



Records Management Procedure

Intent:

To provide University of Wisconsin-Whitewater employees with uniformed guidelines for the retention and disposition of public records in accordance with records management policies and best practices.

Scope:

This procedure applies to all University of Wisconsin-Whitewater employees and departments/units.

Definitions:

Destroy Confidential. Records with the disposition instructions of “destroy confidential” are confidential records that must be destroyed by shredding, if they exist in physical form. Confidential records in electronic format must be deleted in a manner that ensures that the information contained in them is not captured and retained elsewhere.

Disposal. The transfer of records, especially noncurrent records, to their final state, either destruction or transfer to an archives.

General Records Schedules (GRSs). A list of records series commonly found in many divisions within an organization, indicating their respective retention periods and other instructions for the disposition of those records. There are State of Wisconsin GRSs and UW System GRSs.

Public Records. All books, papers, maps, photographs, films, recordings, optical discs, electronically formatted documents, or other documentary materials, regardless of physical form or characteristics, made or received by any state agency or its officers or employees in connection with the transaction of public business.

Retention Period. The length of time records should be kept in a certain location or form for administrative, legal, fiscal, historical, or other purposes.

State Agency. Any officer, commission, board, department or bureau of state government (to include the University of Wisconsin-Whitewater).

Trigger Event. An event that starts the requirement of maintaining records for a specified period of time after a defined event occurs. In other words, the event “triggers” the clock to start toward defensible disposition. This is also referred to an “EVENT” in the UW-Milwaukee search page.

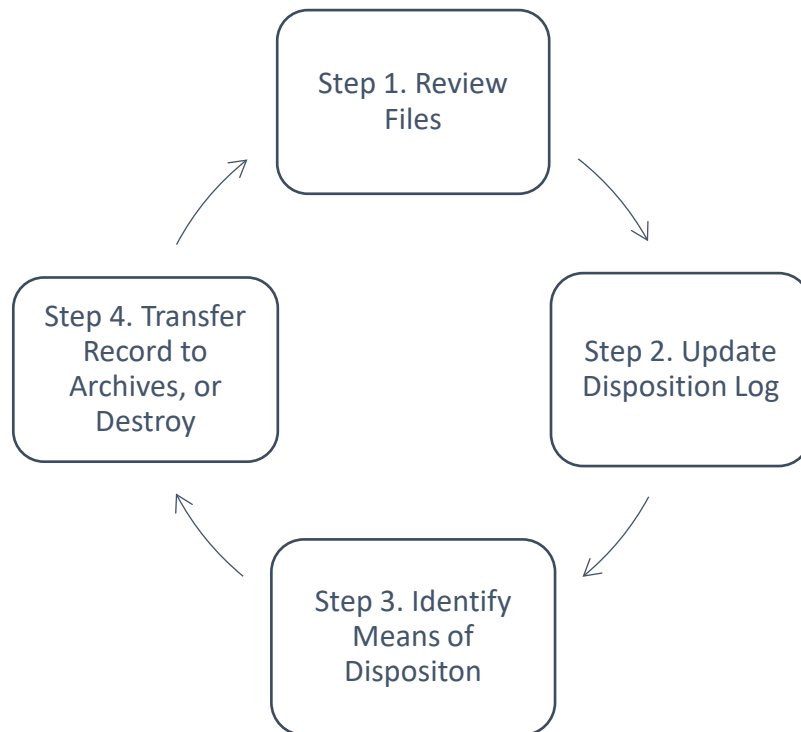
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Procedure:

This procedure provides an overview of key practices to ensure compliance with records management policies and best practices. The four (4) essential steps to record management are shown in the diagram below.



Step 1. How to Maintain Records/Review Files

If an employee is unsure if a particular record must be retained, or if an employee does not know how long to retain a particular record, the employee must check the [UW-Whitewater Records Management webpage](#) for more information.

Step	Action
1.	Go to the UW-Whitewater Records Management webpage and select the Retention Schedules drop down menu for appropriate resources.
2.	To use the UW Milwaukee interactive online table resource, type in the document name in the search bar at the top right of the table, otherwise you can browse by type of record. To search specific record schedules, type in the code from the list above the table.
3.	If your type of record is listed in the table, it must be retained for the period of time that is stated under the “Retention” tab.

If you have questions or need assistance with records schedules, please contact the Archives at archives@uww.edu or by phone at 262-472-5515.

Step 2. Updating Disposition Log

Departments must track every disposition using the [Records Management Tool](#). This includes records classified with transfer, destroy, or destroy confidential dispositions.

Step 3. Means of Disposition

If an employee is unsure how to dispose of a record after its retention, the employee must check the UW System General Record Schedules. Refer to [Step 1](#) above for more information about how to choose the appropriate method of disposal.

Step 4. Transfer to Archives and/or Destroy Records

Once the correct means of disposal has been identified, follow the instructions below.

