

University of Wisconsin System
Information Technology Records
General Records Schedule

AUGUST 2012



APPROVAL SUBJECT TO 10-YEAR
SUNSET. RESUBMITTAL REQUIRED
PRIOR TO August 2022

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State Archivist

AUG 22 2012

[Signature] 8/27/2012
Executive Secretary - PRB

UNIVERSITY OF WISCONSIN SYSTEM INFORMATION TECHNOLOGY GENERAL RECORDS SCHEDULE

The University of Wisconsin System Information Technology General Records Schedule applies to all University of Wisconsin institutions. In order to facilitate efficient records management for University employees, this general schedule is provided in narrative format.

I. INTRODUCTION AND PURPOSE

The University of Wisconsin System comprises fifteen distinct institutions, many of which create and receive records that are similar in purpose and utility. In the interest of efficiency, therefore, this records schedule identifies categories of records resulting from processes commonly associated with Information Technology. The identified processes are common to all University of Wisconsin institutions.

This document also provides guidance to University System employees regarding what does and does not comprise a public record, which will in turn allow University employees to retain for a discrete time period and thereafter destroy expired public records, as well as those materials that do not comprise public records. The UW-System must manage all IT Business records to ensure systematic control from creation or receipt through processing, distribution, maintenance, retrieval, retention and final disposal.

II. SCOPE:

The records schedules described within this document include the following records:

- INFORMATION TECHNOLOGY BUSINESS PROJECT RELATED
- COMPUTER ONGOING OPERATIONS AND TECHNICAL SUPPORT
- NETWORK/DATA COMMUNICATION SERVICES
- DATA ADMINISTRATION
- COMPUTER AND INFORMATION SECURITY
- NOTES ON BACK-UP AND ADMINISTRATIVE RULE 12

III. UTILITY AND FUNCTION OF INFORMATION PROVIDED WITHIN THIS DOCUMENT.

- a) **Preservation of Historical Documents.** Historically, University records have been preserved in paper files.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 computer systems. Using electronic data to store University records presents a potentially fatal flaw, however, because electronic data decays over time. Thus, unlike paper records, with the passage of time electronic records lose information and readability, 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 at their respective University of Wisconsin institution.

b) Use of the Systems Approach.

To as great extent as possible, the records schedules included within this document were developed using a systems approach. That is, the substantive information contained within an individual document, rather than the document's format, is the basis for the descriptor of each department. This is because the format for some documents is dynamic in nature and subject to administrative change. Thus, the descriptors for each document are as comprehensive as possible without relying upon format or form names.

Due to these changes, however, there may be instances in which an individual records schedule does not reflect the exact title or name of a form as used by the originator of a document. In such cases, if a University employee has difficulty determining whether a document comprises a record by reviewing the descriptive information contained within both the document and a records schedule, then employees seek assistance from the records officer at their respective University of Wisconsin institution.

c) Minimum Retention Established and Permanent Retention Procedure.

The records 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. However, expired records may be retained, for as long as they are needed as a resource for performing future projects on behalf of the University of Wisconsin.

d) 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 of Wisconsin System. Thereafter, in the interest of efficiency and proper resource management, they should be destroyed.

The following materials are not public records, under Wis. Stats. §§ 16.61 and 19.35.

1. **Duplicates.** Public records do not include duplicate copies of records, the original copies of which are in the custody of an office contained within the University of Wisconsin

System Administration, and which are maintained by a University employee only for convenience or reference and for no substantive purpose.

2. Unsolicited Notices or Invitations. Public records do not include unsolicited notices or invitations received by a University employee, which are not related to any official action taken, proposed, or considered by the University of Wisconsin System.

3. Drafts, Notes and Preliminary Computations.

Public records do not include drafts, notes, preliminary computations, and like materials, but only if they are intended for personal use by a University employee or prepared by a University employee in the name of the person for whom the employee is working.

4. Routing Slips and Envelopes. Public records do not include Routing slips and envelopes.

5. Personal Materials. Public records do not include materials that are the personal property of a University employee and that have no relation to his or her office.

Please note that non-records should be destroyed as soon as possible, concurrent with the time at which they are no longer useful as a resource for performing the transaction of public business on behalf of the University. Moreover, personal materials should neither be created nor retained by a University during the regular course of business.

***Also note that if non-records are retained beyond the time they are no longer useful as a resource for performing the public business on behalf of the University, then under Wisconsin law, duplicates, unsolicited notices, invitations, routing slips and envelopes would have to be turned over to a requester in response to a relevant public records request, and in response to audit or litigation proceedings. See Wisconsin Statute 13.94, 19.35, and 804.01.*

6. Schedule does not require creation of Records Schedules

It is understood that not all UW-System Campuses may have all the types of records listed in this schedule. This schedule does not require records to be created by UW-System Campuses. It provides policy guidance for those records that are used by UW-System Campuses.

