

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

<u>UWADM001.</u>	<u>UWADM001: POLICIES AND PROCEDURES</u>	<u>EVT+7</u>	<u>UW-TRANS</u>	<u>N</u>
** FOR USE BY UW STAFF ONLY **				
THIS RECORD SERIES CONSIST OF UNIVERSITY ESTABLISHED DEPARTMENTAL POLICIES AND PROCEDURES, INCLUDING MANUALS, MANUAL CODE, HANDBOOKS, AND OTHER RELATED MATERIALS. * NOTE: SOME INSTITUTIONS MAY CONSIDER SOME OR ALL OF THESE POLICIES TO HAVE ARCHIVAL VALUE; CONSULT YOUR INSTITUTION'S ARCHIVES FOR ADDITIONAL INFORMATION.				
RETENTION: EVT + 7 YRS EVENT = POLICY OR PROCEDURE IS SUPERSEDED DESTROY OR TRANSFER TO ARCHIVES PER INSTITUTIONAL POLICY.				
PII? NO CONFIDENTIAL? NO COPIES: DESTROY WHEN NO LONGER NEEDED				
<u>UWADM002.</u>	<u>UWADM002: CALENDARS AND SCHEDULES</u>	<u>EVT+5</u>	<u>UW-TRANS</u>	<u>Y</u>
** FOR USE BY UW STAFF ONLY **				
THIS SERIES CONSIST OF ALL CALENDARS USED FOR UNIVERSITY BUSINESS WHICH INCLUDES BOTH PAPER AND ELECTRONIC CALENDARING SYSTEMS. THIS SERIES INCLUDES, BUT IS NOT LIMITED TO, DESK CALENDARS, APPOINTMENT BOOKS, AND SIMILAR RECORDS.				
NOTE: A RECORD OF THIS TYPE MAY BE PURCHASED WITH PERSONAL FUNDS, BUT IF USED BY A UNIVERSITY EMPLOYEE TO DOCUMENT HIS OR HER WORK ACTIVITIES MAY BE CONSIDERED A PUBLIC RECORD IN BOTH PHYSICAL AND ELECTRONIC FORMAT.				
*NOTE: SOME INSTITUTIONS MAY CONSIDER THE CALENDARS OF CERTAIN HIGH-LEVEL OFFICIALS (DEANS, CHANCELLORS, ETC.) TO HAVE ARCHIVAL VALUE; CONSULT YOUR INSTITUTION'S ARCHIVES FOR ADDITIONAL INFORMATION.				
RETENTION: EVT + 5 YEARS EVENT = END OF THE CALENDAR YEAR DESTROY OR TRANSFER TO ARCHIVES PER INSTITUTIONAL POLICY				
PII? YES CONFIDENTIAL? NO COPIES: DESTROY WHEN NO LONGER NEEDED.				
<u>UWADM003.</u>	<u>UWADM003: ALPHABETICAL/TOPICAL FILES</u>	<u>EVT+3</u>	<u>UW-TRANS</u>	<u>N</u>
** FOR USE BY UW STAFF ONLY **				
THIS RECORD SERIES CONSISTS OF FILES WHICH DOCUMENT THE ACTIVITIES OF ACADEMIC AND OPERATIONAL DEPARTMENTS ON CAMPUS, INCLUDING THE INTERNAL DEVELOPMENT AND OPERATIONS OF PROGRAMS. RECORDS CAN INCLUDE CORRESPONDENCE, REPORTS, MEMORANDA AND NOTES, PUBLICATIONS, AND ANNOUNCEMENTS. THESE FILES MAY ALSO BE KNOWN AS SUBJECT FILES, DEPARTMENTAL OR OFFICE FILES, MIXED FILES, OR PROGRAM FILES. THE FILES MAY INCLUDE RECORDS OF NON-HISTORICAL VALUE SCHEDULED BY OTHER RDAS, WHICH MAY BE REMOVED BY EACH INSTITUTION'S ARCHIVES UPON RECEIPT.				
RETENTION: EVT + 3 YEARS EVENT = CREATION OF MATERIALS TRANSFER TO ARCHIVES FOR REVIEW				
PII? NO CONFIDENTIAL? NO COPIES: DESTROY WHEN NO LONGER NEEDED.				
<u>UWADM004.</u>	<u>UWADM004: GRANT DOCUMENTATION - NON-FINANCIAL</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
** FOR USE BY UW STAFF ONLY **				
THIS RECORD SERIES DOCUMENTS THE ADMINISTRATION OF A GRANT PROGRAM, INCLUDING THE APPLICATION REVIEW PROCESS AND EXPENDITURE OF GRANT FUNDS. IT ALSO COVERS ACTIVITIES RELATING TO GRANT-FUNDED PROJECTS WHERE THE AGENCY IS THE GRANT RECIPIENT OR ISSUER, INCLUDING THE APPLICATION PROCESS, THE RECEIPT AND EXPENDITURE OF GRANT FUNDS, AND/OR THE GRANT DENIAL NOTICE. ADDITIONAL RECORDS IN THE SERIES INCLUDE, BUT ARE NOT LIMITED TO: FISCAL AWARD SUMMARIES, BUDGETS CREATE AND ACCOUNT CREATE CREATE DOCUMENTS, UNIVERSITY REQUEST FOR CONTRIBUTION OF FACILITIES AND ADMINISTRATIVE COSTS, SUBCONTRACTOR COMMITMENT, AND SCOPE OF WORK AND BUDGET.				

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NOTE: FOR FINANCIAL ASPECTS OF GRANT FILES, SEE THE UWSA FISCAL/ACCOUNTING RECORDS SCHEDULE.

RETENTION: *EVT+6 YEARS EVENT = END OF THE GRANT PROJECT OR NOTIFICATION OF DENIAL AND DESTROY

PII? YES

CONFIDENTIAL? POTENTIALLY; CONTACT THE GRANT ADMINISTRATOR FOR MORE INFORMATION

COPIES: DESTROY WHEN NO LONGER NEEDED.

* NOTE: SOME GRANT PROGRAMS MAY REQUIRE A LONGER RETENTION PERIOD FOR RESEARCH FILES OR RESEARCH DATA; CONTACT YOUR GRANT ADMINISTRATOR FOR MORE INFORMATION.

<u>UWADM005.</u>	<u>UWADM005: PLANNING DOCUMENTATION</u>	<u>EVT+6</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

STRATEGIC, BUSINESS AND OPERATIONAL PLANNING FILES AT ALL LEVELS OF THE UNIVERSITY, INCLUDING, BUT NOT LIMITED TO, FINAL PLANS, CALLS FOR PROPOSALS, PUBLICITY OR PRESENTATION MATERIALS SPECIFICALLY RELATED TO PLANNING INITIATIVES, AND SIGNIFICANT WORK PAPERS. THE OFFICIAL COPY OF THIS SERIES IS HELD IN THE HIGHEST-LEVEL OFFICE AFFECTED BY THE PLAN BEING DOCUMENTED (E.G. A CAMPUS MASTER PLAN WILL BE HELD BY THE CHANCELLOR'S OFFICE; A SCHOOL/COLLEGE PLAN WILL BE HELD BY THE DEAN'S OFFICE, ETC.)

RETENTION: EVT + 6 YEARS EVENT = PLAN IS COMPLETED OR SUPERSEDED.

TRANSFER TO THE ARCHIVES

PII? NO

CONFIDENTIAL? NO

COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWADM006.</u>	<u>UWADM006: REORGANIZATION DOCUMENTATION</u>	<u>EVT+2</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS RECORD SERIES CONSISTS OF DOCUMENTS SHOWING ORGANIZATIONAL CHANGES WITHIN THE COLLEGE OR UNIVERSITY, INCLUDING FILES OF SIGNIFICANT ADDITION, DELETION, OR TRANSFER OF ADMINISTRATIVE, FUNCTIONAL OR REGULATORY RESPONSIBILITIES, ETC.

RETENTION: EVT + 2 YEARS EVENT = DATE REORGANIZATION IS COMPLETED AND TRANSFER TO ARCHIVES

PII? YES

CONFIDENTIAL? NO

COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWADM007.</u>	<u>UWADM007: ORGANIZATIONAL CHARTS</u>	<u>EVT+0</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF THE RECORDS OF THE OFFICIAL ORGANIZATIONAL STRUCTURE OF EACH COLLEGE OF UNIVERSITY, AS WELL AS THAT ANY SMALLER SCHOOL WITHIN THOSE INSTITUTIONS.

RETENTION: EVT+0 YEARS EVENT = ORGANIZATIONAL CHART IS SUPERSEDED.

TRANSFER TO ARCHIVES

PII? YES

CONFIDENTIAL? NO

COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWADM008.</u>	<u>UWADM008: TRANSITION BRIEFINGS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF RECORDS THAT ARE PREPARED TO PROVIDE AN OVERVIEW OF THE UNIVERSITY, DEPARTMENT, OR OFFICE DURING TRANSITIONS TO NEW MANAGEMENT.

RETENTION: EVT + 2 YEARS EVENT = DATE PRIOR OFFICIAL OR DEPARTMENT CHAIR LEAVES HIS/HER POSITION. DESTROY.

PII? YES

CONFIDENTIAL? POTENTIALLY; CONTACT THE DEPARTMENT CHAIR, DEAN, OR OTHER ADMINISTRATOR FOR MORE INFORMATION.

COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWADM009.</u>	<u>UWADM009: UNIVERSITY SPONSORED CONFERENCE RECORDS</u>	<u>EVT+3</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS RECORD SERIES CONSISTS OF BUT IS NOT LIMITED TO REGISTRATION MATERIALS, CORRESPONDENCE, FINANCIAL

REIMBURSEMENT AND PUBLIC RELATIONS MATERIALS FOR CONFERENCES THAT ARE HOSTED BY A UNIVERSITY DEPARTMENT OF UNIT. THIS SCHEDULE DOES NOT INCLUDE THOSE RECORDS COVERED UNDER THE UWS-ADMINISTRATIVE SCHEDULE.

RETENTION: EVT + 3 YEARS. EVENT = DATE OF THE CONFERENCE
DISPOSITION: TRANSFER TO INSTITUTIONAL ARCHIVES FOR REVIEW PER POLICY
PII: YES
CONFIDENTIAL: NO
COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWADM010.</u>	<u>UWADM010: EXTERNAL COMPLAINTS</u>	<u>EVT+5</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

COMPLAINTS RECEIVED REGARDING ISSUES NOT RELATED TO A PARTICULAR INDIVIDUAL, OFFICE, OR PROGRAM. THIS SERIES SPECIFICALLY COVERS COMPLAINTS RECEIVED FROM NON-STUDENT, NON-STAFF MEMBERS OF THE COMMUNITY. FOR THE RETENTION PERIOD FOR INTERNAL COMPLAINTS, PLEASE SEE THE UWSA PERSONNEL RECORDS SCHEDULE. SOME OF THESE COMPLAINTS MAY BE HISTORICAL OR PRECEDENT-SETTING IN NATURE; EACH INSTITUTION'S ARCHIVES SHOULD WORK WITH OFFICES MANAGING THESE RECORDS TO DETERMINE WHICH RECORDS IN THIS SERIES MAY HAVE ONGOING VALUE.

RETENTION: EVT + 5 YEARS EVENT = SUPERSEDED OR REPLACED
DESTROY CONFIDENTIALLY OR TRANSFER TO ARCHIVES, PER INSTITUTIONAL POLICY
PII? YES
CONFIDENTIAL? YES
COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED

<u>UWADM011.</u>	<u>UWADM011: LEGAL NOTICES</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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THIS SERIES CONSISTS OF DOCUMENTATION ASSOCIATED WITH REQUIRED LEGAL NOTICES. LEGAL NOTICES REQUIRED FOR AN EVENT SHOULD BE FILED WITH THE SPECIFIC ACTION/EVENT.

RETENTION: EVT + 1 YEARS EVENT = CREATION OF LEGAL NOTICE & DESTROY
PII? YES
CONFIDENTIAL? YES
COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED

<u>UWADM012.</u>	<u>UWADM012: PUBLIC RECORDS REQUESTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS RECORD SERIES CONSIST OF RECORDS RELATING TO REGULAR AND REFORMULATED, REPETITIOUS, SYSTEMATIC OR CONTINUING REQUESTS BY INDIVIDUALS, GROUPS OR ORGANIZATIONS FOR ACCESS TO GENERAL INFORMATION UNDER THE PROVISIONS OF THE WIS. STATS 19.35 - 19.37. THE SERIES INCLUDES THE ORIGINAL REQUEST, NOTICE OF CHANGE (OF SCOPE OF REQUEST), BILLING, COLLECTION OF FEES, ACKNOWLEDGEMENT OF RECEIPT OF REQUEST, FOLLOW-UP LETTERS AND TRANSMITTAL MEMORANDUMS, ACCESS REQUEST REVIEW, REQUESTS FOR EXTENSION, THIRD PARTY NOTIFICATION, ACCESS REQUEST REVIEW RECOMMENDATIONS AND SUMMARIES, LISTING OF RECORDS SEARCHED AND USED TO RESPOND TO REQUESTS, AND LOGS MAINTAINED DOCUMENTING RECEIPT AND RESPONSE OF REQUESTS. THE SERIES MAY ALSO INCLUDE REQUEST RESPONSE PACKAGE INCLUDING ANY REDACTION OF INFORMATION (IF INFORMATION IS KEPT). IF REQUESTS ARE DENIED, RECORDS COVERED HERE INCLUDE REQUEST DENIALS AND RELATED JUSTIFICATION, MEDIATION, REPRESENTATIONS FOR THIRD PARTIES, RECOMMENDATIONS, COURT ORDERS, AND REVIEWS. ALSO INCLUDES ABANDONED REQUESTS.

RETENTION: EVT+3 YEARS EVENT = REPOSENSE TO REQUEST IS PROVIDED & DESTROY CONFIDENTIALLY
PII? YES
CONFIDENTIAL? YES
COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWADM013.</u>	<u>UWADM013: AGREEMENTS AND CONTRACTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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THIS SERIES CONSISTS OF CONTRACTS BETWEEN A UNIVERSITY OR SMALLR UNIT AND OTHER GOVERNMENT OR PRIVATE ENTITIES RETAINED BY THE OFFICE OR DEPARTMENT. THIS SERIES MAY ALSO INCLUDE ANY CORRESPONDENCE CLARIFYING OR SETTING TERMS IN THE CONTRACT ITSELF.

RETENTION: EVT + 6 YEARS EVENT = CLOSE OF THE CONTRACT DATE OR FULFILLMENT/SUPERSESION OF THE TERMS.

SOME CONTRACTS MAY BE SCHEDULED IN OTHER SERIES FOR SHORTER OR LONGER RETENTION PERIODS; CONSULT YOUR INSTITUTION'S RECORDS OFFICER.

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UWADV004. **UWADV004: ACADEMIC ADVISING RECORDS - PROSPECTIVE STUDENT** **EVT+2** **DEST** **Y**

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PROSPECTIVE STUDENT FILES ARE KEPT FOR STUDENTS WHO EXPRES INTEREST, BUT NEVER ATTEND THE UNIVERSITY. THE FILE CONTAINS VARIOUS DOCUMENT INCLUDING BUT NOT LIMITED TO RECRUITING AND ADVISING NOTES, WORKSHEETS, UNOFFICIAL OR OFFICIAL TRANSCRIPTS, APPLICATIONS, COPIES OF KEY ADVISING EMAIL AND OTHER CORRESPONDENCE AND MAY INCLUDE A VARIETY OF OTHER DOCUMENTS. THIS RECORDS SERIES DOES NOT INCLUDE INFORMAL AND ISOLATED COMMUNICATIONS OF FACULTY AND STAFF WHO DO NOT PROVIDE REGULAR ADVISING SERVICES. ACADEMIC ADVISING RECORDS AND DOCUMENTS OF STUDENTS WHO ARE ADMITTED AND ATTEND THE UNIVERSITY BECOME PART OF THE RECORDS SERIES: ADV001, ADV002, AND ADV003.

RETENTION TIME PERIOD
ORIGINAL: EVT + 2 YEARS AND DESTROY CONFIDENTIALLY.
COPIES: KEEP UNTIL NO LONGER NEEDED THEN DESTROY CONFIDENTIALLY.
EVENT: LAST CONTACT WITH INDIVIDUAL.

UWBC0001. **UWBC0001: BUSINESS COMMUNICATION: ROUTINE** **EVT+6** **DEST**

** FOR USE BY UW STAFF ONLY **

ROUTINE COMMUNICATION HAS CONTINUING VALUE AS A PUBLIC RECORD, BECAUSE IT IS DIRECTLY CONNECTED TO THE TRANSACTION OF PUBLIC BUSINESS THAT IS CONDUCTED BY UNIVERSITY EMPLOYEES. ROUTINE COMMUNICATION COMPRISES THE NORMAL COMMUNICATION THAT OCCURS WHEN UNIVERSITY EMPLOYEES, AND SOMETIMES THEIR COLLEAGUES WHO ARE NOT UNIVERSITY EMPLOYEES, WORK TOGETHER TO TRANSACT PUBLIC BUSINESS ON BEHALF OF THE UNIVERSITY OF WISCONSIN SYSTEM.

ROUTINE COMMUNICATION HAS NO HISTORICAL VALUE; NEVER INCLUDES RECORDS THAT SET FORTH UNIVERSITY POLICIES, GUIDELINES, PROCEDURES, OR DIRECTIVES; AND DOES NOT FORMALIZE THE BUSINESS PROCESSES OF THE UNIVERSITY OF WISCONSIN SYSTEM.

ROUTINE COMMUNICATION CAN BE MEMORIALIZED USING MANY DIFFERENT TYPES OF BUSINESS TOOLS, AND IT INCLUDES BUT IS NOT LIMITED TO COMMUNICATION THAT:
(1) ALLOWS UNIVERSITY EMPLOYEES, AND SOMETIMES NON-EMPLOYEES, WHO ARE IN DIFFERENT PHYSICAL LOCATIONS TO DISCUSS AND PERFORM ROUTINE ASPECTS OF BUSINESS ACTIVITIES OR PROJECTS ON BEHALF OF THE UNIVERSITY OF WISCONSIN SYSTEM;
(2) RECORDS ROUTINE ASPECTS OF THE DECISION-MAKING PROCESS THAT OCCURED BETWEEN COLLEAGUES DURING THE LIFECYCLE OF A BUSINESS ACTIVITY PROJECT;
(3) ASSISTS EMPLOYEES IN ADMINISTERING ROUTINE FACETS OF A UNIVERSITY ACTIVITY OR BUSINESS PROJECT; OR
(4) ALLOWS EMPLOYEES TO DISSEMINATE TO THEIR COLLEAGUES ROUTINE, SUBSTANTIVE MATERIALS THAT ARE RELATED TO A UNIVERSITY ACTIVITY OR BUSINESS PROJECT.

DUE TO ITS ROUTINE NATURE, THIS TYPE OF COMMUNICATION IS NECESSARY ONLY FOR A PERIOD OF SIX MONTHS AFTER A BUSINESS ACTIVITY OR PROJECT IS FINISHED, AND THEREAFTER, IT CAN BE DESTROYED.

RETENTION PERIOD: RETAIN FOR SIX MONTHS AFTER A BUSINESS ACTIVITY OR PROJECT IS COMPLETED.

UWBC0002. **UWBC0002: BUSINESS COMMUNICION: TRANSITORY** **EVT+0/1** **DEST**

** FOR USE BY UW STAFF ONLY **

TRANSITORY COMMUNICATION IS DIRECTLY CONNECTED TO THE TRANSACTION OF PUBLIC BUSINESS THAT IS CONDUCTED BY UNIVERSITY EMPLOYEES, BUT IT HAS A SHORT-TERM BUSINESS VALUE.

TRANSITORY COMMUNICATION HAS NO BUSINESS VALUE AFTER THE INFORMATION CONTAINED IN THE MESSAGE HAS BEEN CONVEYED OR SUPERSEDED, OR THE EVENT TO WHICH THE MESSAGE IS RELATED HAS OCCURED. TRANSITORY COMMUNICATION DOES NOT ESTABLISH POLICIES, GUIDELINES, OR PROCEDURES; CERTIFY A TRANSACTION; BECOME A RECEIPT; NOR PERPETUATE OR FORMALIZE BUSINESS ACITIVITES OF THE UNIVERSITY OF WISCONSIN SYSTEM. TRANSITORY COMMUNICATION IS NOT NECESSARY FOR STATUTORY, LEGAL, OR FISCAL PURPOSES; HAS NO HISTORICAL VALUE; WOULD NOT BE FILED IN A RECORDS MANAGMENT SYSTEM; AND SHOULD BE DESTROYED AFTER ONE WEEK, OR WHEN OBSOLETE BECAUSE THE COMMUNICATION HAS BEEN SUPERSEDED OR THE RELATED EVENT HAS TRANSPIRED.

TRANSITORY COMMUNICATION CAN BE MEMORIALIZED USING MANY DIFFERENT TYPES OF BUSINESS TOOLS, AND EXAMPLES INCLUDE BUT ARE NOT LIMITED TO:
(1) MESSAGES THAT COMMUNICATION INFORMATION THAT IS NOT THE BASIS FOR OFFICIAL ACTION, SUCH AS NEWS BULLETINS, HOLIDAY NOTICES, CHARITY AND WELFARE APPEALS, OR INFORMATION ABOUT WORKPLACE EVENTS.
(2) SCHEDULING INFORMATION PERTAINING TO AN EVENT THAT HAS ALREADY OCCURED.
(3) COURTESY COPIES OF COMMUNICATIONS THAT CONVEY INFORMATION BUT DO NOT REQUIRE RESPONSIVE ACTION BY THE UNIVERSITY EMPLOYEE WHO IS THE RECIPIENT, BUT NOT THE CREATOR, OF THE COMMUNICATION.
(4) COMMUNICATION THAT IS CREATED BY, OR RECEIVED FROM, A DISTRIBUTION LIST, LISTSERV, OR OTHER RESOURCE PROVIDER FOR REFERENCE PURPOSES.

(5) A PRELIMINARY VERSION OF A DOCUMENT THAT HAS BEEN SUPERSEDED BY A SUCCESSIVE VERSION OF THE DOCUMENT. PRELIMINARY VERSIONS OF A RECORD MAY BE CLASSIFIED AS TRANSITORY ONLY BY THE RECIPIENT, BUT NOT THE CREATOR, OF THE COMMUNICATION.

(6) TRANSITORY REQUESTS FOR INFORMATION OR MATERIALS TO WHICH A UNIVERSITY EMPLOYEE CAN EASILY REPLY, AND IN RESPONSE TO WHICH A UNIVERSITY EMPLOYEE WOULD NOT HAVE TO PERFORM SPECIAL RESEARCH, ENGAGE ADMINISTRATIVE PROCESSES, OR SEEK SUPERVISORY REVIEW.

RETENTION PERIOD: RETAIN FOR SEVEN DAYS OR DESTROY WHEN OBSOLETE BECAUSE THE COMMUNICATION HAS BEEN SUPERSEDED OR THE RELATED EVENT HAS TRANSPIRED.

<u>UWFA1000.</u>	<u>UWFA1000: ADMINISTRATIVE POLICIES AND PROCEDURES</u>	<u>EVT+4</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE ALL WRITTEN POLICIES, PROCEDURES, AND RELATED DOCUMENTATION PERTAINING TO FISCAL MATTERS. THESE MAY BE ISSUED BY THE UNIVERSITY OF WISCONSIN SYSTEM OR BY INDIVIDUAL INSTITUTIONS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = DATE SUPERSEDED.

DISPOSITION: TRANSFER TO ARCHIVES PER INSTITUTIONAL POLICY.

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA1010.</u>	<u>UWFA1010: MANUALS</u>	<u>EVT+3</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE ALL FISCAL AND ACCOUNTING-RELATED MANUALS. THESE MAY BE ISSUED BY THE UNIVERSITY OF WISCONSIN SYSTEM OR BY INDIVIDUAL CAMPUSES.

RETENTION TIME PERIOD

ORIGINAL: EVT + 3 YEARS EVENT = DATE SUPERSEDED

DISPOSITION: TRANSFER TO ARCHIVES PER INSTITUTIONAL POLICY.

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA1020.</u>	<u>UWFA1020: ROUTINE INTERNAL STATUS AND ACTIVITY REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE INTERNAL STATISTICAL AND NARRATIVE REPORTS ON ROUTINE FISCAL AND ACCOUNTING OPERATIONS, INCLUDING WEEKLY, MONTHLY, AND QUARTERLY REPORTS FOR OPERATIONS, MANAGEMENT ANALYSIS, AND PLANNING.

RETENTION TIME PERIOD

ORIGINAL: DESTROY WHEN NO LONGER NEEDED.

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORDS.

PII: NO
CONFIDENTIAL: NO

<u>UWFA1030.</u>	<u>UWFA1030: YEAR-END REPORTS (GAAP)</u>	<u>FIS+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

REPORTS AND ALL SUPPORT DOCUMENTATION. ALSO INCLUDED IN THIS SERIES ARE TAX-RELATED REPORTS (1098T

LISTINGS/LOGS, W-2S, 1099S, ETC) AND THE ACADEMIC FEE INCOME REPORT (AFIR).

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR OF CREATION + 6 YEARS

DISPOSITION: DESTROY CONFIDENTIAL

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: YES

CONFIDENTIAL: YES

<u>UWFA1040.</u>	<u>UWFA1040: ANNUAL FINANCIAL REPORT</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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THIS SERIES MAY INCLUDE, AT THE DISCRETION OF INDIVIDUAL CAMPUSES, SUPPORTING DOCUMENTATION (OTHERWISE COVERED IN UWFA105) THAT WILL BE RETAINED PERMANENTLY TOGETHER WITH THE ANNUAL FINANCIAL REPORT.

RETENTION TIME PERIOD

ORIGINAL: RETAIN PERMANENTLY IN OFFICE OF ORIGIN.

DISPOSITION: RETAIN PERMANENTLY IF OFFICE OF ORIGIN.

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO

CONFIDENTIAL: NO

<u>UWFA1050.</u>	<u>UWFA1050: NON-ROUTINE FINANCIAL REPORTS AND STUDIES</u>	<u>FIS+4</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE REPORTS AND STUDIES CREATED FOR FISCAL, ACCOUNTING, AND ADMINISTRATIVE REVIEWS OR ANALYSES, INCLUDING EQUITY AND ESCROW REPORTS, FRINGER BENEFIT STUDIES, FACILITY USAGE REPORTS, COST COMPARISON STUDIES, AND OTHER SPECIAL REPORTS AND STUDIES. ALSO INCLUDED ARE FISCAL MANAGEMENT SUBJECT AND CORRESPONDENCE FILES USED TO SUPPORT GENERAL FISCAL MANAGEMENT.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR OF CREATION + 4 YEARS

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO

CONFIDENTIAL: NO

<u>UWFA1060.</u>	<u>UWFA1060: AUDIT DOCUMENTATION: REGULARLY-OCCURRING AUDIT CYC</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INLCUDE ALL DOCUMENTATION RELATED TO REGULARLY OCCURING AUDITS, INCLUDING REPORTS, AGENCY/OFFICE RESPONSES, AND FINDINGS. REGULAR AUDIT INCLUDE A-133 AND CAFR AUDITS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 3 YEARS EVENT = DATE OF ISSUANCE OF FINAL AUDIT REPORT

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THEN THE ORIGINAL RECORD.

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PII: NO
CONFIDENTIAL: NO

UWFA1070. **UWFA1070: AUDIT DOCUMENTATION: IRREGULARLY - OCCURRING AUDIT C** **EVT+10** **DEST** **N**

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RECORDS INCLUDE ALL DOCUMENTATION RELATING TO INFREQUENT AUDITS, INCLUDING REPORTS, AGENCY/OFFICE RESPONSES, AND FINDINGS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 10 YEARS EVENT = DATE OF NEXT AUDIT CYCLE OR 10 YEARS

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

UWFA1080. **UWFA1080: RECONCILIATION WORK PAPERS** **FIS+4** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE INTERMEDIATE FISCAL RECORDS OF RECEIPTS AND DISBURSEMENTS USED TO RECONCILE ACCOUNTS. THESE MAY INCLUDE SPREADSHEETS, PROOF SHEETS, ABSTRACTS OF RECEIPTS, AND DISBURSEMENTS OR CLAIMS.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR OF CREATION + 4 YEARS

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

UWFA1090. **UWFA1090: AUTHORIZATION FOR ACCESS / FORMS** **FIS+4** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE APPLICATIONS, AUTHORIZATIONS, CARDHOLDER AGREEMENTS, AND RELATED FORMS USED TO ESTABLISH ACCOUNTS. AUTHORIZATIONS MAY RELATE TO, BUT ARE NOT LIMITED TO, SFS, PURCHASING CARDS, CORPORATE (TRAVEL) CARDS, AND WISDM.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = FISCAL YEAR IN WHICH ACCOUNT WAS INACTIVATED

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

UWFA1100. **UWFA1100: CREDIT CARD RECEIPTS AND/OR DEPOSITS: PAPER AND ELEC** **EVT+3** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE CREDIT CARD RECEIPTS AND OTHER DOCUMENTATION ASSOCIATED WITH CREDIT CARD TRANSACTIONS. FOR ELECTRONIC TRANSACTIONS, THESE RECORDS INCLUDE ENCRYPTED DATA CONTAINING CREDIT CARD NUMBERS AND RELATED INFORMATION.

RETENTION TIME PERIOD

ORIGINAL: EVT + 3 YEARS EVENT = DATE OF TRANSACTION * A LONGER RETENTION TIME PERIOD IS REQUIRED BY

CONTRACT OR LAW.

DISPOSITION: DESTROY CONFIDENTIAL

DUPLICATES: DESTROY CONFIDENTIAL WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA1110.</u>	<u>UWFA1110: PAYMENT CARD INDUSTRY COMPLIANCE (PCI)</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

PCI COMPLIANCE MEANS THAT A MERCHANT ACCEPTING CREDIT OR DEBIT CARDS IS OPERATING IN A WAY THAT PROTECTS THE CONFIDENTIAL INFORMATION (CARD NUMBER, EXPIRATION DATE, NAME OF CARDHOLDER AND SECURITY CODE) FROM BEING RELEASED TO ANYONE OTHER THAN THE ACQUIRER OF THE TRANSACTIONS GOING INTO THE CREDIT CARD PROCESSING NETWORK. THE STANDARDS ARE SET BY THE PCI STANDARDS COUNCIL ESTABLISHED BY THE MAJOR CARD BRANDS.

THIS RECORDS SERIES PERTAINS TO THE PCI OPERATOR TRAINING FORMS AND CORRESPONDING PCI COMPLIANCE LOGS.

RETENTION TIME PERIOD

ORIGINAL: CR + 3 YEARS CR = CREATION YEAR

DISPOSITION: DESTROY CONFIDENTIAL

DUPLICATES: DESTROY CONFIDENTIAL WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: YES
CONFIDENTIAL: YES

<u>UWFA2000.</u>	<u>UWFA2000: INTERNAL CONTROL POLICIES AND PROCEDURES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE POLICIES AND PROCEDURES GOVERNING INTERNAL CONTROL, AND RELATED DOCUMENTATION THAT EXPLAINS INTERNAL CONTROL POLICIES AND PROCEDURES, INCLUDING BUT NOT LIMITED TO: MEMOS, BULLETINS, AND MNAUALS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 3 YEARS EVENT = DATE ON WHICH THE POLICY DIRECTIVE IS WITHDRAWN, REVISED, OR SUPERSEDED, AND THEREAFTER DESTROY.

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA2010.</u>	<u>UWFA2010: INTERNAL MANAGEMENT REVIEW AND ROUTINE OVERSIGHT C</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE ALL DOCUMENTATION RELATING TO ROUTINE INTERNAL MANAGEMENT REVIEW AND OVERSIGHT OF OPERATIONS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 3 YEARS. EVENT = DATE OF COMPLETED AUDIT REPORT

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

CONFIDENTIAL: NO

UWFA2020. **UWFA2020: INTERNAL AUDIT CONTROL FILES, REPORTS, ACTION FILES AN** **EVT+10** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE ALL DOCUMENTATION RELATING TO INTERNAL AUDITS OF CONTROLS AND FINDINGS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 10 YEARS. EVENT = DATE OF NEXT AUDIT CYCLE OR 10 YEARS

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO

CONFIDENTIAL: NO

UWFA2030. **UWFA2030: INTERNAL CONTROL REFERENCE FILES** **EVT** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE ALL REFERENCE FILES USED TO SUPPORT INTERNAL CONTROL PROGRAMS.

RETENTION TIME PERIOD

ORIGINAL: DATE OF SUPERSESSION OF FILE

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO

CONFIDENTIAL: NO

UWFA3000. **UWFA3000: EXPENDITURES: ACCOUNTS PAYABLE RECORDS** **FIS+6** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE ALL SUPPORTING RECORDS RELATING TO THE PURCHASES OF GOODS OR SERVICES. THESE RECORDS MAY INCLUDE, BUT ARE NOT LIMITED TO, VOUCHERS (BOTH REGULAR AND STUDENT VENDORS), INVOICES, TRAVEL EXPENSE REPORTS AND ATTACHED RECEIPTS, PAYMENT-TO-INDIVIDUAL (PIR) REPORTS, ACADEMIC SUPPORT SERVICE AGREEMENTS (ASSA), ENTERTAINMENT CONTRACTS, INTER-INSTITUTIONAL AGREEMENTS, FINANCIAL AID DISBURSEMENTS, AND PURCHASE ORDERS.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR OF CREATION + 6 YEARS

DISPOSITIN: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO

CONFIDENTIAL: NO

UWFA3010. **UWFA3010: RECEIPTS: ACCOUNTS RECEIVABLE RECORDS** **FIS+6** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE ALL SUPPORTING DOCUMENTATION RELATED TO THE RECEIPT OF FUNDS, WHICH MAY INCLUDE BUT ARE NOT LIMITED TO: DEPOSIT FORMS, REMITTANCE FORMS AND ANY DOCUMENTATION THAT SUPPORTS STUDENT CHARGES/BILLS, INCLUDING, BUT NOT LIMITED TO: UPLOADS OF CHARGES (BATCH), HOUSING/FOOD PLAN CONTRACTS, MANUAL CHARGES, SPECIAL FEES, ETC.