<p>Destroy</p>	<p>When the final disposition of the records is DESTROY, and the records have been retained within your office area, it is appropriate to place the material in your building's recycling or trash receptacles, or to delete it from an electronic source. <u>It is not necessary to notify the Archives or seek further authorization.</u></p>
<p>Destroy Confidential</p>	<p>When the final disposition is DESTROY CONFIDENTIAL, special precautions must be taken to ensure that the material is securely handled prior to and during the destruction process.</p> <p>Prior to Destruction Physical records marked “confidential” should be properly organized and protected during their retention cycle. Do not use containers that may permit the material to be easily scattered, (i.e. boxes or other containers without secure lids).</p> <p>During Destruction After verifying the records are “destroy confidential”, the department and/or employee may proceed with shredding the records. Physical records/units identified as DESTROY CONFIDENTIAL should never be placed in trash receptacles.</p> <p>If the department and/or employee does not have the ability to destroy these records on their own, they must be sent to the Archivist for proper disposal.</p> <p>Prepare physical records according to the following:</p> <ul style="list-style-type: none"> • Place materials in banker boxes (contact archives if you need boxes). • Maintain the original order of the records.

	<ul style="list-style-type: none"> • Open your Records Management Tool, and select the “Disposition Log” tab. Highlight (in yellow or another color) the records you wish to transfer to the Archivist for retention or destruction. • Fill out the online Records Transfer Notice and upload your Records Management Tool. <p>Once the Archivist confirms receipt of your request via email or phone call, the records may be boxed and transferred with the box taped shut.</p> <p>Clearly label any boxes with the following information: Deliver To: University Archives, Library, Room 1230 From: Your department & name</p> <p>For electronic records: Fill out the Records Transfer Notice and upload your Records Management Tool, highlighting (in yellow or another color) which records you are transferring.</p> <p>Once the Archivist confirms receipt of the “Transfer Form”, you may proceed with emailing the records to archives@uww.edu.</p>
Retain permanently, or transfer to Campus Archives	<p>If the records are to be retained permanently, or transferred, they must be sent to Archives once the disposal date is reached. Fill out the Records Transfer Notice and upload your Records Management Tool, highlighting (in yellow or another color) which records you are transferring.</p> <p>You must receive confirmation from the Archivist before any records are physically transferred to the Archives. Follow the transfer procedures outlined in the Destroy Confidential section above to properly transfer records to the Archives.</p>

NOTE: Departments may send documents to the Archives during the retention period if the department lacks the necessary physical or digital space to retain the records.

Managing Paper Records

Every employee has direct responsibility to ensure that a record is classified in an appropriate risk category. Once an employee has classified the record appropriately, the employee must store the record during the retention period in accordance with the procedures found in the table below.

Type of Data	Low Risk (Public) data	Moderate Risk Data	High Risk Data
Physical Format (paper)	No restrictions.	Send to Archives for proper retention.	Send to Archives for proper retention.

The following key guidelines should be applied as best practice when managing paper records:

- Maintain the original order of the records.
- Discard blank forms. Remove duplicate copies of documents. One copy is sufficient.
- Remove drafts of documents. Retain only the final version unless there is none, then send the last draft.
- Ensure that moderate or high risk physical records are sent to the archives following the [Transfer Procedure](#).

Managing Digitized and Born-Digital Electronic Records

Type of Data	Low Risk (Public) data	Moderate Risk Data	High Risk Data
Records at work station or on Employee owned devices	No restrictions.	Password protection and an inactivity auto-lock are required. Employees shall remove UW System data from their personally owned devices before the devices are discarded or replaced, or before the individual is discharged from employment with the UW System.	Password protection and an inactivity auto-lock are required. Employees shall remove UW System data from their personally owned devices before the devices are discarded or replaced, or before the individual is discharged from employment with the UW System.

Transferring Paper Records to an Electronic Format

If paper records are to be transferred to an electronic format, then departments must fill out the [Electronic Records Statement of Intent Form 004](#) and acquire the appropriate signatures on the form. Once the form is filled out, the department must mail it to:

**Public Records Board Executive Secretary
State Records Center
4622 University Ave. Door 10A, Madison, WI 53705**

Note: Destruction or transfer of records is not permitted until this form is signed by the Public Records Board Executive Secretary.

Resources:

- [Records Management Practice Directive](#)
- [Records Management Tool](#)
- [UW System Data Risk Classifications](#)
- [UW-Whitewater Data Owner Responsibilities](#)
- [UW System General Records Schedules](#)

Administration:

Approval Details

Approval Authority:	State of Wisconsin: Wis. Stat. § 16.61 , Wis. Stat. § 19.21(4)(b) & (5)(c) , State of Wisconsin General Records Schedule Policy , Wisconsin Administrative Code Chapter Adm. 12. UW System: UW System General Schedules and Records Management Services , Regent Policy Document 3-2 , Regent Policy Document 25-5 , UW System Admin. Procedure 1031. UW-Whitewater: File Storage Policy , Data Custodianship Policy.
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Revision History

Version	Revision date	Description of changes	Author
1.0	08/01/2019	Procedure established	Quality Assurance Improvement Manager
2.0	09/17/2019	Streamlined procedure	Quality Assurance Improvement Manager

Contact Person/Unit

Contact Person/Unit:	Digital Scholarship & Preservation Archivist
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Keywords

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