Record Dates | RDA Number | File Description              | Retention | To Archives | Destroy | Confidential? | Original or Copy? |
|-----------------|--------------|------------|-------------------------------|-----------|-------------|---------|---------------|-------------------|
| 1               | 2005-2020    | ADMIN352   | Transitory Department Records | EVT+0     |             |         | X             | Original          |

### 3. Obtain Departmental Approval

Once the CDF is complete, obtain approval signature from your Department Supervisor and email this form back to Records Management at [maines@uwgb.edu](mailto:maines@uwgb.edu).

You will be sent a calendar appointment as a placeholder with directions to bring your records to the Mail Room Loading Dock on that day for collection.

### 4. Prepare Records for Disposal

**Any electronic records may be deleted now.** You do not need to remove staples or paper clips before placing records in boxes. DO NOT purchase new boxes for this process as they will be destroyed. Binders or hanging folders are not allowed and should be removed before placing in the disposal box.


### 5. Bring Records to the Mail Room Loading Dock on Scheduled Date

On the designated date and time, take your records to the Lab Sciences Mail Room Delivery Dock. These will be disposed of for you. The Records Officer (or designee) will be available should questions arise.

You must stay with your records until they are loaded onto the shredder truck.



## EXAMPLE

  
**UNIVERSITY of WISCONSIN  
GREEN BAY**  
**CONFIDENTIAL DISPOSAL FORM**

Today's Date \_\_\_\_\_ Disposal Dates (select one) ☐ \_\_\_\_\_

Dept/Location \_\_\_\_\_ Contact Name \_\_\_\_\_

**INSTRUCTIONS:** This form is intended for records designated for confidential destruction per an approved record schedule. All other records for destruction should be disposed of through the normal waste or recycling channels. If you are unsure if records should be destroyed, use an Inventory Management Worksheet to assess records prior to using this form. Enter records that meet requirements for destruction, obtain department signature approval, and forward to Risk Management for review at least five (5) days prior to the designated day for confidential destruction. **Example noted on first line below.**

**APPROVAL**

☐ I certify that these are CONVENIENCE COPIES that are no longer needed by the department, and/or

☐ I certify that these are OFFICIAL RECORDS that are past their retention period per an approved record schedule, all audit and administrative requirements have been satisfied, and there are no pending public record requests, audits, or lawsuits for these records.

Depositor Signature \_\_\_\_\_ Date \_\_\_\_\_ Department Supervisor Signature \_\_\_\_\_ Date \_\_\_\_\_

| Box or E-File # | Record Dates | RDA Number | File Description              | Retention | To Archives | Destroy | Confidential? | Original or Copy? |
|-----------------|--------------|------------|-------------------------------|-----------|-------------|---------|---------------|-------------------|
| 1               | 2005-2020    | ADMIN352   | Transitory Department Records | EVT+0     |             |         | X             | Original          |
|                 |              |            |                               |           |             |         |               |                   |
|                 |              |            |                               |           |             |         |               |                   |
|                 |              |            |                               |           |             |         |               |                   |
|                 |              |            |                               |           |             |         |               |                   |
|                 |              |            |                               |           |             |         |               |                   |

Page 1 of 2  
CAUTION: A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or action involving the record is initiated before the retention period expiration. The record must be retained until completion of the action and the resolution of all issues that arise from it, or until retention period expiration, whichever is later. Any record subject to federal audit must be retained until the expiration of the audit period or the retention period expiration, whichever is later.  
Revised 11/9/2022

## Urgent Records Disposal

If you have urgent records that need to be destroyed outside the confidential destruction process, contact the Records Officer (or designee). Fill out the a [Confidential Disposal Form](#), have it signed by your Department Supervisor and forward to the Records Officer (or designee).



## SECTION 2 - MANAGE YOUR DEPARTMENT RECORDS

How your records are stored is critical in records management. Have you ever started a new position and inherited someone else's files? Sometimes, you are told "it's all in the file". Where exactly?