ALSO INCLUDED IN THIS SERIES ARE RECORDS RELATING TO DEPOSITS, AS WELL AS INVOICES TO THIRD PARTIES, AND FINANCIAL AID RETURN FORMS AND DOCUMENTATION.

ALTHOUGH THIS GENERAL SCHEDULE APPLIES GENERALLY TO NON-STUDENT RELATED RECORDS, BE ADVISED THAT IT

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

DOES INCLUDE CORRESPONDENCE AND DOCUMENTATION RELATING TO STUDENT PAYMENTS, SUCH AS REMITTANCES, RECEIPTS, AND THIRD PARTY SETTLEMENTS. THIS RECORD SERIES IS ALSO DESCRIBED IN THE GENERAL STUDENT RECORDS SCHEDULE.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR OF CREATION + 6 YEARS

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA4000.</u>	<u>UWFA4000: PAID/CANCELLED CHECKS</u>	<u>FIS+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE BOTH PAPER CHECKS AND THOSE IMAGED ONTO CD-ROM. CD-ROMS ARE PROVIDED BY THE STATE'S BANK.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR OF CREATION + 6 YEARS

DISPOSITION: DESTROY CONFIDENTIAL

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: YES
CONFIDENTIAL: YES

<u>UWFA4010.</u>	<u>UWFA4010: VOIDED CHECKS</u>	<u>FIS+6</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

VOIDED CHECKS RESULTING FROM PRINTING ERRORS.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR OF CREATION + 6 YEARS

DISPOSITION: DESTROY CONFIDENTIAL

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA4020.</u>	<u>UWFA4020: STOP PAYMENT / VOIDED / CANCELLED CHECK RECORDS</u>	<u>FIS+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE REQUESTS FOR STOP PAYMENTS AND RELATED CORRESPONDENCE AND REPORTS. THESE REQUESTS INCLUDE ZBA, AGENCY, AND CONTINGENT FUND ACCOUNTS.

ALSO INCLUDED IN ALL DOCUMENTATION RELATING TO UNPAID ITEMS, SUCH AS REQUESTS FOR RE-ISSUANCE OF CHECKS, AS WELL AS ALL REPORTS, LOGS, FOLLOW-UP LETTERS AND SUPPLEMENTAL DOCUMENTATION FOR STALE CHECK FOLLOW-UP, VOIDS, ADN REISSUES.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR OF CREATION + 6 YEARS

DISPOSITION: DESTROY CONFIDENTIAL

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

NOTE THAT STUDENT COLLECTION RECORDS AND DATA ARE INTEGRATED WITH THE ISIS/PEOPLESFT CLIENT SERVER, AND THAT A NUMBER OF THESE RECORDS MAY EXIST IN ELECTRONIC FORMAT. THIS RECORD SERIES IS ALSO DESCRIBED IN THE GENERAL STUDENT RECORDS SCHEDULE.

RETENTION TIME PERIOD

ORIGINAL: EVT + 7 YEARS. EVENT = DATE ACCOUNT IS DUE

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: YES
CONFIDENTIAL: YES

<u>UWFA6000.</u>	<u>UWFA6000: JOURNAL ENTRIES</u>	<u>FIS+6</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE ALL SUPPORTING DOCUMENTATION FOR JOURNAL UPLOADS OR ENTRIES INTO THE SHARED FINANCIAL SYSTEM GENERAL LEDGER THESE MAY INCLUDE, BUT ARE NOT LIMITED TO, INTERNAL TRANSFERS (CHARGEBACKS), PAYMENT TRANSFERS, REVENUE TRANSFERS, BUDGET TRANSFERS, AND BUDGET ENTRIES FOR PROJECTS.

ALSO INCLUDED IS DOCUMENTATION SUPPORTING THE ALLOCATION OF PURCHASING CARD EXPENDITURES, AS WELL AS SUPPORTING DOCUMENTATION FOR PROJECT BUDGETS.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR OF CREATION + 6 YEARS

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA7000.</u>	<u>UWFA7000: CAPITAL ACCOUNTING PROJECTS: FEDERAL CONSTRUCTION I</u>	<u>EVT+30</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE DOCUMENTATION OF ACQUISITIONS, CAPITAL ASSETS, DEPRECIATION SCHEDULES, FIXED ASSETS, MATERIAL TRANSFER FILES, MORTGAGE LEDGERS, FACILITY/PLANT LEDGERS, PROPERTY DETAIL REPORTS, PROPERTY INVENTORY REPORTS, AND REPORTS ON PROPERTY SOLD.

RETENTION TIME PERIOD

ORIGINAL: EVT + 30 YEARS. EVENT = DATE OF ISSUANCE.

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA7010.</u>	<u>UWFA7010: CAPITAL ACCOUNTING PROJECTS: NON-FEDERAL CONSTRUCTI</u>	<u>FIS+4</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE ALL DOCUMENTATION SUPPORTING CONSTRUCTION FUND PROJECTS, INCLUDING ACQUISITIONS, CAPITAL ASSETS, DEPRECIATION SCHEDULES, FIXED ASSETS, MATERIAL TRANSFER FILES, MORTGAGE LEDGERS, FACILITY/PLANT LEDGERS, PROPERTY DETAIL REPORTS, PROPERTY INVENTORY REPORTS, AND REPORTS ON PROPERTY SOLD.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR OF CREATION + 4 YEARS.

** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE TRANSMITTALS, AWARDS, BUDGETS, AND ALL OTHER DOCUMENTATION RELATED TO THE PROCUREMENT OF FEDERAL GRANTS. ALSO INCLUDED ARE ALL REPORTS, FORMS, AND DOCUMENTATION RELATED TO PAR REPORTS, AS WELL AS REPORTS AND SUPPLEMENTAL INFORMATION FOR VERIFICATION OF GRANTS AND CONTRACTS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 3 YEARS. EVENT = DATE OF SUBMISSION OF FINANCIAL REPORT OR CLOSE OF GRANT

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA9010.</u>	<u>UWFA901: GIFT AND GRANT FOLDERS: NON-FEDERAL</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE TRANSMITTALS, AWARDS, BUDGETS, AND ALL OTHER DOCUMENTATION RELATED TO THE PROCUREMENT OF NON-FEDERAL GRANTS, AS WELL AS REPORTS AND SUPPLEMENTAL INFORMATION FOR VERIFICATION OF GRANTS AND CONTRACTS, BOTH INDIVIDUALLY AND IN BATCH FORM.

THIS SCHEDULE APPLIES TO GRANTS FOR WHICH THE GRANTING AGENCY REQUIRES A 3-YEAR RETENTION.

RETENTION TIME PERIOD:

ORIGINAL: EVT + 3 YEARS. EVENT = DATE OF CLOSE OF GRANT

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA901A.</u>	<u>UWFA901A: GIFT AND GRANT FOLDERS: NON-FEDERAL AND SUBJECT TO I</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE TRANSMITTALS, AWARDS, BUDGETS, AND ALL OTHER DOCUMENTATION RELATED TO THE PROCUREMENT OF NON-FEDERAL GRANTS, AS WELL AS REPORTS AND SUPPLEMENTAL INFORMATION FOR VERIFICATION OF GRANTS AND CONTRACTS, BOTH INDIVIDUALLY AND IN BATCH FORM.

THIS SCHEDULE APPLIES TO GRANTS FOR WHICH THE GRANTING AGENCY REQUIRES A 6-YEAR RETENTION. IT MAY ALSO BE USED AT THE DISCRETION OF INDIVIDUAL UNIVERSITY OF WISCONSIN INSTITUTIONS THAT WISH TO RETAIN 3-YEAR GRANTS (SEE FISC 901) FOR A LONGER PERIOD OF TIME.

RETENTION TIME PERIOD

ORIGINAL: EVT + 6 YEARS. EVENT = DATE OF CLOSE OF GRANT

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

<u>UWFA9020.</u>	<u>UWFA9020: ALLOCATIONS</u>	<u>FIS+6</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE ALL DOCUMENTATION USED TO VERIFY THE FRINGE, INDIRECT COST, AND FACILITIES AND

ADMINISTRATION (F&A) ALLOCATION PROCESSES FOR GRANTS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 6 YEARS. EVENT = FISCAL YEAR OF GRANT'S AWARDING

DISPOSITION: DESTROY

DUPLICATES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN DUPLICATES LONGER THAN THE ORIGINAL RECORD.

PII: NO
CONFIDENTIAL: NO

UWHR0100. **UWHR0100: HR PERSONNEL HIRING AND POSITION CHANGE FORMS AND R** **EVT+2** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series documents the Human Resource forms, such as Create a Position, Hire a Person(with a Position), Hire a Person(without a Position), Add a Person, Change a Position, Job Change with and Without a Position, Additional Information for Student Help, Change a Person, Vacation Option Election Form, Self-Identification Form, Emergency Contact form. These forms function much like the Personnel Action Forms in that they authorize changes to the HRS system.

EVENT: Date the request is approved or denied

UWHR0101. **UWHR0101: POSITION VACANCY LISTING OR POSITION ANNOUNCEMENT** **EVT+6** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series documents the position vacancy or position announcement for Faculty, Academic, and University positions. The position announcement describes the position which is being recruited, including information regarding: employing unit and payroll (funding) sources', position title, type of appointment, salary level, dates of availability and appointment, position descriptions and qualifications and approval signatures.

EVENT: Date position is filled

UWHR0102. **UWHR0102: CRIMINAL BACKGROUND CHECKS** **CR+7** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series documents a record of criminal background checks made on UW employees at the time of hire. These records include, but are not limited to:
(1) the confidential self-disclosure job application supplements;
(2) the criminal background check reports;
(3) Records related to notification of the applicants of a decision not to hire. Original background checks are confidential materials and are to be kept separate from the personnel file. These files are kept per EEOC and Fair Credit Reporting Act.

UWHR0103. **UWHR0103: FEDERAL I-9 EMPLOYEE ELIGIBILITY VERIFICATION** **EVT+3** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series includes the Federally required forms that verify and or re-verified and check employment eligibility and employee identity. This is maintained in a separate file while the individual is employed.
NOTE: Must retain while individual is employed. The federal requirement is that the employer must retain the form for three years after the date of hire, or one year following separation of employment, whichever event is longer per 8 U.S.C. §13249(a).

EVENT: Date of Separation

UWHR0104. **UWHR0104: CANDIDATE FILES** **EVT+6** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

Individual candidate files include all materials submitted by the candidate as part of the application recruitment process.
NOTE: The information that is gathered or created in TAM or TREMS for recruitment will be retained for the same length of time in the system and/or data warehouse as the candidate file. After the position is filled, it is the intent that part of the successful candidates file will be transferred to their personnel file. Some of the items that currently go into the personnel file are: candidate resume or curriculum Vitae (CV), the initial position description, the criminal background check date, contract/appointment letter etc. A campus may have paper version of these documents gathered during the recruitment placed in a personnel file or if the campus keeps electronic personnel files these would be transferred.

EVENT: Date position is filled

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

UWHR0105. **UWHR0105: SEARCH AND SCREEN COMMITTEE RECORDS - GENERAL** **EVT+6** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This record series applies to all Search and Screen for positions of Associate Dean and lower levels of administration. It includes documentation of the activities of committee's search activities. This may include documents from outside search firms.

This series includes, but is not limited to:

- interview documentation,
- minutes,
- list of candidates and nominees,
- list of interviewees,
- press releases and other publicity materials, position description,
- position vacancy announcements,
- list of search and screen committee members,
- list of colleagues and professional organization from which nominations may have been sought,
- sample letter sent to applicant,
- sample questions used in interview process,
- rejected letter of offer and
- video presentations and
- other correspondences related to the search process.

EVENT: Date position is filled

UWHR0106. **UWHR0106: SEARCH AND SCREEN COMMITTEE RECORDS - HIGHER LEVEL** **EVT+6** **UW-TRANS** **N**

** FOR USE BY UW STAFF ONLY **

This record series applies to all Search and Screen for positions of Dean and higher levels of administration. It includes documentation of the activities of committee's search activities. This may include documents from outside search firms.

This series includes, but is not limited to:

- interview documentation,
- minutes,
- list of candidates and nominees,
- list of interviewees,
- press releases and other publicity materials, position description,
- position vacancy announcements,
- list of search and screen committee members,
- list of colleagues and professional organization from which nominations may have been sought,
- sample letter sent to applicant,
- sample questions used in interview process,
- rejected letter of offer and
- video presentations and
- other correspondences related to the search process.

EVENT: Date position is filled

UWHR0107. **UWHR0107: COMPENSATION, TITLING, AND SALARY EQUITY RECORDS** **EVT+6** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series consists of, but is not limited to market compensation data/analysis, position and job family analysis, titling structure, labor market surveys and reports, including those for a specific job.

EVENT: Date that analysis or survey was completed

UWHR0200. **UWHR0200: AFFIRMATIVE ACTION RECORDS - EEOC (EQUAL OPPORTUNIT)** **EVT+6** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series documents affirmative action form(s) that the applicant is required to complete or fulfill affirmative action job reporting requirements (such as the applicant pool summary containing the number of applicants, race, gender breakdowns and disposition statuses). This is a report of aggregate data from the TAM/recruitment file and applicants as they apply for each position. It also includes reporting by each institution by job group/category.

EVENT: Date position is filled

UWHR0201. **UWHR0201: AFFIRMATIVE ACTION RECORDS - EEOC (EQUAL OPPORTUNIT)** **EVT+3** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series documents Affirmative Action plans for UW-System Campuses in compliance with Wis. Stat. § 230.04(9) and 29 CFR§ 1602.32 and 29 CFR29§ 1608.4.

**** FOR USE BY UW STAFF ONLY ****

There may be institutions where this is occurring at the institutional level. This series documents the university employees Official Personnel record managed by Offices of Human Resources at the institutional level. These records may be in an imaged format. Paper equivalents may be managed by Division, Department or Unit in record series below and scanned and sent to Office of Human Resources.

See other Personnel records series if this does not apply.

EVENT: Separation from institution

<u>UWHR0401.</u>	<u>UWHR0401: PERSONNEL FILE INCLUDING FACULTY CAREER FILE - TENURE</u>	<u>EVT+30</u>	<u>UW-TRANS</u>	<u>N</u>
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**** FOR USE BY UW STAFF ONLY ****

This series contains records related to Tenured Faculty or Academic Indefinite employee during employment at the Institution. This may constitute the official personnel file for most institutions.
 NOTE: Faculty Career File such as news stories, congratulatory letter, list of publications or articles, awards or commendations. These documents may or may not be included with the file and may contain documents of historical value to the university. Files may contain, but are not limited to the following documents:

- ? Letters of application
- ? Resume or Curriculum Vitae (CV)
- ? Letters of Recommendation or reference
- ? Letters of offer or appointment, reappointment or promotion
- ? Letter of Acceptance, Tenure or Indefinite appointment
- ? Personnel action forms-HRS Forms
- ? Notices of faculty or academic evaluations or performance evaluations or review.
- ? Merit Reviews and Responses
- ? Notices of Awards or Grants that the employee received
- ? Notices of Named Professorships
- ? Disciplinary actions
- ? Letters of resignation or retirement
- ? Notices of non-renewal of appointment for academic staff

EVENT: Separation from unit or department or institution

<u>UWHR0402.</u>	<u>UWHR0402: PERSONNEL FILE - ACADEMIC & NON-TENURED FACULTY (ALL</u>	<u>EVT+10</u>	<u>UW-TRANS</u>	<u>N</u>
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**** FOR USE BY UW STAFF ONLY ****

This series contains records related to Academic Staff or Non-Tenured Faculty during employment at the Institution. This may constitute the official personnel file for most institutions except UW-Madison due to disposition requirements. Files may contain, but are not limited to the following documents:

- ? Letters of application
- ? Resume or Curriculum Vitae (CV)
- ? Letters of Recommendation or reference
- ? Letters of offer or appointment, reappointment or promotion
- ? Letter of Acceptance, Tenure or Indefinite appointment
- ? Personnel action forms-HRS forms
- ? Notices of faculty or academic evaluations or performance evaluations or review.
- ? Merit Reviews and Responses
- ? Notices of Awards or Grants that the employee received
- ? Notices of Named Professorships
- ? Disciplinary actions
- ? Letters of resignation or retirement
- ? Notices of non-renewal of appointment for academic staff

EVENT: Separation from unit or department or institution

<u>UWHR0403.</u>	<u>UWHR0403: PERSONNEL FILE - ACADEMIC & NON-TENURED FACULTY (FOR</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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**** FOR USE BY UW STAFF ONLY ****

This series contains records related to Academic Staff or Non-Tenured Faculty during employment at UW-Madison. This may constitute the official personnel file at UW-Madison due to disposition requirements.

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

Files may contain, but are not limited to the following documents:

- ? Letters of application
- ? Resume or Curriculum Vitae (CV)
- ? Letters of Recommendation or reference
- ? Letters of offer or appointment, reappointment or promotion
- ? Letter of Acceptance, Tenure or Indefinite appointment
- ? Personnel action forms- HRS Forms
- ? Notices of faculty or academic evaluations or performance evaluations or review.
- ? Merit Reviews and Responses
- ? Notices of Awards or Grants that the employee received
- ? Notices of Named Professorships
- ? Disciplinary actions
- ? Letters of resignation or retirement
- ? Notices of non-renewal of appointment for academic staff

EVENT: Separation from unit or department or institution

UWHR0404. **UWHR0404: PERSONNEL FILE - PHD, GRADUATE, TEACHING ASSISTANT OF** **EVT+6** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series documents the personnel record for PhD, Graduate, Teaching Assistant or Researcher, Employees in Training, Fellowship and Post-Graduate Associates.

Files may contain, but are not limited to the following documents:

- ? Letters of application
- ? Research proposal (at hire, if required)
- ? Resume or Curriculum Vitae (CV)
- ? Letters of Recommendation or reference
- ? Letters of offer or appointment, reappointment or promotion
- ? Letter of Acceptance
- ? Position Description
- ? Base rate or any changes in employment status
- ? Personnel action forms-HRS Forms
- ? Base Rate or Title Change request and actions
- ? Notices of Leaves of Absence
- ? Notices of Awards or Grants that the employee received
- ? Grievances that employee may have
- ? Disciplinary actions
- ? Arbitration records
- ? Letters of resignation

EVENT: Date of termination

UWHR0405. **UWHR0405: VOLUNTEER AND UNPAID INTERNSHIPS** **EVT+2** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This records series pertains to records of volunteers and unpaid interns. Records include, but are not limited to: applications, resumes, risk management agreements and other materials related to staffing.

EVENT: Date of assignment completion

UWHR0500. **UWHR0500: EMPLOYEE MEDICAL INFORMATION FILES - DEPARTMENTAL** **EVT+10** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series includes records relating to an employee's medical status. Records may include such items as American Disabilities Association (ADA) accommodation, psychology profile, and other health related documentation on the employee. This information must be maintained separate from the individuals personnel file per CFR29 1630.14(b)(1).

This record series does not apply to workers compensation. See the Risk Management general schedule.

EVENT: Separation from the institution

UWHR0501. **UWHR0501: HIPPA PRIVACY COMPLAINT FILES** **EVT+6** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

This series may include, but is not limited to: investigative and interview notes, logs, reports, and other documents required by the HIPAA Privacy Rule at 45 CFR Parts 160 and 164.

EVENT: Date that personnel action was resolved or terminated

UWHR0600. **UWHR0600: EAP - STATISTICAL REPORTS AND PROGRAM ACCOMPLISHMENTS** **CR+5** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This record series includes statistical reports, utilizations summaries, and year-end reports of EAP activities. The information included in this series summarizes program utilizations and various other program activities and is used for purposes of program evaluation, policy/procedure and the development of future program goals.

UWHR0601. **UWHR0601: EAP - EMPLOYEE ASSISTANCE CASE FILES** **EVT+5** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series includes confidential records documenting an employee's contact with EAP. Series may include, but is not limited to: case notes written by EAP staff, signed consents for release of information, medical/treatment records received from the employee's treatment provider, or other reports from internal or external sources.

EVENT: Date of last encounter

UWHR0602. **UWHR0602: EAP - EMPLOYEE ASSISTANCE SATISFACTION SURVEYS** **EVT** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series includes documents created when campuses conduct EAP satisfaction surveys or when an employee has utilized EAP services.

EVENT: Date survey analysis was completed

UWHR0603. **UWHR0603: UNIVERSITY WELLNESS PROGRAM AND RELATED ACTIVITIES** **CR+5** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series consists of documentation of program activities performed under the university wellness program. Program activities might include, but are not limited to: educational presentations; promotion of wellness; onsite health screenings; health fairs, on-site accessibility classes such as Pilates/Yoga and on-site weight loss programs.

UWHR0700. **UWHR0700: H-1B AND E-3 LABOR CONDITION APPLICATIONS (LCA) PUBLIC** **EVT+1** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

Employers who sponsor H-1B and E-3 petitions are responsible for preparing the supporting documentation that forms the basis for the Labor Condition Application (LCA).

The employer must make the documentation available in a public inspection file within one working day after the date of filing the LCA with the Department of Labor (DOL). Any member of the public may request access to the file. The employer should keep the public access file separate from the H-1B and E-3 personnel file.

Labor condition application (LCA), Form ETA 9035/9035E is a document that a prospective H-1B or E-3 employer files with ETA when it seeks to employ nonimmigrant workers at a specific job occupation in an area of intended employment for not more than three years. In this document, the employer attests to standards to which it will adhere. It must be certified by the authorized DOL official pursuant to the provisions of 20 C.F.R. §655.740 before it can be used.

Forms/documents associated with these files: Master Public Access file (includes summary of benefits offered), Labor Condition Authorization (LCA) form, Prevailing Wage Determination form (ETA 9141), evidence of department posting requirements of the LCA in addition to postings at any other work locations listed on the LCA, actual wage data comparison form and certification form, certified copy of LCA (ETA 9035E), FLCDataCenter.com printout from website (if applicable), other corresponding wage surveys (if applicable), email communication between department and IFSS regarding the wage, checklist of contents of public access file.

EVENT: Last date that any H-1B or E-3 nonimmigrant is employed under the Labor Condition Application (LCA). If no nonimmigrants were employed under the LCA or one year from the date the LCA expired or was withdrawn.

UWHR0701. **UWHR0701: PERM = PROGRAM ELECTRONIC REVIEW MANAGEMENT (ALSO)** **EVT+5** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

PERM applications filed with DOL and all supporting documentation

- Prevailing wage determination
- Advertising and other recruitment activities
- Notice of postings/notices to unions
- Recruitment reports
- Evidence of resumes received and detailed reasons for rejections
- Evidence of business necessity, if applicable

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

- Evidence of attempts to contact applicants
- Documentation

EVENT: Date of filing

UWHR0702. **UWHR0702: H-1B, TN, E-3, O1, AND J1 FILES (APART FROM THE ABOVE LCA** **EVT+3** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This record series includes but is not limited to:

Temporary (Nonimmigrant) Workers (H-1B, TN, E-3 and O1), and Exchange Visitors (J1 research scholars) Forms/documents associated with these files:

H-1B, TN, E-3, O1

- I-129 petition (if applicable)
- Supporting documentation including but not limited to CV, appointment letter, degree, transcript, license, publications, passport, visa stamp, I-94 card, evidence of other prior statuses (if applicable)
- I-797 receipt/approval notice(s)
- Relevant correspondence between IFSS, department, and beneficiary
- DS-2019 application
- DS-2019 form and supporting documentation, including but not limited to invitation or appointment letter, English proficiency, financial support, CV, passport copies, dependent passports, marriage certificates, birth certificates
- Correspondence between IFSS, department, and beneficiary

EVENT: Last date of employment

UWHR0703. **UWHR0703: PR (PERMANENT RESIDENCY) FILES (APART FROM THE ABOVE** **EVT+5** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This record series includes, but is not limited to:

Permanent (Immigrant) Workers (permanent residents) Forms/documents associated with these files:

PR

- I-140 petition
- Supporting documentation including but not limited to CV, appointment letter, degree, transcript, license, publications, passport, visa stamp, I-94 card, evidence of other prior statuses (if applicable), certified LC (if applicable), and ability to pay
- Supporting documentation required for the Outstanding Professor and Researcher per USCIS regulations including but not limited to publications, awards, patents, and other such evidence
- I-797 receipt/approval notice(s)
- Relevant correspondence between IFSS, department, and beneficiary

EVENT: Date permanent residency obtained

UWHR0800. **UWHR0800: STUDENT EVALUATIONS OR SUMMARY OF TENURED FACULTY** **EVT+5** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series consist of statistical and /or narrative evaluation forms and summaries completed by student concerning the teaching performance of individual faculty or academic staff. Student evaluations information can be used to support academic staff indefinite appointment.

EVENT: End of the semester in which the evaluation was completed

UWHR0801. **UWHR0801: STUDENT EVALUATIONS OR SUMMARY OF PROBATIONARY FAC** **EVT+5** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This series consists of statistical and /or narrative evaluation forms and summaries completed by student concerning the teaching performance of individual faculty or academic staff. Student evaluations information can be used to support tenure application as well as academic staff indefinite appointment.

EVENT: End of tenure review process

UWHR0802. **UWHR0802: FACULTY TENURE FILE - SUCCESSFUL AND UNSUCCESSFUL** **EVT+6** **UW-TRANS** **N**

** FOR USE BY UW STAFF ONLY **

This series consist of records relating to the granting of tenure to faculty members. The documents in this series may include, but are not limited to: vitae, evaluation summary information, letters of recommendation, lists of publications or other record of scholarly productivity, letter from the Chair that summarizes the individual career, statements from the candidate, and evidence of service to the university and profession and notice of the recommendation regarding tenure.

The Master Tenure file is transferred to the Secretary of the Faculty/and or Provost and HR Faculty personnel file. The Executive Committee retains a copy until the Tenure review process is completed.

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

EVENT: Date of final tenure decision

UWHR0900. **UWHR0900: EMPLOYEE TRAINING REQUEST DOCUMENTATION** **CR+1** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

Document used to obtain approval to attend, register for specific classes, and document that the person attended specific training program.

UWHR0901. **UWHR0901: COURSE EVALUATION FOR EMPLOYEE TRAINING** **CR+1** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This record series documents written information from course attendees evaluating the class and facilitators or instructor who presents the material.

UWHR0902. **UWHR0902: HUMAN RESOURCE TRAINING VENDORS** **EVT+1** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This record series contains vendor files on presenters who have taught or provided training to University of Wisconsin Staff.

EVENT: Date that the vendor last provided a class

UWHR0903. **UWHR0903: HUMAN RESOURCE TRAINING COURSE MATERIALS** **EVT+5** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

This record series consists of, but is not limited to: the curriculum training materials, presenters and related materials for training programs and presentations.

EVENT: Date old materials are superseded

UWHR0904. **UWHR0904: HUMAN RESOURCE FOR TRACKING EMPLOYEE TRAINING** **EVT+5** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

An electronic system, database or mechanism to track the employee attendance at training activities. Records can include, but are not limited to: employee's name, work unit name, address and telephone, dates of training, name of the class attended, and evidence of satisfactory completion of the training.

EVENT: Date of employee termination

UWIT0001. **UWIT0001: PROJECT PLANS AND CHARTERS** **EVT+5** **UW-TRANS** **N**

** FOR USE BY UW STAFF ONLY **

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. **UWIT0002: IT PROJECT STATUS REPORTS, WORKFLOW AND TEST PLANS** **EVT+5** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

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 WEHN NO LONGER NEEDED.

<u>UWIT0003.</u>	<u>UWIT0003 : PROGRAM SOURCE CODE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

THIS RECORD SERIES INCLUDES PROGRAM SOURCE CODE INCLUDING RUN OR JOB CONTROLS.

RETENTION: EVT+3 YEARS EVENT = CODE IS SUPERSEDED OR REPLACED. DESTROY/DELETE
 PII? NO
 CONFIDENTIAL? NO
 COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWIT0004.</u>	<u>UWIT0004: ELECTRONIC RECORDS SOFTWARE AND DOCUMENTATION AND</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

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

<u>UWIT0005.</u>	<u>UWIT0005: AUDIT TRAILS: ROUTINE ADMINISTRATIVE INFORMATION</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

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

<u>UWIT0006.</u>	<u>UWIT0006: OPERATING SYSTEM AND HARDWARE MIGRATION CONVERSION</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

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

<u>UWIT0007.</u>	<u>UWIT0007: TELEPHONE VOICEMAIL SYSTEM CALL DETAIL</u>	<u>CR+4</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

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.

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

UWIT0008. **UWIT0008: IT TELECOM MAINTENANCE WORK ORDER FILES AND LOGS** **EVT+1** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

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 = 1 YEARS EVENT = DATE OF COMPLETION AND AUDIT REPORT. DESTROY/DELETE
 PII? NO
 CONFIDENTIAL? NO
 COPIES: DESTROY WHEN NO LONGER NEEDED.

UWIT0009. **UWIT0009: NETWORK SUPPORT SERVICE HISTORY AND SUMMARY** **CR+1** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

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. **UWIT0010: NETWORK ARCHITECTURE & CONFIGURATION DOCUMENTATION** **EVT+3** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

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. **UWIT0011: NETWORK OF CIRCUIT INSTALLATION, OUTAGE FILES** **CR+1** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

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.

UWIT0012. **UWIT0012: DATA DOCUMENTATION/METADATA** **EVT+3** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

THIS RECORD SERIES COMPRISES OF DATA DICTIONARY'S, DEFINITIONS, ADN DATA STRUCTURES, FILE LAYOUT, CODE TRANSLATIONS AND ASSOCIATED REPORTS.

RETENTION: EVT+3 YEARS EVENT = DISCONTINUANCE OF SYSTEM. DESTROY/DELETE AFTER DISCONTINUANCE OF ALL SYSTEM S 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.

UWIT0013. **UWIT0013: COMPUTER SECURITY INCIDENT & INVESTIGATION** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

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.

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

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. **UWIT0014: ASSIGNMENT AND AUTHORIZATIONS FOR USERS** **EVT+4** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

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. **UWIT0015: COMPUTER & INFORMATION SYSTEMS LOGS** **CR+0/1** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

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. **UWIT0016: IT DISASTER RECOVERY PLANNING AND TESTING RECORDS** **EVT** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

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. **UWIT0017: IT DISASTER RECOVERY RECORDS** **EVT+0/1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

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

CONFIDENTIAL: YES

<u>UWLA0004.</u>	<u>UWLA0004: CLIENT CONSULTATION RECORDS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE GENERAL COUNSEL AND LEGAL AFFAIRS OFFICES FREQUENTLY CONSULT WITH CLIENTS ON LEGAL QUESTIONS AND CONCERNS. RELATED RECORDS SHOULD BE RETAINED FOR SIX YEARS BECAUSE THAT IS THE LONGEST STATUTE OF LIMITATIONS FOR POTENTIAL, RELATED CLAIMS TO BE FILED, AND BECAUSE THAT IS A REASONABLE LENGTH OF TIME FOR SUCH DOCUMENTS TO BE USEFUL IN RESOLVING SIMILAR MATTERS. ***THE MINIMUM IS EVT+6 YEARS. UW-MADISON HAS OPTED TO KEEP RECORDS MORE THAN THE MINIMUM FOR OPERATIONAL PURPOSES TO EVT + 10 YEARS.

RETENTION TIME PERIOD

ORIGINAL: *EVT+6 YEARS EVENT = DATE OF ISSUE RESOLUTION

DISPOSITION: DESTROY CONFIDENTIALLY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

<u>UWLA0006.</u>	<u>UWLA0006: ADMINISTRATIVE RULE DEVELOPMENT - OFFICIAL FILE</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

THE UNIVERSITY OF WISCONSIN SYSTEM MAY PROMULGATE ADMINISTRATIVE RULES PURSUANT TO WIS. STAT. CHAPTER 36. THE OFFICIAL RULE DRAFTING FILE SHOULD BE RETAINED PERMANENTLY AS IS CONSISTENT WITH STATE-WIDE PRACTICE.

RETENTION TIME PERIOD

ORIGINAL: PERMANENT

DISPOSITION: TRANSFER TO ARCHIVES PER INSTITUTIONAL POLICY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: NO
CONFIDENTIAL: NO

<u>UWLIB100.</u>	<u>UWLIB100: POLICY DOCUMENTS</u>	<u>EVT+7</u>	<u>DEST</u>	
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** FOR USE BY UW STAFF ONLY **

POLICY DOCUMENTS MAY INCLUDE STATEMENTS ON HOURS OF OPERATION, RULES AND REGULATIONS FOR THE REFERENCE, CIRCULATION, GIFTS AND DONATIONS, HUMAN RESOURCE MANAGEMENT, AND OTHER ADMINISTRATIVE MATTERS. THEY MAY GOVERN THE USE OF DIFFERING PATRON CARDS, LOAN PERIODS FOR VARIOUS MATERIALS, FINES AND OTHER CHARGES, COLLECTION DEVELOPMENT, REFERENCE SERVICES, ACCEPTABLE USE, ACCESS TO THE INTERNET AND OTHER LIBRARY EQUIPMENT. PERSONNEL POLICIES MAY INCLUDE JOB DESCRIPTIONS AND REQUIREMENTS, AS WELL AS POLICIES CONCERNING LEAVE, APPROPRIATE BEHAVIOR, EVALUATION, AND BENEFITS. POLICIES MAY ALSO DOCUMENT HOW THE LIBRARY WILL COMPLY WITH STATUTORY REGULATIONS, SUCH AS THE AMERICANS WITH DISABILITIES ACT, WISCONSIN PUBLIC RECORDS LAW (WIS. STAT. SS 19.21 - 19.39), AND THE PATRON CONFIDENTIALITY LAW (WIS. STAT. SS 43.30), FEDERAL EDUCATION RIGHTS AND PRIVACY ACT, AND LAWS GOVERNING EMPLOYMENT, ENVIRONMENTAL HEALTH, FISCAL ACCOUNTABILITY, AND CIVIL RIGHTS.

