



## Record Management Handbook

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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.

In order to aid individuals creating and using records within the University, this handbook has been created. The purpose of the Handbook is to educate employees in the record management process to:

- Understand records management and the Law
- Identify business records within your department
- Understand the various formats that records come in
- Manage the proper storage and handling of records
- Locate a set of General Record Schedules
- Interpret a Record Schedule
- Assess your records with an Inventory Management Worksheet
- Learn the process for transferring records to the Archives and when
- Learn the process for disposing of records and how they are destroyed
- Understand how a Records Retention and Disposition Authorization 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 and following the Records Schedules keeps the University in compliance with public records law.

Records Management is the official term for controlling all the records we create during the course of our daily work. 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.



## GENERAL INFORMATION

### Employee Responsibilities

In order to follow the state requirements laid out for us, all employees have the following public record responsibilities:

- Recognize when you have a public record
- Understand what is not a public record
- Understand how to properly retain public records
- Recognize a public records request and handle that request appropriately
- Complete records management training

**Comply with Record Retention.** Employees also have a responsibility to follow the set Record Schedules and manage 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 records contained AND the proper disposal for that record.

**Manage Records.** All employees, paid or unpaid, volunteers, and students actively involved in University business, 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 records within a department, i.e. either transferring to the Archives or destruction.

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

- Ensure staff have basic knowledge about records management
- Document program area business activities and decisions
- Know program area business records and ensure they are managed according to an approved records schedule
- Ensure public records are disposed of in accordance with an approved record schedule
- Safeguard confidential, sensitive, and personally identifiable information (PII) such as personnel records
- Communicate records roles and responsibilities to your employees
- Ensure records are filed for safe storage and efficient retrieval
- 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. Records are documented on a Record Disposition Authorization (RDA) or GRS Record Schedule. See Disposable Records for records that do not need to follow an RDA.

**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.

**Records Disposition Authorization (RDA):** an authorization of a specific record submitted on a single form to the State Public Records Board. Each RDA is assigned a unique RDA number, description, retention period and disposal method. RDA's are agency specific or a record series schedule within a General Records Schedule (GRS).

**General Record Schedule (GRS):** a grouping of similar types of record schedules – or RDAs – set by the State Public Records Board. Each GRS allows users to search through similar type records to locate a specific schedule description to match a record. Users may then use that record schedule – or RDA – to determine how long to keep a record and the proper disposal method.

The Administrative General Record Schedule is an example of a GRS. The Administrative GRS contains a grouping of administrative record schedules such as the UWADM001 Policies and Procedures or UWADM002 Calendars and Schedules. A General Record Schedule (and the record schedules contained within) are set by the State Publics Board for all public institutions.

**Record Schedule:** a specific record schedule contained within a General Records Schedule (GRS). Like an RDA, each record series schedule within a GRS is assigned a record schedule number, description, retention period, and disposal method. In 2022, the State PRB has started requiring agencies to submit all record series schedules for a GRS on an RDA.

**Inventory Management Worksheet:** a document used to assess your department records. This form allows user to capture the type of records, 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 Destruction Request:** a document used to list records that have been determined they must be confidentially destroyed 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 instant messages!

**As stated earlier, State Law identifies all records, their retention period, and disposal method through an approved Record Schedule – which review in one of the next sections.**

Records come in a variety of forms:

Paper
<ul style="list-style-type: none"> <li>Faxes</li> <li>Copier prints</li> <li>Diagrams</li> <li>Notes</li> <li>Reference Materials</li> <li>Stock Copies (vendor catalogs, blank forms)</li> </ul>

Electronic
<ul style="list-style-type: none"> <li>Email</li> <li>Computer Files</li>   <li>Other Electronic Records:               <ul style="list-style-type: none"> <li>SharePoint</li> <li>Social Media Posts/Ads</li> <li>CD</li> <li>Flash Drive</li> <li>Video</li> </ul> </li> </ul>

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.**
- **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, unless it is signed and scanned to PDF. Then you would have the draft, a copy, and the original PDF. There's no need to store these in file folders in your desk! Verify disposal with a Record Schedule.

