

University of Wisconsin- Madison



***GENERAL RECORDS SCHEDULE FOR
EMERGENCY MANAGEMENT RECORDS
RETENTION AND DISPOSITION POLICY***

Approved by the Campus Records Review Group: 12/14/2012

PRB 5/24/2013

University Records Officer: Margaret E. Eisselmann

Date: 3/11/2013

University Legal Counsel: John C. Thompson

Date: 3/11/2013

University Archivist: Deborah

Date: 3/7/13

State Archivist: MITB

Date: 5/29/2013

Executive Secretary - PRB: G. Thompson

Date: 5/24/2013

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

11/23/2023

UNIVERSITY OF WISCONSIN - MADISON: GENERAL RECORDS AND DISPOSITION SCHEDULES FOR *EMERGENCY* MANAGEMENT RECORDS

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 insure 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 or 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 WI SS 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. WI SS16.31 "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.

UW-Madison Emergency Management Unit

University of Wisconsin Emergency Management Unit is a unit in the UW Policy Department. The Unit is responsible for not only the University Campus, but for several other UW-System campuses
Responsibilities of the Emergency Management Unit include:

University Response Plan (URP)

Occupant Emergency Plans (OEP)

Continuity of Operations Plans (COOP)

UW-Madison Police Department First Responders

Testing, Training, and Exercises

Student, Faculty, and Staff Emergency Preparedness

Preparedness for Individuals with Disabilities

This Schedule covers the following record series.

- **UNIVERSITY DEPARTMENT/UNIT PLANS**
- **UNIVERSITY TESTING, TRAINING, AND EXERCISE RECORDS**
- **UW-MADISON POLICE DEPT PLANS**
- **UW-MADISON POLICE DEPT PLANNING DOCUMENTS**
- **ACTIVATIONS**
- **TRAINING**
- **EXERCISES**
- **AFTER ACTION REPORTS**
- **UW-MADISON POLICE DEPT FIRST RESPONDERS**
- **UW-MADISON POLICE DEPT TESTING, TRAINING, AND EXERCISE RECORDS**

UW-Madison General Records Schedule for Emergency Management Records

2013

Record Series ID Number	Title	Description	Retention (Office of Record)	COPIES	Disposition	Confidential or PII
GRSEMR01	UNIVERSITY DEPARTMENT/UNIT PLANS: CONTINUITY OF OPERATIONS PLANS (COOP) FOR UNIVERSITY DEPARTMENTS/UNITS (NON-UWPD)	This series consists of records generated through the state required continuation of Operations emergency planning process. Documents in this series include, but are not limited to emergency protocol, communication plans, staff manuals, location of vital records and training guides and exercises.	Retention: Until Superseded by revised plan See <u>THE UW-MADISON EMERGENCY MANAGEMENT WEBSITE FOR COOP FOR CAMPUS REQUIREMENTS</u> <u>Homeland Security Presidential Directive/HSPD- 5</u> <u>WI ACT 15 CHAPTER 323(8), 323(9), 323(10)</u>	Destroy when no longer needed, but not longer than originals	Destroy	No
GRSEMR02	UNIVERSITY TESTING, TRAINING, AND EXERCISE RECORDS: GENERAL EMERGENCY PREPAREDNESS TRAINING (NON- UWPD)	This records series consists of documents, handouts, presentations, and sign in sheets used during emergency preparedness presentations and trainings to campus community members. A majority of the information presented is from either FEMA or DHS.	Retention: EVT + 3 Years EVENT= Creation of materials See ALSO GRS FOR ADMINISTRATIVE RECORDS UWADM 016 University Speeches/Presentation	Destroy when no longer needed, but not longer than originals.	Destroy	No

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Record Series ID Number	Title	Description	Retention (Office of Record)	COPIES	Disposition	Confidential or PII
GRSEMR03	<p>UWPD PLANS: UWPD OCCUPANT EMERGENCY PLAN(OEP) AND UWPD CONTINUITY OF OPERATIONS (COOP) PLANS</p> <p>These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance</p>	<p>This records series consists of UWPD's Occupant Emergency and Continuity of Operations Plan and the associated appendixes.</p>	<p>Retention: Until Superseded by revised plan</p> <p>*(Emergency Management Unit) *These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance <u>Homeland Security Presidential Directive/HSPD-5</u> <u>WI ACT 15 CHAPTER 323(8), 323(9), 323(10)</u></p>	<p>Destroy when no longer needed, but not longer than originals</p>	<p>Destroy</p>	<p>No</p>
GRSEMR04	<p>UWPD PLANNING DOCUMENTS: EMERGENCY OPERATIONS CENTER (EOC) PLANNING DOCUMENTS</p> <p>These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance</p>	<p>This records series consists of documents produced by the Operations, Logistics, Planning, Information Management, and Finance/Administration EOC Groups in their pre-event planning. Documents also include various EOC checklists, inventory forms, and other documents related to planning and maintaining the functionality of the EOCs.</p>	<p>CR + 3 Years CR= Creation Date of Documents</p> <p>*(Emergency Management Unit) *These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance.</p>	<p>Destroy when no longer needed, but not longer than originals.</p>	<p>Destroy</p>	<p>No</p>