RETENTION TIME PERIOD

ORIGINAL: ITEM IS SUPERSEDED + ADDITIONAL 7 YEARS AND THEREAFTER DESTROY

COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWLIB101.</u>	<u>UWLIB101: LEADERSHIP REPORTS</u>	<u>CR+2</u>	<u>UW-TRANS</u>	
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** FOR USE BY UW STAFF ONLY **

THESE REPORTS ARE CREATED BY LIBRARY ADMINISTRATORS, INCLUDING DIRECTORS AND ASSISTANT DIRECTORS, TO SUMMARIZE CURRENT ISSUES FACING THE LIBRARY FOR REVIEW BY UNIVERSITY ADMINISTRATORS. THE REPORTS ARE BOTH NARRATIVE AND STATISTICAL, AND INCLUDE INFORMATION RECEIVED FROM LIBRARY DEPARTMENT MANAGERS.

RETENTION TIME PERIOD

ORIGINAL: ACADEMIC YEAR OF CREATION + ADDITIONAL 2 YEARS AND TRANSFER TO ARCHIVES.
 COPIES: DESTROY WHEN NO LONGER NEEDED.

UWLIB102. **UWLIB102: DIRECTOR'S SUBJECT FILES** **EVT+5** **UW-TRANS**

** FOR USE BY UW STAFF ONLY **

THESE RECORDS ARE USED TO SUPPORT ADMINISTRATIVE ANALYSES, PROGRAM AND PROJECT PLANNING, PROCEDURE DEVELOPMENT, AND PROGRAMMATIC ACTIVITIES FOR A LIBRARY. SUBJECT FILES ARE GENERALLY ORGANIZED ALPHABETICALLY BY TOPIC. DOCUMENT TYPES MAY INCLUDE PERIODIC ACTIVITY REPORTS, BOTH NARRATIVE AND STATISTICAL, SPECIAL REPORTS, TOPICAL CORRESPONDENCE, RESEARCH MATERIALS, PROJECT PLANNING NOTES, ORGANIZATIONAL CHARTS, OR AGENCY DESCRIPTIONS. SUBJECT FILES DO NOT INCLUDE FILES RELATED TO INDIVIDUAL PROGRAM ACTIVITIES, HUMAN RESOURCE FILES, AND ACCOUNTING RECORDS. FOR TOPICS OF CONTINUING INTEREST, FILES MAY BE SEGMENTED INTO ANNUAL FILES.

RETENTION TIME PERIOD
 ORIGINAL: DATE WHEN NO LONGER NEEDED FOR ONGOING ADMINISTRATION + ADDITIONAL 5 YEARS THEN TRANSFER TO ARCHIVES.

UWLIB103. **UWLIB103: LIBRARY USE REPORTS** **CR+1** **DEST**

** FOR USE BY UW STAFF ONLY **

THESE REPORTS MAY BE CREATED BY LIBRARY DEPARTMENTS AND MAY INCLUDE DOCUMENTS THAT SUMMARIZE ACQUISITION, INTERLIBRARY LOAN ACITIVTY, CATALOG AND CIRCULATION AS WELL AS OTHER LIBRARY ACTIVITIES. THESE REPORTS DO NOT CONTAIN PERSONALLY IDENTIFIABLE INFORMATION.

RETENTION TIME PERIOD
 ORIGINAL: ACADEMIC YEAR OF CREATION + ADDITIONAL 1 YEAR AND THEREAFTER DESTROY.
 COPIES: DESTROY WHEN NO LONGER NEEDED.

UWLIB104. **UWLIB104: MEETING RECORDS-INTERNAL STAFF** **CR+2** **DEST**

** FOR USE BY UW STAFF ONLY **

THESE RECORDS MAY INCLUDE MEETING MINUTES, AGENDAS, AND DISTRIBUTION MATERIALS RELATED TO STAFF MEETINGS CONSISTING OF MEMBERS THAT ARE ENTIRELY OR PRIMARILY INTERNAL TO THE LIBRARY. ORIGINAL RECORD REMAINS WITH APPROPRIATE CHAIR, ALL OTHER COPIES ARE CONSIDERED DUPLICATES.

RETENTION TIME PERIOD
 ORIGINAL: ACADEMIC YEAR OF CREATION + ADDITIONAL 2 YEARS AND THEREAFTER DESTROY.
 COPIES: DESTROY WHEN NO LONGER NEEDED.

UWLIB105. **UWLIB105: PROCEDURES** **EVT** **DEST**

** FOR USE BY UW STAFF ONLY **

PROCEDURES ARE GENERALLY A PROCESS OR SERIES OF STEPS ESPECIALLY OF A PRACTICAL OR MECHANICAL NATURE INVOLVED IN A PARTICULAR FORM OF WORK. EXAMPLES INCLUDE CIRCULATION CHECK OUT, REFERENCE DESK PROCEDURES, AND THE LIKE.

RETENTION TIME PERIOD
 ORIGINAL: DATE OF SUPERSESSION OF DOCUMENT OR WHEN NO LONGER NEEDED, AND THEREAFTER DESTROY.
 COPIES: DESTROY WHEN NO LONGER NEEDED.

UWLIB106. **UWLIB106: LIBRARY STRATEGIC PLAN** **EVT** **UW-TRANS**

** FOR USE BY UW STAFF ONLY **

THIS IS THE FINAL VERSION OF THE LIBRARY STRATEGIC PLAN THAT IS APPROVED BY CAMPUS ADMINISTRATION.

RETENTION TIME PERIOD
 ORIGINAL: AFTER APPROVAL TRANSFER TO ARCHIVES
 COPIES: DESTROY WHEN NO LONGER NEEDED

UWLIB107. **UWLIB107: LIBRARY BUDGET RECORDS** **FIS+6** **DEST**

** FOR USE BY UW STAFF ONLY **

THE BUDGET FORECASTS INCOME AND ALLOCATES EXPENDITURES FOR THE NEXT FISCAL YEAR. REVENUE SOURCES MAY INCLUDE GOVERNMENTAL ENTITIES, GRANTS, FEES, FINES, SALES, AND SERVICE PROVISION. EXPENDITURES MAY INCLUDE PAYROLL, FACILITIES, ELECTRONIC EQUIPMENT, COLLECTION DEVELOPMENT, SUPPLIES AND OTHER MAINTENANCE COSTS. THESE RECORDS ARE USED TO PREPARE THE LIBRARY'S BUDGET IN THE FUTURE YEARS. THE

FILES MAY INCLUDE PLANNING MATERIALS, SUCH AS CURRENT BUDGET AND FINANCIAL REPORTS, PROJECTIONS OF REVENUE, EXPENSES SUCH AS MATERIALS, SERVICES, MARKETING, OR INFORMATION TECHNOLOGY, FIXED COSTS, OR REQUESTS BY EACH DEPARTMENT FOR FUNDING.

RETENTION TIME PERIOD
 ORIGINAL: FISCAL YEAR + ADDITIONAL 6 YEARS AND THEREAFTER DESTROY
 COPIES: DESTROY WHEN NO LONGER NEEDED

<u>UWLIB108.</u>	<u>UWLIB108: CONFIDENTIALITY FORM</u>	<u>EVT+7</u>	<u>DEST</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDE EMPLOYEE ACKNOWLEDGEMENT OF SECURITY-RELATED RESPONSIBILITIES, SUCH AS DATA CONFIDENTIALITY FORM OR EMPLOYEE PASSWORD SECURITY AGREEMENTS.

RETENTION TIME PERIOD
 ORIGINAL: DATE OF SUPERSESSION OR EMPLOYEE TERMINATION + ADDITIONAL 7 YEARS AND THEREAFTER DESTROY.

<u>UWLIB109.</u>	<u>UWLIB109: ELECTRONIC EQUIPMENT INVENTORY</u>	<u>EVT+5</u>	<u>DEST</u>
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** FOR USE BY UW STAFF ONLY **

THIS INVENTORY LISTS EACH COMPUTER, SOFTWARE LICENSE, AND PERIPHERAL EQUIPMENT USED BY LIBRARY PATRONS AND STAFF AS WELL AS SERVERS, NETWORK AND TELECOMMUNICATIONS EQUIPMENT. THE INVENTORY MAY IDENTIFY THE MODEL NUMBER, MANUFACTURER, LOCATION, CONNECTIONS, INVENTORY NUMBERS, TYPE OF USER, DATE OF PURCHASE, PERIPHERALS, SOFTWARE LICENSES, IP ADDRESSES AND ALLOCATIONS ASSIGNED TO EACH DEVICE.

RETENTION TIME PERIOD
 ORIGINAL: DATE EQUIPMENT IS WITHDRAWN FROM USE + ADDITIONAL 5 YEARS AND THEREAFTER DESTROY.

<u>UWLIB110.</u>	<u>UWLIB110: PATRON (NON-FACULTY/STAFF) REQUESTS</u>	<u>CR+0/1</u>	<u>DEST</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS INCLUDING BUT NOT LIMITED TO: PATRON PURCHASE REQUESTS FOR MATERIALS NOT CURRENTLY OWNED BY LIBRARIES, RUSH PROCESSING FOR LIBRARY MATERIALS, AND SUGGESTIONS SUBMITTED BY NON-FACULTY/STAFF PATRONS TO LIBRARY ADMINISTRATORS.

THIS SERIES IS CONFIDENTIAL.

RETENTION TIME PERIOD
 ORIGINAL: CREATION DATE + A MINIMUM OF TWO WEEKS AND THEREAFTER DESTROY CONFIDENTIALLY.

<u>UWLIB111.</u>	<u>UWLIB111: DEACCESSION RECORDS (LIBRARY)</u>	<u>EVT+10</u>	<u>DEST</u>
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** FOR USE BY UW STAFF ONLY **

SERIES DOCUMENTS RECOMMENDATIONS CONCERNING DEACCESSIONING OF SPECIFIC HOLDINGS AND ACTION UPON THOSE RECOMMENDATIONS WHEN DETAILED DEACCESSIONING PROCEDURES ARE NECESSARY GENERALLY DUE TO GIFT BOOKS OR MATERIALS PURCHASED UNDER SPECIAL CONDITIONS. THIS WOULD NOT INCLUDE ROUTINE WITHDRAWLS FROM COLLECTIONS. THIS SERIES MAY INCLUDE BUT IS NOT LIMITED TO: TRANSFER FORMS TO TRANSFER OWNERSHIP/CUSTODY OF MATERIALS HELD WITHIN INSTITUTIONAL COLLECTIONS TO OTHER INSTITUTIONS; NAMES OF PERSONS MAKING DEACCESSION RECOMMENDATIONS AND DATES, REASONS FOR DEACCESSIONING, DOCUMENTATION THAT LEGAL SEARCHES OF DONOR RECORDS HAVE BEEN DONE TO ESTABLISH THAT THE INSTITUTION IS NOT PRECLUDED FROM DEACCESSIONING, APPRAISED OR ESTIMATED VALUES, SIGNATURES OF APPROVAL FOR DEACCESSIONING, AND RELATED DOCUMENTATION AND CORRESPONDENCE.

RETENTION TIME PERIOD
 ORIGINAL: 10 YEARS AND THEREAFTER DESTROY

<u>UWLIB112.</u>	<u>UWLIB112: DONOR FILES (LIBRARY)</u>	<u>EVT+10</u>	<u>DEST</u>
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** FOR USE BY UW STAFF ONLY **

THESE FILES DOCUMENT THE DONATION OF MATERIALS TO A CIRCULATING LIBRARY COLLECTION. THEY MAY INCLUDE A SIGNED DEED OF GIFT, ANY CORRESPONDENCE PERTAINING TO THE DONATION, A LIST OF THE CONTENTS OF THE COLLECTION, AND DONOR CONTACT INFORMATION.

THIS SERIES MAY CONTAIN CONFIDENTIAL RECORDS.

RETENTION TIME PERIOD
 ORIGINAL: 10 YEARS AND DESTROY CONFIDENTIALLY.

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

<u>UWL113.</u>	<u>UWL113: ART INVENTORY</u>	<u>P</u>	<u>PERM</u>	
	** FOR USE BY UW STAFF ONLY **			
	RECORD OF ALL ART OBJECTS OWNED BY THE LIBRARY. RECORDS MAY INCLUDE THE NAME OF THE PIECE OF ART, ARTIST NAME, DATE OF ACCESSIONING, ESTIMATED VALUE, THE PROVENANCE OF OBJECT. RECORDS WILL ALSO INCLUDE ART OBJECTS THAT WERE ONCE OWNED BY THE LIBRARY BUT WERE DEACCSIONED. THIS INFORMATION WILL INCLUDE THE DATE AND REASON OF DEACCESSIONING. THIS INFORMATION IS KEPT TO PRESERVE PROVENANCE INFORMATION OFTEN CRITICAL IN ART COLLECTING.			
	RETENTION TIME PERIOD ORIGINAL: PERMANENT			
<u>UWL114.</u>	<u>UWL114: SPECIAL COLLECTIONS - ANNUAL REGISTRATION FORMS</u>	<u>FIS+10</u>	<u>DEST</u>	
	** FOR USE BY UW STAFF ONLY **			
	ANNUAL DOCUMENTS CREATED BY SPECIAL COLLECTIONS PATRONS TO CAPTURE INFORMATION FOR SECURITY AND TO ACQUAINT PATRONS WITH DEPARTMENT RULES AND REGULATIONS. RECORDS MAY CONTAIN PATRON NAME, ADDRESS, PHONE NUMBER, EMAIL ADDRESS, PATRON TYPE, REASON FOR RESEARCH, AND THE RESEARCH, AND THE SIGNATURE OF THE INDIVIDUAL AS A RECORD OF THEM AGREEING TO THE RULES OF THE READING ROOM. THESE DOCUMENTS MAY CONTAIN DRIVER LICENSE, STUDENT, MILITARY, PASSPORT OR SIMILAR IDENTIFICATION NUMBERS.			
	THIS SERIES IS CONFIDENTIAL.			
	RETENTION TIME PERIOD ORIGINAL: FISCAL YEAR + 10 ADDITIONAL YEARS AND THEREAFTER DESTROY CONFIDENTIALLY.			
<u>UWL115.</u>	<u>UWL115: SPECIAL COLLECTIONS - DAILY REGISTRATION RECORDS</u>	<u>FIS+10</u>	<u>DEST</u>	
	** FOR USE BY UW STAFF ONLY **			
	THESE RECORDS DOCUMENT EACH PATRON'S DAILY USE OF THE SPECIAL COLLECTION DEPARTMENT BY CAPTURING THEIR NAME, THE RECORDS MAY ALSO INCLUDE THE CITY OF THE PATRON'S RESIDENCE, AND THE DATE AND TIMES OF THEIR USE OF THE FACILITY.			
	RETENTION TIME PERIOD ORIGINAL: FISCAL YEAR + 10 ADDITIONAL YEARS AND THEREAFTER DESTROY.			
<u>UWL116.</u>	<u>UWL116: SPECIAL COLLECTIONS - ANNUAL STATISTICS</u>	<u>FIS+10</u>	<u>DEST</u>	
	** FOR USE BY UW STAFF ONLY **			
	STATISTICAL RECORD CREATED ANNUALLY TO SHARE WITH OTHER SYSTEM PARTNERS. RECORDS INCLUDE, BUT ARE NOT LIMITED TO, ANNUAL HEAD COUNT, OFF-SITE SUBSTANTIVE REFERENCE REQUESTS PROVIDED, HOURS OF WEEK OPENED, OR ARCHIVAL TRANSFERS IN THE AREA RESEARCH CENTER SYSTEM.			
	RETENTION TIME PERIOD ORIGINAL: FISCAL YEAR + 10 ADDITIONAL YEARS AND THEREAFTER DESTROY COPIES: DESTROY WHEN NO LONGER NEEDED			
<u>UWL117.</u>	<u>UWL117: SPECIAL COLLECTIONS - CALL SLIPS</u>	<u>FIS+10</u>	<u>DEST</u>	
	** FOR USE BY UW STAFF ONLY **			
	CALL SLIPS, COLLECTIONS USED FORMS, OR SIMILAR RECORDS THAT RECORD THE MATERIALS USED BY PATRONS IN THE SPECIAL COLLECTIONS DEPARTMENT. RECORDS MAY INCLUDE THE NAME OF THE INDIVIDUAL, DATE OF USE, REASON FOR USE AND BIBLIOGRAPHIC INFORMATION REGARDING THE COLLECTION.			
	THIS SERIES IS CONFIDENTIAL.			
	RETENTION TIME PERIOD ORIGINAL: RETAIN FRONT SIGNED COPY (IF USING CARBON FORM) FISCAL YEAR + 10 ADDITIONAL YEARS AND THEREAFTER DESTROY CONFIDENTIALLY. COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED.			
<u>UWL118.</u>	<u>UWL118: SPECIAL COLLECTIONS - TRANSFER FORMS</u>	<u>FIS+10</u>	<u>DEST</u>	
	** FOR USE BY UW STAFF ONLY **			
	FORMS USED TO PROCESS SHIPMENTS OF ARCHIVAL MATERIALS THROUGH THE AREA RESEARCH CENTER NETWORK. THE TRIPPLICATE FORMS ACT AS A SHIPPING LIST AND ARE USED TO CONFIRM SHIPMENTS. PATRON INFORMATION IS			

NOT INCLUDED ON THESE DOCUMENTS.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR + 10 ADDITIONAL YEARS AND THEREAFTER DESTROY.

UWLIB119. **UWLIB119: SPECIAL COLLECTIONS - REFERENCE/RESEARCH REQUESTS & FIS+1** **DEST**

** FOR USE BY UW STAFF ONLY **

RECORDS DOCUMENTING OFF-SITE REFERENCE AND RESEARCH SERVICES BY SPECIAL COLLECTIONS STAFF. COLLECTION INCLUDES REQUESTS MADE IN WRITING, EMAILED, OR TRANSCRIBED FROM TELEPHONE CALLS AND THE RESPONSE FROM THE SPECIAL COLLECTIONS STAFF.

THIS SERIES IS CONFIDENTIAL.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR + 1 ADDITIONAL YEAR AND THEREAFTER DESTROY CONFIDENTIALLY.

UWLIB120. **UWLIB120: SPECIAL COLLECTIONS - DONOR FILES** **P** **PERM**

** FOR USE BY UW STAFF ONLY **

THESE FILES DOCUMENT THE DONATION OF MATERIALS TO AN ARCHIVAL COLLECTION. THEY MAY INCLUDE A SIGNED DEED OF GIFT, ANY CORRESPONDENCE PERTAINING TO THE DONATION, A LIST OF THE CONTENTS OF THE COLLECTION, AND DONOR CONTACT INFORMATION.

THIS SERIES MAY CONTAIN CONFIDENTIAL RECORDS.

RETENTION TIME PERIOD

ORIGINAL: PERMANENT

UWLIB121. **UWLIB121: SPECIAL COLLECTIONS - ACCESSION, DEACCESSION, AND PRO P** **PERM**

** FOR USE BY UW STAFF ONLY **

THESE RECORDS DOCUMENT THE TRANSFER OF LEGAL AND PHYSICAL CUSTODY OF MATERIALS TO AND FROM THE LOCAL HISTORY COLLECTION. IT MAY INCLUDE THE DATE OF TRANSFER, NAME OF AND BRIEF BIOGRAPHICAL INFORMATION ABOUT THE DONOR/CREATOR, A BRIEF DESCRIPTION OF THE EXTENT AND CONTENTS OF EACH BOX/CONTAINER, DOCUMENTATION TRANSFERRING INTELLECTUAL PROPERTY RIGHTS TO THE LIBRARY, THE ACCESSION NUMBER OF THE COLLECTION, INFORMATION ABOUT THE ACQUISITION PRICE AND EXISTENCE OF COPIES, ANY RESTRICTIONS ON USE OF THE COLLECTION, NOTES, AND THE DATE THAT A LETTER OF ACKNOWLEDGEMENT WAS SENT. THESE FILES MAY ALSO CONTAIN INFORMATION ABOUT WHAT IS RETAINED OR DE-ACCESSIONED DURING THE PROCESSING OF EACH COLLECTION THAT HAS BEEN ACCESSIONED.

RETENTION TIME PERIOD

ORIGINAL: PERMANENT

UWLIB122. **UWLIB122: CIRCULATION RECORDS-PATRON HISTORY** **EVT** **DEST**

** FOR USE BY UW STAFF ONLY **

RECORDS DOCUMENTING THE BORROWING OF CIRCULATING LIBRARY MATERIALS BY QUALIFIED PATRONS. THIS SERIES MAY INCLUDE BUT IS NOT LIMITED TO: THE NAME AND IDENTIFICATION OF THE BORROWER; THE TITLES OF MATERIALS BORROWED; THE DUE DATE; OVERDUE AND FINE PAYMENT NOTATIONS; AND RELATED DOCUMENTATION AND CORRESPONDENCE.

THIS SERIES IS CONFIDENTIAL.

RETENTION TIME PERIOD

ORIGINAL: DESTROY CONFIDENTIALLY WHEN ITEM IS RETURNED SAFELY TO THE SATISFACTION OF CIRCULATION STAFF.

UWLIB123. **UWLIB123: CIRCULATION RECORDS-ITEM HISTORY** **EVT** **DEST**

** FOR USE BY UW STAFF ONLY **

RECORDS DOCUMENTING THE BORROWING OF CIRCULATING LIBRARY MATERIALS BY QUALIFIED PATRONS. THIS SERIES MAY INCLUDE BUT IS NOT LIMITED TO: THE TITLES OF MATERIALS BORROWED; THE LENGTH OF TIME BORROWED; AND RELATED DOCUMENTATION AND CORRESPONDENCE. NOTE THESE RECORDS DO NOT CONTAIN INFORMATION REGARDING THE INDIVIDUALS WHO HAD BORROWED THE ITEM.

MEASUREMENTS OF FREE SPACE, SHELF READING MATERIALS, SHELVING ACCURACY STATISTICS, AND OTHER RECORDS CREATED IN THE SHELVING AND SHIFTING OF COLLECTIONS.

RETENTION TIME PERIOD
 ORIGINAL: ACADEMIC YEAR+FIVE YEARS THEN DESTROY
 COPIES: DESTROY WHEN NO LONGER NEEDED

UWLIB130. **UWLIB130: INTERLENDING RECORDS** **EVT** **DEST**

** FOR USE BY UW STAFF ONLY **

RECORDS THAT TRACK THE REQUEST AND RETURN OF LIBRARY ITEMS WITH OTHER LIBRARIES THROUGH INTERLIBRARY LOAN AND UNIVERSAL BORROWING AND SIMILAR, NON-ARCHIVES LENDING SYSTEMS. THE REQUESTS MAY BE MADE MANUALLY, BUT ARE GENERALLY MADE AND FILLED THROUGH A SHARED AUTOMATED SYSTEM. RECORDS MAY INCLUDE BUT ARE NOT LIMITED TO, REQUESTS FOR MATERIALS, RECEIPTS, PATRON SIGNED FORMS, ROUTING SLIPS AND OTHER RECORDS CREATING IN THE BORROWING AND LENDING PROCESS. RECORDS INDICATE WHEN AND WHERE THE LIBRARY ITEM WAS SENT, WHEN IT IS DUE BACK, AND WHEN IT WAS RETURNED.

THIS SERIES IS CONFIDENTIAL.

RETENTION TIME PERIOD
 ORIGINAL: DESTROY CONFIDENTIALLY WHEN ITEM IS RETURNED.

UWLIB131. **UWLIB131: LIBRARY STAFF CLIENT RECORDS** **EVT+0/1** **DEST**

** FOR USE BY UW STAFF ONLY **

RECORDS, TYPICALLY SERVER LOGS, WHICH TRACK EMPLOYEE LOGINS TO LIBRARY SOFTWARE, SUCH AS CIRCULATION, CATALOGING, OR ACQUISITIONS. MAY CONTAIN IP NUMBER OF STAFF COMPUTER ALONG WITH STAFF OR USER ID.

RETENTION TIME PERIOD
 ORIGINAL: MINIMUM OF TWO WEEKS TO FACILITATE TROUBLESHOOTING OR POSSIBLE ABUSE AND THEREAFTER DESTROY.

UWLIB132. **UWLIB132: APPLICATION SERVER RECORDS** **EVT+0/1** **DEST**

** FOR USE BY UW STAFF ONLY **

RECORDS PERTAINING TO REMOTE USERS OF ONLINE LIBRARY RESOURCES. MAY INCLUDE PROXY, EZPROXY OR OTHER WEB SERVER LOGS INCLUDING USER NETID, UW-ID, OR IP NUMBER.

RETENTION TIME PERIOD
 ORIGINAL: MINIMUM OF TWO WEEKS TO FACILITATE TROUBLESHOOTING OR POSSIBLE ABUSE AND THEREAFTER DESTROY.

UWLIB133. **UWLIB133: PATRON RECORDS AND STATISTICS** **EVT+0/1** **DEST**

** FOR USE BY UW STAFF ONLY **

RECORDS PERTAINING TO THE PROCESSING AND MAINTENANCE OF LIBRARY PATRON RECORDS AND DATABASES. MAY INCLUDE USER NAME, DEMOGRAPHIC DATA, NETID, OR UW-ID.

RETENTION TIME PERIOD
 ORIGINAL: CREATION + A MINIMUM OF TWO WEEKS TO FACILITATE TROUBLESHOOTING OR POSSIBLE ABUSE AND THEREAFTER DESTROY.

UWLIB134. **UWLIB134: INTERLENDING SERVER RECORDS** **EVT+0/1** **DEST**

** FOR USE BY UW STAFF ONLY **

RECORDS, TYPICALLY SERVER LOGS, PERTAINING TO INTERLIBRARY LOAN TRANSACTIONS THAT ARE MAINTAINED ON INFORMATION SYSTEMS.

RETENTION TIME PERIOD
 ORIGINAL: MINIMUM OF TWO WEEKS TO FACILITATE TROUBLESHOOTING OR POSSIBLE ABUSE.

UWLIB135. **UWLIB135: LIBRARY WEBSITE** **EVT** **DEST**

** FOR USE BY UW STAFF ONLY **

THESE WEBSITES MAY INCLUDE ONLINE INFORMATION ABOUT SERVICES, HOURS, LIBRARY EVENTS AND PROGRAMS, LINKS TO POPULAR REFERENCE RESOURCES, SUBSCRIPTION DATABASES, AND PROVIDE A GATEWAY TO ONE OR

MORE ONLINE CATALOGS.

RETENTION TIME PERIOD
ORIGINAL: DESTROY WEHN WEBSITE INFORMATION IS NOT CURRENT OR OF USE TO THE PUBLIC.

UWLIB136. **UWLIB136: LIBRARY NEWSLETTERS** **EVT** **DEST**

** FOR USE BY UW STAFF ONLY **

THESE PUBLICATIONS ARE CREATED TO INFORM THE PUBLIC AND STAFF OF EVENTS, POLICIES, AND OTHER MATTERS OF INTEREST TO THE LIBRARY. THEY MAY INCLUDE PROGRAMMING CALENDARS, UPDATES ON ELECTRONIC RESOURCES, OR CHANGES IN LIBRARY POLICIES. ADMINISTRATIVE NOTE: A LIBRARY MAY WISH TO KEEP DUPLICATE NEWSLETTERS AS PART OF ITS HISTORICAL FILE.

RETENTION TIME PERIOD
ORIGINAL: AFTER PUBLICATION TRANSFER COPY TO ARCHIVES
COPIES: DESTROY WHEN NO LONGER NEEDED

UWLIB137. **UWLIB137: PROGRAMMING AND EVENTS FILES** **CR+1** **DEST**

** FOR USE BY UW STAFF ONLY **

THESE FILES PROVIDE INFORMATION ABOUT SPECIFIC LIBRARY PROGRAMS, EVENTS OR EXHIBITS. THESE FILES MAY CONTAIN A COPY OF MATERIALS DEVELOPED FOR PUBLICITY AND PROGRAMMING, AND EVALUATION FORMS. THEY MAY ALSO INCLUDE CONTRACTS OR PURCHASE ORDERS FOR THE EVENT, THE NUMBER AND DISTRIBUTION SITES OF PUBLICITY MATERIALS, AND SCHEDULES. FILES DOCUMENTING PERFORMANCES AND LECTURES MAY INCLUDE PROMOTIONAL LITERATURE, PRINTOUTS FROM PERFORMER WEBSITES, PRESS RELEASES, NOTES, PERMISSION/CONSENT TO PHOTOGRAPH FORMS SIGNED BY ATTENDEES, ANY DONATION REQUESTS, CORRESPONDENCE, AND FLYERS. THESE FILES MAY INCLUDE SUBJECT FILES ABOUT PERFORMERS IN GENERAL, COPIES OF FLYERS OR OTHER PROMOTIONAL EPHEMERA. THESE RECORDS MAY DESCRIBE A LIBRARY EXHIBIT AND DOCUMENT THE ITEMS THAT WERE USED TO CREATE IT. THESE FILES MAY INCLUDE LISTS OF MATERIALS USED, ANY LOAN AGREEMENTS FOR THE EXHIBIT MATERIALS, AND DATES THE EXHIBIT WAS SHOWN. THESE RECORDS MAY ALSO INCLUDE PHOTOGRAPHS OF LIBRARY PROGRAMMING AND EVENTS.

LIBRARIES ARE ENCOURAGED TO PERMANENTLY KEEP DUPLICATES OF SOME OF THESE MATERIALS IN THE HISTORICAL FILE, PARTICULARLY MORE POPULAR EVENTS AND/OR ACTIVITIES THAT OFFER A HISTORICAL PERSPECTIVE.

ADM. NOTE: ATTENDANCE SHEETS AND RESERVATIONS THAT INCLUDE INDIVIDUALS' NAMES SHOULD BE DESTROYED CONFIDENTIALLY AFTER COMPILATION OF STATISTICS FOR COMPLIANCE WITH WIS. STAT. SS 43.30.

RETENTION TIME PERIOD
ORIGINAL: ACADEMIC YEAR OF CREATION + ADDITIONAL 1 YEAR AND THEREAFTER TRANSFER TO ARCHIVES.
COPIES: DESTROY WHEN NO LONGER NEEDED.

UWLIB138. **UWLIB138: REFERENCE QUESTIONS AND STATISTICS (LIBRARY)** **EVT** **DEST**

** FOR USE BY UW STAFF ONLY **

THESE RECORDS MAY DOCUMENT THE NUMBER OF REFERENCE INQUIRIES RECEIVED FROM PATRONS BY LIBRARIANS, AND MAY INCLUDE ONLINE QUERIES AS WELL AS QUESTIONS SUBMITTED IN WRITTEN FORM TO REFERENCE DESKS.

PORTIONS OF THIS SERIES MAY BE CONFIDENTIAL.

RETENTION TIME PERIOD
ORIGINAL: DESTROY WHEN NO LONGER NEEDED, DESTROY CONFIDENTIALLY WHEN PID IS PRESENT.
COPIES: DESTROY WHEN NO LONGER NEEDED, CONFIDENTIALLY WHEN PID IS PRESENT.

UWLIB139. **UWLIB139: BIBLIOGRAPHIC INSTRUCTION STATISTICS** **EVT+1** **DEST**

** FOR USE BY UW STAFF ONLY **

RECORDS CREATED TO DOCUMENT THE TEACHING OF BI CLASSES BY MEMBERS OF THE LIBRARY STAFF. INFORMATION WILL INCLUDE THE NAME OF THE STAFF MEMBER, THE COURSE NUMBER AND TITLE, DEPARTMENT, INSTRUCTOR AND NUMBER OF STUDENTS PRESENT.

RETENTION TIME PERIOD
ORIGINAL: ACADEMIC YEAR + 1 ADDITIONAL YEAR AND DESTROY
COPIES: DESTROY WHEN NO LONGER NEEDED

UWLIB140. **UWLIB140: HAND-OUTS** **EVT** **DEST**

** FOR USE BY UW STAFF ONLY **

MATERIALS CREATED FOR PATRON USE EXPLAINING THE USE OF DATABASES AND OTHER BIBLIOGRAPHIC TOOLS.

RETENTION TIME PERIOD
 ORIGINAL: DESTROY WHEN NO LONGER NEEDED.
 COPIES: DESTROY WHEN NO LONGER NEEDED.

UWLIB141. **UWLIB141: SURVEILLANCE RECORDS** **CR+0/4** **DEST**

** FOR USE BY UW STAFF ONLY **

THESE RECORDS INCLUDE AUDIO AND VISUAL RECORDINGS, WHICH MEMORIALIZE THE ENTRY, DEPARTURE, AND ONGOING USE OF LIBRARY FACILITIES BY PATRONS.

SERIES IS CONFIDENTIAL.

RETENTION TIME PERIOD
 ORIGINAL: CREATION + ADDITIONAL 120 DAYS THEREAFTER DESTROY CONFIDENTIALLY.

UWLIB142. **UWLIB142: SECURITY RECORDS** **CR+3** **DEST**

** FOR USE BY UW STAFF ONLY **

THESE RECORDS CONSIST OF REPORTS REGARDING UNUSUAL INCIDENTS OCCURING ON LIBRARY PROPERTY. THESE RECORDS MAY INCLUDE OR REFER TO SURVEILLANCE RECORDS, EYE WITNESS ACCOUNTS, DESCRIPTIONS OF DAMAGE OR INJURY, DATES, TIMES, AND NATURE OF THE INCIDENTS, ALONG WITH OTHER PERTINENT INFORMATION. THE RECORDS MAY ALSO ADDRESS FURTHER INVESTIGATIONS OR COURT PROCEEDINGS.

