

# ***From the UW-Madison Record Management Program***

***May 8, 2017***

***Happy spring and May!!!***

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## **PEG'S RETIRING**

First, I wanted to give all of you a heads up that I am retiring from the University on June 8<sup>th</sup>. It's been a great run here. I have worked here on campus for almost 8 years and I thoroughly enjoyed working with all of you and your departments and unit in improving and managing our university records. I want to thank all of you for your support for the program and please continue to take that responsibility on. Information is a university asset that all of us need to manage in order to do our jobs and to be successful.

After June 8<sup>th</sup>, David Null, the Director of the University Archives will be the Interim Records Officer until a new one is hired. The State Records Center June/July Disposition will be on hold for one cycle until the fall for now.

For those that don't know, I am from Madison originally. I am an also a graduate of UW-Madison. I have been in the information management field for 36 years, working in both Health Information Management profession and Records Management profession in the Milwaukee area. I couldn't think of anything more rewarding to my professional career than when I started working here at Madison in 2009. ☺ In 2010 I received my certification as a Certified Records Manager. It is kind of a surreal feeling that I have come full cycle back to this campus. This has been my perfect job as the University Records Officer and assisting all of you. My future plans are still up in the air, but I am first taking a European River Cruise with my husband and some friends. Then we will see where my path goes. I will miss my campus colleagues and all of you. I would ask for your continue to support for the UW-Madison Records Management Program and the new Records Officer.

*Thank you. Peg*

## **So now for business:**

**I have tried to have as much information as possible on the website.**

**<https://www.library.wisc.edu/archives/records-management/>**

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If you need assistance email the Records Management Service account.

[recmgmt@library.wisc.edu](mailto:recmgmt@library.wisc.edu)

As I stated in the April Newsletter there are many resources for university employees to reference to assist with the management of their university records and information. These resources can be found on the [UW-Madison Records Management](#) website.

## **RECORDS MANAGEMENT FILE PLANS:**

**Does your Department or Unit have a Records Management File Plans?**

How can a file plan assist your department? A “file plan” is a well thought out plan in how records are managed.

- **File Plans specify how records are to be organized once they have been created and maintained through the records lifecycle.**
- **It is one of the essential components a Dept. /Unit can utilize in management of university records.**

There are several new power points presentations, including the creation of a Records Management File Plan.

**A Records File Plan is a document that provides transparency in the management of university records. Departments and units should develop a file plan which documents their records management processes and where and how information is managed.**

**What is a Records Management File Plan? A file Plan is a document that provides transparency in the management of university records. Departments and units should develop a file plan which documents their records management processes and where and how information is managed. *For more information see the links below.***

- [2017 University Records; File Plans; and Retention – Creating a Roadmap to Success](#) [pdf] Record Management Presentation for staff
- [2017 Job-Aid for University File Plans](#)
- [2017-File-Plan- Template form](#) [Word format] for use by department or units.

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## **RECORDS MANAGEMENT TRAINING AND GUIDANCE**

Below are university guidelines and training videos for management of records which can be found on the website.

**Guidelines:** See also [Records Management Policy and Guidance](#)

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- **2014 UW-Madison** [Employee Responsibility for University Records](#)[pdf]
- **2016 UW-Madison** [Records Management Guide for Departing Employees](#) [pdf]
- **2016 UWSA Procedure 399.1** [Storage of Supporting Documentation for Financial Transactions.](#)
- **2016 UW-Madison** [Managing Electronic Records in Information Systems: Shared Drives: Content Management System; Document Management System; Collaborative Tools and other Electronic Information Systems](#) [pdf]
- **2014 UW-Madison** [Electronic Business Communication and University Records \(Business Communications including e-mail\)](#)[pdf]
- **2014 UW-Madison** [Guidelines for Document Imaging and University Records](#)[pdf]
- [UWSA- Records Management Guidelines for Information Technology Systems](#)
- [UWSA-Records Management: Best Business Practices](#)

## **Training Videos:**

- **2017** [Introduction to University Records Management](#)– YouTube Video 11:25 min.
- **2017** [Retention and Disposition of Records](#) – YouTube Video 8:42 min
- 2016 [Organization and Management of Shared Drives](#) – YouTube Video 9:32 min
- 2013 [Introduction to Records Management](#) You Tube Video 6:03 min
- 2013 Need help organizing your e-mail? [E-Mail Organization for Records Management and Compliance.](#) YouTube Video 11:20 min
- 2013 Thinking about Imaging University Records? [Digitizing Documents: Is It Right for You?](#) YouTube Video 6:25 min [Handout for Document Imaging](#) [pdf]

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## **UNIVERSITY APPROVED RECORDS RETENTION SCHEDULES**

### **Overview: What is a University Record Retention Schedule?**

State agencies like UW-Madison, are **statutorily required to provide record schedules for all records not already covered by an existing record schedule.** By law, Record Retention Schedules have to be submitted one year after each records series has been received or created. After 10 years, the RDA sunsets, and a new one must be resubmitted for Public Record Board approval. These records retention schedules apply to records in all formats, not just paper records. This would include records in electronic systems, such as email, records in shared drives, imaging systems, and other electronic repositories.