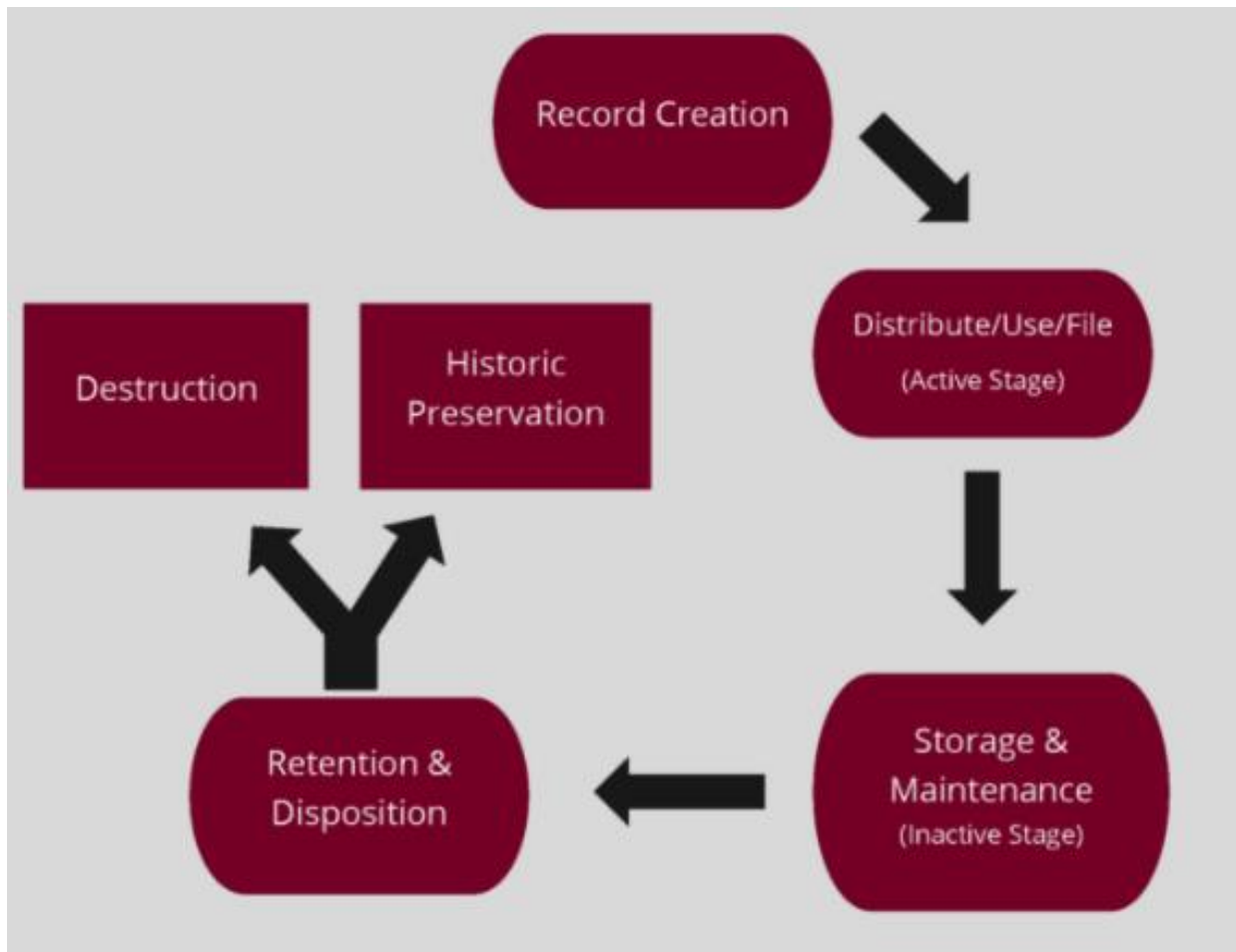
### **Social Media**

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 power point training on the [Records Management](#) webpage.

The lifespan of a record will be maintained and disposed of according to a General Record Schedule. From UW System webpage, the following reflects the lifecycle of a record.







## 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.

### Follow a Record Schedule

Every record in your office is governed by a Record Schedule – UNLESS it is considered a Disposable Record. This section points you to where all Record Schedules are located. 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 RDA or record schedule. It MUST BE an approved RDA or record schedule and not some other list your department uses.**

All the approved RDA’s and record series UW System GRS’s are listed on the [UWGB Record Management](#) website under the [Record Schedules List](#).

The Record Schedules List encompasses all UWGB RDA’s and the general record series schedules in one place and allows for quick searchability. The searchable list looks like this:

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
Governance	ADMIN304	Memorandums of Understanding (MOU) and Service Level Agreements (SLA)	A MOU or SLA is typically used for coordination of administrative activities between entities who share a common function. May include, but not limited to, supporting documentation, correspondence setting the terms of the agreement or the final agreement itself	EVT+4 Years	Date agreement ends or is superseded	No	Destroy



The goal of the Record Schedule List is to locate a record schedule that matches the document you have.

There are three key pieces of information you'll need:

Record Title	The Title that matches, or most matches, your record
Retention Period	EVT (or Event) and the time period following it
Disposal Method	Method for which a record can be disposed (transfer to archives or destroy)

**RECORD SCHEDULE LIST EXAMPLE: Council Minutes**

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

Description	Explanation	Example
Record Schedule Number	The schedule number that has been assigned by the State PRB.	ADMIN301
Record Type	Record description.	Boards, Councils, or Commissions
Description	Full description of the record.	Records associated with boards, councils, commissions, or their sub committees....roles an responsibilities, agendas, meeting notes....
Retention Period	Duration 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
Time	Time duration a record must be kept.	5 Year2 The record can be disposed of five years after the creation date.
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	No
Confidential	A record that includes confidential or sensitive information	Possibly 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	W: 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



## Options for Disposal

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



### Transfer to Archives

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



### Destroy

**Verify there are no pending records requests, audits, or lawsuits that require you to hold on to it.**

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.