THIS SERIES IS CONFIDENTIAL.

RETENTION TIME PERIOD
 ORIGINAL: ACADEMIC YEAR OF CREATION + ADDITIONAL 3 YEARS AND THEREAFTER DESTROY CONFIDENTIALLY.

UWLIB143. **UWLIB143: ACCIDENT REPORTS AND CLAIMS RECORDS** **EVT+7** **DEST**

** FOR USE BY UW STAFF ONLY **

THE PERSONAL INJURY, PROPERTY DAMAGE CLAIM, OR INCIDENT REPORT GIVES DETAILS ABOUT ANY UNEXPECTED INCIDENTS ON THE LIBRARY PREMISES BY NON-EMPLOYEES. IT LISTS THE LOCATION, WITNESSES, PERSON INJURED, TYPE OF INJURY OR PROPERTY DAMAGE, AND ACTIONS TO PREVENT REOCCURANCE. THESE RECORDS ARE REVIEWED AND SIGNED BY RELEVANT ADMINISTRATORS. THESE FILES MAY INCLUDE RELATED INFORMATION, SUCH AS WITNESS STATEMENTS, MEDICAL INFORMATION, INFORMATION FROM LEGAL COUNSEL, OR SUBSEQUENT CLAIMS FILED BY NON-EMPLOYEES.

THIS SERIES IS CONFIDENTIAL.

RETENTION TIME PERIOD
 ORIGINAL: ACADEMIC YEAR OF INCIDENT + ADDITIONAL 7 YEARS AND THEREAFTER DESTROY CONFIDENTIALLY.

UWLIB144. **UWLIB144: PATRON INCIDENT AND DISCIPLINARY FILES** **EVT+5** **DEST**

** FOR USE BY UW STAFF ONLY **

THESE FILES DOCUMENT PATRONS WHO HAVE RECEIVED DISCIPLINARY ACTION OR PROHIBITORY SANCTIONS. THEY ARE ORGANIZED BY PATRON NAME, AND CONSIST OF LETTERS SENT TO PATRONS DESCRIBING THE UNACCEPTABLE ACTIVITY AND THE PROHIBITIONS ON PATRON PRIVILEGES. THEY MAY ALSO CONTAIN CORRESPONDENCE WITH PUBLIC SAFETY OR PATRON GUARDIANS.

THIS SERIES IS CONFIDENTIAL.

RETENTION TIME PERIOD
 ORIGINAL: ACADEMIC YEAR OF LAST INCIDENT INVOLVING PATRON + ADDITIONAL 5 YEARS AND THEREAFTER DESTROY CONFIDENTIALLY.

UWPAY001. **UWPAY001: EMPLOYEE TIME RECORDS (ACADEMIC AND UNIVERSITY STAF** **EVT+6** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

RECORDS CREATED OR ENTERED BY EMPLOYEES TO RECORD THEIR WORK TIME AND/OR LEAVE. THIS INCLUDES RECORDING INCLUDING SICK TIME AND VACATION, LEGAL HOLIDAYS AND PERSONAL TIME.

ELECTRONIC SUBMISSION OF LEAVE REPORTS THROUGH HRS WILL BE ARCHIVED IN THE HRS ENTERPRISE PERFORMANCE MANAGEMENT (EPM) DATA WAREHOUSE FOR AT LEAST SIX YEARS WHICH MEETS THE REQUIREMENTS

FOR 29CFR 516.5(A) PAYROLL RECORDS RETENTION OF 3 YEARS.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: EVENT + 6 YEARS AND DESTROY/DELETE CONFIDENTIAL
EVENT = DATE SUPERVISOR APPROVED LEAVE REPORT OR TIMESHEET REPORT

<u>UWPAY002.</u>	<u>UWPAY002: TIME AND LABOR ADMINISTRATIVE REPORTS</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONTAINS VARIOUS TYPES OF REPORTING FROM THE HRS SYSTEM TO CHECK ON REPORTED TIME. IN MANY INSTANCES, THESE RPEORTS MONITOR ISSUES THAT NEED TO BE RESOLVED OR THE PAYROLL WILL NOT BE PROCESSED. RECORDS INCLUDE BUT ARE NOT LIMITED TO: PAYABLE STATUS REPORT, TOTAL 80-SUMMATIONS OF REPORTED TIME, FUTURE TIME ENTRY, COMPARISON OF PAYABLE TIME TO TIMESHEETS, TIME APPROVAL REFERENCE REPORT, LABOR REFERENCE REPORT, REJECTED TIME REPORT; SCHEDULE DEFINITION REPORT, WEEKLY/DAY SCHEDULES.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR + 1 YEAR AND DESTROY/DELETE CONFIDENTIAL
CR = DATE OF CREATION

<u>UWPAY003.</u>	<u>UWPAY003: EMPLOYEE EARNINGS STATEMENT AND LEAVE BALANCES AN</u>	<u>EVT+15</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

LEAVE BALANCE AND ACTIVITY REPORTING. STATEMENTS SHOW LEAVE TIME TAKEN DURING A DESIGNATED PAY PERIOD. LEAVE BALANCES ARE AVAILABLE TO EMPLOYEES VIA MYUWPORTAL OR MY UWSYSTEM OR UW-EXTENSION. EARNING STATEMENTS, TAX STATEMENTS AND W-2 ARE AVAILABLE TO EMPLOYEES VIA MYUWPORTAL OR MYUWSYSTEM OR UW-EXTENSION.

CONFIDENTIAL UNDER EMPLOYEE PERONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: EVENT + 15 YEARS AND DESTROY/DELETE CONFIDENTIAL
EVENT = DATE REPORT WAS CREATED

<u>UWPAY004.</u>	<u>UWPAY004: LEAVE ACTIVITY SUMMARY REPORTS - INSTITUTION</u>	<u>CR+15</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS REPORT SHOW CUMULATIVE YEAR TO DATE LEAVE ACTIVITY BY PAY PERIOD.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR + 15 YEARS AND DESTROY/DELETE CONFIDENTIAL
CR = DATE REPORT WAS CREATED

<u>UWPAY005.</u>	<u>UWPAY005: LEAVE OF ABSENCE REQUEST FORMS</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

FORMS COMPLETED BY INDIVIDUAL UW SYSTEM EMPLOYEES REQUESTING LEAVES OF ABSENCE (OTHER THAN SABBATICAL LEAVE) AND APPROVED BY SUPERVISORS AND DEPARTMENT/EMPLOYING UNIT HEAD.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR + 5 YERAS AND DESTROY/DELETE CONFIDENTIAL
CR = DATE CREATED

<u>UWPAY006.</u>	<u>UWPAY006: LEAVE OF ABSENCE REPORTS</u>	<u>CR+15</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE APPROVAL OF VARIOUS TYPES OF LEAVES IS PROCESSED THROUGH HR CHANNELS WITHIN THE PARTICULAR UW INSTITUTION OR EMPLOYING UNIT. THE RECORDING/MONITORING OF LEAVES FALLS WITHIN THE ABSENCE MANAGEMENT FUNCTION OF HRS. REPORT LISTS THE EMPLOYEES ON A LOA SO THEIR PAYMENT STATUS CAN BE MONITORED. THE SERVICE CENTER WILL USE THE REPORT TO MONITOR WHICH LEAVE EMPLOYEES HAVE PAID AND WILL MANUALLY ADD A GENERAL DEDUCTION FOR THOSE WHO DO NOT PAY WITHIN THE ALLOTTED TIME PERIOD SO THAT THEY CAN BE CHARGED UPON RETURN FROM LEAVE.

THE FOLLOWING REPORTS ARE INCLUDED IN THIS SERIES: LEAVE OF ABSENCE REPORT-UIA ELIGIBLE (JIRA #6908)

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR + 15 YEARS AND DESTROY/DELETE CONFIDENTIAL
CR = DATE REPORT WAS CREATED

<u>UWPAY007.</u>	<u>UWPAY007: UW-SYSTEM LEAVE PLAN TYPES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE HRIS SYSTEM MANAGES SEVERAL LEAVE PLAN TYPES: FMLA (FAMILY MEDICAL LEAVE); UNIVERSITY, ACADEMIC, LEAVE WITHOUT PAY, SABBATICAL, MILITARY AND OTHER LEAVE PLANS. HRIS TABLES CONTAIN DETAILS OF THE PLANS. (WHEN THE HR MANAGER ENTER EMPLOYEES WHO HAVE AN APPROVED LEAVE STATUS, THEY ARE ASSIGNED A LEAVE TYPE BASED ON THE LEAVE PLANS.)

NOTE: HRIS: THE DESCRIPTION OF THE VARIOUS LEAVE PLANS MUST BE RETAINED AS LONG AS EMPLOYEES ARE COVERED BY THEM AND ARE EMPLOYED BY THE UW SYSTEM.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: EVT = RETAIN UNTIL SUPERSEDED AND DESTROY/DELETE CONFIDENTIAL

<u>UWPAY008.</u>	<u>UWPAY008: PAYROLL REGISTERS AND VOUCHERS</u>	<u>FIS+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

PAYROLL LISTINGS SHOWING GROSS AND NET PAY, AS WELL AS DEDUCTIONS FOR UW EMPLOYEES. THESE ARE THE BASIS FOR ALL SALARY PAYMENTS AND ARE REFERRED TO ON QUESTIONS OF BACK PAY AND INCOME TAXES. ALSO INCLUDES PAYROLL VOUCHER SIGNATURE PAGE FOR EACH PAYROLL.

- * PAYROLL VOUCHER
- * PAYROLL LISTING

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

<u>UWPAY009.</u>	<u>UWPAY009: GARNISHMENT RECORDS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS CONSIST OF UW EMPLOYEE WAGE ACTIONS FOR STATE OR FEDERAL COURT ORDERED WAGE ASSIGNMENTS OR EARNINGS GARNISHMENT, FEDERAL IRS LEVIES AND WIS. DEPT. OF REVENUE LIENS.

THIS IS CONSISTENT WITH FEDERAL REQUIREMENT N1-GRS-92-4 ITEM 18.

RECORDS CONSIST OF UW EMPLOYEE WAGE ACTIONS FOR STATE OR FEDERAL COURT ORDERED WAGE ASSIGNMENTS OR EARNINGS GARNISHMENT, FEDERAL IRS LEVIES AND WIS. DEPT OF REVENUE LIENS.

THIS IS CONSISTENT WITH FEDERAL REQUIREMENT N1-GRS-92-4 ITEM 18.

RECORDS MAY INCLUDE ORIGINAL WRITS OF GARNISHMENT; RECAPITULATIONS OF AMOUNTS WITHHELD; AND RELATED RECORDS.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: EVT+6 YEARS AND DESTROY/DELETE CONFIDENTIAL
EVT = LEVY OR GARNISHMENT IS TERMINATED

<u>UWPAY010.</u>	<u>UWPAY010: TAX WITHHOLDING REPORTING FILES</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS SERIES INCLUDES FORMS AND REPORTS RELATED TO EMPLOYEES' FEDERAL AND STATE INCOME TAX WITHHOLDING ACTIVITIES AND DOCUMENTATION OF WITHHOLDING.

SERIES INCLUDES, BUT IS NOT LIMITED TO THE FOLLOWING FORMS AND REPORTS:

- * CERTIFICATE OF EXEMPTION PREPAYMENT OF TAXES
- * EMPLOYER'S QUARTERLY FEDERAL TAX RETURN
- * EMPLOYERS ANNUAL RECONCILIATION OF WISCONSIN INCOME TAX WITHHELD FROM WAGES
- * FEDERAL BI-WEEKLY TAX DEPOSIT COUPON
- * FEDERAL INCOME TAX, SOCIAL SECURITY, MEDICARE BI-WEEKLY REPORT
- * FORM 941 PAYMENT VOUCHER
- * STATEMENT TO CORRECT INFORMATION
- * TRANSMITTAL OF CORRECTED INCOME & TAX AMOUNTS

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

* UNDELIVERABLE W-2, W-2C, 1042-S AND W-200 FORMS.
 * WISCONSIN TAX DEPOSIT REPORT COUPON

THIS SERIES ALSO INCLUDES MILITARY PAY VOUCHERS THAT ARE CREATED FOR EMPLOYEES.

NOTE: THIS SERIES INCLUDES INTERFACE FILES THAT TRANSMIT DATA FROM THE UNIVERSITY TO FEDERAL AND STATE GOVERNMENT. THE SAME RETENTION PERIOD APPLIES TO THE INTERFACE FILE AS TO THE REPORT OR FORM.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR+5 YEARS AND DESTROY/DELETE CONFIDENTIAL
 CR = DATE THE REPORT IS CREATED

UWPAY011. **UWPAY011: UNEMPLOYMENT COMPENSATION REPORT TO DEPT. OF WORK** **CR+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES A REPORT AND TRANSFER FILE (INTERFACE) SENT TO THE DEPT OF WORKFORCE DEVELOPMENT

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR+5 YEARS AND DESTROY/DELETE CONFIDENTIAL
 CR = DATE THE REPORT IS CREATED

UWPAY012. **UWPAY012: COBRA RELATED REPORTS** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

REPORTS RELATED TO THE ELIGIBILITY AND ENROLLMENT IN COBRA. INCLUDES REPORT LISTING INDIVIDUALS DENIED COBRA COVERAGE BECAUSE THEY WERE DISMISSED FOR CAUSE, REQUIRED COBRA NOTIFICATION FOR ELIGIBLE EMPLOYEES, COBRA ERROR REPORT (JIRA #6986), COBRA NOTIFICATION LETTERS AND ENROLLMENT FORMS (JIRA #6985)

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: EVT+5 YEARS AND DESTROY/DELETE CONFIDENTIAL
 EVT = DATE OF EMPLOYEE TERMINATION

UWPAY013. **UWPAY013: EMPLOYEE PAYROLL CASE FILE - INSTITUTIONAL** **EVT+50** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

RECORDS SERIES INCLUDES VARIOUS DOCUMENTS THAT ARE MAINTAINED IN THE INSTITUTIONAL PAYROLL OFFICE AND REGULARLY SUPERSEDED BY UPDATED DOCUMENTS DURING THE EMPLOYEE'S TERM OF EMPLOYMENT IN THE INSTITUTION.

ITEMS IN BOTH SERIES INCLUDE THE FOLLOWING ITEMS:

WITHHOLDING AGREEMENTS: FORMS FILED BY EMPLOYEES AUTHORIZING WITHHOLDING OF INCOME FROM PAYCHECKS. RECORDS IN THIS SERIES INCLUDE REQUIRED WITHHOLDING AGREEMENTS, NOTIFYING THE EMPLOYER (STATE) OF FEDERAL AND STATE INCOME TAX WITHHOLDING ALLOWANCES; TAX SHELTERED ANNUITY, DEFERRED COMPENSATION AND SAVINGS BOND AUTHORIZATIONS; AND VARIOUS OTHER VOLUNTARY AUTHORIZATIONS. RECORDS IN THIS SERIES ARE USED TO DOCUMENT WITHHOLDING AGREEMENTS AND AUTHORIZATIONS FOR EACH EMPLOYEE.

SERIES INCLUDES BUT IS NOT LIMITED TO THE FOLLOWING AGREEMENTS/FORMS:

- * TAX WITHHOLDING FORMS SUCH AS: IRS 1001, IRS 8233, W4, EARNED INCOME CREDIT, WT-4 STATE WITHHOLDING ALLOWANCES
- * OTHER WITHHOLDING (FOR A DETAILED LIST PLEASE CONSULT INDEX.)
- * ACCIDENTAL DEATH & DISMEMBERMENT APPLICATION
- * DENTAL INSURANCE APPLICATION
- * DIRECT DEPOSIT AUTHORIZATION
- * EMPLOYEE REIMBURSEMENT ACCOUNT ENROLLMENT FORM
- * SAVINGS BOND DEDUCTION AUTHORIZATION
- * TAX SHELTERED ANNUITY AUTHORIZATION
- * MISCELLANEOUS DUES AND DEDUCTION AUTHORIZATION CARDS

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: EVT+50 YEARS AND DESTROY/DELETE CONFIDENTIAL
 EVT = DATE OF EMPLOYEE TERMINATION

UWPAY014. **UWPAY014: EMPLOYEE ETF/BENEFITS CASE FILE - INSTITUTION** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS RECORDS SERIES INCLUDES THE BENEFIT FORMS, WITHHOLDING, APPLICATIONS, NOTIFICATIONS, ETC. THAT ARE CURRENT AT THE TIME OF EMPLOYEE TERMINATION. AFTER THE EMPLOYEE TERMINATES FROM THE PARTICULAR INSTITUTION, THE CASE FILE IS MAINTAINED TO DETERMINE THE EMPLOYEE'S RIGHTS TO VARIOUS BENEFITS. THESE RECORDS ARE THE RESPONSIBILITY OF THE EMPLOYING INSTITUTION. EMPLOYEES WILL COMPLETE NEW WITHHOLDING AUTHORIZATION FORMS WHEN THEY MOVE TO ANOTHER INSTITUTION. HOWEVER, RECORDS IN THIS SERIES MAY BE USED TO PROVIDE BACKUP DOCUMENTATION OF THE EMPLOYEE'S PAYROLL ACTIVITIES.

STATE OF WISCONSIN ETF IS THE OFFICIAL HOLDER OF BENEFIT RECORDS.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: EVT+5 YEARS AND DESTROY/DELETE CONFIDENTIAL
EVT = DATE OF EMPLOYEE TERMINATION

<u>UWPAY015.</u>	<u>UWPAY015: ANNUAL BENEFIT STATEMENTS/BENEFIT REPORTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF ANNUAL BENEFITS STATEMENTS PRODUCED BY THE HRIS SYSTEM. THIS STATEMENT REFLECTS ALL BENEFIT PROGRAMS IN WHICH THE EMPLOYEE IS CURRENTLY ENROLLED AND TOTAL EMPLOYER/EMPLOYEE CONTRIBUTIONS TO THEM.

ACCESS TO EMPLOYEES VIA MYUWPORTAL OR MY UWSYSTEM OR UW-EXTENSION

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: EVT+5 YEARS AND DESTROY/DELETE CONFIDENTIAL
EVT = DATE OF TERMINATION OF EMPLOYEE

<u>UWPAY016.</u>	<u>UWPAY016: SUMMARY REPORTS OF BENEFITS PROGRAMS PROVIDED TO I</u>	<u>CR+7</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS SERIES INCLUDES COPIES OF SUMMARY REPORTS OF BENEFIT PROGRAMS THAT ARE ADMINISTERED BY THE DEPARTMENT OF EMPLOYEE TRUST FUNDS (ETF) AND OTHER INSURANCE CARRIERS AS LISTED BELOW SUMMARY REPORTS TO/FROM. ALSO INCLUDES ENROLLMENT REPORTS AND BENEFIT CONFIRMATION REPORTS AND PROGRAM VENDOR DATA FILES AND LIFE INSURANCE REPORTS SENT TO VENDORS.

ETF-UW:

THIS GROUP OF RECORDS INCLUDES VARIOUS SUMMARY REPORTS REQUIRED TO BE SENT TO ETF BY UW. REPORTS ARE USED TO REMIT FUNDS AND PROVIDE INFORMATION ON BENEFITS ACCRUED IN ETF - ADMINISTERED PROGRAMS, INCLUDING WRS, ERA, HEALTH, LIFE, AND ICI INSURANCE'S.

NOTE: THE UW MUST RETAIN COPIES OF REPORTS SENT TO ETF IF APPLICABLE TO EMPLOYEES IN THEIR AGENCY FOR SEVEN YEARS IN ORDER TO CORRECT INFORMATION

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR+7 YEARS AND DESTROY/DELETE CONFIDENTIAL
CR = DATE THE REPORT IS CREATED

<u>UWPAY017.</u>	<u>UWPAY017: WISCONSIN RETIREMENT SYSTEM REPORTING - WRS</u>	<u>CR+15</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

ELECTRONIC DATA FILE IS CREATED AFTER EACH PAYROLL IS PROCESSED THAT INCLUDES DATA FOR EACH EMPLOYEE, INCLUDING THE EMPLOYMENT CATEGORY, EARNING, HOURS WORKED AND DATA NECESSARY FOR MONTHLY AND ANNUAL WRS REPORTING.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR+15 YEARS AND DESTROY/DELETE CONFIDENTIAL
CR = DATE THE REPORT IS CREATED

<u>UWPAY018.</u>	<u>UWPAY018: TAX SHELTERED ANNUITY - TSA MULTIPLE ENROLLMENTS REF</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

REPORTS TO IDENTIFY EMPLOYEES WITH MULTIPLE TSA ENROLLMENTS WHO ARE CLOSE TO REACHING THE IRS MAXIMUM TO DETERMINE WHICH TSA DEDUCTION TO ALLOW TO GO THROUGH, AND WHICH DEDUCTIONS TO MANUALLY OVERRIDE FOR THE REMAINDER OF THE YEAR.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR+5 YEARS AND DESTROY/DELETE CONFIDENTIAL
CR = DATE THE REPORT IS CREATED

UWPAY019. **UWPAY019: PAYROLL ACCOUNTING AND BENEFIT REPORTS AND TRANSFER** **CR+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

RECORD SERIES CONSISTS OF REPORTS AND CORRESPONDENCE THAT HAVE FISCAL AUDIT VALUE RELATED TO TRANSFERS OF PAYROLL FUNDS. SERIES DOCUMENTS ISSUES AND CONCERNS RELATED TO TRANSFERS OF FUNDS TO BANKS FOR STATE PAYROLL, REPORTS THAT TOTAL SAVING BOND DEDUCTION TOTALS AND OTHER SUMMARY ACCOUNTING REPORTS THAT PROVIDE BACKUP DOCUMENTATION TO SUPPORT THE WISMART SYSTEM.

ITEMS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING:

- * ELECTRONIC DEPOSIT CORRESPONDENCE BETWEEN PROCESSING CENTER AND BANKS THAT DEPOSIT EMPLOYEE PAYCHECK THROUGH ELECTRONIC DEPOSIT.
- * ACH - AUTOMATIC CHECK TRANSFER - CANCELLATIONS NOTICE
- * SAVING BOND DEDUCTION TOTAL REPORTS
- * SAVING BOND PAYMENT FORM
- * RETROACTIVE BENEFIT CALCULATION REPORT - (JIRA #6919)
- * RETROACTIVE BENEFIT MISSING PREMIUM REPORT (JIRA#6905)
- * DEDUCTION PRE-PAY RECONCILIATION REPORT (JIRA#6905)

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR+5 YEARS AND DESTROY/DELETE CONFIDENTIAL
CR = DATE THE REPORT IS CREATED

UWPAY020. **UWPAY020: CORE PAYROLL HISTORY DATA** **CR+50** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

NOTE: THE WORDING FOR THIS RECORD SERIES REMAINS THE SAME AS IT WAS IN THE ORIGINAL GRS. THE DEPARTMENT OF ADMINISTRATION DOES NOT MAINTAIN A CENTRAL PAYROLL ROSTER OR DATA FILE FOR THE UNIVERSITY OF WISCONSIN SYSTEM. THE RESPONSIBILITY FOR MAINTAINING A PERMANENT PAYROLL HISTORY DATA WILL CONTINUE WITH HRS. THE RETENTION PERIOD IS 50 YEARS. CURRENTLY, THIS LONG TERM RETENTION REQUIREMENT IS MET BY MICROFICHE.

THIS ELECTRONIC FILE INCLUDES THE RESULTS OF PERSONNEL TRANSACTIONS AFFECTING EMPLOYEE'S PAYROLL SUCH AS HIRES, TRANSFERS, TERMINATIONS, RE CLASSIFICATIONS AND REALLOCATIONS. FILES CONTAIN DATA ELEMENTS FOR EACH EMPLOYEE, INCLUDING APPOINTMENTS, DEDUCTIONS, HOURS, PAYROLL BALANCES, DEDUCTION BALANCES, AND RETROACTIVE ADJUSTMENTS TO HOURS WORKED, LUMP-SUM PAY ADJUSTMENTS, DOLLAR AND HOUR BALANCE ADJUSTMENTS, REFUNDS, WAGE ASSIGNMENTS AND CHECK CANCELLATIONS. THIS ELECTRONIC FILE FUNCTIONS AS THE SOURCE FOR FEDERAL AND STATE TAX REPORTING, W-2 PRODUCTION AND OTHER YEAR-END REPORTS.

THE HRS CORE PAYROLL DATA FILE IS CREATED WHEN PAYROLL CALCULATION DATA IS CREATED/ADDED TO THE EMPLOYEE PERMANENT PAYROLL HISTORY AFTER THE PAYROLL CONFIRMATION PROCESS HAS BEEN RUN.

THE PAYROLL MICROFICHE JACKET WILL CONTAIN THE FOLLOWING TYPES OF INFORMATION: DATE OF PAYROLL, TYPE OF PAYROLL, GROSS EARNINGS, AND DEFERRED ITEMS. THE JACKET WILL BE MAINTAINED WITH THE MASTER PAYROLL FICHE FOR 50 YEARS. REVISED: THIS PARAGRAPH WAS ADDED BY THE PUBLIC RECORDS BOARD 11/19/97.

ALSO INCLUDED UNDER THESE RECORDS SERIES AND THE 50 YEARS RETENTION REQUIREMENT ARE THE FOLLOWING REPORTS: AUDIT TABLES QUERY REPORT (JIRA #6918)

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: CR+50 YEARS AND DESTROY/DELETE CONFIDENTIAL
CR = DATE THE REPORT IS CREATED

UWPAY021. **UWPAY021: SYSTEM-WIDE TAX SUMMARY** **EVT+7** **UW-TRANS** **Y**

** FOR USE BY UW STAFF ONLY **

THIS IS A PRINTOUT DONE ANNUALLY WHICH INCLUDES ALL INCOME TAX INFORMATION ON EACH EMPLOYEE.

CONFIDENTIAL UNDER EMPLOYEE PERSONNEL RECORDS WIS. STAT. 19.36(10)

RETENTION: EVT+7 YEARS AND TRANSFER TO UW-MADISON ARCHIVES

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

UWPER001. **UWPER001: UNCLASSIFIED PERSONNEL FILE: TENURED FACULTY** **EVT+30** **UW-TRANS** **Y**

** FOR USE BY UW STAFF ONLY **

THE OFFICIAL P-FILE COMPRISES THE COMPREHENSIVE EMPLOYMENT RECORD FOR EVERY FACULTY OR UNCLASSIFIED EMPLOYEE. THE LOCATION OF THE OFFICIAL UNCLASSIFIED P-FILE VARIES THROUGHOUT THE UW SYSTEM. GENERALLY, IT IS MAINTAINED IN THE OFFICE OF THE PROVOST, DEAN OF THE EMPLOYING SCHOOL OR COLLEGE OR EMPLOYING DEPARTMENT.

A COMPLETE P-FILE MAY INCLUDE THE FOLLOWING RECORDS: LETTERS OF APPLICATION; RESEARCH PROPOSAL (AT HIRE, IF REQUIRED); RESUME OR CURRICULUM VITAE (CV); LETTERS OF RECOMMENDATION OR REFERENCE; LETTER(S) OF OFFER, APPOINTMENT, REAPPOINTMENT, OR PROMOTION; LETTER OF ACCEPTANCE OF EMPLOYMENT, TENURE, OR INDEFINITE APPOINTMENT; POSITION DESCRIPTION; RECLASSIFICATION RECORDS; EMPLOYMENT CONTRACTS; PERSONNEL ACTION FORMS; BASE RATE OR TITLE CHANGE REQUESTS AND ACTIONS; REQUESTS FOR/DECISIONS ON LEAVES OF ABSENCE; NOTICES OF SABBATICAL LEAVE; NOTICES OF FACULTY OR ACADEMIC STAFF AWARDS; NOTICES OF EMERITUS OR DISTINGUISHED SERVICE RECOGNITION; PERFORMANCE REVIEWS OR EVALUATIONS; LISTS OR NOTICES OF AWARDS OR GRANTS; NOTIFICATIONS OF NAMED PROFESSORSHIPS; GRIEVANCES AND NOTICES OF DISCIPLINARY ACTIONS; ARBITRATION RECORDS; LETTERS OF RESIGNATION OR RETIREMENT; AND NOTICES OF NON-RENEWAL OF APPOINTMENT (FOR ACADEMIC STAFF)

HRS: FOR THOSE INSTITUTIONS USING THE TAM MODULE OF HRS, SOME DOCUMENTS NORMALLY FOUND IN THE UNCLASSIFIED PERSONNEL FILE, SUCH AS THE OFFICIAL LETTER OF OFFER, MAY BE GENERATED BY AND RESIDE IN THE HRS SYSTEM-TAM MODULE. THE INITIAL RESUME/CV COLLECTED DURING THE RECRUITMENT PROCESS WILL BE IN TAM; THE UPDATED VERSION WILL BE IN THE PERSONNEL FILE.

APPRAISAL NOTE: THE FOLLOWING TYPES OF DOCUMENTATION ARE OFTEN CONSIDERED PERSONNEL-RELATED RECORDS, BUT MUST BE MAINTAINED SEPARATELY FROM THE PERSONNEL FILE:

CAREER MATERIALS: MATERIAL NOT OF AN OFFICIAL NATURE, BUT WHICH PROVIDE INFORMATION ON THE SUBJECT. THESE MAY INCLUDE NEWS STORIES, CONGRATULATORY LETTERS, LISTS OF PUBLICATIONS OR ARTICLES, AND AWARDS OR COMMENDATIONS. WHILE GOVERNED BY A SPECIFIC RETENTION PERIOD, THIS TYPE OF DOCUMENTATION MAY HAVE ARCHIVAL VALUE, AND THE INSTITUTIONAL ARCHIVIST SHOULD BE CONTACTED PRIOR TO DISPOSAL.

CONFIDENTIAL MATERIALS: MATERIALS OF A CONFIDENTIAL NATURE THAT SHOULD BE MAINTAINED SEPARATELY FROM THE OVERALL P-FILE. THESE MAY INCLUDE MEDICAL RECORDS, I-9 (EMPLOYMENT ELIGIBILITY VERIFICATION FORM), H1B APPLICATION (IMMIGRATION PETITION, APPROVAL, AND SUPPORTING DOCUMENTATION), AND CRIMINAL BACKGROUND CHECK RECORDS. SEE RECORD ITEM NUMBERS 008, 009, AND 034 FOR RETENTION PERIODS ON THESE ITEMS.

EVT + 30 YEARS. EVT = DATE OF EMPLOYEE'S RETIREMENT OR DEATH. DESTROY CONFIDENTIALLY OR TRANSFER TO ARCHIVES FOR PERMANENT PRESERVATION.

UWPER002. **UWPER002: UNCLASSIFIED PERSONNEL FILE: NON-TENURED FACULTY** **EVT+10** **UW-TRANS** **Y**

** FOR USE BY UW STAFF ONLY **

THE OFFICIAL P-FILE COMPRISES THE COMPREHENSIVE EMPLOYMENT RECORD FOR EVERY FACULTY OR UNCLASSIFIED EMPLOYEE. THE LOCATION OF THE OFFICIAL UNCLASSIFIED P-FILE VARIES THROUGHOUT THE UW SYSTEM. GENERALLY, IT IS MAINTAINED IN THE OFFICE OF THE PROVOST, DEAN OF THE EMPLOYING SCHOOL OR COLLEGE OR EMPLOYING DEPARTMENT.

A COMPLETE P-FILE MAY INCLUDE THE FOLLOWING RECORDS: LETTERS OF APPLICATION; RESEARCH PROPOSAL (AT HIRE, IF REQUIRED); RESUME OR CURRICULUM VITAE (CV); LETTERS OF RECOMMENDATION OR REFERENCE; LETTER(S) OF OFFER, APPOINTMENT, REAPPOINTMENT, OR PROMOTION; LETTER OF ACCEPTANCE OF EMPLOYMENT, TENURE, OR INDEFINITE APPOINTMENT; POSITION DESCRIPTION; RECLASSIFICATION RECORDS; EMPLOYMENT CONTRACTS; PERSONNEL ACTION FORMS; BASE RATE OR TITLE CHANGE REQUESTS AND ACTIONS; REQUESTS FOR/DECISIONS ON LEAVES OF ABSENCE; NOTICES OF SABBATICAL LEAVE; NOTICES OF FACULTY OR ACADEMIC STAFF AWARDS; NOTICES OF EMERITUS OR DISTINGUISHED SERVICE RECOGNITION; PERFORMANCE REVIEWS OR EVALUATIONS; LISTS OR NOTICES OF AWARDS OR GRANTS; NOTIFICATIONS OF NAMED PROFESSORSHIPS; GRIEVANCES AND NOTICES OF DISCIPLINARY ACTIONS; ARBITRATION RECORDS; LETTERS OF RESIGNATION OR RETIREMENT; AND NOTICES OF NON-RENEWAL OF APPOINTMENT (FOR ACADEMIC STAFF)

HRS: FOR THOSE INSTITUTIONS USING THE TAM MODULE OF HRS, SOME DOCUMENTS NORMALLY FOUND IN THE UNCLASSIFIED PERSONNEL FILE, SUCH AS THE OFFICIAL LETTER OF OFFER, MAY BE GENERATED BY AND RESIDE IN THE HRS SYSTEM-TAM MODULE. THE INITIAL RESUME/CV COLLECTED DURING THE RECRUITMENT PROCESS WILL BE IN TAM; THE UPDATED VERSION WILL BE IN THE PERSONNEL FILE.

