UNIVERSITY OF WISCONSIN - MADISON

RECORDS RETENTION AND DISPOSITION SCHEDULE
FOR
University Project Management & Project / Planning Records

February 2014

Approved by URMAG on: 1-8-2014
Approved by PRB on:
APPROVAL SUBJECT TO 10-YEAR SUNSET. RESUBMITTAL REQUIRED PRIOR TO March 2024

Date
1/8/2014

Date
1-8-14

Date
MAR 05 2014

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3/14/14
UNIVERSITY OF WISCONSIN - MADISON: GENERAL RECORDS AND DISPOSITION SCHEDULES

I. INTRODUCTION AND PURPOSE

This retention schedule represents the official University of Wisconsin-Madison policy with regard to the retention and disposition of records and information and has the approval of the Campus Records Review Group (CRRG) and the Wisconsin Public Records Board (PRB). The PRB is the statutory body with the responsibility to safeguard the financial, legal, administrative, and historical interests of the State in the disposition of records through the review of records schedules prepared by State agencies.

This retention schedule also provides guidance to University of Wisconsin-Madison employees regarding what does and does not comprise a public record. The UW-Madison campus must manage all records to ensure systematic control from creation or receipt through processing, distribution, maintenance, retrieval, retention and final disposal.

II. SCOPE:

This schedule pertains to the records and information arising from currently understood UW-Madison record policies and procedures. It applies to all such records regardless of format or media. While an attempt has been made to describe the records in commonly used terms, there may be instances in which the schedule does not reflect the exact title or name used by a given department. If offices or departments cannot determine by the descriptive information provided on each item whether a given departmental record is covered or not, they should contact the University Records Officer. An attempt has been made to include all records commonly required or used within the University campus. However, as processes change, forms may be modified and new ones created, and documentation requirements may also change. This schedule will be reviewed periodically to ensure that it is kept as up-to-date as possible. This schedule applies to all organizational units of the University of Wisconsin-Madison and any attached entities that are required to follow UW-Madison policies.

III. SUSPENSION OF THE RECORDS RETENTION SCHEDULE

Records may be delayed from disposition/destruction only under the following conditions:

1. Particular records have been identified as needed for a financial or performance audit.

2. Records that are required for legal proceedings are held under a “litigation hold” for an actual or imminent legal proceeding. Imminent meaning legal action is anticipated or there is reasonable expectation thereof.

3. An open records request has been received and not completed.
The Wisconsin Open Records Law, s. 19.35(5), Wis. Stats, forbids the destruction of any record after an inspection or copying request until the request is granted, or at least 60 days after the date that the request was denied. Court orders and litigation may extend this time period. The agency's legal custodian of records can provide advice. For the University of Wisconsin Madison the legal custodian is the Chancellor's Office.

4. It is the responsibility of the office holding the record to determine if an audit, litigation, or an open record request is pending, before disposing of the records.

IV. UTILITY AND FUNCTION OF INFORMATION PROVIDED WITHIN THIS DOCUMENT

a. Minimum Retention Established and Permanent Retention Procedure. The records retention schedules included within this document establish minimum retention periods for each type of record. The disposition of each record is assumed to be destruction after its minimum retention period or transfer to the UW Archives.

b. Materials That Comprise Public Records. Under Wisconsin law, many materials comprise public records performing the transaction of public business on behalf of the University Campus. Under WIS 16.31, defines Public records" means all books, papers, maps, photographs, films, recordings, optical disks, 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"

c. Materials That Do Not Comprise Public Records. Under Wisconsin law, many materials do not comprise public records. Therefore, non-records should be retained only so long as they are useful as a resource for performing the transaction of public business on behalf of the University Campus. Thereafter, in the interest of efficiency and proper resource management, they should be destroyed. WIS 16.31 "Record" does not include Duplicate copies of materials the original copies of which are in the custody of the University and which are maintained only for convenience or reference and for no other substantive purpose. Materials in the possession of a library or museum made or acquired solely for reference or exhibition purposes; Notices or invitations received by the University that were not solicited by the University and that are not related to any official action taken, proposed or considered by the University; Drafts, notes, preliminary computations and like materials prepared for the originator's personal use or prepared by the originator in the name of a person for whom the originator is working; Routing slips and envelopes.