Managing records seems obvious to everyone, however, managing records for the operational area makes the most sense so that the department is not keeping files individually but in the same place. Using a shared operational unit network drive makes sense as people come and go.

**A record can be impossible to find because it is hidden in so many other things!**



**A typical situation:** Your predecessor Amy worked in the department for 5 years. When you start your new job, you receive a flash drive with all of her files. You look through them enough to find the important stuff. You start saving records to your own drive and also use a department SharePoint.

Soon, you've been at your role for over a year and Amy's files are a thing of the past. You've been asked to look at the Syllabi records. We know that Syllabi need to be retained in the department for 10 years, and then transferred to the Archives.

When it's time to think about verifying where all the Syllabi for the last 10 years are – how is this managed? Remember Amy's flash drive?

You're responsible for these records. What do you do?

This scenario may strike a chord with many of us. Recall that the State requires us to maintain records and dispose of them only through an approved Record Schedule. This is because records, by law, shall be open to the public.

Managing your office records is critical in reducing waste in finding records and being efficient about actively disposing of records at the proper time. [Supervisors should include record management during employee exits – such as saving emails and verifying electronic records.](#)



## Establish Retrievable Records

All documents must be easily retrieved and located. In the event of a public record request – or litigation – departments have a responsibility to locate any document. This means that employees are accountable for the records they create and save.

Examples of poor record keeping include:

- Storing records indefinitely, including your email and work computer
- Saving records from emails or other sources onto a work computer outside of the department record or storage system
- Deleting emails every 6 months without accounting for the content
- Scanning records and destroying the paper copy without a quality control check that verifies the document is an accurate representative of the paper copy (e.g. is it cut off, slanted, or image not clear?)

In order to have retrievable records, every department should set standards for WHERE records are located within an operational area, and HOW they are named.

## Set Office Standards

Remember Amy's flash drive? Setting office standards ensures we meet state requirements are actually *managing* our department records.

### File Naming Conventions

**The goal of naming records is to find them later!** Having a system set up with good naming conventions - for BOTH paper and electronic records - will make it easy to store and retrieve records later. Avoid acronyms unless it is commonly used and also contains other relevant information. There's nothing worse than trying to find a 10-year old facility use plan that was filed as "J. Doe's Files" or "PE Reviews" and sifting through hundreds of records to find the right one. Formatting standards are necessary for both paper and electronic record files.

Pick a file structure that suits the needs of your office and consistently use that structure. Everyone in the department should be aware of, and use, the identified naming conventions the department sets up. This avoids confusion in locating records, and for new employees will maintain a consistent style.

#### More Specific

Clery Act Crime Report Data 2015  
Library Policy & Procedures  
Financial Aid Applications 2018

#### Less Common

Police Reports  
SOPs  
FAA

#### Folder Name

Committee Meetings

#### Sub-Folders

Graduate Research  
  
Technical Issues

#### File Names

GRC Committee Minutes 01252018  
GRC Action Plan 2018  
TIC Minutes 03012020

## Email Standards



Email is the electronic record created in the greatest quantity and used by the most people, but it is also one of the hardest formats to deal with from a records management perspective. Email retention is important as Microsoft Outlook retains emails as long as you have an open account, access it at least once a month, and do not exceed your storage limits. You essentially retain all of your emails for the duration of employment with the University. However, before deleting any, you'll need to determine if these records are transitory or require to be retained per a record schedule.

#### Create Good Subject Lines

When sending emails, think about how you can best locate this email later. The subject line is the most critical component. Email subject line examples:

FYI: Bellin Contract Proposal  
Request Review: GRC Minutes 01252018  
Invoice Payment Smith Factory #15530

#### Create Email Folders

Once an email is received, users may save the email into a folder to review or recall at a later date. Setting up email folders will be beneficial in locating an email or when you are needing to transfer records to the archives. These saved email records most likely do not fall into a transitory schedule and should be reviewed before arbitrarily deleting.

