Who This Policy Applies To

All university personnel, including but not limited to employees, consultants, and others working for the university are required to comply with this policy.

Rationale

The purpose of this policy is to ensure the proper management of the university's text-based electronic business communication records. This includes management of the records through the entire records lifecycle, which includes adherence with the approved University Records Retention Schedules, in order to ensure compliance with statutory requirements. UW-Madison considers text-based electronic business communications as an important means of university communication, and recognizes its importance in conveying a professional image and delivering exceptional customer service.

Policy Statement

University personnel must

1. Manage their own text-based electronic business communications such as:
   - e-mail, (including related attachments and metadata),
   - instant messaging/chat (IM), text messaging (SMS),
   - other text-based electronic forms of communications;

2. Adhere to University Records Management Policy and Guidelines for Retention and Disposition of records; and require that communications are organized and accessible.

3. Comply with Board of Regents 3-2 under 4.6 Treatment of Electronic Public Records, Wisconsin Public Record Laws, or any Federal Regulations pertaining to records or open records laws.
4. Are in compliance with the *8 Generally Accepted Recordkeeping Principles®:
   Accountability, Transparency, Integrity, Protection, Compliance, Accessibility,
   Retention, and Disposition.

Policy Detail
This policy does not address video messaging; voicemail/audio based messaging applications
and other electronic messaging platforms within the context of social media.

Backup copies of Electronic Business Communication are for business continuity or disaster
recovery and are not kept for recordkeeping purposes.

See Supporting Tools for more detailed information: UW-Madison University Employee Guide
to Electronic Communication  Guidance for University Records - 2012

Consequences for Non-Compliance
Non-compliance with this policy may result in disciplinary action or other sanctions.

Responsibilities

UW Leadership:
Support for the overall Records Management Program. The Provost is responsible for tasking
the University Records Management Advisory Group.

University Records Management Advisory Group (URMAG):
A broadly representative body tasked by the Provost's Office to provide direction and support
for the University Records Management program and the University Records Officer.

University Personnel:
University personnel include all Employees, Consultants, and others who work for the
University and are therefore are responsible for following the University’s Records
Management Policies.

University Records Officer:
Oversees and manages the University Records and Information Management Program for UW-
Madison campus.

Records and Information Management (RIM)
It is the responsibility of the University Records Officer to maintain and manage a records and
information management program that provides University employee’s and staff with
information and tools to assist them with the systematic control of information from creation
to final disposition.
Definitions

Disposition
A final administrative action taken with regard to records, which includes destruction, transfer to another entity, or permanent preservation per the ARMA Glossary.

- Destruction
- Transfer to inactive storage with destruction at a specified later date (State Records Center)
- Transfer to the University of Wisconsin Archives for permanent preservation

Public Records
According to Wisconsin Statutes 16.61, "means all books, papers, maps, photographs, films, recordings, or other documentary materials or any copy thereof, regardless of physical form or characteristics, made or received by any agency of the state or its officers or employees in connection with the transaction of public business..."

Non-Records
Certain categories of materials are not considered records:

- Stocks of printed or reproduced documents kept for supply purposes when file copies have been retained for records purposes; for example, handbooks or manuals prepared for the instruction of a particular course.
- Books, periodicals, newspapers, and other library and museum materials made or acquired and preserved solely for reference or exhibition purposes.
- Duplicate microfilm.
- Preliminary drafts of letters, memoranda, reports, worksheets, and informal notes which do not represent significant basic steps in the preparation of the record document.
- Convenience copies of reports, memoranda, etc., for which your office was not the originator or the office of record, and which have not been annotated by your office.
- Materials not filed as evidence for department operations that have no informational value, such as telephone call slips, letters of transmittal, route slips, etc.

Records and Information Lifecycle
The records of an institution go through distinct phases: records are created, used for some purpose, stored or filed for future reference, evaluated, and eventually disposed of or transferred UW-Archives for permanent retention.

Records Retention Schedule
The Records Retention schedule is consists of official university records retention policies for how long to keep records based on the value of the record.

Retention Period
The length of time a record must be kept to meet administrative, fiscal, legal or historical requirements
Text-based Electronic Business Communications
Include such things as e-mail (and related attachments/metadata), instant messaging/chat (IM), and text messaging (SMS).

University Records
Documents in any format (including written and printed matter, drawings, maps, plans, photographs; microforms; motion picture films, sound and video recordings; computerized data on disk or tape) or copies thereof made or received by an academic or administrative office of the University in connection with the transaction of University business, and retained by such office as evidence of the activities of the University or because of the information contained therein.

Supporting Tools
- ARMA International 8 Generally Accepted Recordkeeping Principles
- UW System Board of Regents Policy 3.2 under 4.6 Treatment of Electronic Public Records
- UW-Madison Records Management Program
  - UW-System GRS for Business Communication General Records Schedule - 2008
- State of Wisconsin – Adm. Code Chapter Rule 12 ELECTRONIC RECORDS MANAGEMENT-STANDARDS AND REQUIREMENTS
- State of Wisconsin Public Records Board
- UW-Madison Office of the CIO - IT Policies
  - CIO IT Policy – Responsible Use of Information Technology Policy
  - CIO IT Policy – Access to Faculty and Staff Electronic Files
  - CIO IT Policy – Collection of Personal Identity Information via E-mail
  - CIO IT Policy – UW-Madison Sensitive Information Definition
  - CIO IT Policy – Email Servers
ARMA International (www.arma.org) is a not-for-profit professional association and the authority on information governance. Formed in 1955, ARMA International is the oldest and largest association for the information management profession with a current international membership of more than 10,000. It provides education, publications, and information on the efficient maintenance, retrieval, and preservation of vital information created in public and private organizations in all sectors of the economy. It also publishes Information Management magazine, and the Generally Accepted Recordkeeping Principles®. More information about the Principles can be found at www.arma.org/principles.

Link to Current Policy:

Link to Policy History