In Wisconsin State government, the record scheduling process is accomplished by completing an RDA or record schedule which the University Records Officer submits to the Public Record Board (PRB) for approval after getting a legal review and archival review. There are three types

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of record schedules for the University: general campus-wide, general system-wide, and department/unit specific.

Record Schedules consist of the record policy, record series (which is a group of record types that work and function together and are kept for the same amount of time), a retention time-frame/event, and disposition.

***By Wisconsin law university records cannot be disposed of without a valid records schedule.***

Here is the link to the [University Record Retention Schedules](https://www.library.wisc.edu/archives/records-management/retention-disposition/general-records-schedules/).

<https://www.library.wisc.edu/archives/records-management/retention-disposition/general-records-schedules/>

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## **USING THE CORRECT RECORD SERIES AND THE STATE RECORDS CENTER**

After the last disposition cycle last fall, I had to hold numerous boxes because they had been placed under the incorrect record series. I have just completed an audit to get inventory under the correct record series for UW-Madison.

***Please note that when using Versatile under the Global tab that this section contains the Entire States record series not just Madison.***

Before Logging into Versatile, check the appropriate [university record schedule](#) to find the correct record series number. Once you have the record series, log into Versatile. Under the Global Tab, scroll down to the record series until you get to the series that begin with UW.

The easiest way to find all the information is to go to the main UW-Madison and in the search box type in ***“Records Management”*** The search should bring in the Records Management website at the top of the search page.

The only UWSA Schedules that Madison has not opted into would be the Student Schedule, Advisor’s Schedule, University Health schedule and Facilities Planning/Parking schedule. Please check UW-Madison website for appropriate record series number.

In Versatile UW approved schedules begin with a UW. See example on the next page of the Versatile application.

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Home Creation Retrieval Retention Security Utility Help Logout

**Retention** Contains all state record series which are not approved for Madison use. Scroll down to record series that begin with a UW...

GLOBAL 285A-UW MADISON GO ARCHIVES (/490100/) GO

Record Series Title	90000000 FISCAL MANAGEMENT SUBJECT AND CORRESPONDENCE FILES
Record Series ID	90000000.
Active Retention:	
Inactive Retention:	FIS+4
Open Date:	07/24/1999
Close Date:	
Event Date:	12/30/2017
Description:	Records Used To Support General Agency Fiscal Management (Usually Arranged Alphabetically By Subject) Including Correspondence, Memoranda, And Reports Pertaining To General Fiscal Matters And Internal Fiscal Policies And Procedures.
	Copies Evt (When No Longer Needed)
	Disposition: Destroy For Both.
	Note: Agencies Should Not Use This Item For Records That Are Covered By Separate Authorizations In This Series.
	Approved by PRB-June 5 2006

Record Series Title	90000001 STATE FISCAL POLICIES AND PROCEDURES RECORDS
Record Series ID	90000001.
Active Retention:	
Inactive Retention:	EVT+3
Open Date:	07/24/1999

**NOTE:** *For all UW-Madison approved records schedule check the University General Records schedules first before going into Versatile.*

## **RECORD MANAGEMENT COMPLIANCE**

I have also included a [Record Management Compliance](#) section under Training to meet university training obligations for records under the Executive Order 189.

<https://www.library.wisc.edu/archives/records-management/training/records-management-compliance/>

From the website:

**In order for the University to meet with required compliance obligations, the following training resources are available.**

***New Employee Orientation: NEO training materials.***

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- [2014 Employee Responsibility for University Records – Final](#)
- 2017 [Introduction to University Records Management](#)– YouTube Video 11:25 min.
- 2017 [Retention and Disposition of Records](#) – YouTube Video 8:42 min

## ***Off boarding of Employee and their record requirements.***

- [2015 Record Mgt Guide Departing Employees](#)[pdf]
- [2017- Records Management Guide for Department Employee PPT](#)
- 2017 [Retention and Disposition of Records](#) – YouTube Video 8:42 min

## ***Basic Records Management Presentation:***

- [2017 University Records; File Plans; and Retention – Creating a Roadmap to Success.](#)

That's all for this month. If you have any questions, please contact me.

Have a great summer!!!

*Peg Eusch CRM  
University Record Officer  
UW-Madison*



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