Contracts  
Meetings  
Purchasing





## Inventory Department Records

Inventory your records. This includes looking at your saved electronic files and emails.. Completing the [Inventory Management Worksheet](#) will allow your department to easily identify records that are ready for disposal. This worksheet will allow you to note all the records, the record schedule, retention period, and disposal method.

Once the Inventory Management Worksheet is complete, the annual review process will produce efficient and fast results in determining which records are ready for archiving or destruction.

Here are four types of record formats to consider, but certainly not all the records you might have.

|                  |  |
|------------------|--|
| Paper Documents  | Paper documents are the easiest records to inventory in the department. Most are already filed according to department standards and can be easily listed within the Inventory Worksheet.  |
| Computer Files   | This category consists of departmental shared files as well as those files that are stored on every employee's work computer. Listing these documents on an Inventory Worksheet will take the most time initially, but annually you will only need to consider adding date ranges.   |
| Emails           | Every employee should be aware of the emails they have within Outlook and have created file folders or other standards in which to save important emails. When adding emails to the Inventory Worksheet, be concerned with the email <i>content</i> to match with a record schedule.   |
| Database Records | The systems and databases we use convey multiple documents within them. A system may have 100 GB of storage capacity, but records within a database or system also fall under records management. Don't wait until storage capacity is an issue before your department looks at the data/records contained within to determine what should be appropriately disposed of. Your department will want to list the records stored and work with your Business or IT Analyst to determine the best method for disposing of data once a retention period has been met. |





1. Locate your records and evaluate the content
2. Open a blank [Inventory Management Worksheet](#)  
This worksheet mirrors the Confidential Disposal Form so you can easily copy and paste records set for destruction onto the CDF.

3. Complete the Inventory Worksheet

- a. Enter records to be inventoried: Record Media, Record Description, Dates

| Media  | Department Record Description | Dates     | RDA # | RDA Record Schedule Title | Retention | To Archives | Destroy | Confidential? | Original or Copy? |
|--------|-------------------------------|-----------|-------|---------------------------|-----------|-------------|---------|---------------|-------------------|
| E-File | Emails re Purchasing          | 2009-2015 |       |                           |           |             |         |               | O                 |

- b. Locate a record schedule related to these documents.

Use the [Record Schedules List](#) to locate a record schedule that matches the document you have by searching within the List. You will need the TITLE and RECORDS DESCRIPTION to match the document you have.

Record Description: emails on purchasing

Record Schedule: External Communications ADMIN351

| Sub-Dept                    | Schedule | Title                   | Records Description  | Retention Period | Confidential | Original Disposal Method |
|-----------------------------|----------|-------------------------|--|------------------|--------------|--------------------------|
| Communication and Reporting | ADMIN351 | External Communications | Records that document communications regarding business services and information outside the entity/unit. These communications may be provided through a variety of methods such as, but not limited to, documents, photographs, audio, video, and social media. Applies to the sender of the original record and not the recipient. | EVT+3 Years      | No           | Transfer to Archives     |

- c. Enter the Record Schedule Number, retention period and disposal method.

| Media  | Department Record Description | Dates     | RDA #    | RDA Record Schedule Title | Retention   | To Archives | Destroy | Confidential? | Original or Copy? |
|--------|-------------------------------|-----------|----------|---------------------------|-------------|-------------|---------|---------------|-------------------|
| E-File | Emails re Purchasing          | 2009-2015 | ADMIN351 | External Communications   | EVT+3 Years | X           |         |               | O                 |

- d. Continue adding records.

Once the Worksheet has been completed, you can now determine which records in the office are past the retention period and can follow steps for disposal. Save the Worksheet where everyone in the department would have access.