## Disposal: 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.

If a record is marked for destruction, but you think it has historical value, check with the Records Officer (or designee) or the Archives. Once you have confirmed the records you have need to go to Archives, there are a few things you need to do first.

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 storage boxes (10" x 12" x 15"). 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 able to be properly labeled and must 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>▪ RDA # (if known)</li> </ul> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="border: 1px solid black; padding: 5px; width: 45%;"> <p style="margin: 0;">UW System Schedule</p> <p style="margin: 0;">Business and Finance UWADM001 Policies and Procedures 01/01/2017 – 12/31/2021</p> </div> <div style="border: 1px solid black; padding: 5px; width: 45%;"> <p style="margin: 0;">UWGB Schedule</p> <p style="margin: 0;">Business and Finance UWADM018 Agendas/Minutes 01/01/2020 – 12/31/2021 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 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.



## Disposal: 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.**

There are two ways to destroy a record: recycling or confidential destruction. The disposal method you use is determined by the record schedule when:

- the assigned retention period has passed, **AND**
- the disposal method is "Destroy", **AND**
- the disposal descriptor indicates "Confidential" or "PII" is YES



### 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 may be disposed of upon approval.

**Before you get rid of a record, make sure there are no pending records requests, audits, or lawsuits that require you to hold on to it.**





### Confirm 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” 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 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 RDA 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.





## EXCEPTIONS TO RECORD SCHEDULE RULES

### 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.



## 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?

**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.



## 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

Eventually, many records will make their way to the Archives. 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 "FUP Reviews" and sifting through hundreds of records to find the right one. For either paper or electronic records, the Archives suggests formatting standards.

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.

Using a shared operational unit network drive makes sense as people come and go. **The goal of naming records is to find them later! Specifically, if someone is looking for this record 5 years from now, would they know what to search for or is it only understandable to you and those in your department?**

#### More Specific

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

#### Less Common

Police Reports  
SOPs  
FAA

Folder Name

Sub-Folders

File Names



Committee Meetings

Graduate Research

GRC Committee Minutes 01252018

GRC Committee Minutes 02152018

GRC Action Plan 2018

Technical Issues

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 your records, the RDA or record schedule, retention period, and disposal method.

Once the Inventory Management Worksheet is complete, an 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							0

- 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			0

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.

Inventory your department records. Many of us have done this with our paper records, but it is also necessary with electronic records. If your unit has already inventoried your electronic records, then you know which records need to be disposed of – either through destruction or transferring to the archives. If not, in order to dispose of electronic records, refer to the **Inventory Department Records** section to complete an accurate inventory and match your records to a record schedule. The record schedule will confirm the disposal method for the record in question.

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 DISPOSAL AUTHORIZATION (RDA)

State agencies are statutorily required to provide records schedules for ALL records not already covered by an existing records schedule. By law, RDAs have to be submitted one year after each records series has been received or created.

### Whose Responsible for the RDA's

The RDA's that are created for UWGB are continuously monitored by the Records Officer. After 10 years, the RDA 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 - RDA 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 RDA to reflect our most current method of retention and disposal of this record.

STATE OF WISCONSIN DEPARTMENT OF ADMINISTRATION PUBLIC RECORDS BOARD PRB-001 (R09/2016) PAGE 1 OF 3		<a href="http://publicrecordsboard.wi.gov">http://publicrecordsboard.wi.gov</a>	
<b>Records Retention / Disposition Authorization</b>			
<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 # 496	2. Record Series Title Valet Parking Ticket Stubs	
	3. RDA Status (Check One): <input type="checkbox"/> New <input type="checkbox"/> Amended <input checked="" type="checkbox"/> Renewal		
	4. Agency #: 285D	5. Unit #: 8-3000	
	6. Agency Name UNIVERSITY OF WISCONSIN-GREEN BAY		
Division Name Weidner Center for the Performing Arts		Subdivision Name	
7. Record Series Year of Creation 1993	8. Medium for Records Storage (Check all appropriate) <input checked="" type="checkbox"/> Electronic/Digital <input type="checkbox"/> Microform <input checked="" type="checkbox"/> Paper <input type="checkbox"/> Other (Specify)		
9. Retention Time Period - Specify Actual Period Yrs: <input type="checkbox"/> Mo: <input type="checkbox"/> Wks: <input type="checkbox"/> Days: <input type="checkbox"/> Permanent*: <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 11 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		10. Event that Initiates the Start of the Retention Time Period (Check One) Creation Fiscal Other (Specify) <input checked="" type="checkbox"/> (CR) <input type="checkbox"/> (FIS) <input type="checkbox"/>	
*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 <input type="checkbox"/> Transfer - Other Location (Specify):			
12. Records Series Description  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.  Arranged chronologically by performance.  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>▪ <b>When the descriptor says YES to PII or Confidential AND</b></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>