I. CONDITIONS AFFECTING FINAL DISPOSITION

All recommended dispositions stated within this schedule may be carried out by University of Wisconsin institutions without further consultation or approval from the University of Wisconsin Archives, legal services, or internal audit with the following exceptions:

a. Public Records Request. If a public records request is received by an office for any record or records included within this schedule, then the record (s) cannot be destroyed until the request is granted, or until at least sixty days after the date the request is denied. Court orders may extend this time period. If necessary and upon request, the Office of General Counsel will provide guidance to University of Wisconsin institutions regarding public record requests.

b. Litigation or Audit. Each University of Wisconsin institution must not only retain records that are the subject of pending litigation or audit, but also suspend any disposition of those records until such time as the litigation or audit is completed. Requests for records relating to open audits must be filed with the University of Wisconsin institution involved in the audit.

Administrative Rule 12, Electronic Records Management

General record schedules cover records in all media. Administrative Rule 12, Electronic Records Management-Standards and Requirements, became effective May 1, 2001. The rule and related information regarding records management for electronic records can be found at http://www.doa.state.wi.us/section_detail.asp?linkcatid=761&linkid=127&locid=0&sname.

The purpose of this rule is to ensure that public records in electronic format are preserved, maintained, and remain accessible for their designated retention period. Because of frequent technological change, including hardware and software obsolescence and media degradation, agencies must take steps to manage and protect electronic records for as long as they are needed. To meet business needs and protect the legal, financial and historical interests of internal business operations and Wisconsin citizens, agencies must prepare and execute migration plans for electronic records as necessary to prevent them from becoming inaccessible during their retention periods.

UW-System Information Technology Record Series:

INFORMATION TECHNOLOGY BUSINESS PROJECT RELATED

UWIT0001 IT Project Plans and Charters

This record series includes records pertaining to development, redesign or modification of a computer system or application.

The follow are included, but is not limited:

Pre-project Plans: This series consists of pre-project proposals, cost benefit analysis, risk assessments, sign-off and decision documents, and fit/gap analysis for project work, progress reports, plans and accomplishments.

Project Charters: (including scope, requirements, roles, timeline, budget, control strategies);

Project Plans: (including WBS, staffing, schedule, budget, communication plan, change management plan, change management risk plan, support transition plan).

Retention: EVT + 5 Years EVENT= Project completion or end date.

*Transfer to Institutional Archives

***Archival value:** The determination of the archival value of IT Project Plans and Charters will be made by each institutional archival policy.

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWIT0002 IT Project Status Reports, Workflow and Test Plans

This records series consists of the project supplementary documentation including but not limited to:

Status Reports (Change logs, data cleanup procedures and stats, code migration procedures, transition to production tasks, authorization setup, process scheduling, post-implementation review);

Workflow (workflow diagrams, data definitions, data conversion mappings, naming standards, architecture diagrams, and file designs);

Test Plans (including processing test results, accessibility compliance results, data conversion results

Retention: EVT + 5 Years EVENT= Project completion or end date.

Destroy/Delete

PII? No

Confidential? No

Copies: Destroy when no longer needed.

COMPUTER ONGOING OPERATIONS AND TECHNICAL SUPPORT

UWIT0003 Program Source Code

This record series includes program source code including run or job controls.

Retention: EVT + 3 Year EVENT= Code is superseded or replaced

Destroy/Delete

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWIT0004 Electronic Records Software and Documentation and System Maintenance

This record series consists of proprietary and non-proprietary software as well as related documentation that provide information about the content, structure, and technical specifications of computer systems necessary for retrieving information retained in machine-readable format. These records may be necessary for an audit process.

RETENTION: Retain as long as software-dependent records are retained.

PII? No

Confidential? No

UWIT0005 Audit Trails: Routine Administrative Information

This record series consists of system-generated audit trails tracking events relating to records in information systems used for routine administrative activities. Audit trails link to specific records in a system and track such information as the user, date and time of event, and type of event (data added, modified, deleted, etc.).

Retention: EVT + 4 Years EVENT=Date of completion and/or audit report

Destroy/Delete

PII? No

Confidential? No

UWIT0006 Operating System and Hardware Migration Conversion Planning

This series consists of planning documentation for migration of data from one system to another system done when systems are upgraded or a new system is implemented. This includes code migration procedures.

Retention: EVT + 3 Years EVENT= Completion of Conversion
Destroy/Delete after data is transferred to a new format
PII? No
Confidential? No

NETWORK/DATA COMMUNICATIONS SERVICES

UWIT0007 Telephone Voicemail System Call Detail

This records series contains telephone system call detail includes: Call Date, Call Time, To Number, From Number and Call Duration.

Retention: CR Date + 4 Years
Destroy/Delete
PII? Yes Wis SS Stats 19.62(5)
Confidential? No
Copies: Destroy when no longer needed.