## Let's Review

In the record schedule example below, records would not be transferred to the Archives, but destroyed. Can you explain why? *Hint: because the disposal method is listed as "destroy".*

| Sub-Dept            | Schedule | Title                     | Records Description  | Retention Period | Event                                     | Confidential | Original Disposal Method |
|---------------------|----------|---------------------------|--|------------------|---|--------------|--------------------------|
| Training and Events | ADMIN453 | Training Course Materials | Materials prepared and used by staff to provide routine training targeted to internal and external audiences. Records may include, but not limited to, presentations, handouts and other materials | EVT+3 Months     | Date materials are superseded or obsolete | No           | Destroy                  |

In this next example, records of meeting minutes require transfer to the Archives. Can you explain why? *Hint: because the descriptor is listed as "transfer to archives".*

| Sub-Dept   | Schedule | Title                            | Records Description   | Retention Period | Event                                   | Confidential | Original Disposal Method |
|------------|----------|----------------------------------|---|------------------|---|--------------|--------------------------|
| Governance | ADMIN301 | Boards, Councils, or Commissions | Records associated with boards, councils, commissions, or their sub committees, that are established by legislation or Governor's Executive Order. May include, but not limited to, member listings, appointment notifications, charter or project mandate, operating rules, roles and responsibilities, agendas, meeting notes and attached documentation, interim reports, presentations. | EVT+5 Years      | Date of meeting or approval of document | Possibly     | Transfer to Archives     |

**From the Examples on this Worksheet are all the records ready for Disposal (assuming the Event is the record creation date)? If not, which box must be retained awhile longer? See answers below.**

| Media  | Department Record Description | Dates     | RDA #    | RDA Record Schedule Title | Retention    | To Archives | Destroy | Confidential? | Original or Copy? |
|--------|-------------------------------|-----------|----------|---------------------------|--------------|-------------|---------|---------------|-------------------|
| E-File | Emails re Purchasing          | 2009-2015 | ADMIN351 | External Communications   | EVT+3 Years  | X           |         |               | O                 |
| Paper  | Staff Progress Reports        | 2005-2020 | ADMIN354 | Activity Reports          | CR+1 Year    |             | X       |               | Both              |
| E-File | Department Desk Instruct      | 2008-2020 | ADMIN453 | Training Course Materials | EVT+3 Months |             | X       |               | Both              |

## Answers

| Box #    | Record Date | Retention   | Ready for Disposal?                                  |
|----------|-------------|-------------|--|
| Box 1    | 2009-2015   | EVT+3 Years | Yes  |
| E File 1 | 2016-2019   | EVT+3 Years | No, end of 2022 will be 3 years for the 2019 records |
| Box 2    | 2010        | EVT+6 Years | Yes  |



## Disposing of Electronic Records

Any record considered disposable may be deleted at any time. Remember, disposable records are duplicate copies, drafts, notes, etc.

However, electronic records – including emails – should be part of the Inventory Department Records process mentioned in the previous section.

When disposing of electronic records, these must also follow either the *Confidential Destruction Process* or save to a flash drive to submit when *Transferring to the Archives* at the proper time.

| Action               | Description  |
|----------------------|--|
| Transfer to Archives | If transfer to archives is required, follow the <b>Transfer to Archives</b> section by completing a <i>Transfer to Archive</i> request and coordinating with the Archives. In this case, you have no boxes, but most likely will need to move your records to a flash drive to deliver to the Archives.  |
| Destroy Records      | <p>If destruction is required, follow the <b>Destruction of Records</b> section. In most cases where electronic records are ready for disposal and are not confidential, they can be deleted immediately (as long as you have verified the record schedule retention period has passed and the disposal method is “destroy”). Otherwise, you are required to document the destruction on a <i>Confidential Disposal Form</i> and obtain approval prior to deleting any records. This includes any transitory records per the record schedule ADMIN352.</p> <p>If your records are not confidential, and have passed the retention schedule, feel free to press delete!</p> |

## Digitizing Records

Did you know that anytime you scan a record you have “digitized” it? The record is now stored electronically and the paper record becomes a “copy” that can be disposed of.