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Record Series ID Number	Title	Description	Retention (Office of Record)	COPIES	Disposition	Confidential or PII
GRSEMR05	<p>ACTIVATIONS: UNIVERSITY RESPONSE PLAN (URP) EMERGENCY OPERATIONS CENTER (EOC) AND UWPD CONTINUITY OF OPERATIONS (COOP) ACTIVATIONS</p> <p>These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance</p>	<p>This records series consists of URP/EOC and COOP documents and records generated during an activation of the URP and/or EOC or COOP. The documents and records to be retained vary, but may include the activation call up sheet, status reports, and Incident Action Plans and other documents produced by the Operations, Logistics, Planning, Information Management, Finance/Administration, Executive Group, and EOC Manager/Assistant Manager EOC Groups. Documents also include various EOC checklists, inventory forms, and other documents related to planning and maintaining the functionality of the EOCs. Events that may activate the URP and/or EOC may include, but are not limited to, snow storms, protests, and other events that require beyond normal management from UW-Madison Police.</p> <p>COOP Events that may activate the COOP include a fire, a disease outbreak, a power outage, computer server crash, or other emergency that decreases the functionality of the Department. These records DO NOT include personal notes or drafts of documents.</p>	<p>CR + 25 Years CR= Creation Date of event.</p> <p>*(Emergency Management Unit)</p> <p>*These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance.</p>	<p>Destroy when no longer needed, but not longer than originals.</p>	<p>Transfer to the University Archives</p>	<p>May contain PII</p>

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Record Series ID Number	Title	Description	Retention (Office of Record)	COPIES	Disposition	Confidential or PII
GRSEMR06	TRAINING: UNIVERSITY RESPONSE PLAN(URP), EMERGENCY OPERATIONS CENTER (EOC) OCCUPANT EMERGENCY PLAN (OEP)and UWPD CONTINUITY OF OPERATIONS (COOP) These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance.	This records series consists of documents created during trainings related to the UPR or the EOCs, examples include PowerPoint presentations, sign in sheets, and various handouts. This records series also consists of UWPD's OEP training. Example documents include PowerPoint presentations, handouts, and sign in sheets. This records series consists of UWPD's COOP training. Example documents include PowerPoint presentations, handouts, and sign in sheets.	Retention: EVT + 3 Years EVENT= Creation of materials *(Emergency Management Unit) *These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance. See ALSO GRS FOR ADMINISTRATIVE RECORDS UWADM 016 University Speeches/Presentation	Destroy when no longer needed, but not longer than originals.	Transfer to UW-Archives for review per policy	No
GRSEMR07	EXERCISES: UNIVERSITY RESPONSE PLAN(URP), EMERGENCY OPERATIONS CENTER (EOC) OCCUPANT EMERGENCY PLAN (OEP) and UWPD CONTINUITY OF OPERATIONS(COOP) EXERCISES These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance	This records series consists of documents created during the development and execution of URP, UWPD COOP AND UWPD's OEP exercises. These exercises may be a drill, tabletop, functional, or full-scale. Example documents include exercise timelines, message injects, and meeting sign in sheets.	Retention: CR + 3 Years CR= Creation Date of Documents *(Emergency Management Unit) *These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance	Destroy when no longer needed, but not longer than originals.	Destroy	No