APPRAISAL NOTE: THE FOLLOWING TYPES OF DOCUMENTATION ARE OFTEN CONSIDERED PERSONNEL-RELATED RECORDS, BUT MUST BE MAINTAINED SEPARATELY FROM THE PERSONNEL FILE:

CAREER MATERIALS: MATERIAL NOT OF AN OFFICIAL NATURE, BUT WHICH PROVIDE INFORMATION ON THE SUBJECT. THESE MAY INCLUDE NEWS STORIES, CONGRATULATORY LETTERS, LISTS OF PUBLICATIONS OR ARTICLES, AND

AWARDS OR COMMENDATIONS. WHILE GOVERNED BY A SPECIFIC RETENTION PERIOD, THIS TYPE OF DOCUMENTATION MAY HAVE ARCHIVAL VALUE, AND THE INSTITUTIONAL ARCHIVIST SHOULD BE CONTACTED PRIOR TO DISPOSAL.

CONFIDENTIAL MATERIALS: MATERIALS OF A CONFIDENTIAL NATURE THAT SHOULD BE MAINTAINED SEPARATELY FROM THE OVERALL P-FILE. THESE MAY INCLUDE MEDICAL RECORDS, I-9 (EMPLOYMENT ELIGIBILITY VERIFICATION FORM), H1B APPLICATION (IMMIGRATION PETITION, APPROVAL, AND SUPPORTING DOCUMENTATION), AND CRIMINAL BACKGROUND CHECK RECORDS. SEE RECORD ITEM NUMBERS 008, 009, AND 034 FOR RETENTION PERIODS ON THESE ITEMS.

EVT + 10 YEARS. EVT = DATE OF TERMINATION OF EMPLOYMENT. DESTROY CONFIDENTIALLY OR TRANSFER TO ARCHIVES FOR PERMANENT PRESERVATION.

UWPER003. **UWPER003: UNCLASSIFIED PERSONNEL FILE: INDEFINITE UNCLASSIFIED S** **EVT+30** **UW-TRANS** **Y**

** FOR USE BY UW STAFF ONLY **

THE OFFICIAL P-FILE COMPRISES THE COMPREHENSIVE EMPLOYMENT RECORD FOR EVERY FACULTY OR UNCLASSIFIED EMPLOYEE. THE LOCATION OF THE OFFICIAL UNCLASSIFIED P-FILE VARIES THROUGHOUT THE UW SYSTEM. GENERALLY, IT IS MAINTAINED IN THE OFFICE OF THE PROVOST, DEAN OF THE EMPLOYING SCHOOL OR COLLEGE OR EMPLOYING DEPARTMENT.

A COMPLETE P-FILE MAY INCLUDE THE FOLLOWING RECORDS: LETTERS OF APPLICATION; RESEARCH PROPOSAL (AT HIRE, IF REQUIRED); RESUME OR CURRICULUM VITAE (CV); LETTERS OF RECOMMENDATION OR REFERENCE; LETTER(S) OF OFFER, APPOINTMENT, REAPPOINTMENT, OR PROMOTION; LETTER OF ACCEPTANCE OF EMPLOYMENT, TENURE, OR INDEFINITE APPOINTMENT; POSITION DESCRIPTION; RECLASSIFICATION RECORDS; EMPLOYMENT CONTRACTS; PERSONNEL ACTION FORMS; BASE RATE OR TITLE CHANGE REQUESTS AND ACTIONS; REQUESTS FOR/DECISIONS ON LEAVES OF ABSENCE; NOTICES OF SABBATICAL LEAVE; NOTICES OF FACULTY OR ACADEMIC STAFF AWARDS; NOTICES OF EMERITUS OR DISTINGUISHED SERVICE RECOGNITION; PERFORMANCE REVIEWS OR EVALUATIONS; LISTS OR NOTICES OF AWARDS OR GRANTS; NOTIFICATIONS OF NAMED PROFESSORSHIPS; GRIEVANCES AND NOTICES OF DISCIPLINARY ACTIONS; ARBITRATION RECORDS; LETTERS OF RESIGNATION OR RETIREMENT; AND NOTICES OF NON-RENEWAL OF APPOINTMENT (FOR ACADEMIC STAFF)

HRS: FOR THOSE INSTITUTIONS USING THE TAM MODULE OF HRS, SOME DOCUMENTS NORMALLY FOUND IN THE UNCLASSIFIED PERSONNEL FILE, SUCH AS THE OFFICIAL LETTER OF OFFER, MAY BE GENERATED BY AND RESIDE IN THE HRS SYSTEM-TAM MODULE. THE INITIAL RESUME/CV COLLECTED DURING THE RECRUITMENT PROCESS WILL BE IN TAM; THE UPDATED VERSION WILL BE IN THE PERSONNEL FILE.

APPRAISAL NOTE: THE FOLLOWING TYPES OF DOCUMENTATION ARE OFTEN CONSIDERED PERSONNEL-RELATED RECORDS, BUT MUST BE MAINTAINED SEPARATELY FROM THE PERSONNEL FILE:

CAREER MATERIALS: MATERIAL NOT OF AN OFFICIAL NATURE, BUT WHICH PROVIDE INFORMATION ON THE SUBJECT. THESE MAY INCLUDE NEWS STORIES, CONGRATULATORY LETTERS, LISTS OF PUBLICATIONS OR ARTICLES, AND AWARDS OR COMMENDATIONS. WHILE GOVERNED BY A SPECIFIC RETENTION PERIOD, THIS TYPE OF DOCUMENTATION MAY HAVE ARCHIVAL VALUE, AND THE INSTITUTIONAL ARCHIVIST SHOULD BE CONTACTED PRIOR TO DISPOSAL.

CONFIDENTIAL MATERIALS: MATERIALS OF A CONFIDENTIAL NATURE THAT SHOULD BE MAINTAINED SEPARATELY FROM THE OVERALL P-FILE. THESE MAY INCLUDE MEDICAL RECORDS, I-9 (EMPLOYMENT ELIGIBILITY VERIFICATION FORM), H1B APPLICATION (IMMIGRATION PETITION, APPROVAL, AND SUPPORTING DOCUMENTATION), AND CRIMINAL BACKGROUND CHECK RECORDS. SEE RECORD ITEM NUMBERS 008, 009, AND 034 FOR RETENTION PERIODS ON THESE ITEMS.

EVT + 30 YEARS. EVT = DATE OF EMPLOYEE'S RETIREMENT OR DEATH. DESTROY CONFIDENTIALLY OR TRANSFER TO ARCHIVES FOR PERMANENT PRESERVATION.

UWPER004. **UWPER004: GRADUATE STUDENT PERSONNEL FILE** **EVT+6** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

A COMPLETE P-FILE MAY INCLUDE THE FOLLOWING RECORDS: LETTERS OF APPLICATION; RESEARCH PROPOSAL (AT HIRE, IF REQUIRED); RESUME OR CURRICULUM VITAE (CV); LETTERS OF RECOMMENDATION OR REFERENCE; LETTER(S) OF OFFER, APPOINTMENT, REAPPOINTMENT, OR PROMOTION; LETTER OF ACCEPTANCE OF EMPLOYMENT, POSITION DESCRIPTION, BASE RATE OR ANY CHANGES OF EMPLOYMENT STATUS, PERFORMANCE REVIEWS OR EVALUATIONS; LISTS OF NOTICES OF AWARDS OR GRANTS, GRIEVANCES AND NOTICES OF DISCIPLINARY ACTIONS; ARBITRATION RECORDS; LETTERS OF RESIGNATION AND NOTICES OF NON-RENEWAL OF APPOINTMENT (FOR ACADEMIC STAFF). THE LOCATION OF THE OFFICIAL GRADUATE STUDENT PERSONNEL FILE VARIES THROUGHOUT THE UW SYSTEM. GENERALLY, IT IS MAINTAINED IN THE OFFICE OF THE PROVOST, DEAN OF THE EMPLOYING SCHOOL OR COLLEGE OR EMPLOYING DEPARTMENT.

RETENTION: CAMPUS: EVT + 6 YEARS. EVT = DATE OF TERMINATION. DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

UWPER005. **UWPER005: PERMANENT HR PERSON DATA** **P** **PERM** **Y**

** FOR USE BY UW STAFF ONLY **

THESE ARE THE HISTORIC APPOINTMENT FIELDS FROM HRS BEING BROUGHT FORWARD TO EPM FOR REPORTING PURPOSES. THE FIELDS INCLUDE: TITLE NAME, APPOINTMENT MAJOR DEPARTMENT, DEPARTMENT, PERCENT, FUNDING RESPONSIBILITY, SALARY BASIS, APPOINTMENT TYPE, TITLE CODE, APPOINTMENT EFFECTIVE DATE, APPOINTMENT ID, SENIORITY DATE, CONTRACT EFFECTIVE DATE, CONTRACT END DATE, PROBATION END DATE, ACADEMIC SESSION, CONTINUITY STATUS, APPOINTMENT END DATE, FEDERAL APPOINTMENT TYPE, GUARANTEED LENGTH, RATE, RATE OVER MAX, RATE UNDER MIN, SALARY BASIS CODE, PROBATION TYPE, SERVICE STATUS, RECRUITMENT NUMBER, WORKING TITLE, PERSON NAME, FUND, ACTIVITY, ACCOUNT, FICA STATUS, FICA INDICATOR, FLSA STATUS, STUDENT PAY CATEGORY, PERSON ID, HOME ADDRESS, HOME ZIP CODE, CAMPUS PHONE, GENDER, I-O DATE, SOCIAL SECURITY NUMBER, VISA TYPE, ISSUING COUNTRY, HERITAGE CODE, BIRTHDATE, COUNTRY, DISABILITY, VETERANS INFORMATION, DEGREE DATA, APPOINTMENT BEGIN REASON, CBC COMPLETION DATE, DIVISION AFFILIATION, END APPT CODE, AND APPT REASON, TENURE PERCENT, TENURE GRANTED DATE, TENURE AFFILIATION, LEAVE CODES, LEAVE REASONS, RATE CODES, RATE CHANGE REASONS, TITLE CHANGE CODES, TITLE CHANGE REASONS.

RETENTION:
HRS: RETAIN PERMANENTLY. PII/CONFIDENTIAL

<u>UWPER006.</u>	<u>UWPER006: EMPLOYMENT INQUIRY FILES (UNSOLICITED APPLICATIONS)</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES APPLICANT MATERIALS RECEIVED BY ANYONE ON CAMPUS GENERALLY, AND NOT IN RESPONSE TO ANY PARTICULAR POSITION. MATERIALS MAY INCLUDE CIRRICULUM VITAE; LETTERS OF INQUIRY; AND LETTERS OF RECOMMENDATIONS. (SEE DEFINITION OF INTERNET APPLICANT IN SECTION H. DEFINITIONS)

RETENTION PERIOD:
ORIGINAL:
CAMPUS: EVT + 6 YEARS. EVT = DATE OF RECEIPT.
DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

<u>UWPER007.</u>	<u>UWPER007: FINAL POSITION LISTING (MADISON ONLY)</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES THE FINAL APPROVED VERSION OF THE PVL (THE POSITION DESCRIPTION) NOTING THE "RELEASED" STATUS AND DATE AND ACCOMPANYING DOCUMENTATION. THE PVL DESCRIBES THE POSITION WHICH IS BEING RECRUITED, INCLUDING INFORMATION REGARDING: EMPLOYING UNIT AND PAYROLL (FUNDING) SOURCE(S), POSITION TITLE, TYPE OF APPOINTMENT, SALARY LEVEL, DATES OF AVAILABILITY AND APPOINTMENT, POSITION DESCRIPTION AND QUALIFICATIONS, AND APPROVAL SIGNATURES.

RETENTION:
CAMPUS: EVT + 6 YEARS. EVT=DATE THAT POSITION IS FILLED.
COPIES: DESTROY ONCE ADMINISTRATIVE NEED HAS BEEN MET.
DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

<u>UWPER008.</u>	<u>UWPER008: RESUME / CV</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RESUME/CV ARE A COMPONENT OF THE OFFICIAL PERSONNEL FILE FOR ALL FACULTY, ACADEMIC STAFF AND LIMITED APPOINTEES.

RESUMES AND CVS SUBMITTED AS PART OF THE RECRUITMENT PROCESS WILL BE IN TAM IN THE HRS SYSTEM. TAM WILL HOLD THE INITIAL CV ONLY. UPDATED VERSIONS WILL STILL BE RESPONSIBILITY OF EMPLOYING UNITS.

RETENTION PERIOD:
CAMPUSES: RETAIN IN THE INDIVIDUAL'S PERSONNEL FILE. (SEE UWPER 001 FOR RETENTION.)
HRS-TEAM COPIES: RETAIN UNTIL THE RECRUITMENT PROCESS HAS CONCLUDED AND DESTROY.

<u>UWPER009.</u>	<u>UWPER009: ACTIVE / INACTIVE POSITIONS</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS IS AN HRS REPORT LISTING CLASSIFICATIONS AND OPEN POSITIONS BY DEPARTMENT. INSTITUTIONS CAN USE THIS REPORT FOR POSITION MANAGEMENT.

RETENTION:
CAMPUS: CR + 1 YEAR. CR = CREATION. DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

<u>UWPER010.</u>	<u>UWPER010: CRIMINAL BACKGROUND CHECKS - SUCCESSFUL</u>	<u>CR+7</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS OF CRIMINAL BACKGROUND CHECKS MADE OF UW EMPLOYEES AT THE TIME OF HIRE. THESE RECORDS INCLUDE, BUT ARE NOT LIMITED TO: (1) THE CONFIDENTIAL SELF-DISCLOSURE JOB APPLICATION SUPPLEMENTS; (2) THE CRIMINAL BACKGROUND CHECK REPORTS, WHICH ARE GENERATED BY PRIVATE VENDORS ON A CONTRACT BASIS, UNIVERSITY EMPLOYEES, OR EMPLOYEES OF THE WISCONSIN DEPARTMENT OF JUSTICE; (3) RECORDS CREATED AND RECEIVED BY THE UNIVERSITY EMPLOYEES WHO ARE RESPONSIBLE FOR MAKING HIRING DECISIONS, WHICH DOCUMENT THE DECISION-MAKING PROCESS FOR DETERMINING WHETHER AN APPLICANT'S CRIMINAL BACKGROUND IS SUBSTANTIALLY RELATED TO THE REQUIREMENTS OF THE EMPLOYMENT POSITION; AND (4) RECORDS RELATED TO NOTIFYING APPLICANTS OF A DECISION NOT TO HIRE, DUE TO THE SUBSTANTIAL RELATION OF THE APPLICANT'S CRIMINAL BACKGROUND AND THE REQUIREMENTS FOR THE EMPLOYMENT POSITION. ORIGINAL BACKGROUND CHECKS MAY BE RETAINED AS CONFIDENTIAL MATERIALS KEPT SEPARATELY FROM THE P-FILE.

RECORDKEEPING RESPONSIBILITY: THE MAINTENANCE OF THE RECORDS OF THE BACKGROUND CHECKS WILL REMAIN CAMPUS RESPONSIBILITY TO RETAIN. HRS MAY RECORD WHETHER OR NOT BACKGROUND CHECK HAS BEEN COMPLETED AND DESTROY AFTER 7 YEARS.

RETENTION: CR + 7 YEARS CR= CREATION

UWPER011. **UWPER011: CRIMINAL BACKGROUND CHECKS - UNSUCCESSFUL** **CR+7** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

RECORDS OF CRIMINAL BACKGROUND CHECKS MADE OF UW EMPLOYEES AT THE TIME OF HIRE. THESE RECORDS INCLUDE, BUT ARE NOT LIMITED TO: (1) THE CONFIDENTIAL SELF-DISCLOSURE JOB APPLICATION SUPPLEMENTS; (2) THE CRIMINAL BACKGROUND CHECK REPORTS, WHICH ARE GENERATED BY PRIVATE VENDORS ON A CONTRACT BASIS, UNIVERSITY EMPLOYEES, OR EMPLOYEES OF THE WISCONSIN DEPARTMENT OF JUSTICE; (3) RECORDS CREATED AND RECEIVED BY THE UNIVERSITY EMPLOYEES WHO ARE RESPONSIBLE FOR MAKING HIRING DECISIONS, WHICH DOCUMENT THE DECISION-MAKING PROCESS FOR DETERMINING WHETHER AN APPLICANT'S CRIMINAL BACKGROUND IS SUBSTANTIALLY RELATED TO THE REQUIREMENTS OF THE EMPLOYMENT POSITION; AND (4) RECORDS RELATED TO NOTIFYING APPLICANTS OF A DECISION NOT TO HIRE, DUE TO THE SUBSTANTIAL RELATION OF THE APPLICANT'S CRIMINAL BACKGROUND AND THE REQUIREMENTS FOR THE EMPLOYMENT POSITION. ORIGINAL BACKGROUND CHECKS MAY BE RETAINED AS CONFIDENTIAL MATERIALS KEPT SEPARATELY FROM THE P-FILE.

RECORDKEEPING RESPONSIBILITY: THE MAINTENANCE OF THE RECORDS OF THE BACKGROUND CHECKS WILL REMAIN CAMPUS RESPONSIBILITY TO RETAIN. HRS MAY RECORD WHETHER OR NOT A BACKGROUND CHECK HAS BEEN COMPLETED AND DESTROY AFTER 7 YEARS.

RETENTION: CR+7 YEARS CR=CREATION. CONFIDENTIALLY. PII/CONFIDENTIAL

UWPER012. **UWPER012: RECRUITMENT FILE** **CR+6** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS IS THE FINAL AD COPY FOR THE POSITION VACANCY ANNOUNCEMENT. FOR SOME RECRUITMENTS, WHERE FOREIGN NATIONAL APPLICANTS MAY APPLY AND A CAMPUS POLICY WOULD ALLOW FOR A LABOR CERTIFICATION (SUCH AS FACULTY RECRUITMENT) A FINAL PRINT AD COPY WILL BE NECESSARY.

THIS IS A PART OF THE RECRUITMENT FILE AND THE PRINT AD MAY BECOME A PART OF THE EMPLOYEE FILE IF APPLICABLE.

HRS: SOME RECRUITMENT INFORMATION MAY BE HELD IN TAM. IF SO, RETAIN 6 YEARS AND DELETE/DESTROY. (29 U.S.C. 626 AND 29 C.F.R. 1627.3(ADEA) AND 29 C.F.R. 1602.31 (TITLE VII OF THE CIVIL RIGHTS ACT OF 1964)

RETENTION:
CAMPUSES: CR + 6 YEARS. CR = CREATION. DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

UWPER013. **UWPER013: SEARCH AND SCREEN COMMITTEE RECORDS** **EVT+6** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES MINUTES, LISTS OF CANDIDATES AND NOMINEES, LISTS OF INTERVIEWEES, PRESS RELEASES AND OTHER PUBLICITY MATERIALS, POSITION DESCRIPTIONS, POSITION VACANCY ANNOUNCEMENTS, LIST OF SEARCH AND SCREEN COMMITTEE MEMBERS, LISTS OF COLLEAGUES AND PROFESSIONAL ORGANIZATIONS FROM WHICH NOMINATIONS MAY HAVE BEEN SOUGHT, SAMPLE LETTERS SENT TO APPLICANTS, SAMPLE QUESTIONS USED IN THE INTERVIEW PROCESS, REJECTED LETTERS OF OFFER AND ANY OTHER CORRESPONDENCE RELATED TO THE PROCESS. (29 U.S.C. 626 AND 29 C.F.R. 1627.3(ADEA) AND 29C.F.R. 1602.31(TITLE VII OF THE CIVIL RIGHTS ACT OF 1964)

NOTE: [SOME INSTITUTION ARCHIVES MAY CONSIDER SEARCH AND SCREEN COMMITTEE FILES FOR HIGHER LEVEL POSITIONS TO HAVE ARCHIVAL VALUE (DEAN POSITIONS AND HIGHER LEVELS OF ADMINISTRATION). EACH INSTITUTION WILL NEED TO MAKE THIS DETERMINATION WITH THE INVOLVEMENT OF THE INSTITUTION ARCHIVIST.

RETENTION:
ORIGINAL:

SAME LENGTH OF TIME IN THE SYSTEM AND/OR DATA WAREHOUSE AS THE CANDIDATE FILE. AFTER THE POSITION IS FILLED, IT IS THE INTENT THAT PART OF THE SUCCESSFUL CANDIDATES FILE WILL BE TRANSFERRED TO A P-FILE SOME OF THE ITEMS THAT CURRENTLY GO INTO A P-FILE THAT ARE CAPTURED IN TAM ARE: A CANDIDATES RESUME, THE INITIAL PD, THE CRIMINAL BACKGROUND CHECK DATE, AND THE CONTRACT/APPOINTMENT LETTER, ETC. A CAMPUS WILL PROBABLY NEED TO HAVE HARD COPIES OF THE DOCUMENTS GATHERED DURING RECRUITMENT PLACED IN A P-FILE, OR IF THE CAMPUS KEEPS ELECTRONIC P-FILES, THE DOCUMENTS WOULD BE COPIED INTO THE ELECTRONIC P-FILE. (29 U.S.C. 626 AND 29 C.F.R. 1627.3(ADEA) AND 29C.F.R. 1602.31(TITLE VII OF THE CIVIL RIGHTS ACT OF 1964)

RETENTION:
 CAMPUS-COMPLETE CANDIDATE FILE.
 HRS-SEE NOTE ABOVE.
 EVT + 6 YEARS. EVT=DATE THAT POSITION IS FILLED. DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

<u>UWPER018.</u>	<u>UWPER018: EMPLOYMENT ELIGIBILITY FORM (I-9)</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES THE FEDERALLY-REQUIRED FORMS THAT VERIFY EMPLOYMENT ELIGIBILITY AND EMPLOYEE IDENTITY. THE I-9 INCLUDES THE EMPLOYEE'S NAME, ADDRESS, BIRTH DATE, SOCIAL SECURITY NUMBER, VERIFICATION OF CITIZENSHIP, AND DATE AND SIGNATURE. ALSO INCLUDED IS A SECTION FOR THE EMPLOYER TO VERIFY THE DOCUMENTATION PRESENTED TO PROVE CITIZENSHIP AND EMPLOYMENT ELIGIBILITY. (8 U.S.C. 13249(A) IMMIGRATION AND NATIONALLY ACT)

RETENTION:
 CAMPUSES: DATE OF HIRE + ADDITIONAL 3 YEARS, OR DATE OF TERMINATION + ADDITIONAL 1 YEAR, WHICHEVER IS LATER, AND DESTROY. RETAIN THE FORM IN A SEPARATE FILE. DO NOT RETAIN COPIES.

<u>UWPER019.</u>	<u>UWPER019: HR FORMS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THESE FORMS INCLUDE: CREATE A POSITION, HIRE A PERSON (WITH A POSITION), HIRE A PERSON (WITHOUT A POSITION), ADD A PERSON, CHANGE A POSITION, JOB CHANGE (WITH A POSITION), JOB CHANGE (WITHOUT A POSITION), ADDITIONAL INFORMATION FOR STUDENT HELP, CHANGE A PERSON, VACATION OPTION ELECTION FORM, SELF-IDENTIFICATION FORM, EMERGENCY CONTACT FORM. THESE FORMS FUNCTION MUCH LIKE THE FORMER PERSONNEL ACTION FORMS IN THAT THEY AUTHORIZE CHANGES TO THE HRS SYTEM.

RETENTION:
 CAMPUSES: SIGNED ORIGINAL--RETAIN 2 YEARS AND DESTROY.
 COPIES: DESTROY UPON COMPLETION OF ADMINISTRATIVE NEED, NOT TO EXCEED TO 1 YEAR.
 DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

<u>UWPER020.</u>	<u>UWPER020: BOARD OF REGENTS LIMITED TITLE EMPLOYEE REPORTS, 200!</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS REPORT SUPPORTS THE LEGISLATIVE AUDIT BUREAU REPORTING REQUIREMENT WITH REGARD TO LIMITED TITLE APPOINTEES, THEIR CONCURRENT APPOINTMENT INFORMATION IF ANY, DURATION AND CONTRACT REQUIREMENTS IN THE UW SYSTEM. THE POLICY ON USE OF LIMITED TITLE APPOINTMENTS CAN BE FOUND AT: [HTTP://WWW.UWSA.EDU/HR/UPGS/UPG02.PDF](http://www.uwsa.edu/hr/upgs/upg02.pdf). THE DATA IS ORGANIZED BY CAMPUS AND EDITED BY UW SYSTEM PERSONNEL OFFICE. IT IS SUBMITTED TO THE BOR IN DECEMBER. THE BOR FORWARDS TO THE JOINT LEGISLATIVE AUDIT COMMITTEE IN JANUARY. (THIS RECORD SERIES INCLUDES THE LTE MONITORING REPORT GENERATED FROM THE HRS SYSTEM.)

THE REPORT BEGAN SUBSEQUENT TO THE PASSING OF REGENTS RESOLUTION 9091 ON NOVEMBER 11, 2005.

RETENTION: CR + 5 YEARS DESTROY CONFIDENTIALLY. PII

<u>UWPER021.</u>	<u>UWPER021: FTE (FULL TIME EQUIVALENT) EMPLOYEE MONITORING REPOR</u>	<u>FIS+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS REPORTS EMPLOYEES WHOSE COMBINED JOBS TOTAL MORE THAN 1.0 FTE. FREQUENTLY, THESE ARE STAFF POSITIONS THAT FOR EXAMPLE, ARE TEACHING A CLASS IN ADDITION TO THEIR NORMAL JOB DUTIES. THIS REPORT MAY ALSO BE USED TO DISCOVER ERRANT ENTRY WITHIN THE APPOINTMENT SYSTEM REQUIRING HR TO MAKE DATA CORRECTIONS.

RETENTION: FIS+6 YEARS. FIS=FISCAL YEAR
 (THIS IS IN AGREEMENT WITH FISCAL/ACCT GRS RETENTION RECOMMENDATION FOR PAYMENTS TO INDIVIDUALS.)
 DESTROY CONFIDENTIALLY. PII

<u>UWPER022.</u>	<u>UWPER022: HRS SYSTEM ROUTINE AUDIT - ERROR REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

** FOR USE BY UW STAFF ONLY **

THE HRS SYSTEM PRODUCES A NUMBER OF AUDIT-ERROR REPORTS THAT ARE USED TO VERIFY DATA ENTRY, UPDATES TO TABLES, AND OTHER ROUTINE CHANGES TO THE SYSTEM. THESE REPORTS HAVE REFERENCE VALUE ONLY. FOR EXAMPLE: EMPLOYEES MISSING HIRE DATE

RETENTION: ADMINISTRATIVE NEED NOT TO EXCEED 6 MONTHS
DESTROY CONFIDENTIALLY. PII

<u>UWPER023.</u>	<u>UWPER023: HRS ADMINSTRATIVE REFERENCE REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

HRS (PEOPLESOFT) PROVIDES UW INSTITUTIONS AND EMPLOYING UNITS WITH THE ABILITY TO PRODUCE A VARIETY OF ADMINISTRATIVE REPORTS (INCLUDING QUERIES TO THE HRS SYSTEM) GENERATED FOR REFERENCE PURPOSES ONLY TO SUPPORT ROUTINE HR ACTIVITIES. THESE HRS REPORTS ARE GENERATED BY THE EMPLOYING UNIT, BUT NOT DISTRIBUTED. (EXAMPLES: CLASSIFIED PROBATIONARY REPORT, SENIORITIY REPORTS, LISTS OF EMPLOYEES IN CLASSIFIED PROJECT STATUS, NEW HIRES REPORT, PASSPORT VISA EXPIRATION REPORT, RESEARCH ASSISTANT/PROJECT ASSISTANT/TEACHING ASSISTANT REPORTS) (NOTE: SOME OF THESE REPORTS WILL BE GENERATED CENTRALLY AND DISTRIBUTED VIA CYPRES SUCH AS THE CLASSIFIED PROBATION REPORT.)

RETENTION:
CAMPUSES: DELETE ONCE ADMINISTRATIVE REFERENCE VALUE HAS CONCLUDED.
DESTROY CONFIDENTIALLY. PII

<u>UWPER024.</u>	<u>UWPER024: UNION MEMBERSHIP LISTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

MEMBERSHIP LISTS GENERATED FOR UNIONS REPRESENTING CERTAIN CATEGORIES OF UNCLASSIFIED EMPLOYEES.

RETENTION:
HRS: RETAIN UNTIL SUPERSEDED.
DESTROY CONFIDENTIALLY. PII

<u>UWPER025.</u>	<u>UWPER025: EMERGENCY CONTACT INFORMATION</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE INFORMATION THAT WOULD BE CAPTURED IN THE HRS WOULD INCLUDE: CONTACT NAME, PHONE NUMBER, ADDRESS AS WELL AS THE ABILITY TO DESIGNATE A PERSON AS THE PRIMARY EMERGENCY CONTACT AND THE ABILITY TO HAVE MULTIPLE NAMES LISTED. (MAY INCLUDE PHYSICIAN NAME) THIS IS HRS FEATURE IS ONE CAMPUSES CAN CHOOSE TO USE OR NOT.

RETENTION:
CAMPUSES: RETAIN UNTIL SUPERSEDED. DESTROY CONFIDENTIALLY. PII

<u>UWPER026.</u>	<u>UWPER026: PRIMARY JOB AUDIT</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

PRIMARY JOB AUDIT-THIS REPORT WILL BE USED BY HR AND BENEFITS STAFF TO ENSURE THAT THE "PRIMARY" JOB IS ASSOCIATED WITH THE EMPLOYEE RECORD IN HRS THAT WILL ENSURE THE GREATEST BENEFIT ELIGIBILITY. EX: IF A LECTURER HOLDS TWO CONCURRENT POSITIONS, ONE A FIXED TERMINAL 40% JB AND THE OTHER A FIXED RENEWABLE AS JOB AT 60% THE PRIMARY JOB SHOULD BE ASSIGNED TO THE FIXED RENEWABLE POSITION.

(NOTE: THIS IS A REFERENCE REPORT. BENEFITS HAS A SIMILAR REPORT THAT WILL REQUIRE ACTION ON THE PART OF THE SC OR INSTITUTIONS)

RETENTION:
CAMPUSES: CR + 3 YEARS. CR = CREATION.
HRS: CR + 3 YEARS. CR = CREATION
DESTROY CONFIDENTIALLY. PII

<u>UWPER027.</u>	<u>UWPER027: INCOMPATIBLE DUTIES LOG</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS HRS REPORT SHOWS STAFF S THAT HAVE INCOMPATIBLE ADMINISTRATIVE DUTIES SUCH AS ADDING EMPLOYEES TO HRS AS WELL AS SIGNING TIMESHEET. THIS IS A CRITICAL DOCUMENT FOR SYSTEMS AUDIT.

RETENTION:
HRS: CR + 3 YEARS. CR = CREATION.
DESTROY CONFIDENTIALLY. PII

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

UWPER032. **UWPER032: STUDENT EVALUATIONS AND SUMMARIES - TENURED FACULTY** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF STATISTICAL AND/OR NARRATIVE EVALUATION FORMS AND SUMMARIES COMPLETED BY STUDENTS CONCERNING THE TEACHING PERFORMANCE OF INDIVIDUAL FACULTY OR ACADEMIC STAFF. STUDENT EVALUATION INFORMATION CAN BE USED TO SUPPORT TENURE APPLICATION AS WELL AS ACADEMIC STAFF INDEFINITE APPOINTMENT.

RETENTION:

CAMPUSES:

FOR FACULTY AND ACADEMIC STAFF, TRANSFER A COPY OF EVALUATION SUMMARIES TO THE INDIVIDUAL'S OFFICIAL P-FILE IF SUCH IS PREPARED.

IF NO SUMMARIES ARE PREPARED THEN EVALUATIONS MUST BE RETAINED ACCORDING TO THE SCHEDULE OUTLINED BELOW:

EVT + 5 YEARS. EVT = DATE OF END OF SEMESTER IN WHICH EVALUATIONS WERE COMPLETED.

NOTE: IF SUMMARIES HAVE BEEN PREPARED ON ALL OF THE ABOVE, THE ACTUAL EVALUATIONS NEED ONLY BE RETAINED 6 MONTHS AND DESTROY.

DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

UWPER033. **UWPER033: STUDENT EVALUATIONS AND SUMMARIES - PROBATIONARY F.** **EVT+6** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF STATISTICAL AND/OR NARRATIVE EVALUATION FORMS AND SUMMARIES COMPLETED BY STUDENTS CONCERNING THE TEACHING PERFORMANCE OF INDIVIDUAL FACULTY OR ACADEMIC STAFF. STUDENT EVALUATION INFORMATION CAN BE USED TO SUPPORT TENURE APPLICATION AS WELL AS ACADEMIC STAFF INDEFINITE APPOINTMENT.

RETENTION:

CAMPUSES:

FOR FACULTY AND ACADEMIC STAFF, TRANSFER A COPY OF EVALUATION SUMMARIES TO THE INDIVIDUAL'S OFFICIAL P-FILE IF SUCH IS PREPARED.

IF NO SUMMARIES ARE PREPARED THEN EVALUATIONS MUST BE RETAINED ACCORDING TO THE SCHEDULE OUTLINED BELOW:

EVT + 6 YEARS. EVT = DATE OF END OF TENURE REVIEW PROCESS

NOTE: IF SUMMARIES HAVE BEEN PREPARED ON ALL OF THE ABOVE, THE ACTUAL EVALUATIONS NEED ONLY BE RETAINED 6 MONTHS AND DESTROY.

DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

UWPER034. **UWPER034: STUDENT EVALUATIONS AND SUMMARIES - ACADEMIC STAFF** **EVT+2** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF STATISTICAL AND/OR NARRATIVE EVALUATION FORMS AND SUMMARIES COMPLETED BY STUDENTS CONCERNING THE TEACHING PERFORMANCE OF INDIVIDUAL FACULTY OR ACADEMIC STAFF. STUDENT EVALUATION INFORMATION CAN BE USED TO SUPPORT TENURE APPLICATION AS WELL AS ACADEMIC STAFF INDEFINITE APPOINTMENT.