There are associated costs in the production of digital files, and current technology records we have in place now, may not be necessarily accessible in the future. Hardware and software required to read such files may become obsolete. Careful planning with IT staff and the Records Officer will be necessary before you take the next step toward digitization. You should also consider the **Safely Storing Records** section if you are thinking about digitizing or scanning records. Read more on digitizing at UW System [Digitization of Information](#).



## Safeguard Records

We have a responsibility to be aware of records that contain confidential, sensitive, or personal identifiable information (PII). This means we must take steps to safeguard the records we are handling.

Stop and evaluate if the record you are handling contains the any private information. Since most of our work is electronic these days, you may need to consider removing restricted information before forwarding.

- Be cognizant of your surroundings when you are working on your computer with sensitive information
- ALWAYS lock your computer before stepping away from your desk
- Be aware your email is not considered safe if sharing documents outside of the University to another server
- Always follow the University's [Information Security Policy](#)



Keep an eye on your records. Always be conscious of the records that pass your desk – and your computer. Are these records relevant to University business? If so, consult your Record Schedules for retention before you shred or delete!



Know where your records are. How long has it been since your department reviewed records being stored in your area? Is your storage area overflowing? Do you have so many electronic folders in SharePoint scrolling has become tedious? It may be time to assess your records. A good rule is to set aside time, at least quarterly, to take a look.



## MANAGEMENT OF A RECORD SCHEDULE

This section is informational only for employees. The Record Officer for UWGB maintains and coordinates all record schedules. State agencies are statutorily required to provide records schedules for ALL records not already covered by an existing records schedule. By law, record schedules have to be submitted one year after each records series has been received or created.

### Whose Responsible for the Record Schedule

The record schedules that are created for UWGB are continuously monitored by the Records Officer. After 10 years, the record schedule sunsets, and a new one must be resubmitted for Public Records Board approval or to make it obsolete. There may be instances where a record unique to UWGB has required an amendment.

All such forms are kept by Records Management.

### EXAMPLE - Record Schedule of Weidner Center Valet Parking Ticket Stubs

These records are still generated and specific to UWGB. Recently, the Records Officer worked with the department to amend the existing schedule to reflect our most current method of retention and disposal of this record.

| STATE OF WISCONSIN<br>DEPARTMENT OF ADMINISTRATION<br>PUBLIC RECORDS BOARD<br>PRB-001 (R09/2016)<br>PAGE 1 OF 3  |   | <a href="http://publicrecordsboard.wi.gov">http://publicrecordsboard.wi.gov</a>  |   |
|--|---|--|---|
| Records Retention / Disposition Authorization  |   |  |   |
| <ul style="list-style-type: none"><li>Read instructions provided on pages 2-3 before completing.</li><li>In accordance with Wis. Stat. § 18.61, this form must be completed and approved by the Agency and the Public Records Board (PRB) within one year of creation of the records series and prior to disposition of any public record.</li><li>Agency Records Officer: Forward original to the PRB. Maintain an agency copy during the PRB review process.</li></ul> |   | 1. RDA #<br><b>496</b>   | 2. Record Series Title<br><b>Valet Parking Ticket Stubs</b> |
|  |   | 3. RDA Status (Check One): <input type="checkbox"/> New <input type="checkbox"/> Amended <input checked="" type="checkbox"/> Renewal   |   |
|  |   | 4. Agency #: <b>285D</b>   | 5. Unit #: <b>8-3000</b>                                    |
|  |   | 6. Agency Name<br><b>UNIVERSITY OF WISCONSIN-GREEN BAY</b>   |   |
| Division Name<br><b>Weidner Center for the Performing Arts</b>   |   | Subdivision Name<br><b></b>  |   |
| 7. Record Series Year of Creation <b>1993</b>  | 8. Medium for Records Storage (Check all appropriate)<br><input checked="" type="checkbox"/> Electronic/Digital <input type="checkbox"/> Microform <input checked="" type="checkbox"/> Paper <input type="checkbox"/> Other (Specify) <b></b> |  |   |
| 9. Retention Time Period - Specify Actual Period<br>Yrs <b>11</b> Mo <b></b> Wks <b></b> Days <b></b> Permanent* <input type="checkbox"/>  |   | 10. Event that Initiates the Start of the Retention Time Period (Check One)<br>Creation Fiscal Other (Specify)<br><input checked="" type="checkbox"/> (CR) <input type="checkbox"/> (FIS) <input type="checkbox"/> <b></b> |   |
| *If selecting Permanent, cite supporting statute, code, other legal authority, or sufficient justification in Box 12, Record Series Description.   |   |  |   |
| 11. Disposition (Check One): <input checked="" type="checkbox"/> Destroy <input type="checkbox"/> Destroy Confidential <input type="checkbox"/> Transfer - State Archives (WHS) <input type="checkbox"/> Transfer - UW Archives<br><input type="checkbox"/> Transfer - Other Location (Specify): <b></b>   |   |  |   |
| 12. Records Series Description<br><br>Replaces RDA 315. Valet parking ticket stubs contain date, vehicle license plate number, patrol signature, parking lot location, diagram to indicate prior damage to vehicle.<br><br>Arranged chronologically by performance.<br><br>Ticket stubs are entered into database for valet sales. Paper valet stubs are kept for 11 months and then destroyed.  |   |  |   |