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Record Series ID Number	Title	Description	Retention (Office of Record)	COPIES	Disposition	Confidential or PII
GRSEMR08	AFTER ACTION REPORTS: UNIVERSITY RESPONSE PLAN(URP), EMERGENCY OPERATIONS CENTER (EOC) AND UWPD CONTINUITY OF OPERATIONS(COOP) AFTER ACTION REPORTS These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance	This records series consists of After Action Reports created following an EOC or URP activation, UWPD COOP or exercise.	Retention: EVT + 5 Years EVENT= Plan is completed or superseded. *(Emergency Management Unit) *These records DO NOT include other universities' URP plans or any other similar plans that UWPD provides planning assistance. See ALSO GRS FOR ADMINISTRATIVE RECORDS UWADM 023 ANNUAL/SUMMARY REPORTS	Destroy when no longer needed, but not longer than originals.	Transfer to the Archives for review	No
GRSEMR09	UW-MADISON POLICY DEPT FIRST RESPONDERS: MEMBERSHIP APPLICATIONS	This records series consists of the applications individuals submit to UWPD for membership with the UW-Madison Police Department First Responders. These records contain personal information.	Retention: CR + 3 Years CR= Creation Date of Documents	Destroy when no longer needed, but not longer than originals.	Destroy Confidential	Contains PII
GRSEMR10	UW-MADISON POLICY DEPT FIRST RESPONDERS: MEMBER TRAINING RECORDS	This records series consists of the training records of the UWPD First Responders members. Examples include EMS training, CPR/AED training, and other related training needed for membership with the group.	Retention: CR + 3 Years CR= Creation Date of Documents	Destroy when no longer needed, but not longer than originals.	Destroy Confidential	Contains PII

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Record Series ID Number	Title	Description	Retention (Office of Record)	COPIES	Disposition	Confidential or PII
GRSEMR11	UW-MADISON POLICE DEPT FIRST RESPONDERS: MEMBER ROSTERS	This records series consists of the individuals that comprise the membership of the UWPD First Responders. Document examples include spreadsheets, photographs, and other related items. These documents may contain personal information.	Retention: CR + 3 Years CR= Creation Date of Documents	Destroy when no longer needed, but not longer than originals.	Destroy Confidential	Contains PII
GRSEMR12	UW-MADISON POLICE DEPT FIRST RESPONDERS: CONTACT REPORTS	This records series consists of the contact reports generated whenever a UWPD First Responder makes contact with an individual in need of medical assistance. These contact reports contain personal information.	Retention: CR + 10 Years CR= Creation Date of Documents	Destroy when no longer needed, but not longer than originals.	Destroy Confidential	Contains PII
GRSEMR13	UW-MADISON POLICE DEPT TESTING, TRAINING, AND EXERCISE RECORDS for Non-UWPD Personnel: CPR, AED, and First Aid Training	This records series consists of documents, handouts, presentations, and sign in sheets used during CPR, AED, and First Aid Training that is conducted by UW-Madison Police Department's Emergency Management Unit personnel. These records may contain personal information.	Retention: EVT + 3 Years EVENT= Creation of materials See ALSO GRS FOR ADMINISTRATIVE RECORDS UWADM 016 University Speeches/Presentation	Destroy when no longer needed, but not longer than originals.	Destroy Confidential	Contains PII
GRSEMR14	UW-MADISON POLICE DEPT TESTING, TRAINING, AND EXERCISE RECORDS: Protective Masks ("Gas Masks") Fit Testing	This records series consists of a record that identifies the successful or failed completion of annual tests of Department personnel's protective "gas" masks. These records may include personal medical information	Retention: EVT + 3 Years EVENT= Date of completion of Testing	Destroy when no longer needed, but not longer than originals	Destroy Confidential	Contains PII

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Record Series ID Number	Title	Description	Retention (Office of Record)	COPIES	Disposition	Confidential or PII
GRSEMR15	UW-MADISON POLICE DEPT TESTING, TRAINING, AND EXERCISE RECORDS: Personal Protective Equipment (PPE) Logs	This records series consists of documents that report the available stock of Personal Protective Equipment, the type and age of the PPE, the frequency of use, and the Department personnel assigned equipment.	Retention: EVT + 3 Years EVENT= Superseded by updated information.	Destroy when no longer needed, but not longer than originals	Destroy Confidential	Contains PII
	UNIVERSITY INFORMATION TECHNOLOGY DIASASTER RECOVERY SEE: <u>IT GENERAL RETENTION SCHEDULE FOR UWIT0016 IT Disaster Recovery Planning and Testing Records</u>	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 when no longer needed, but not longer than originals.	Destroy	No
	UNIVERSITY INFORMATION TECHNOLOGY DIASASTER RECOVERY SEE: <u>IT GENERAL RETENTION SCHEDULE FOR UWIT0017 IT Disaster Recovery Records</u>	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	Retention: EVT + 14 Days EVENT= Date of Disaster/Event	Destroy when no longer needed, but not longer than originals.	Destroy	No

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		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.				