RETENTION:

CAMPUSES:

FOR FACULTY AND ACADEMIC STAFF, TRANSFER A COPY OF EVALUATION SUMMARIES TO THE INDIVIDUAL'S OFFICIAL P-FILE IF SUCH IS PREPARED.

IF NO SUMMARIES ARE PREPARED THEN EVALUATIONS MUST BE RETAINED ACCORDING TO THE SCHEDULE OUTLINED BELOW:

EVT + 2 YEARS. EVT = DATE OF END OF SEMESTER IN WHICH EVALUATIONS WERE COMPLETED.

NOTE: IF SUMMARIES HAVE BEEN PREPARED ON ALL OF THE ABOVE, THE ACTUAL EVALUATIONS NEED ONLY BE RETAINED 6 MONTHS AND DESTROY.

DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

UWPER035. **UWPER035: PERFORMANCE REVIEWS INCLUDING MERIT REVIEW AND RES** **CR** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF INDIVIDUAL WRITTEN REVIEWS OF STAFF PERFORMANCES.

RETENTION:
 CAMPUSES: TRANSFER TO THE INDIVIDUAL'S OFFICIAL P-FILE.
 COPIES: DESTROY WHEN NO LONGER NEEDED.
 DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

<u>UWPER036.</u>	<u>UWPER036: REQUESTS FOR AUTHORIZATION TO REIMBURSE EMPLOYEE F</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF REQUEST FORMS USED BY AN EMPLOYEE SEEKING AUTHORIZATION TO OBTAIN REIMBURSEMENT FOR COURSE WORK AND OTHER TRAINING. THEY LIST THE TYPE OF COURSE, EDUCATIONAL STATUS OF EMPLOYEE, AMOUNT OF WORK TIME TO BE USED, EMPLOYEE SIGNATURE AND DATE. A PORTION OF THE FORM IS COMPLETED BY THE INDIVIDUAL'S SUPERVISOR OR CHAIRPERSON AND DETAILS WHETHER COURSE WORK IS JOB RELATED, WHETHER COURSE WORK IS REQUIRED, APPROVAL SIGNATURES AND DATES. THE FORM ALSO CONTAINS A PROVISION FOR CERTIFYING SUCCESSFUL COMPLETION OF THE COURSE.

RETENTION:
 CAMPUSES: EVT + 4 YEARS. EVT = DATE OF REIMBURSEMENT.
 COPIES: DESTROY WHEN NO LONGER NEEDED.
 DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

<u>UWPER037.</u>	<u>UWPER037: SABBATICAL LEAVE DOCUMENTATION</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF RECORDS RELATING TO APPLICATIONS BY FACULTY OR ACADEMIC STAFF FOR SABBATICAL LEAVE. RECORDS MAY INCLUDE THE FOLLOWING ITEMS: ABBREVIATED CURRICULUM VITAE, DESCRIPTION OF THE PROPOSED SABBATICAL THAT INCLUDES THE PURPOSE OF THE LEAVE, THE ACTIVITIES UNDERTAKEN, A LIST OF ANTICIPATED BENEFITS TO THE DEPARTMENT, PROGRAM, SCHOOL OR COLLEGE, AND A LIST OF GRANTS AND/OR PENDING AWARDS TO BE USED TOWARDS THE SABBATICAL.

RETENTION:
 ORIGINALS:
 PROVOST'S OFFICE MAINTAINS EVT = 6 YEARS. EVT = FROM DATE OF FINAL DECISION ON SABBATICAL
 COPIES: TRANSFER A COPY OF THE SABBATICAL PROPOSAL TO THE INDIVIDUAL'S OFFICIAL P-FILE.
 DESTROY CONFIDENTIALLY. PII/CONFIDENTIAL

<u>UWPER038.</u>	<u>UWPER038: NOTICE OF SABBATICAL AWARD</u>	<u>CR</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF LETTERS FROM THE CHANCELLOR NOTIFYING THE FACULTY OF ACADEMIC STAFF MEMBER OF HIS/HER SABBATICAL AWARD AFTER APPROVAL OR DISAPPROVAL BY THE BOARD OF REGENTS.

RETENTION:
 CAMPUSES: TRANSFER ONE COPY TO THE INDIVIDUAL'S OFFICIAL P-FILE.
 PII/CONFIDENTIAL

ARCHIVAL VALUE:
 THE DETERMINATION OF ARCHIVAL VALUE OF OFFICIAL PERSONNEL FILES WILL BE MADE BY EACH INSTITUTIONAL ARCHIVIST.

<u>UWPER039.</u>	<u>UWPER039: SABBATICAL LEAVE LISTING</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

LIST SENT TO EACH CAMPUS WITH THE NAMES OF FACULTY WITH APPROVED SABBATICAL LEAVES.

RETENTION:
 CAMPUSES: RETAIN 6 YEARS AND DESTROY/DELETE CONFIDENTIALLY.
 PII/CONFIDENTIAL

<u>UWPER040.</u>	<u>UWPER040: NAMED PROFESSORSHIPS AND OTHER UNIVERSITY GRANTED</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF INDIVIDUAL FILES ON FACULTY MEMBERS NOMINATED AND AWARDED A NAMED PROFESSORSHIP. RECORDS MAY INCLUDE: LETTERS OF NOMINATION, CURRICULUM VITAE, COPY OF THE NOTIFICATION OF AWARD OR NON-AWARD, CORRESPONDENCE AND OTHER BACKGROUND INFORMATION.

RETENTION:

ORIGINALS: NOTICE OF AWARD TO TRANSFER TO THE INDIVIDUAL'S OFFICIAL P-FILE.

FILES: RETAIN 6 YEARS AND DESTROY CONFIDENTIALLY.

PII/CONFIDENTIAL

ARCHIVAL VALUE: THE DETERMINATION OF ARCHIVAL VALUE OF OFFICIAL PERSONNEL FILES WILL BE MADE BY EACH INSTITUTIONAL ARCHIVIST.

<u>UWPER041.</u>	<u>UWPER041: EMERITUS OR DISTINGUISHED SERVICE RECOGNITION</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF LETTERS FROM THE CHANCELLOR CONFERRING EMERITUS OR DISTINGUISHED SERVICE RECOGNITION.

RETENTION:

COPIES: TRANSFER ONE COPY TO THE INDIVIDUAL'S OFFICIAL P-FILE.

FILES: RETAIN 6 YEARS AND DESTROY CONFIDENTIALLY

PII/CONFIDENTIAL

ARCHIVAL VALUE: THE DETERMINATION OF ARCHIVAL VALUE OF OFFICIAL PERSONNEL FILES WILL BE MADE BY EACH INSTITUTIONAL ARCHIVIST.

<u>UWPER042.</u>	<u>UWPER042: NON-RENEWAL DOCUMENTATION</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES RECORDS RELATING TO INCIDENTS WHERE A FACULTY OR ACADEMIC STAFF MEMBER FAILS TO HAVE HIS/HER APPOINTMENT RENEWED. RECORDS MAY INCLUDE NOTICE OF NON-RENEWAL FROM THE EMPLOYEE'S SUPERVISOR, DEPARTMENT OR DEAN OR ADMINISTRATIVE OFFICER MAKING THE DECISION, REASONS FOR NON-RENEWAL, IF PROVIDED, WRITTEN REQUEST FOR FULL REVIEW OR APPEAL; RECORDS OF AN APPEAL IF ONE IS CONDUCTED, AND ANY REPORT TO THE DEAN OR CHANCELLOR.

RETENTION:

ACADEMIC STAFF: A COPY OF THE NOTICE OF NONRENEWAL AND REASONS, IF ANY, MUST BE PLACED IN THE INDIVIDUAL'S OFFICIAL P-FILE.

DEAN/DIVISION HEAD: A COPY OF THE NOTICE OF NONRENEWAL AND REASONS, IF ANY, MUST BE PLACED IN THE INDIVIDUAL'S OFFICIAL P-FILE.

FACULTY: A COPY OF THE NOTICE OF NONRENEWAL AND REASONS, IF ANY, MUST BE PLACED IN THE INDIVIDUAL'S OFFICIAL P-FILE.

HEARING BODY OR COMMITTEE RECORDS: EVT + 6 YEARS EVT=DATE OF FINAL DECISION.

PII/CONFIDENTIAL

<u>UWPER043.</u>	<u>UWPER043: LAYOFF DOCUMENTATION</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF RECORDS RELATING TO THE PROCESS BY WHICH A FACULTY OR ACADEMIC STAFF MEMBER IS LAID OFF FROM HIS/HER POSITION. RECORDS MAY INCLUDE NOTICE OF PENDING LAYOFF DUE TO FINANCIAL EMERGENCY (FACULTY) OR FUNDING OR PROGRAM REDIRECTION (ACADEMIC STAFF), HEARING TRANSCRIPTS AND OTHER EVIDENCE AND RECOMMENDATIONS FROM THE COMMITTEE ON FACULTY RIGHTS AND RESPONSIBILITIES OR OTHER APPROPRIATE HEARING BODY.

RETENTION:

CAMPUSES: EVT + 6 YEARS. EVT = DATE OF FINAL DECISION

HEARING BODY OR COMMITTEE: RETAIN ALL RECORDS FOR 6 YEARS FROM THE DATE OF FINAL DECISION AND DESTROY.

COPIES: TRANSFER A COPY OF THE LAYOFF NOTICE TO THE INDIVIDUAL'S OFFICIAL P-FILE.

ARCHIVAL VALUE:

THE DETERMINATION OF ARCHIVAL VALUE OF OFFICIAL PERSONNEL FILES WILL BE MADE BY EACH INSTITUTIONAL ARCHIVIST.

PII/CONFIDENTIAL

<u>UWPER044.</u>	<u>UWPER044: LETTERS OF RESIGNATION / RETIREMENT</u>	<u>CR</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES CONTAINS LETTERS OF RETIREMENT.

THIS SERIES INCLUDES RECORDS RELATING TO GRIEVANCES FILED AGAINST TEACHING ASSISTANTS AND PROGRAM ASSISTANTS. RECORDS MAY INCLUDE GRIEVANCE FORMS TOGETHER WITH WRITTEN RESPONSES AND RELATED CORRESPONDENCE FILED WITH THE DEPARTMENT CHAIRPERSON (STEP ONE); DEAN/DIRECTOR (STEP TWO); OR CHANCELLOR OR DESIGNEE (STEP THREE).

RETENTION:

RETAIN 6 YEARS FROM DATE OF FINAL DECISION AND TRANSFER TO ARCHIVES.

COPIES: DEANS OR DIVISION HEADS POSSESSING COPIES SHALL RETAIN FROM DATE OF FINAL DECISION + ADDITIONAL 6 YEARS, AND DESTROY CONFIDENTIALLY.

PII/CONFIDENTIAL

ARCHIVAL VALUE:

THE DETERMINATION OF ARCHIVAL VALUE OF OFFICIAL PERSONNEL FILES WILL BE MADE BY EACH INSTITUTIONAL ARCHIVIST.

<u>UWPER051.</u>	<u>UWPER051: VOLUNTEER LETTERS AND SUPPORTING DOCUMENTATION</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES RECORDS RELATING TO VOLUNTEER LETTERS. UNIVERSITY DEPARTMENTS UTILIZING VOLUNTEERS ARE REQUIRED TO PROVIDE THE VOLUNTEER WITH A LETTER DOCUMENTING THE CONDITIONS OF THE RELATIONSHIP TO THE DEPARTMENT SUCH AS THE PERIOD OF TIME, ANTICIPATED HOURS, AND BRIEF DESCRIPTION OF RESPONSIBILITIES/ACTIVITIES. VOLUNTEERS ARE TO BE PROVIDED A COPY OF THE CAMPUS FAQ ON VOLUNTEER STATUS AT THE UNIVERSITY. IF THE VOLUNTEER ACTIVITIES ARE SUCH THAT A BACKGROUND CHECK IS NEEDED/REQUIRED, A COPOY OF IT SHOULD BE RETAINED WITH THE COPY OF 21 THE VOLUNTEER LETTER. NOTE: THIS RECORD SERIES MAY BE MAINTAINED BY INSTITUTION RISK MANAGEMENT OFFICES.

RETENTION:

CAMPUSES: EVT = 6 YEARS EVT = DATE OF TERMINATION OF RELATIONSHIP AND DESTROY CONFIDENTIALLY.

PII/CONFIDENTIAL

<u>UWPER052.</u>	<u>UWPER052: EMPLOYEES IN TRAINING PERSONNEL FILE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES RECORDS RELATING TO EMPLOYEES IN TRAINING, FELLOWSHIPS, AND POSTGRADUATE ASSOCIATES. RECORDS MAY INCLUDE APPLICATION FORM AND SUPPORTING DOCUMENTATION IF REQUIRED OR REQUESTED, LETTERS OF RECOMMENDATION, LETTER OF APPOINTMENT OR AWARD, LISTS OF AWARDS AND GRANTS, POSITION DESCRIPTION OR DESCRIPTION OF PROJECT RESPONSIBILITIES, LETTER OF TERMINATION OR RESIGNATION. NOTE THAT OFFICES SHOULD NOT RETAIN STUDENT ACADEMIC INFORMATION IN THESE FILES.

RETENTION:

CAMPUSES: EVT + 6 YEARS. EVENT = DATE OF TERMINATION OF EMPLOYMENT AND DESTROY CONFIDENTIALLY.

PII/CONFIDENTIAL

<u>UWPER053.</u>	<u>UWPER053: EMPLOYEE MEDICAL INFORMATION</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES RECORDS RELATING TO AN EMPLOYEE'S MEDICAL STATUS. RECORDS MAY INCLUDE SUCH ITEMS AS ADA ACCOMMODATION, PSYCHOLOGICAL PROFILE, AND ANY OTHER HEALTH-RELATED DOCUMENTATION ON AN EMPLOYEE. THIS INFORMATION MUST BE MAINTAINED SEPARATELY FROM THE INDIVIDUAL PERSONNEL FILE AS PER 29 CFR 1630.14(B)(1).

RETENTION:

ORIGINAL: EVT + 6 YEARS. EVENT = DATE OF TERMINATION OF EMPLOYMENT AND DESTROY CONFIDENTIALLY.

PII/CONFIDENTIAL

<u>UWPP1000.</u>	<u>UWPP100: PARKING SERVICES ANNUAL REPORT</u>	<u>CR+5</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

ANNUAL REPORT OF THE ACTIVITIES OF THE CAMPUS PARKING SERVICES.

RETENTION PERIOD

ORIGINAL: CR + 5 FISCAL YEARS (EVT = CREATION)

COPIES: DO NOT RETAIN DUPLICATES LONGER THAN ORIGINAL

DISPOSITION: TRANSFER TO UNIVERSITY ARCHIVES

PII: NO

CONFIDENTIAL: NO

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

UWPP1010. **UWPP101: PARKING DIRECTOR'S CORRESPONDENCE AND ADMINISTRATIV** **CR+5** **UW-TRANS** **N**

** FOR USE BY UW STAFF ONLY **

CORRESPONDENCE AND FILES OF THE DIRECTOR OF PARKING SERVICES WHICH MAY CONTAIN INFORMATION OF LONG-TERM VALUE - SUCH AS PLANNING MATERIALS FOR NEW PARKING AREAS, POLICY INFORMATION, AND ADMINISTRATIVE MATTERS. FILES MAY INCLUDE CAMPUS PARKING OVERSIGHT COMMITTEE MATERIALS.

NOTE: SOME INSTITUTIONS MAY CONSIDER SOME OR ALL OF THESE RECORDS TO HAVE ARCHIVAL VALUE; CONSULT YOUR INSTITUTION'S ARCHIVES FOR ADDITIONAL INFORMATION.

RETENTION TIME PERIOD
ORIGINAL: CR + 5 YEARS (EVT = CREATION)
COPIES: DO NOT RETAIN DUPLICATE LONGER THAN ORIGINAL
DISPOSITION: DESTROY OR TRANSFER TO ARCHIVES PER INSTITUTIONAL POLICY
PII: NO
CONFIDENTIAL: NO

UWPP1020. **UWPP102: PARKING PERMIT REGISTRATION FORMS** **FIS+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

FORMS CONTAINING INFORMATION NEEDED TO REGISTER A VEHICLE FOR PARKING ON CAMPUS. THEY WILL INCLUDE NAME AND ADDRESS OF THE VEHICLE OWNER. THEY MAY INCLUDE INFORMATION FOR PAYROLL DEDUCTION OF FEES, CAMPUS PARKING ASSIGNMENTS, AND CAMPUS IDENTIFICATION NUMBERS. PERSONS MAY INCLUDE, BUT ARE NOT LIMITED TO, STUDENTS, STAFF, OR GUESTS.

RETENTION TIME PERIOD
ORIGINALS: CURRENT YEAR + 5 FISCAL YEARS
COPIES: DO NOT RETAIN DUPLICATES LONGER THAN ORIGINAL
DISPOSITION: DESTROY CONFIDENTIAL
PII: YES
CONFIDENTIAL: NO

UWPP1030. **UWPP103: PARKING CITATIONS** **CR+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

OFFICIAL COPIES OF CITATIONS FOR PARKING VIOLATIONS ON CAMPUS. FORMAT MAY BE PAPER OR ELECTRONIC.

RETENTION TIME PERIOD
ORIGINAL: CR + 5 YEARS (EVT = CREATION)
COPIES: DO NOT RETAIN DUPLICATES LONGER THAN ORIGINAL
DISPOSITION: DESTROY CONFIDENTIAL
PII: YES
CONFIDENTIAL: NO

NOTE: WHILE THIS SERIES IS SUBJECT TO LEGAL AND OPEN RECORDS REQUESTS, IT SHOULD BE MANAGED IN SUCH A WAY THAT CONFIDENTIALITY OF INFORMATION IS OTHERWISE MAINTAINED

UWPP1040. **UWPP104: PARKING CITATION APPEALS** **FIS+6** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

CORRESPONDENCE APPEALING PARKING VIOLATIONS AND REQUESTING WAIVER OF FEES AND/OR OTHER PENALTIES. FORMAT MAY BE PAPER OR ELECTRONIC.

RETENTION TIME PERIOD
ORIGINAL: DATE OF CITATION PAYMENT OR CLOSURE + 6 FISCAL YEARS
COPIES: DO NOT RETAIN DUPLICATES LONGER THAN ORIGINAL
DISPOSITION: DESTROY CONFIDENTIAL
PII: YES
CONFIDENTIAL: NO

UWPP1050. **UWPP105: PARKING WAIT LISTS** **EVT** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

LISTS OF PERSONS WAITING FOR ASSIGNED PARKING SPACES. FORMAT MAY BE PAPER OR ELECTRONIC.

RETENTION TIME PERIOD
ORIGINAL: CURRENT LIST
COPIES: DO NOT RETAIN DUPLICATES LONGER THAN ORIGINAL

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

** FOR USE BY UW STAFF ONLY **

LISTS OF THOSE UNIVERSITY EMPLOYEES WHO HAVE ACCESS CARDS AND/OR KEYS FOR UNIVERSITY FACILITIES AND THOSE WHO HAVE OFFICIAL IDENTIFICATION (I.E. NAME BAGES, UNIVERSITY PHOTO IDENTIFICATION CARDS). EMPLOYEES SHALL REPORT MISSING CARDS/KEYS AND/OR IDENTIFICATION AS NEEDED AND SHALL SURRENDER SUCH ITEMS AT THE END OF EMPLOYMENT. FORMAT MAY BE A PAPER OR ELECTRONIC.

RETENTION TIME PERIOD
ORIGINAL: CURRENT LIST
COPIES: DO NOT RETAIN DUPLICATES LONGER THAN ORIGINAL
DISPOSITION: RETAIN FOR 6 MONTHS AFTER (EVENT) DATE THE CARD/KEY IS RETURNED OR REPORTED LOST;
DESTROY
PII: YES
CONFIDENTIAL: NO

UWPP2090. **UWPP209: FIELD TRAINING FILES** **EVT+7** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

FIELD TRAINING IS A REQUIREMENT OF ALL NEW EMPLOYEES AND CONDUCTED DURING THEIR PROBATIONARY PERIODS. IF THE FIELD TRAINING IS NOT COMPLETED SUCCESSFULLY, THE INDIVIDUAL IS TERMINATED. THE CONTENT OF THE FIELD TRAINING IS PART OF THE NATIONAL FIELD TRAINING PROGRAM USED BY MANY LAW ENFORCEMENT AGENCIES. IT IS A TWELVE WEEK PROCESS. UW POLICE POLICY STATES THAT SUCCESSFUL CANDIDATES FOR STAFF POSITIONS OF UW POLICE FORCES MUST MEET THE STANDARDS OF THE TRAINING PROGRAM. FILES ARE MAINTAINED ON BOTH SUCCESSFUL AND UNSUCCESSFUL CANDIDATES. TRAINING FILES OF SUCCESSFUL CANDIDATES ARE NOT INCLUDED IN THEIR OFFICIAL PERSONNEL FILES.

RETENTION TIME PERIOD
ORIGINAL: EVT+7 YEARS (EVT = DATE OF TERMINATION)
COPIES: DO NOT RETAIN DUPLICATES LONGER THAN ORIGINAL
DISPOSITION: DESTROY CONFIDENTIAL
PII: YES
CONFIDENTIAL: YES (UWADM 014)

UWPP2100. **UWPP210: CLERY ACT REPORT FILES** **CR+7** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

THIS SERIES CONSISTS OF INFORMATION COMPLIED FOR CLERY ACT FOR HIGHER EDUCATION (20 U.S.C. 1092(F)) REPORTS. IT INCLUDES A DAILY OCCURRENCE LOG THAT DESCRIBES CASE #, DATE/TIME, CASE TYPE, LOCATION, ADDRESS, STATUS AND OCCURRENCE AND OTHER DOCUMENTS USED IN THE PREPARATION OF THE ANNUAL REPORT. OFFICIAL COPY MAY BE CREATED AND/OR HELD AT A HIGHER ADMINISTRATIVE LEVEL.

RETENTION TIME PERIOD
ORIGINAL: CR + 7 YEARS (CREATION)
COPIES: DO NOT RETAIN DUPLICATES LONGER THAN ORIGINAL
DISPOSITION: DESTROY DAILY LOGS. ANNUAL REPORTS SHOULD BE OFFERED TO THE UNIVERSITY ARCHIVES.
PII: NO
CONFIDENTIAL: NO

UWPP2110. **UWPP211: UNIFORM CRIME REPORTS** **CR+3** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

MONTHLY STATISTICAL REPORT SENT TO THE WISCONSIN DEPARTMENT OF JUSTICE, WHICH COMPILES A STATE REPORT THAT IS SENT TO THE U.S. OFFICE OF JUSTICE STATISTICS.

RETENTION TIME PERIOD
ORIGINAL: CR+3 YEARS (CREATION)
COPIES: THOSE HELD BY OTHER CAMPUS OFFICES MAY BE DESTROYED WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES.
DISPOSITION: DESTROY
PII: NO
CONFIDENTIAL: NO

UWRES001. **UWRES001: HOUSING POLICY AND ADMINISTRATION RECORDS** **CR+5** **UW-TRANS** **Y**

THIS SERIES CONSISTS OF, BUT IS NOT LIMITED TO, RECORDS PERTAINING TO POLICY AND PROCEDURE DEVELOPMENT AND IMPLEMENTATION, SPECIAL EVENTS RECORDS, SURVEYS INCLUDING THE EBI AND NSLLP SURVEYS, QUESTIONNAIRES, PLANNING CALENDARS, STAFF PROCEDURAL MANUALS, ORGANIZATIONAL CHARTS, RESIDENCE HALLS PROFESSIONAL ASSOCIATION DOCUMENTATION, AND VARIOUS ADMINISTRATIVE RECORDS GENERATED TO REVIEW AND EVALUATE INFORMATION FROM HOUSING DEPARTMENTS/AREAS. THESE FILES MAY BE IN A PAPER FORMAT OR CREATED AND STORED ELECTRONICALLY.

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

<u>UWRES011.</u>	<u>UWRES011: FOOD COST & USAGE RECORDS</u>	<u>FIS+3</u>	<u>DEST</u>	<u>N</u>
** FOR USE BY UW STAFF ONLY **				
THESE RECORDS INCLUDE, BUT ARE NOT LIMITED TO FOOD COST AND FOOD USAGE REPORTS BASED ON INVENTORIES AND PURCHASES, MEAL COUNTS, AND AVERAGE MEAL COSTS.				
RETENTION TIME PERIOD ORIGINAL: FY + 3 YEARS (FISCAL YEAR) COPIES: DO NOT RETAIN DUPLICATES LONGER THAN ORIGINAL DISPOSITION: DESTROY				
<u>UWRES012.</u>	<u>UWRES012: CATERING RECORDS</u>	<u>FIS+4</u>	<u>DEST</u>	<u>N</u>
** FOR USE BY UW STAFF ONLY **				
THIS SERIES INCLUDES RECORDS FOR CATERING TO UNIVERSITY DEPARTMENTS AND AFFILIATES, AND CONFERENCE GUESTS. THESE RECORDS INCLUDE, BUT ARE NOT LIMITED TO COPIES OF BILLING INVOICES, PAYMENT REPORTS, YEAREND SUMMARY, ACCOUNTS RECEIVABLES, MENUS AND PRODUCTION RECORDS FOR EVENTS, TIME/TEMPERATURE LOGS FOR MENU ITEMS FOR EVENTS.				
RETENTION TIME PERIOD ORIGINAL: FY + 4 YEARS (FISCAL YEAR) COPIES: DO NOT RETAIN DUPLICATES LONGER THAN ORIGINAL DISPOSITION: DESTROY				
<u>UWRES013.</u>	<u>UWRES013: SAFETY INSPECTIONS</u>	<u>FIS+2</u>	<u>DEST</u>	<u>N</u>
** FOR USE BY UW STAFF ONLY **				
THIS RECORD SERIES INCLUDES RECORDS CREATED THROUGH SANITATION, LOCAL HEALTH DEPARTMENT AND OTHER PRIVATELY CONTRACTED INSPECTIONS WITH AUDITORS CHECKING ON HEALTH, SANITATION, AND PHYSICAL SAFETY IN FOOD PREPARATION, STORAGE, AND SERVING AREAS.				
RETENTION TIME PERIOD ORIGINAL: FY + 2 YEARS (FISCAL YEAR) COPIES: DO NOT RETAIN DUPLICATE LONGER THAN ORIGINAL. DISPOSITION: DESTROY				
<u>UWRSC001.</u>	<u>UWRSC001: GRANT FOLDERS (FEDERAL)</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
** FOR USE BY UW STAFF ONLY **				
TRANSMITTALS, AWARDS, BUDGETS, AND ALL OTHER DOCUMENTATION RELATED TO THE PROCUREMENT OF FEDERAL GRANTS. ALSO INCLUDED ARE ALL REPORTS, FORMS, AND DOCUMENTATION RELATED TO PART REPORTS, AS WELL AS REPORTS AND SUPPLEMENTAL INFORMATION FOR VERIFICATION OF GRANTS AND CONTRACTS. THIS RECORD SCHEDULE SUPERSEDES UWFA900 (GRANT FOLDERS (FEDERAL)).				
RETENTION TIME PERIOD ORIGINAL: EVT+4 YEARS. EVENT: DATE OF SUBMISSION OF FINANCIAL REPORT OR CLOSE OF GRANT. (NOTE: THIS RETENTION PERIOD IS BASED ON ADM00013 AND INCLUDES THE MINIMUM RETENTION DICTATED BY THE UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS (OMB CIRCULAR A-81). SOME FEDERALLY-FUNDED GRANT PROGRAMS MAY REQUIRE LONGER RETENTION PERIODS FOR THESE RECORDS. CONSULT YOUR PROGRAM OFFICER FOR THE MOST APPROPRIATE RETENTION TIME.) COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS.				
DISPOSITION: DESTROY CONFIDENTIAL				
<u>UWRSC002.</u>	<u>UWRSC002: GRANT FOLDERS (NON-FEDERAL)</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
** FOR USE BY UW STAFF ONLY **				
TRANSMITTALS, AWARDS, BUDGETS, AND ALL OTHER DOCUMENTATION RELATED TO THE PROCUREMENT OF FEDERAL GRANTS. ALSO INCLUDED ARE REPORTS AND SUPPLEMENTAL INFORMATION FOR VERIFICATION OF GRANTS AND CONTRACTS, BOTH INDIVIDUALLY AND IN BATCH FORM. THIS RECORD SCHEDULE SUPERSEDES UWFA901 (GRANT FOLDERS (NON-FEDERAL)).				
RETENTION TIME PERIOD ORIGINAL: EVT+4 YEARS. EVENT = DATE OF SUBMISSION OF FINANCIAL REPORT OR CLOSE OF GRANT COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS.				
DISPOSITION: DESTROY CONFIDENTIAL				

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

<u>UWRSC003.</u>	<u>UWRSC003: UW-SYSTEM ADMINISTERED GRANT FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
** FOR USE BY UW STAFF ONLY **				
APPLICATIONS AND DOCUMENTATION FOR GRANT PROGRAMS RUN BY UW-SYSTEM AND OFTEN FACILITATED BY CAMPUS RESEARCH OFFICES. THE FILES INCLUDE APPLICATIONS, PUBLIC MEETING MINUTES, BUDGET FORMS, AWARD DOCUMENTATION, NON-AWARD DOCUMENTATION, AND EVALUATION MATERIALS.				
RETENTION TIME PERIOD ORIGINAL: EVT+4 YEARS. EVENT: NOTICE OF REJECTION OR CLOSE OF GRANT COPIES: EVT+1 YEARS. EVENT: RESEACH MATERIALS FORWARDED TO UW-SYSTEM DISPOSITION: DESTROY CONFIDENTIAL				
<u>UWRSC004.</u>	<u>UWRSC004: SCIENTIFIC MISCONDUCT RECORDS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
** FOR USE BY UW STAFF ONLY **				
RECORDS DOCUMENTING ACCUSATIONS OF MISCONDUCT BROUGHT FORWARD BY OR AGAINST FACULTY OR STUDENTS AND RELATING TO RESEARCH PROJECTS. THESE RECORDS INCLUDE ACCUSATION STATEMENTS; INQUIRY COMMITTEE FINDINGS; AND RELATED CORRESPONDENCE.				
RETENTION TIME PERIOD ORIGINAL: EVT+7 YEARS. EVENT: COMPLETION OF INQUIRY AND APPEALS PROCESS COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS. DISPOSITION: DESTROY CONFIDENTIAL				
<u>UWRSC005.</u>	<u>UWRSC005: GRANT PROPOSAL REVIEW FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
** FOR USE BY UW STAFF ONLY **				
MATERIALS RELATED TO THE REVIEW PROCESS FOR GRANT APPLICATIONS SUBMITTED TO THE CAMPUS RESEARCH OFFICES PRIOR TO SUBMISSION TO GRANTOR AGENCIES. THESE MATERIALS INCLUDE, BUT ARE NOT LIMITED TO: PROJECT PROPOSALS, LETTERS OF SUPPORT, SUPPLEMENTARY MATERIAL, MINUTES OF REVIEW MEETINGS, REVIEW REPORTS, NECESSARY SIGNATURES, AND OTHER DOCUMENTATION. THIS MATERIAL SHOULD BE RETAINED FOR THREE YEARS AFTER THE CLOSE OF THE REVIEW PROCESS FOR AUDIT PURPOSES, THEN DESTROYED.				
RETENTION TIME PERIOD ORIGINAL: EVT+4 YEARS. EVENT: CLOSE OF REVIEW PROCESS COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS. DISPOSITION: DESTROY CONFIDENTIAL				
<u>UWRSC006.</u>	<u>UWRSC006: REJECTED GRANT PROPOSALS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
** FOR USE BY UW STAFF ONLY **				
GRANT APPLICATIONS, APPROVED BY CAMPUS RESEARCH OFFICES AND SUBMITTED TO GRANTOR AGENCIES, THAT HAVE EITHER BEEN DIRECTLY REJECTED OR HAVE NOT RECEIVED A RESPONSE FROM THE GRANTOR AGENCY FOR A PERIOD OF TIME NOT EXCEEDING ONE YEAR AFTER THE PROPOSED START DATE OF THE GRANT PROJECT. TO COMPLY WITH AUDIT AND APPEALS REGULATIONS, THESE REJECTED APPLICATIONS SHOULD BE KEPT FOR 4 YEARS AFTER THE DATE OF REJECTION, THEN DESTROYED.				
RETENTION TIME PERIOD ORIGINAL: EVT+4 YEARS. EVENT: DATE OF REJECTION COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS				
<u>UWRSC007.</u>	<u>UWRSC007: ACCEPTED GRANT DOCUMENTATION (NON-FINANCIAL)</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
** FOR USE BY UW STAFF ONLY **				
DOCUMENTATION ASSOCIATED WITH GRANTS APPROVED BY CAMPUS RESEARCH OFFICES AND ACCEPTED FOR FUNDING BY GRANTOR AGENCIES. SUCH DOCUMENTATION MAY INCLUDE, BUT IS NOT LIMITED TO: CONTRACTS, PROGRESS REPORTS, USE AGREEMENTS, INSTITUTIONAL REVIEW BOARD MATERIALS OR APPROVAL, FINAL REPORTS, AND OTHER RELATED RECORDS. BECAUSE THIS DOCUMENTATION MAY NEED TO BE PRODUCED AS EVIDENCE FOR A CONTRACT OR CIVIL SUIT, THESE RECORDS SHOULD BE MAINTAINED FOR 6 YEARS AFTER THE CLOSE OF THE PROJECT, THEN DESTROYED.				
RETENTION TIME PERIOD ORIGINAL: EVT+6 YEARS. EVENT: CLOSE OF GRANT COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS DISPOSITION: DESTROY CONFIDENTIAL				
<u>UWRSC008.</u>	<u>UWRSC008: INTERNAL GRANT DOCUMENTATION</u>	<u>EVT+4</u>	<u>UW-TRANS</u>	<u>Y</u>

** FOR USE BY UW STAFF ONLY **

DATA DOCUMENTING THE WINNERS OF GRANTS AWARDED BY CAMPUS RESEARCH OFFICES OR GRANTING UNITS, THE NAME AND SCOPE OF THEIR PROJECT, THE AMOUNT OF MONEY REQUESTED, AND THE START AND END DATES OF THE PROJECTS. THIS DATA HAS LONG-TERM ADMINISTRATIVE AND HISTORICAL VALUE AND SHOULD BE TRANSFERRED TO ARCHIVES FOR PERMANENT RETENTION ONCE ACTIVE USE HAS CEASED.