## FORMS

Don't forget the essentials! There are four (4) forms that have been covered in this training module that you will need as you work through records management.

| Form  | Use Description   |
|---|---|
| <a href="#">Inventory Management Worksheet</a>    | Assess your records that are ready for disposition. This form will reflect the records that are ready for disposal – either by transferring to the Archives or destroying.  |
| <a href="#">Transfer Records to Archives Form</a> | Upon assessment using the Inventory Management Worksheet, records requiring transfer to the Archives will need to be submitted via this online form before to the Archives.   |
| <a href="#">Confidential Disposal Form</a>        | During the confidential destruction process at UWGB, use this form to report the records that can be confidentially destroyed. It requires signature by the Department Supervisor and review by the Records Officer (or designee). Upon approval, staff are authorized to take their records to the Mail Room on the designated destruction date. |
| <a href="#">Records Disposition Authorization</a> | This form is only used by the Records Officer to create or amend a new records schedule.  |

## REFERENCE MATERIALS

[UW System Records Management](#)  
[Regent Policy 3-2 Public Records Management](#)  
[State of Wisconsin Public Records Board Best Practices](#)

For additional questions, contact:  
Sandi Maine-Delepierre  
920-465-2781  
[maines@uwgb.edu](mailto:maines@uwgb.edu)



## RECORD MANAGEMENT SUMMARY MATRIX

| What                 | Why  | How                                    | When  |
|----------------------|--|--|---|
| Assess Records       | To determine which records are ready for disposal.   | Use the Inventory Management Worksheet | At least annually   |
| Transfer to Archives | Retention period has passed and the Record Schedule disposal method indicates Transfer to Archives.              | Transfer to Archives Process           | Any time AFTER the retention period AND when the disposal method says "Transfer to Archives"  |
| Destroy Records      | Retention period has passed and the Record Schedule disposal method indicates Destroy or Destroy Confidentially. | Recycle Bin                            | <ul style="list-style-type: none"> <li>Any time AFTER the retention period AND</li> <li>When the disposal method says Destroy AND</li> <li>There are no PII or Confidential descriptors</li> </ul>  |
|                      |  | Confidential Destruction Process       | <ul style="list-style-type: none"> <li>AFTER the retention period AND</li> <li>When the disposal method says Destroy AND</li> <li>When the descriptor says YES to PII or Confidential AND</li> <li>The Records Officer or designee has notified you of the Confidential Destruction process dates</li> <li>Your CDF form has been approved</li> </ul> |