d. Preservation of Historical Documents. Historically, University records have been preserved in paper files. Presently, however, advances in technology are beginning to present a viable alternative to paper records: electronic data stored in many electronic systems. Thus, unlike paper records, with the passage of time electronic records lose information as it randomly slips away in bite-sized chunks, unless software updates are consistently purchased, installed, and maintained.
Because of this aspect of information technology systems, records storage within an information system must comply with the legal requirements set forth in Regent Policy Document 3-2: University of Wisconsin System Public Records Management; and Chapter Administrative 12: Electronic Records Management-Standards and Requirements.

Please carefully review these documents prior to storing official copies of public records upon information systems and if you have questions or concerns, then please seek assistance from the Records Officer.

Using the Schedule

- Use the table to locate the record series item.
- Identify whether you are the holder of the official, department, or copy of the record.
- Implement the retention and disposition noted at the level of record you hold.
- If you are uncertain about the records series item or your responsibility for it, contact the Records Officer for clarification.
- Retention periods and disposition methods outlined in this document have been reviewed and approved by both University (CRRG) and State Public Records Board.
UNIVERSITY OF WISCONSIN- MADISON

University Project Management and Project / Planning Records consist of documentation of enterprise level long-range goal setting and long-range planning for Campus-wide, Department and Unit projects that impact or change a process. This schedule does not apply to IT projects which are covered under the UWS-GRS for Information Technology. Some of these university projects may include statistics, correspondence, notes, reports, budget information, etc. A typical Enterprise Level University Project Management Project / Planning Files may include but are not limited to the following:

- Project Charter
- Project Site – Materials posted to the project website
- Project Plans These may consist of the Project Plan Checklist, Work Breakdown Structures (WBS), Project Milestones, Staffing and Organizational Plan
- Project Presentations and reports
- Communication Plan
- Risk Management plan
- Control Plan and Implementation Plans
- Records Retention
- Requirement Specifications
- Design Specifications
- Deployment Plan
- Test Plans
- Training Plans
- Meeting Notes
- Status Reports
- Issue Action Decision Logs
- Final Report
- Lessons Learned
- Evaluations and Summary

This Schedule covers the following record series for campus wide use:

#GRS1761 University Project Management Project / Planning Proposals – Submitted for Action, but not approved
#GRS1762 University Project Management Project / Planning Records – Approved
<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Record Series Title</th>
<th>Record Series Description</th>
<th>Retention</th>
<th>Media Type</th>
<th>Disposition</th>
<th>Office of Record</th>
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</thead>
<tbody>
<tr>
<td>GRS1761</td>
<td>University Project Management Project / Planning Proposals — Submitted for Action, but not approved</td>
<td>This record series consists of project proposals that submitted for action, but not approved.</td>
<td>Retention: EVT + 5 years EVENT = Date project was not approved. Copies: Destroy when no longer need, but not longer than the Originals. Confidential None PII: None</td>
<td>Paper or Electronic</td>
<td>Destroy</td>
<td>Campus wide. Applies to all University Departments and Units. Except for Information Technology which is covered under GRS for IT under UWIT001 Project Plans and Charters.</td>
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<tr>
<td>GRS1762</td>
<td>University Project Management Project / Planning Records — Approved</td>
<td>Project files may include but are not limited to: • Project Charter • Project Site – materials posted to the project website • Project Plans These may consist of the Project Plan Checklist, Work Breakdown Structures</td>
<td>Retention: EVT + 10 years EVENT = Date of Project Completion Copies: Destroy when no longer need, but not</td>
<td>Electronic residing on websites or collaborative applications or Paper</td>
<td>Transfer to the UW-Archives for Review</td>
<td>Campus wide. Applies to all University Departments and Units. Except for Information Technology which is covered under GRS for IT under UWIT001 Project Plans and Charters.</td>
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