RETENTION TIME PERIOD
 ORIGINAL: EVT+4 YEARS. EVENT: CLOSE OF GRANT
 COPIES: DESTROY WHEN NO LONGER NEEDED.
 DISPOSITION: SEND TO UW ARCHIVES

<u>UWRSC009.</u>	<u>UWRSC009: IRB MINUTES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

MINUTES, ATTACHMENTS, AGENDAS AND MEETING ANNOUNCEMENTS. COMMITTEE MINUTES REVIEW AND APPROVE PROTOCOLS AND ENSURE THAT REGULATIONS ARE MET FOR RESEARCH AND ARE APPROPRIATELY FOLLOWED. THESE MINUTES MAY CONTAIN PROPRIETARY INFORMATION, CONFIDENTIAL PERSONNEL OR STUDENT INFORMATION, OR INFORMATION RELATED TO INTELLECTUAL PROPERTY RIGHTS AND SHOULD THUS BE CONSIDERED CONFIDENTIAL UNDER WIS. STAT. 19.36(5). SINCE THESE RECORDS PERTAIN TO REVIEW OF SPECIFIC RESEARCH PROJECTS, THEY HAVE LITTLE LONG-TERM ADMINISTRATIVE VALUE.

RETENTION TIME PERIOD
 ORIGINAL: EVT+3 YEARS EVENT: APPROVAL OF MINUTES
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS
 DISPOSITION: DESTROY CONFIDENTIAL

<u>UWRSC010.</u>	<u>UWRSC010: IRB PROTOCOLS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

CORRESPONDENCE, PROTOCOLS, INFORMED CONSENT FORMS (UNSIGNED SAMPLE FORMS ONLY), AFFILIATION LETTERS, AND ALL OTHER PERTINENT INFORMATION AND RECORDS PERTAINING TO THIS RESEARCH. AFTER THE RESEARCH IS COMPLETED, FINDINGS ARE DISSEMINATED VIA PUBLICATION, TEACHING, ETC.

FEDERAL REGULATIONS (45 CFR 46.115(7) (B)) REQUIRE THAT RECORDS BE RETAINED FOR AT LEAST THREE YEARS AFTER COMPLETION OF RESEARCH.

RETENTION TIME PERIOD
 ORIGINAL: EVT+3 YEARS. EVENT: COMPLETION OF RESEARCH ACTIVITY
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS
 DISPOSITION: DESTROY

<u>UWRSC011.</u>	<u>UWRSC011: CONTINUING REVIEW RECORDS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS OF ANNUAL CONTINUING REVIEW OR PROJECTS SUBJECT TO IRB OVERSIGHT, AS REQUIRED BY 45 CFR 46.109(E). INCLUDES REMINDERS TO RESEARCH PROJECT PRIMARY INVESTIGATORS (PIS) OF UPCOMING CONTINUING REVIEW DEADLINES AND ANY FORMS SUBMITTED BY PIS TO REQUEST NON-AUTOMATIC REVIEW.

RETENTION TIME PERIOD
 ORIGINAL: CR+3 YEARS
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS
 DISPOSITION: DESTROY CONFIDENTIAL

<u>UWRSC012.</u>	<u>UWRSC012: DETERMINATION OF IRB SUBMISSION FORMS</u>	<u>CR+0/6</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

FORMS COMPLETED BY RESEARCHERS TO DETERMINE WHETHER THEIR PROJECTS ARE SUBJECT TO IRB PROTOCOLS. INFORMATION SUBMITTED BY RESEARCHERS IS SUBMITTED TO IRB STAFF TO EVALUATE AND CORRESPOND WITH THE RESEARCHER REGARDING THE STATUS OF THEIR PROJECT. BECAUSE THESE RECORDS ARE PRIMARILY TO ALLOW RESEARCHERS TO EVALUATE THE NEED TO COMPLETE IRB PROCEDURES, THE LONG-TERM ADMINISTRATIVE VALUE OF THIS SERIES IS VERY LOW.

RETENTION TIME PERIOD
 ORIGINAL: CR+6 MONTHS
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS.

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

** FOR USE BY UW STAFF ONLY **

RECORDS RELATED TO THE USE OR POSSESSION OF HAZARDOUS MATERIALS OR ANIMALS, INCLUDING INFORMATION ON THE NATURE OF THE MATERIAL, SAFETY CONTROLS BEING IMPLEMENTED, SPILL CLEANUP PROTOCOLS (IF APPLICABLE), AND RECORDS OF LAB PERSONNEL TRAINING. THE SERIES MAY ALSO CONTAIN REGISTRATION FORMS FOR BIOLOGICAL OR CHEMICAL AGENTS OR TOXINS. THESE RECORDS' MINIMUM RETENTION PERIOD IS SPECIFIED IN A NUMBER OF FEDERAL REGULATIONS, INCLUDING 42 CFR SS 73.17, 40 CFR SS 260, AND 29 CFR SS 1904.33, AND IS BASED ON THE MAXIMUM RETENTION STIPULATED IN SCHEDULE RISK0085.

RETENTION TIME PERIOD
 ORIGINAL: EVT+7 EVENT: COMPLETION OF RESEARCH ACTIVITY.
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS.

DISPOSITION: DESTROY
 PII: NO
 PII REGISTRY EXEMPTION: NO
 CONFIDENTIAL: NO

<u>UWRSC023.</u>	<u>UWRSC023: SAFETY DATA SHEETS</u>	<u>EVT+30</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

FORMS IDENTIFYING DESCRIBING THE POTENTIAL HARM PARTICULAR SUBSTANCES IN USE BY RESEARCHERS, INCLUDING WHERE AND WHEN THE CHEMICAL OR SUBSTANCE WAS USED. PER 29 CFR SS 1910.1020, INDIVIDUAL SHEETS DO NOT NECESSARILY NEED TO BE RETAINED FOR THE FULL RETENTION PERIOD SPECIFIED SO LONG AS RECORD OF THE CHEMICAL IDENTITY AND WHERE/WHEN THE CHEMICAL WAS USED IS RETAINED OVER THAT PERIOD.

RETENTION TIME PERIOD
 ORIGINAL: EVT+30 YEARS. EVENT: SUPERSEDED
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS.

DISPOSITION: DESTROY

<u>UWRSC024.</u>	<u>UWRSC024: RADIONUCLIDE POSSESSION USE RECORDS</u>	<u>EVT+30</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

FORMS AND RECORDS COMPLETED BY RESEARCHERS TO USE RADIONUCLIDE MATERIALS IN THEIR RESEARCH, INCLUDING RESEARCH ON ANIMALS. INFORMATION IN THE RECORDS INCLUDES NATURE OF USE, NATURE OF THE MATERIALS, STAFF TRAINING PROTOCOLS, PRECAUTIONS TO BE TAKEN TO MINIMIZE RADIATION, AND PLANS FOR DISPOSAL OF WASTE PRODUCTS. THE SERIES MAY ALSO INCLUDE A PROTOCOL SUMMARY SHEET TO ALLOW THE RESEARCHER TO DESCRIBE THEIR PROPOSAL IN MORE DETAIL. RETENTION REQUIREMENTS FOR THIS SERIES ARE SPECIFIED BY DHS SS 157.31.

RETENTION TIME PERIOD
 ORIGINAL: EVT+30 YEARS. EVENT: COMPLETION OF RESEARCH ACTIVITY
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS
 DISPOSITION: DESTROY

<u>UWRSC025.</u>	<u>UWRSC025: PERSONAL DOSIMETER APPLICATION</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

APPLICATIONS FOR USE OF A DOSIMETER IN CONJUNCTION WITH WORK RADIOACTIVE MATERIALS. THE FORMS INCLUDE INFORMATION ABOUT THE TYPE OF MATERIAL, THE LEVEL OF EXPOSURE, AND ANY PREVIOUS EXPOSURE OR DOSIMETER USE AT PREVIOUS INSTITUTIONS OR LABORATORIES. THESE RECORDS SHOULD BE KEPT PERMANENTLY PER DHS 157.31 AS THEY MAY CONTAIN INFORMATION RELATED TO DOSES RECEIVED AT OTHER INSTITUTIONS.

RETENTION TIME PERIOD
 ORIGINAL: PERMANENT
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS
 DISPOSITION: PERMANENT

<u>UWRSC026.</u>	<u>UWRSC026: DOSIMETRY REPORTS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

REPORTS RECEIVED BY THE RADIATION SAFETY OFFICER USED TO PROVIDE LEGAL DOCUMENTATION OF AN INDIVIDUAL'S EXPOSURE TO RADIATION. THE SERIES ALSO INCLUDES OVEREXPOSURE REPORTS AND INDIVIDUAL EXPOSURE HISTORIES AS PROVIDED TO WORKERS ON REQUEST. DHS SS 157.31 RECOMMENDS RETAINING THESE RECORDS FOR AN EXTENDED PERIOD DUE TO THE TRANSFERRABLE NATURE OF THE RECORDS; THE RETENTION PERIOD IS BASED ON THE RETENTION IN RISK0092 (RADIOACTIVE MATERIALS--INDIVIDUAL MONITORING RECORDS).

** FOR USE BY UW STAFF ONLY **

RECORDS MAINTAINED BY THERAPEUTIC OR RESEARCH CLINICS OF NON-STUDENT CLIENTS OR PATIENTS. THESE CLINICS ARE OFTEN AFFILIATED WITH ACADEMIC DEPARTMENTS IN HEALTH SCIENCES OR PUBLIC HEALTH SCHOOLS, AND IN MANY CASES TREATMENT IS UNDERTAKEN BY UNDERGRADUATE OR GRADUATE STUDENTS UNDER THE SUPERVISION OF FACULTY, HEALTH CENTER STAFF, OR OTHER THERAPEUTIC PROFESSIONALS. RECORDS IN THIS SERIES MAY INCLUDE, BUT ARE NOT LIMITED TO: PATIENT PERSONAL HEALTH INFORMATION; OFFICIAL EVALUATIONS AND THERAPY REPORTS; THERAPY PLANS; TEST FORMS, FINDINGS, AND CORRESPONDENCE; RELEASE FORMS; AND NOTICES RELATED TO PAYMENT AND BILLING.

RETENTION TIME PERIOD
 ORIGINAL: EVT+10 YEARS. EVENT: LAST CONTACT WITH CLIENT
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS
 DISPOSITION: DESTROY CONFIDENTIAL

<u>UWRSC032.</u>	<u>UWRSC032: CLINICAL STUDIES, TRIALS AND PARTICIPANT STUDY RECORD</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS RECORD SERIES CONSISTS OF RESEARCH STUDY CASE FILES OR PARTICIPANTS IN THE CLINICAL STUDIES OR DRUG TRIALS. EACH RESEARCH STUDY GENERALLY CONTAINS THE FOLLOWING, BUT IS NOT LIMITED TO: PROTOCOL, IRB APPROVALS, PATIENT CASE REPORT OR CLINICAL CHARTS, PERSONAL EVALUATION INTAKE FORMS, STUDY CORRESPONDENCE, PARTICIPANT INFORMED CONSENTS, SURVEYS AND PARTICIPANT DATA WHICH MAY INCLUDE MEDICAL HISTORIES, VISIT PROGRESS NOTES, ATTENDANCE SHEETS, ASSESSMENTS, LAB RESULTS OR ADVERSE EFFECTS, OUTCOMES, NAMES OF PHYSICIANS, REFERRALS, LAB NOTEBOOKS AND OTHER RESEARCH RECORDS.

RETENTION TIME PERIOD
 ORIGINAL: EVT+10 YEARS. EVENT: LAST CONTACT WITH CLIENT
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS
 DISPOSITION: DESTROY CONFIDENTIAL

<u>UWRSC033.</u>	<u>UWRSC033: LABORATORY REPORTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS DOCUMENT THE RESULTS OF LABORATORY TESTING PERFORMED FOR CLIENTS. THE REPORTS MAY INCLUDE BUT ARE NOT LIMITED TO CASE NUMBERS; CLIENT NAMES; DETAILS OF TESTS AND PROCEDURES PERFORMED; TEST RESULTS; EVALUATIONS; AND RELATED DATA. IN MOST CASES, THESE RECORDS ARE SUBJECT TO THE HIPAA PRIVACY RULE AND SHOULD THUS BE CONSIDERED CONFIDENTIAL.

RETENTION TIME PERIOD
 ORIGINAL: EVT+6 YEARS. EVENT: COMPLETION OF RESEARCH ACTIVITIES
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS.
 DISPOSITION: DESTROY CONFIDENTIAL

<u>UWRSC034.</u>	<u>UWRSC034: CAMPUS SURVEY STUDIES</u>	<u>EVT+10</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

STUDIES USUALLY PRODUCED BY CAMPUS OR SYSTEM INSTITUTIONAL RESEARCH OFFICES ON BEHALF OF VARIOUS DEPARTMENTS AND UNITS EITHER ONE-TIME STUDIES OR ANNUAL OR SEMI-ANNUAL RECURRING STUDIES SUCH AS SENIOR EXIT SURVEYS OR YEARLY ENROLLMENT REPORTS. RECORDS CONCERNING A STUDY INCLUDE CORRESPONDENCE, SURVEY INSTRUMENTS, THE SET OF SURVEY QUESTIONS, THE COMPILED SURVEY DATA, AND THE REPORT(S) THAT PRESENT THE FINDINGS OF THE SURVEY.

RETENTION TIME PERIOD
 ORIGINAL: EVT+10 YEARS. EVENT: PUBLICATION OF FINAL REPORT
 COPIES: DESTROY WHEN NO LONGER NEEDED. DO NOT RETAIN LONGER THAN ORIGINALS.
 DISPOSITION: TRANSFER TO ARCHIVES

<u>UWRSC035.</u>	<u>UWRSC035: RESEARCH PROJECT ADMINISTRATIVE RECORDS</u>	<u>EVT+4</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS DOCUMENT THE RESEARCH ACTIVITY ASSOCIATED WITH GRANT-FUNDED PROJECTS. THIS SERIES MAY INCLUDE BUT IS NOT LIMITED TO RESEARCH DATA; WORKING PAPERS; RESEARCH/ACTIVITY REPORTS; SUMMARY REPORTS; AND RELATED DOCUMENTATION AND CORRESPONDENCE. PER OMB CIRCULAR A-81, DATA AND OTHER RECORDS FROM FEDERALLY-FUNDED PROJECTS SHOULD BE RETAINED AND MADE AVAILABLE FOR AT LEAST 3 YEARS AFTER THE COMPLETION OF THE PROJECT. RETENTION IS IN ACCORDANCE WITH RDA ADM0013.
 NOTE: DEPENDING ON THE PROJECT AND NATURE OF THE DATA, IT MAY BE PREFERABLE TO STORE AND MAKE RESEARCH DATA AVAILABLE IN A DEDICATED REPOSITORY. CONSULT YOUR INSTITUTION'S ARCHIVIST OR CAMPUS DATA SERVICES STAFF FOR MORE INFORMATION.

ACCOUNT RECORDS REFLECT THE BALANCE OF FUNDS OWED BY OR TO A STUDENT FOR UNIVERSITY TUITION OR SERVICES. STUDENT ACCOUNTS INCLUDE EACH STUDENT'S INSTITUTIONAL CHARGES, CASH PAYMENT, TITLE IV PAYMENT, CASH DISBURSEMENTS AND RETURNED FUNDS. THESE RECORDS ARE REQUIRED FOR EACH ENROLLMENT PERIOD AND MUST BE MAINTAINED ON A CURRENT BASIS. EMAIL NOTICES ARE GENERATED ABOUT STATEMENT OF EXPENSES AND FUNDS. THE UNIVERSITY ADMINISTRATIVE AND FINANCIAL SERVICES STAFF AND STUDENTS VIEW CHARGES AND MAKE TRANSACTIONS RELATED TO BILLS FOR ON CAMPUS HOUSING RENT, MEAL PLAN, HEALTH CENTER AND OTHER SERVICES. THE STATEMENT OF ACCOUNT IS ALSO CONNECTED TO A PAYMENT PROFILE WHICH CONTAINS A CREDIT CARD OR ELECTRONIC TRANSFER OPTIONS, CREDIT CARD NAME, CREDIT CARD NUMBER AND CREDIT CARD EXPIRATION DATE. AN INSTITUTION SHALL RETAIN A RECORD OF DISBURSEMENTS FOR EACH LOAN MADE USING A MASTER PROMISSORY NOTE(MPN). THIS RECORD MUST SHOW THE DATA AND AMOUNT OF EACH DISBURSEMENT.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE STUDENT LAST ATTENDED

DISPOSITION: DESTROY CONFIDENTIAL

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES

CONFIDENTIAL: YES

<u>UWSFA004.</u>	<u>UWSFA004: PROGRAM PARTICIPATION AGREEMENT</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

WRITTEN AGREEMENT SIGNED BY BOTH A TOP OFFICIAL AT AN INSTITUTION AND THE U.S. SECRETARY OF EDUCATION THAT PERMITS THE INSTITUTION TO PARTICIPATE IN ONE OR MORE FEDERAL TITLE IV STUDENT AID PROGRAMS. THE SIGNED AGREEMENT MAKES THE INSTITUTION'S INITIAL AND CONTINUED ELIGIBILITY TO PARTICIPATE IN TITLE IV PROGRAMS CONDITIONAL ON COMPLIANCE WITH ALL PROVISIONS OF THE APPLICABLE LAWS AND PROGRAM REGULATIONS. THIS AGREEMENT MAY HAVE TO BE UPDATED PERIODICALLY DUE TO CHANGES AT THE INSTITUTION. THE PROGRAM PARTICIPATION AGREEMENT (PPA) IS CREATED AND MAINTAINED ELECTRONICALLY IN THE FEDERAL DEPARTMENT OF EDUCATION SYSTEM VIA WEBSITE. THE SCHOOL FINANCIAL AID OFFICE CREATES THE DOCUMENT AND MAINTAINS AN ORIGINAL HARDCOPY, WHICH CONTAINS SIGNATURES OF ALL PARTIES.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE STUDENT LAST ATTENDED

DISPOSITION: DESTROY CONFIDENTIAL

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES

CONFIDENTIAL: YES

<u>UWSFA005.</u>	<u>UWSFA005: PROGRAM REVIEW RECORDS</u>	<u>EVT+4</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS DOUCMENTING UNIVERSITY PROGRM REVIEWS WHICH INCLUDE DEPARTMENT/PROGRAM SELF-EVALUATION STUDIES; OUTSIDE AGENCY REVIEWS INCLUDING ACCREDITING AGENCIES FOR AREAS SUCH AS NURSING, SOCIAL WORK, EDUCATION, ETC.; COLLEGE AND COMMITTEE REVIEW AND APPROVALS; AND APPROVALS OF DEANS, FACULTY SENATE, PROVOST AND THE UW SYSTEM. THE REVIEW PROCESS AND RELATED ACTIVITIES CAN TAKE MULTIPLE YEARS. THE REVIEW HELPS VALIDATE THE ELIGIBILITY OF THE UNIVERSITY TO PARTICIPATE WITH STUDENTS IN FINANCIAL AID GRANTS, LOANS AND SCHOLARSHIP PROGRAMS.

* THE DETERMINATION OF ARCHIVAL VALUE OF OFFICIAL FILE WILL BE MADE BY EACH INSTITUTION'S ARCHIVES.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE REPORT WAS SUBMITTED

DISPOSITION: TRANSFER TO UNIVERSITY ARCHIVES*

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY.

PII: NO

CONFIDENTIAL: NO

<u>UWSFA006.</u>	<u>UWSFA006: ACCREDITING AND LICENSING AGENCY REVIEWS, APPROVALS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

REPORTS, LETTERS, LISTS, SPREADSHEETS, FORMS, AND OTHER BACKGROUND COMMUNICATIONS ARE KEPT OPERATIONALLY BY DEPARTMENTS AND USED TO INFORM THE STATE DEPARTMENT OF LICENSING AND REGULATION THAT STUDENTS HAVE MET QUALIFICATIONS TO BE TESTED AND LICENSED. THESE RECORDS ALSO SERVE AS DOCUMENTATION FOR REPORTS ISSUED TO THE FEDERAL DEPARTMENT EDUCATION AFFIRMING LICENSING OF VARIOUS PROGRAMS AND INDICATE THE CYCLE OF ACCREDITATION AND LICENSING.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE REPORT WAS SUBMITTED

DISPOSITION: DESTROY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY

PII: NO

CONFIDENTIAL: NO

<u>UWSFA007.</u>	<u>UWSFA007: REMOTE SITES REPORT</u>	<u>EVT+4</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

THIS REPORT DESCRIBES THE LOCATIONS, PROGRAMS, AND EFFECTIVE DATES FOR CLASSES BEING TAUGHT AT SITES NON-ADJACENT TO THE UW CAMPUS IN QUESTION. THE REPORT IS SENT TO THE HIGHER LEARNING COMMISSION (HLC) OF THE NORTH CENTRAL ASSOCIATION OF COLLEGES AND SCHOOLS, THE FEDERAL DEPARTMENT OF EDUCATION AND THE UW SYSTEM. * THE DETERMINATION OF ARCHIVAL VALUE OF OFFICIAL FILE WILL BE MADE BY EACH INSTITUTION'S ARCHIVES.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE REPORT WAS SUBMITTED

DISPOSITION: TRANSFER TO UNIVERSITY ARCHIVES*

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY.

PII: NO

CONFIDENTIAL: NO

<u>UWSFA008.</u>	<u>UWSFA008: STUDENT GRANT ADMINISTRATIVE FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

VARIOUS FORMS AND/OR INSTITUTIONAL APPLICATIONS USED BY FINANCIAL AID OFFICERS TO REQUEST AND MONITOR A SERIES OF FEDERAL AND STATE GRANTS. DOCUMENTS COVERED BY THIS SERIES INCLUDE ROSTERS OF ELIGIBLE RECIPIENTS, ERROR LISTING REPORTS, AND COMMON ORIGIN AND DISBURSEMENT STUDENT RECORDS, AS WELL AS INTERNAL CORRESPONDENCE RELATED TO EACH.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE STUDENT LAST ATTENDED

DISPOSITION: DESTROY CONFIDENTIAL

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES

CONFIDENTIAL: YES

<u>UWSFA009.</u>	<u>UWSFA009: STUDENT GRANT VOUCHERS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

STUDENT VOUCHERS USED FOR INDIVIDUAL GRANT DISBURSEMENT AND REPORTING AND RELATED DOCUMENTATION, INCLUDING CORRESPONDENCE RELATED TO THE VOUCHERS AND VOUCHER REQUEST FORMS.

RETENTION TIME PERIOD

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

ORIGINAL: EVT + 4 YEARS EVENT = END OF AWARD YEAR FOR WHICH THE AID WAS AWARDED

DISPOSITION: DESTROY CONFIDENTIAL

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

UWSFA010. **UWSFA010: MILITARY EDUCATION BENEFITS AND SUPPORTING RECORDS** **EVT+4** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

VARIOUS FORMS AND/OR INSTITUTIONAL APPLICATIONS USED BY THE DEPARTMENT OF FINANCIAL AID TO REQUEST AND MONITOR A SERIES OF FEDERAL AND STATE MILITARY EDUCATION BENEFITS. MAIN CATEGORY OF RECORDS INCLUDE THE FOLLOWING: FEDERAL: VA BENEFITS REQUEST FORM, CHANGE OF COURSE LOAD/CREDITS FORM, 22-1995 CHANGE OF PLACE OR PROGRAM (VETS), 22-5490 CHANGE OF PLACE OR PROGRAM (DEPENDENTS) AND STATE: WDVA 2029 APPLICATION FOR THE WI GI BILL, REQUEST FORM TO ACTIVATE/RE-ACTIVATE WI GI BILL, REQUEST FORM TO SUSPEND WI GI BILL, DMA FORM 189 NATIONAL GUARD TUITION REIMBURSEMENT GRANT APPLICATIONS, AND WDVA 2200 VETERANS EDUCATION TUITION REIMBURSEMENT GRANT APPLICATION.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF AWARD YEAR FOR WHICH THE AID WAS AWARDED

DISPOSITION: DESTROY CONFIDENTIAL

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

UWSFA011. **UWSFA011: STUDENT LOAN PROGRAM ADMINISTRATION** **EVT+4** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

VARIOUS DOCUMENTS, FORMS AND/OR INSTITUTIONAL LOAN APPLICATIONS USED TO REQUEST AND MONITOR A SERIES OF FEDERAL AND STATE LOAN PROGRAMS. DOCUMENTS IN THE FILES INCLUDE GENERAL RECORDS ON LOAN ENTRANCE AND LOAN EXIT COUNSELING, TRUTH IN LENDING DOCUMENTS, INSTITUTIONAL LOAN APPLICATIONS, AND MISCELLANEOUS CORRESPONDENCE FROM LENDERS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE STUDENT LAST ATTENDED

DISPOSITION: DESTROY CONFIDENTIAL

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

UWSFA012. **UWSFA012: REPORT TO HIGHER LEARNING COMMISSION** **EVT+4** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

REVIEW REPORT TO THE HIGHER LEARNING COMMISSION (HLC) ENTITLED ANNUAL INSTITUTIONAL DATA UPDATE (AIDU). PARTS OF THE REPORT INCLUDE INFORMATION ON CONTACTS, FEDERAL COMPLIANCE, HEADCOUNT STATISTICS, NUMBERS OF CERTIFICATE PROGRAMS, AND NUMBER OF DEGREES AWARDED, CONTRACTUAL RELATIONSHIPS, AND A COMPOSITE FINANCIAL INDEX. * THE DETERMINATION OF ARCHIVAL VALUE OF OFFICIAL FILE WILL BE MADE BY EACH INSTITUTION'S ARCHIVES.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE REPORT WAS SUBMITTED

DISPOSITION: TRANSFER TO UNIVERSITY ARCHIVES*

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY.

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

PII: NO
CONFIDENTIAL: NO

UWSFA013. **UWSFA013: FISCAL OPERATIONS REPORT AND APPLICATION TO PARTICIP** **EVT+4** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

REPORT ON CUMULATIVE ACTIVITY IN THE FEDERAL PERKINS LOAN PROGRAM, AND REPORT ON THE EXPENDITURE OF ANY CAMPUS-BASED PROGRAM FUNDS IN THE COMPLETED AWARD YEAR. ALL SCHOOLS THAT WISH TO REQUEST FUNDING UNDER THE CAMPUS-BASED PROGRAMS FOR ANY AWARD YEAR ARE REQUIRED TO ELECTRONICALLY SUBMIT A FISAP VIA A SPECIFIC FEDERAL DEPARTMENT OF EDUCATION WEBSITE. THIS ALLOWS A SCHOOL TO COMPLETE AND SUBMIT ITS FISAP ONLINE, RECEIVE REAL-TIME VALIDATION EDITS, AND ACCESS PRIOR-YEAR DATA TO ASSIST IN COMPLETING THE FISAP. THE FISAP IS REQUIRED FOR EACH CAMPUS TO BE ALLOCATED FUNDS FOR THE CAMPUS-BASED FEDERAL FINANCIAL AID PROGRAMS FOR THE NEXT AWARD YEAR.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE REPORT WAS SUBMITTED

DISPOSITION: DESTROY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITLY CONTROL PURPOSES DESTROY CONFIDENTIALLY

PII: NO
CONFIDENTIAL: NO

UWSFA014. **UWSFA014: ANNUAL OPERATING REPORT (AOR)** **EVT+4** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

THESE ARE REPORTS ANNUAL AND CUMULATIVE LOAN ACTIVITY OF TITLE VII LOAN PROGRAMS. THIS REPORT INCLUDES CALCULATION OF EXCESS CASH AND THE NEED FOR ADDITIONAL FUNDING. THE U.S., DEPARTMENT OF HEALTH AND HUMAN SERVICES HAS A WEBSITE WHICH IS USED TO SUBMIT THIS REPORT ELECTRONICALLY. THIS ALLOWS A SCHOOL TO RECEIVE REAL-TIME VALIDATION EDITS AND VERIFICATION OF REPORT SUBMITTAL. THE AOR IS REQUIRED TO PARTICIPATE IN THE TITLE VII PROGRAMS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE REPORT WAS SUBMITTED

DISPOSITION: DESTROY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY

PII: NO
CONFIDENTIAL: NO

UWSFA015. **UWSFA015: STUDENT LOAN REPAYMENT RECORDS** **EVT+7** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

RECORDS DOCUMENTING REPAYMENT OF PERKINS AND STAFFORD LOANS AS WELL AS ALL OTHER STUDENT LOANS, INCLUDING RECORD OF COLLECTION ACTIVITIES, FINANCIAL ARRANGEMENTS, FORBEARANCE, DEFERMENT, OR CANCELLATION FORMS; LOAN VERIFICATIONS FOR CONSOLIDATION; EXIT INTERVIEW DOCUMENTATION: TRUTH AND LENDING STATEMENT, REPAYMENT SCHEDULE, STATEMENT OF RIGHTS AND RESPONSIBILITIES; COPIES OF SMALL CLAIMS COURT DOCUMENTS SUCH AS SUMMONS AND COMPLAINT, EVIDENCE OF U.S. MAIL DELIVERY AND ATTEMPTS, COPIES OF LETTERS TO BORROWER, SCREEN PRINTS OF BILLING VENDOR SYSTEM, CREDIT REPORTS, INFORMATION AND REFERENCE SHEETS, AND ELECTRONIC INFORMATION IN UNIVERSITY AND BILLING AGENT SYSTEMS. PAYMENT HISTORY AND COLLECTION ACTIVITY SHOULD BE MAINTAINED SUBJECT TO AUDIT TO COMPLY WITH CREDIT BUREAU REPORTING REQUIREMENTS. ELECTRONIC INFORMATION OF PAYMENT HISTORY AND COLLECTION ACTIVITY MUST BE MAINTAINED FOR 7 YEARS SUBJECT TO AUDIT TO COMPLY WITH CREDIT BUREAU REPORTING.

RETENTION TIME PERIOD

ORIGINAL: EVT + 7 YEARS EVENT = THE DATE ON WHICH A LOAN IS ASSIGNED TO THE DEPARTMENT, CANCELLED, OR REPAYED.

DISPOSITION: DESTROY CONFIDENTIALLY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY

SOCIAL SECURITY NUMBERS, TRIBE, AND THE YEAR IN SCHOOL, MARITAL STATUS, THE NUMBER OF DEPENDENTS, STUDENT BUDGET, ASSESSED NEED, AWARD, WISCONSIN STATE NATIVE AMERICAN GRANT RECOMMENDATION, AND THE TRIBAL BUREAU OF NATIVE AMERICAN AFFAIRS GRANT RECOMMENDATION. THIS FORM MUST BE SUBMITTED TO THE TRIBE AND STATE OF WISCONSIN IN ORDER FOR STUDENT TO RECEIVE MONEY FROM THEIR TRIBE AND THE STATE.

RETENTION TIME PERIOD

ORIGINAL: EVT + 7 YEARS EVENT = DATE OF APPLICATION

DISPOSITION: DESTROY CONFIDENTIALLY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

UWSFA019. **UWSFA019: FEDERAL PELL GRANT ELECTRONIC STATEMENTS OF ACCOU!** **EVT+4** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THESE ARE OFFICIAL STATEMENTS FROM THE FEDERAL DEPARTMENT OF EDUCATION THAT SETS A SCHOOL'S AUTHORIZATION LEVEL FOR THE UPCOMING AWARD YEAR AND PROJECT ADJUSTMENTS TO THE SCHOOL'S TITLE IV PROGRAM FUNDING NEEDS. ESOAS ARE PRODUCED FOR THE FEDERAL PELL GRANT PROGRAM. AN ESOA ALSO DETAILS THE AMOUNT EXPENDED TO DATE. THE DEPARTMENT OF EDUCATION PRODUCES AN ESOA WHENEVER THERE IS AN ADJUSTMENT TO A SCHOOL'S CURRENT ACCEPTED AND POSTED DISBURSEMENT AMOUNT.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE STUDENT LAST ATTENDED.

DISPOSITION: DESTROY CONFIDENTIALLY.

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY

PII: YES
CONFIDENTIAL: YES

UWSFA01A. **UWSFA01A: GENERAL STUDENT FINANCIAL AID RECORDS- FOR STUDENT !** **EVT+3** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS RECORD SERIES IS FOR THOSE STUDENT FINANCIAL AID RECORDS IN WHICH THE STUDENT WAS NOT ELIGIBLE OR DID NOT ACCEPT THE LOAN.

RETENTION TIME PERIOD

ORIGINAL: EVT + 3 YEARS. EVENT = DATE OF APPLICATION.