UWIT0008 IT Telecom Maintenance Work Order Files and Logs

This series consists of telephone support, maintenance service orders, service change orders, Service billing and inventory support records such as service prices and history, telephone inventory, facility location records, Type of service and features.

Retention: EVT + 1 Years EVENT=Date of completion and audit report
Destroy/Delete
PII? No
Confidential? No
Copies: Destroy when no longer needed.

UWIT0009 Network Support Service History and Summary

This record series consists of site visit report, trouble reports, service history, network upgrade documentation and other related correspondence.

Retention: CR Date + 1 Year
Destroy/Delete
PII? No
Confidential? No
Copies: Destroy when no longer needed.

UWIT0010 Network Architecture & Configuration Documentation

This records series consist of network architecture documentation, configuration management and circuit inventory system.

Retention: EVT + 3 years EVENT= Discontinuance of System

Destroy/Delete

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWIT0011 Network or Circuit Installation, Outage Files

This record series consist of work orders, correspondence, work schedules, building / circuit diagrams including network outages and application outage.

Retention: CR Date + 1 Year

Destroy/Delete

PII? No

Confidential? No

Copies: Destroy when no longer needed.

DATA ADMINISTRATION

UWIT0012 Data Documentation/Metadata

This record series comprises of data dictionary's, definitions, and data structures, file layout, code translations and associated reports.

Retention: EVT + 3 years EVENT= Discontinuance of System

Destroy/Delete after discontinuance of all systems and after all data created by every system instance has been destroyed or migrated to a new structure or format.

PII? No

Confidential? No

Copies: Destroy when no longer needed.

COMPUTER AND INFORMATION SECURITY

UWIT0013 Computer Security Incident & Investigation

This series consists of incidents involving unauthorized attempted entry attempts, probes, and /or attacks on data processing systems, information technology systems, telecommunication networks, and electronic security systems including associated software and hardware. This would include official reports and other documentation if appropriate.

Retention: EVT + 5 years EVENT= Date that incident was resolved

Destroy/Delete

PII? May contain PII

Confidential? Yes *Wis SS Stats 19.62(5)*

Copies: Destroy when no longer needed.

UWIT0014 Assignment and Authorizations for Users

This series consists of but not limited to:

- privileged user forms for managed servers and authorizations for privileged staff,
- Signed employee confidentiality agreements and user access and request and authorizations.

Retention: EVT + 4 Years EVENT= Departure of Employee from employment

Destroy/Delete

Confidential may contain PII

PII? Yes

Confidential? Yes *Wis SS Stats 19.62(5)*

Copies: Destroy when no longer needed.

UWIT0015 Computer & Information Systems Logs

This record series consists of firewall logs, system logs, network logs, or other logs used to maintain the integrity and security of the university's computer systems.

Retention: CR + 30 days or until review of logs is complete, whichever occurs first.

Destroy/Delete

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWIT0016 IT Disaster Recovery Planning and Testing Records

This series consists of Business Continuity Plans for recovery records created or received subsequent to implementing disaster recovery processes and recovering electronically-stored information which are not part of the routine business cycle for disaster recovery records.

Retention: Until Superseded

Destroy/Delete

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWIT0017 IT Disaster Recovery Records

This series includes the public records created during the disaster recovery process, which include but are not limited to: indexes, inventory lists, computer logs, working papers, and correspondence. This series also includes computer tapes, or other media, which are held in reserve in the event that an information system fails to function and records need to be recovered and restored. Most often, disaster recovery records are obsolete after two weeks, because they are superseded by newly-created records following routine business cycles. Therefore, the records retention time period reflects the routine business cycle for this records series. UW institutions may extend this retention period using a separate written policy, but no UW institution shall adopt a shorter business cycle than two weeks.

Retention: EVT + 14 Days EVENT= Date of Disaster/Event

Destroy/Delete

PII? Yes specify: Social Security numbers

Confidential? Yes Wis SS Stats 19.62(5)

Copies: Destroy when no longer needed.

NOTES: Back-Up

There is no retention schedule for back-up tapes or other forms of data back-up. A back-up tape or drive should be just that: a data/records back-up kept solely as a security precaution but not intended to serve as the record copy or as a records retention tool.

In the case of disaster, the back-up would be used to restore lost records; otherwise, university records that have not met their retention should ***not*** be disposed of on the basis of the existence of a back-up. If for any reason (for instance, a disaster erases e-mails on your server) the only existing copy of an item that has not met its retention period is on a back-up tape or drive, the custodial agency of that record must ensure that the record on the back-up is maintained for the appropriate retention period. A back-up containing record copies/only existing copies of items that have not passed their retention would have to be retained for the length of the longest unmet retention period. Preferably, the records should be restored to the agency from the back-up to ensure that the back-up is not used as a records retention tool.