DISPOSITION: DESTROY CONFIDENTIAL

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

UWSFA020. **UWSFA020: RECONCILIATION REPORTS FOR TITLE IV AND STATE PROGRA** **EVT+4** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

REPORTS ON RECONCILIATION OF STUDENT INFORMATION SYSTEM DATA WITH STUDENT DATA OBTAINED FROM THE FEDERAL DEPARTMENT OF EDUCATION AND FROM THE SHARED FINANCIAL SYSTEMS GENERAL LEDGER. THE RECONCILIATION PROCESS COMPARES STUDENT INFORMATION SYSTEM (SIS) TO INFORMATION FROM THE DEPARTMENT OF EDUCATION'S BY STUDENT. THE FUNDS AT HAND HAVE BEEN DRAWN DOWN CURRENTLY VIA THE WEB G5 SYSTEM OF DEPRTMENT OF EDUCATION. THE RECONCILIATION PROCESS ALSO COMPARES SIS TO THE GENERAL LEDGER, SHARED FINANCIAL SYSTEM (SFS). THESE REPORTS EMPHASIZE PROGRAMS SUCH AS PELL, SEOG, PERKINS, FEDERAL WORK STUDY (FWS), AND VARIOUS STATE GRANT AND LOAN PROGRAMS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE REPORT WAS SUBMITTED
DISPOSITION: DESTROY CONFIDENTIALLY.

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

<u>UWSFA021.</u>	<u>UWSFA021: STATE GRANT AND SCHOLARSHIP AWARD ROSTER AND REPO</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

REPORTS PROVIDE A METHOD BETWEEN THE HIGHER EDUCATIONAL AIDS BOARD (HEAB) AND THE UNIVERSITY FOR CHECKING ACCURACY OF DATA. HEAB SENDS TO THE UNIVERSITY THE STUDENT NAME AND SOCIAL SECURITY NUMBER, AMOUNT OF GRANT, TYPES OF GRANTS, AND LOANS. INFORMATION DETAILS ARE VERIFIED. THE UNIVERSITY REVIEWS AWARD TYPES AND AMOUNTS BY STUDENT AND CROSS REFERENCES INFORMATION IN THE STUDENT INFORMATION SYSTEM (SIS) TO VERIFY CORRECTNESS AND MAKES CHANGES ACCORDINGLY.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE REPORT WAS SUBMITTED
DISPOSITION: DESTROY CONFIDENTIALLY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

<u>UWSFA022.</u>	<u>UWSFA022: FEDERAL WORK-STUDY ADMINISTRATIVE RECORDS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

NON-PERSONAL INFORMATION RELATING TO HR ADMINISTRATION OF FEDERAL WORK-STUDY PROGRAMS ON CAMPUS. DOCUMENTS COVERED INCLUDE VARIOUS OFF-CAMPUS EMPLOYER CONTRACTS, SALARY CASH TRANSFER FORMS, AND OTHER INFORMATION AND CORRESPONDENCE CONCERNING THE SYSTEMIC ADMINISTRATION OF WORK-STUDY PROGRAMS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS EVENT = END OF THE AWARD YEAR IN WHICH THE STUDENT LAST ATTENDED.
DISPOSITION: DESTROY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: NO
CONFIDENTIAL: NO

<u>UWSFA023.</u>	<u>UWSFA023: WORK STUDY AND STUDENT ASSISTANT POSITION APPLICATI</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE APPLICATIONS SERVE AS A BASIS FOR DEPARTMENTS TO BEGIN A SELECTION AND INTERVIEW PROCESS FROM AMOUNT MULTIPLE APPLICANTS. THESE FILES ARE KEPT FOR STUDENTS WHO ARE IN THE PROCESS OF BEING CONSIDERED FOR HIRE FOR FEDERAL WORK STUDY POSITIONS OR OTHER CATEGORIES OF STUDENT EMPLOYMENT. THESE FILES CONTAIN THE ORIGINAL APPLICATION FOR WORK STUDY AND STUDENT ASSISTANT POSITIONS, WHICH CONTAIN NAME, ADDRESS, TELEPHONE, WORK EXPERIENCE, SKILLS, REFERENCES AND FEDERAL WORK STUDY FUNDING STATUS USED TO INTRODUCE THE STUDENT TO AN ON-CAMPUS EMPLOYER. POSITION APPLICATIONS MAY TAKE THE FORM OF A LETTER, RESUME, OR A FORM. THE APPLICATIONS ALSO INDICATE WORK TIME AVAILABILITY. IF THE STUDENT IS HIRED THIS APPLICATION BECOMES PART OF THE STUDENT WORKERS PERSONNEL FILES (DEPARTMENTAL) FOR STUDENT WORKERS RECORDS SERIES (UWSFA025) AND NOT FOR THE HUMAN RESOURCES OFFICIAL FILES. THIS SERIES DOES NOT PERTAIN TO GRADUATE TEACHING OR RESEARCH POSITIONS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 1 YEAR EVENT = DATE OF APPLICATION
DISPOSITION: DESTROY CONFIDENTIALLY

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

UWSFA024. **UWSFA024: WORK STUDY AND STUDENT WORKERS PERSONNEL FILES (OF** **EVT+7** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

OFFICIAL PERSONNEL FILE FOR STUDENT WORKERS, USUALLY MAINTAINED BY HUMAN RESOURCES, INCLUDING DIRECT DEPOSIT AUTHORIZATION WITH COPY OF CANCELED CHECK, W4 FORM EMPLOYEE'S WITHHOLDING ALLOWANCE CERTIFICATE, STATEMENT OF SELECTIVE SERVICE COMPLIANCE FOR CERTAIN STUDENT EMPLOYMENT (MALES), AND HARDCOPY OF TIME CARDS, EMAILS AND LETTERS. EMPLOYMENT ELIGIBILITY VERIFICATION (I-9) IS FILED SEPARATELY FROM THE OFFICIAL STUDENT WORKER FILE AND HAS A SEPARATE RETENTION SCHEDULE.

RETENTION TIME PERIOD

ORIGINAL: EVT + 7 YEARS. EVENT = END OF LAST FISCAL YEAR OF EMPLOYMENT

DISPOSITION: DESTROY CONFIDENTIALLY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

UWSFA025. **UWSFA025: WORK STUDY AND STUDENT WORKERS PERSONNEL FILES (DE** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

UNOFFICIAL PERSONNEL FILE FOR STUDENT WORKER, USUALLY MAINTAINED BY THE DEPARTMENT CHAIR, OFFICE MANAGER, OR FIRST-LINE SUPERVISOR INCLUDING A POSITION APPLICATION FORM, A STUDENT HIRING NOTIFICATION SLIP, A LETTER OF AWARD, REFERENCE REPORT, AND HARDCOPY OF SOME TIME CARDS, EMAILS AND LETTERS. THE W4 FORM EMPLOYEE WITHHOLDING AND PHOTOCOPIES OF I-9 FORMS, SOCIAL SECURITY CARDS AND OTHER IDENTIFICATION CARDS AND CHECKS MUST NOT BE KEPT IN THESE DEPARTMENTAL FILES.

RETENTION TIME PERIOD

ORIGINAL: EVT + 1 YEAR. EVENT = END OF LAST FISCAL YEAR OF EMPLOYMENT

DISPOSITION: DESTROY CONFIDENTIALLY

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY

PII: YES
CONFIDENTIAL: YES

UWSFA026. **UWSFA026: FISCAL AND BUDGET REPORTS FOR STUDENT WORKERS** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

REPORTS CREATED WITH EXISTING DATA FROM TIME REPORTING AND PAYROLL SYSTEMS TO MONITOR EXPENSES AGAINST BUDGETED FUNDS.

RETENTION TIME PERIOD

ORIGINAL: EVT + 1 YEAR. EVENT = END OF LAST FISCAL YEAR OF EMPLOYMENT

DISPOSITION: DESTROY CONFIDENTIALLY.

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES
CONFIDENTIAL: YES

UWSFA03A. **UWSFA03A: STUDENT ACCOUNTS-FOR STUDENT WITHOUT LOANS** **EVT+4** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

THIS RECORD SERIES IS FOR THOSE STUDENT ACCOUNT RECORDS IN WHICH THE STUDENT WAS NOT ELIGIBLE OR DID NOT ACCEPT THE LOAN.

RETENTION TIME PERIOD

ORIGINAL: EVT + 4 YEARS. EVENT = END OF THE FISCAL YEAR

DISPOSITION: DESTROY CONFIDENTIAL

COPIES: WHEN NO LONGER NEEDED FOR ADMINISTRATIVE OR QUALITY CONTROL PURPOSES DESTROY CONFIDENTIALLY.

PII: YES

CONFIDENTIAL: YES

<u>UWSH1000.</u>	<u>UWSH100: STUDENT HEALTH CENTER DIRECTORS CORRESPONDENCE</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE RECORD SERIES INCLUDES ALL GENERAL CORRESPONDENCE OF THE STUDENT HEALTH CENTER DIRECTOR. THIS MAY INCLUDE STATISTICAL SUMMARIES, PHYSICIAN CONTRACTS AND MATTERS OTHER THAN INDIVIDUAL STUDENT HEALTH ISSUES.

RETENTION TIME PERIOD

ORIGINAL: CREATION + 3 YEARS, THEN DESTROY IF NOT TRANSFERRING TO ARCHIVES. (SOME INSTITUTION'S ARCHIVES MAY CONSIDER THE DIRECTOR'S GENERAL CORRESPONDENCE TO HAVE ARCHIVAL VALUE. EACH INSTITUTION WILL NEED TO MAKE THIS DETERMINATION.)

<u>UWSH1010.</u>	<u>UWSH101: STUDENT HEALTH CENTER ADMINISTRATIVE SUBJECT FILES</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES ALPHABETIC TOPICAL FILES, OPERATIONAL POLICIES AND PROCEDURES AND OTHER ISSUES THAT ARISE REGARDING THE ADMINISTRATION OF THE STUDENT HEALTH CENTER.

RETENTION TIME PERIOD

ORIGINAL: CREATION + 5 YEARS THEN DESTROY IF NOT TRANSFERRING TO ARCHIVES. (SOME INSTITUTIONS MAY CONSIDER ADMINISTRATIVE FILES TO HAVE ARCHIVAL VALUE. EACH INSTITUTION WILL NEED TO MAKE THIS DETERMINATION.)

<u>UWSH1020.</u>	<u>UWSH102: STUDENT HEALTH CENTER ANNUAL REPORTS</u>	<u>CR+1</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE ANNUAL REPORTS DOCUMENT ALL ACTIVITIES OF THE STUDENT HEALTH CENTER ON A YEARLY BASIS. THE REPORT PROVIDES FINANCIAL AND STATISTICAL INFORMATION, SUMMARIES, ACCOMPLISHMENTS AND DISCUSSION OF FUTURE GOALS.

RETENTION TIME PERIOD

ORIGINAL: CREATION + 1 YEAR AND TRANSFER TO UNIVERSITY ARCHIVES.

COPIES: DESTROY WHEN NO LONGER NEEDED.

GENERAL RECORDS SCHEDULE: STUDENT HEALTH SERVICES

<u>UWSH1030.</u>	<u>UWSH103: STUDENT HEALTH CENTER MEETING RECORDS</u>	<u>FIS+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE RECORD SERIES INCLUDES MEETING MINUTES, AGENDAS AND DISTRIBUTION MATERIALS OF ALL COMMITTEE AND SUB-COMMITTEES CREATED TO ASSIST IN THE MANAGEMENT OF THE STUDENT HEALTH CENTER.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR + 3 YEARS THEN DESTROY. (SOME INSTITUTIONS ARCHIVES MAY CONSIDER THE MEETING RECORDS TO HAVE ARCHIVAL VALUE. EACH INSTITUTION WILL NEED TO MAKE THIS DETERMINATION.)

COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWSH1040.</u>	<u>UWSH104: STUDENT HEALTH SERVICES HEALTH INSURANCE RECORDS</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

THESE RECORDS INCLUDE INFORMATION ON THE HEALTH INSURANCE PLAN PRODUCTS FOR STUDENTS AND THE DIFFERENT TYPE OF INFORMATION REGARDING COVERAGE. ALSO INCLUDED ARE ENROLLMENT OPTIONS, TYPES OF WAIVERS, PAYMENT OPTIONS, COBRA COVERAGE AND FOREIGN GOVERNMENT BILLING AND VENDOR ACCOUNTING RELATED TO INSURANCE PLANS.

RETENTION TIME PERIOD

ORIGINAL: CREATION +5 YEARS AND THEN DESTROY CONFIDENTIALLY.

COPIES: DESTROY WHEN NO LONGER NEEDED.

UWSH1050. **UWSH105: STUDENT HEALTH SERVICES ADVISORY COMMITTEE RECORDS** **FIS+3** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE RECORD SERIES INCLUDES MEETING MINUTES, AGENDAS AND DISTRIBUTION MATERIALS RELATED TO THE WORK OF THE ADVISORY COMMITTEE WHICH SERVES AS A LIAISON WITH THE STUDENT HEALTH CENTER AS WELL AS AN ADVOCATE FOR HEALTH OUTREACH PROGRAMS TO THE CAMPUS COMMUNITY.

RETENTION TIME PERIOD

ORIGINAL: FISCAL YEAR + 3 YEARS THEN DESTROY.

COPIES: DESTROY WHEN NO LONGER NEEDED. (SOME INSTITUTIONS ARCHIVES MAY CONSIDER THE MEETING RECORDS TO HAVE ARCHIVAL VALUE. EACH INSTITUTION WILL NEED TO MAKE THIS DETERMINATION.)

UWSH1060. **UWSH106: STUDENT HEALTH CENTER MEDICAL RECORDS** **EVT+10** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE STUDENT MEDICAL FILES CONTAIN COMPREHENSIVE INFORMATION ON EACH STUDENT WHO RECEIVES MEDICAL SERVICES AT THE STUDENT HEALTH CENTER. IT MAY INCLUDE, BUT IS NOT LIMITED PROBLEM LISTS, FACE SHEETS, VISIT NOTES, ENCOUNTER NOTES, TELEPHONE NOTES, LAB TESTS, RADIOLOGY TESTS, MENTAL HEALTH TESTS, OTHER DIAGNOSTIC TESTS, PHYSICAL EXAMS, OUTSIDE RECORDS, CORRESPONDENCE SUCH AS EMAILS, MESSAGES, ALLERGY INJECTION RECORDS, IMMUNIZATION RECORDS, CONSENT FORMS, VIR IMMUNIZATION REPORTS, BILLING RECORDS, NOTICES OF PRIVACY PRACTICES AND DISCLOSURES. STUDENT HEALTH RECORDS ARE KEPT ACCORDING TO FERPA CONFIDENTIALITY REQUIREMENTS. THESE RECORDS ARE CONSIDERED TO BE PART OF THE DESIGNATED SET OF HEALTH RECORDS AND PART OF THE LEGAL HEALTH RECORD GUIDELINES WHICH ARE CENTER SPECIFIC. MENTAL HEALTH RECORDS ARE COVERED UNDER UWSH122 COUNSELING CENTER STUDENT COUNSELING PATIENT FILES.

RETENTION TIME PERIOD

ORIGINAL: CHANGE EVENT FROM LAST SEMESTER OF ATTENDANCE TO EVT + 10 YEARS
EVENT = LAST DATE OF ENCOUNTER AT UNIVERSITY HEALTH SERVICES (UHS)

UWSH1070. **UWSH107: STUDENT HEALTH SERVICES EMPLOYEE / VISITOR ENCOUNTER** **EVT+3** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES CONTAINS MEDICAL INFORMATION ON EACH VISITOR WHO WAS TREATED FOR EMERGENCY OR OCCASIONAL TREATMENT AT THE STUDENT HEALTH CENTER.

RETENTION TIME PERIOD

ORIGINAL: DATE OF LAST SEMESTER + 3 YEARS AND THEN DESTROY CONFIDENTIALLY.

UWSH1080. **UWSH108: STUDENT INSTRUCTIONAL CAMP HEALTH RECORDS (NON-ATHL** **EVT+4** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE RECORDS CONSIST OF HEALTH RECORDS AND CONSENT FORMS GENERATED BY THE STUDENT HEALTH CENTER FOR ALL INDIVIDUALS ATTENDING UW SYSTEM SPONSORED CAMPS. THESE RECORDS MAY INCLUDE INDIVIDUAL AND FAMILY HISTORIES, HEALTH QUESTIONNAIRES, PHYSICAL EXAMINATION RESULTS, AND X-RAY AND LABORATORY REPORTS AS WELL AS SIGNED CONSENT FORMS TO ALLOW FOR MEDICAL TREATMENT AND MEDICINAL DISPENSING. THIS SERIES DOES NOT APPLY TO SPORTS CAMPS RECORD SERIES HRS129

RETENTION TIME PERIOD

ORIGINAL: LAST YEAR OF ENROLLMENT + 4 YEARS UNLESS PARTICIPANT IS A MINOR, THEN RECORDS NEED TO BE KEPT UNTIL MINOR REACHES AGE 18.
DESTROY CONFIDENTIALLY.

UWSH1090. **UWSH109: STUDENT HEALTH CENTER DAILY LOG** **CR+3** **DEST** **Y**

THE DAILY LOG INCLUDES THE NAME OF EACH PATIENT, THE NAME OF THE MEDICAL PERSONNEL ATTENDING THE

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PATIENT AND THE MEDICAL PROBLEM OR TREATMENT IT MAY INCLUDE PROCEDURES DONE IN THE LABORATORY WHICH CONTAIN THE PATIENT'S NAME, THE NAME OF THE MEDICAL PERSONNEL, WHO ATTENDED THE PATIENT, AND THE PRESCRIBED TREATMENT.

RETENTION TIME PERIOD
ORIGINAL: CREATION + 3 YEARS AND THEN DESTROY CONFIDENTIALLY.

UWSH1100. **UWSH110: STUDENT HEALTH CENTER APPOINTMENT SCHEDULES AND ST/** **CR+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE SERIES INCLUDES A WEEKLY SCHEDULE FOR EACH NURSE AND PHYSICIAN AND THE NAME OF THE PATIENT SEEN. IT ALSO INCLUDES A LOG FOR LABORATORY TESTS AND RESULTS, LOG OF PHYSICIAN'S APPOINTMENTS, WHICH ALSO INCLUDES THE PATIENT'S NAME, DIAGNOSIS, LABORATORY WORK AND TREATMENT.

RETENTION TIME PERIOD
ORIGINAL: CREATION + 5 YEARS AND THEN DESTROY CONFIDENTIALLY.

UWSH1110. **UWSH111: STUDENT HEALTH CENTER VISIT CODING STATISTICS** **CR+7** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE RECORDS SERIES INCLUDES APPOINTMENTS, SCHEDULES, PHYSICIAN INFORMATION, CODING, INVOICES, BILLINGS, PATIENT ACCOUNTS, REPORTING AND PAYMENT POSTING.

RETENTION TIME PERIOD
ORIGINAL: CREATION + 7 YEARS AND THEN DESTROY CONFIDENTIALLY.

UWSH1120. **UWSH112: STUDENT HEALTH HISTORY FORM - INACTIVE STUDENTS** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE RECORD SERIES CONTAINS HEALTH HISTORY FORMS COMPLETED BY EVERY STUDENT AT THE START OF THEIR ENROLLMENT. THIS SERIES INCLUDES ONLY THOSE FORMS OF STUDENTS WHO NEVER MADE AN APPOINTMENT AT THE STUDENT HEALTH CENTER. (THE FORMS OF STUDENTS WHO HAVE BEEN SEEN AS A PATIENT AT THE STUDENT HEALTH CENTER ARE INCLUDED IN THE STUDENTS MEDICAL FILE COVERED UNDER HRS106)

RETENTION TIME PERIOD
ORIGINAL: LAST SEMESTER OF ATTENDANCE + 5 YEARS AND THEN DESTROY CONFIDENTIALLY.

UWSH1130. **UWSH113: STUDENT HEALTH CENTER PHARMACY RECORDS** **EVT+7** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES CONTAINS PATIENT PRESCRIPTIONS FOR PHARMACEUTICALS WRITTEN BY THE MEDICAL STAFF OF THE STUDENT HEALTH CENTER FOR PATIENTS. THE RECORDS INCLUDE THE TYPE OF MEDICATION, THE DOSE AND QUANTITY OF THE MEDICATION, WHEN THE MEDICATION WAS DISPENSED AND THE NAME OF THE MEDICAL STAFF PERSON WHO DISPENSED IT.

RETENTION TIME PERIOD
ORIGINAL: DATE OF LAST VISIT + 7 YEARS AND THEN DESTROY CONFIDENTIALLY.

UWSH1140. **UWSH1140: STUDENT HEALTH CENTER LABORATORY REPORTS - COPIES** **CR+3** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES COPIES OF LABORATORY REPORTS WHICH INCLUDE TESTING AND THEIR RESULTS COMPLETED ON EACH PATIENT AT THE STUDENT HEALTH CENTER. (ORIGINAL LABORATORY REPORTS ARE KEPT AS PART OF THE STUDENTS MEDICAL RECORD - HRS106)

RETENTION TIME PERIOD
COPY: CREATION + 3 YEARS, DESTROY CONFIDENTIALLY

UWSH1150. **UWSH115: STUDENT HEALTH CENTER MASTER PATIENT INDEX (MPI)** **EVT** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE RECORD SERIES CONTAINS A RECORD OF ALL PATIENTS WHO RECEIVED CARE AT THE STUDENT HEALTH CENTER AND CONTAINS THE PATIENT'S MEDICAL RECORD NUMBER, PATIENT'S LEGAL NAME, DOB, GENDER, RACE, ETHNICITY, ADDRESS, CAMPUS ID, ACCOUNT #, ADMISSION OR ENCOUNTER DATE, DISCHARGE OR DEPARTURE DATE, ENCOUNTER

OR SERVICE TYPE, PATIENT'S DISPOSITION. MASTER PATIENT INDEX IS THE LINK IN TRACKING PATIENT, PERSON, OR MEMBER ACTIVITY WITHIN AN ORGANIZATION (OR ENTERPRISE) AND ACROSS PATIENT CARE SETTINGS. THE MPI IDENTIFIES ALL PATIENTS WHO HAVE BEEN TREATED IN A FACILITY OR ENTERPRISE AND LISTS THE MEDICAL RECORD OR IDENTIFICATION NUMBER ASSOCIATED WITH THE NAME. AN INDEX CAN BE MAINTAINED MANUALLY OR AS PART OF A COMPUTERIZED SYSTEM

RETENTION TIME PERIOD

ORIGINAL: KEEP 75 YEARS OR LIFE OF UNIVERSITY HEALTH SERVICE, WHICHEVER IS LONGER.

<u>UWSH1160.</u>	<u>UWSH116: STUDENT HEALTH CENTER STD CASE RECORDS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE RECORDS SERIES INCLUDES ALL MATERIALS WHICH DOCUMENT A POSITIVE CASE OF SEXUALLY TRANSMITTED DISEASE (STD) ON CAMPUS. THE RECORDS MAY INCLUDE TEST REQUISITIONS, TEST ANALYTICS REPORTS, QUALITY CONTROL ANALYTICS AND OTHER DOCUMENTATION REQUIRED TO VERIFY THE REPORT.

RETENTION TIME PERIOD

ORIGINAL: SEND TO THE WISCONSIN DEPARTMENT OF HEALTH AND FAMILY SERVICES

COPIES: DATE OF TEST + 3 YEARS AND THEN DESTROY CONFIDENTIALLY

<u>UWSH1170.</u>	<u>UWSH117: STUDENT HEALTH CENTER QUALITY CONTROLS RECORDS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORD SERIES CONTAINS STUDENT HEALTH CENTER STUDIES WHICH ARE UTILIZED TO IMPROVE THE QUALITY OF HEALTH CARE. THEY INCLUDE, BUT ARE NOT LIMITED TO, QUALITY STUDIES, PEER REVIEW AND CASE REVIEW, RISK MANAGEMENT REPORTS, SATISFACTION SURVEYS AND NATIONAL COLLEGE HEALTH ASSESSMENTS. IT ALSO INCLUDES A COMPLAINT FORM OR SURVEYS TO BE COMPLETED ON OPTIONAL BASES BY ANY PATIENT. THE FORM INCLUDES THE DATE, NATURE OF THE COMPLAINT AND A COMMENT SECTION. THE STAFF PERSON'S NAME AND THE PATIENT'S NAME ARE OPTIONAL.

RETENTION TIME PERIOD

ORIGINAL: CREATION + 3 YEARS AND THEN DESTROY CONFIDENTIALLY.

<u>UWSH1180.</u>	<u>UWSH118: STUDENT HEALTH CENTERS SERVICE PROGRAM RECORDS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE RECORDS SERIES CONTAINS MATERIALS ON VARIOUS EDUCATIONAL PROGRAMS, REPORTS AND CORRESPONDENCE PROVIDED BY THE STUDENT HEALTH CENTER. THIS MAY INCLUDE POSTERS, CIRCULARS, CONTESTS AND OTHER PREVENTIVE HEALTH CARE INITIATIVES.

RETENTION TIME PERIOD

ORIGINAL: CREATION + 3 YEARS AND THEN DESTROY IF NOT TRANSFERRING TO ARCHIVES. (PROGRAM MATERIAL, HOWEVER, ON SIGNIFICANT PUBLIC HEALTH ISSUES SHOULD BE OFFERED TO UNIVERSITY ARCHIVES. IF QUESTIONS ARISE THE STUDENT HEALTH DIRECTORS SHOULD CONSULT WITH THEIR UNIVERSITY ARCHIVISTS, REGARDING WHAT CONSTITUTES A SIGNIFICANT PUBLIC HEALTH ISSUE.)

COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWSH1190.</u>	<u>UWSH119: COUNSELING CENTER</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE RECORD SERIES INCLUDES ALL CORRESPONDENCE, ALPHABETIC TOPICAL FILES, POLICIES AND PROCEDURES THAT DEAL WITH THE ADMINISTRATION OF THE COUNSELING CENTER CREATED BY THE DIRECTOR.

RETENTION TIME PERIOD

ORIGINAL: CREATION + 5 YEARS THEN DESTROY IF NOT TRANSFERRING TO ARCHIVES. (SOME INSTITUTIONS MAY CONSIDER ADMINISTRATIVE FILES TO HAVE ARCHIVAL VALUE. EACH INSTITUTION WILL NEED TO MAKE THIS DETERMINATION.)

<u>UWSH1200.</u>	<u>UWSH120: COUNSELING CENTER ANNUAL REPORT</u>	<u>CR+1</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

PROCEDURES.

RETENTION TIME PERIOD

ORIGINAL: CREATION + 3 YEARS THEN DESTROY CONFIDENTIALLY.

UWSH1260. **UWSH126: COUNSELING CENTER COMMUNITY OUTREACH PREVENTION AN** **CR+3** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

RECORD SERIES INCLUDES MATERIALS ON COMMUNITY OUTREACH PREVENTION AND EDUCATION PROGRAMS. THIS INCLUDES BUT IS NOT LIMITED TO POSTERS, CIRCULARS, CONTEST MATERIALS AS WELL AS PROGRAM RELATED REPORTS.

RETENTION TIME PERIOD

ORIGINAL: CREATION + 3 YEARS THEN DESTROY. (PROGRAM MATERIAL, HOWEVER, ON SIGNIFICANT PUBLIC HEALTH ISSUES SHOULD BE OFFERED TO THE UNIVERSITY ARCHIVES.)

COPIES: DESTROY WHEN NO LONGER NEEDED.

UWSH1270. **UWSH127: STUDENT ATHLETICS STUDENT ATHLETE MEDICAL FILES** **EVT+7** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

SERIES REPRESENTS THE MAIN STUDENT ATHLETE HEALTH RECORD FOR ATHLETICS PROGRAMS. STUDENT ATHLETE MEDICAL FILES CONTAIN PHYSICALS, HEALTH HISTORY QUESTIONNAIRES, PHYSICIAN NOTES, INJURY EVALUATIONS, INJURY REHABILITATION, DIAGNOSTIC IMAGING RESULTS, OPERATIVE REPORTS, OPERATIVE PICTURES, HEALTH INSURANCE INFORMATION AND ANY OTHER HEALTH MATERIAL.

RETENTION TIME PERIOD

ORIGINAL: LAST SEMESTER OF ATTENDANCE + 7 YEARS AND THEN DESTROY CONFIDENTIALLY.

UWSH1280. **UWSH128: STUDENT ATHLETICS ATHLETE DIAGNOSTIC TESTS** **EVT+7** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE RECORD SERIES INCLUDES MRI'S, X-RAYS, BONE SCANS AND CT SCANS. THE TESTS ARE FILED ALPHABETICALLY BY TEAM SPORT FOR ACTIVE STUDENT ATHLETES AND ALPHABETICAL ONLY FOR NON-CURRENT STUDENT ATHLETES.

RETENTION TIME PERIOD

ORIGINAL: LAST SEMESTER OF ELIGIBILITY + 7 YEARS AND THEN DESTROY CONFIDENTIALLY.

UWSH1290. **UWSH129: SPORT CAMP MEDICAL RECORDS** **EVT+4** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

MEDICAL RECORDS CONSIST OF A HEALTH HISTORY FORM WHICH IS REQUIRED FOR EACH PERSON ENROLLED IN A ATHLETIC SPORTS CAMP SPONSORED BY A UW SYSTEM INSTITUTION. THE FORM INCLUDES DATE OF LAST PHYSICAL EXAMINATION, IMMUNIZATION RECORDS, ALLERGIC REACTIONS AND IDENTIFICATION OF ANY EXISTING MEDICAL PROBLEMS, AS WELL AS SIGNED CONSENT FORMS TO ALLOW FOR MEDICAL TREATMENT AND MEDICINAL DISPENSING

RETENTION TIME PERIOD

ORIGINAL: YEAR OF PARTICIPATION + 4 YEARS UNLESS PARTICIPANT IS A MINOR, THEN RECORDS NEED TO BE KEPT UNTIL MINOR REACHES AGE 18. DESTROY CONFIDENTIALLY.

UWSTU001. **UWSTU001: ACCEPTANCE LETTERS, (ENROLLED STUDENTS)** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

COMPRISING THIS SERIES ARE THE UNIVERSITY'S COPY OF NOTIFICATION LETTERS IN ANY FORMAT SENT TO ADMITTED FRESHMEN OR TRANSFER STUDENTS AS A RESPONSE TO APPLICATION TO THE UNIVERSITY. SUCH LETTERS MAY INCLUDE AN INVITATION TO ORIENTATION AND INDICATE ANY FURTHER STEPS NEEDED TO BE TAKEN BY THE ADMITTED STUDENT.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES
CONFIDENTIAL? YES

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UWSTU007. **UWSTU007: CORRESPONDENCE, STAFF, WITH OR CONCERNING ENROLLEE** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES CORRESPONDENCE IN ANY FORMAT BETWEEN ENROLLMENT SERVICES STAFF WITHIN UNITS OR WITH STUDENTS, RELEVANT TO THE ADMISSION AND/OR ACADEMIC PROGRESS OF INDIVIDUAL STUDENT.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY. (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU008. **UWSTU008: CORRESPONDENCE, STAFF, WITH OR CONCERNING STUDENTS** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES INCLUDES CORRESPONDENCE IN ANY FORMAT BETWEEN ENROLLMENT SERVICES STAFF WITHIN UNITS OR WITH STUDENTS, RELEVANT TO THE ADMISSION AND/OR ACADEMIC PROGRESS OF INDIVIDUAL STUDENT.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY. (EVT = DATE OF APPLICATION)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU009. **UWSTU009: CREDIT BY EXAMINATION OR EXPERIENTIAL LEARNING CREDIT** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

EXAMINATIONS INCLUDE BUT ARE NOT LIMITED TO ADVANCED PLACEMENT RESULTS, CLEP, PEP, OTHER TEST SCORE RESULTS, PRIOR LEARNING DOCUMENTATION, ETC. USED FOR ADVANCED PLACEMENT WITHIN DEGREE PROGRAM.

RETENTION PERIOD: EVT + 5 (FOR ENROLLED AND NON-ENROLLED STUDENTS) YEARS THEN DESTROY CONFIDENTIALLY. (EVT = GRADUATION DATE OR DATE LAST ATTENDED.)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU010. **UWSTU010: ENTRANCE EXAMINATION RESULTS AND OTHER PLACEMENT TESTS** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

STUDENT SCORES FROM STANDARDIZED TESTS, INCLUDE, BUT ARE NOT LIMITED TO: ACT, SAT, GRE OR UNIVERSITY OR DEPARTMENT-SPECIFIC TESTS OR AUDITIONS FOR ENROLLED STUDENTS.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU011. **UWSTU011: ENTRANCE EXAMINATION RESULTS AND OTHER PLACEMENT TESTS** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

STUDENT SCORES FROM STANDARDIZED TESTS, INCLUDED BUT NOT LIMITED TO: ACT, SAT, GRE OR UNIVERSITY OR DEPARTMENT-SPECIFIC TESTS OR AUDITION FOR STUDENTS WHO DID NOT ENROLL IN THE INSTITUTION.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY (EVT = DATE OF APPLICATION)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU012. **UWSTU012: GRADUATE SCHOOL DEGREE APPLICATIONS - RECEIVED** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

RECORDS USED TO DETERMINE STUDENT RESIDENCY CLASSIFICATION FOR TUITION PURPOSES. THESE RECORDS ALSO INCLUDE FORMS TO APPEAL FOR IN-STATE RESIDENT TUITION. RECORDS SUPPLIED TO SUBSTANTIATE THIS MAY INCLUDE A VARIETY OF STATE AND FEDERAL INCOME TAX INFORMATION, HIGH SCHOOL RECORDS, EMPLOYMENT RECORDS AND OTHER DOCUMENTS.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY. (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL

UWSTU022. **UWSTU022: TRANSCRIPTS FROM OTHER INSTITUTIONS, (ENROLLED STUDENTS)** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

TRANSCRIPTS FROM OTHER INSTITUTIONS SUCH AS PREPARATORY SCHOOLS, HIGH SCHOOLS, OTHER UNIVERSITIES, COLLEGES AND TECHNICAL SCHOOLS USED TO SUPPORT THE ADMISSIONS PROCESS.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY. (EVT = DATE OF APPLICATION)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU023. **UWSTU023 : TRANSCRIPTS FROM OTHER INSTITUTIONS, (NOT ENROLLED)** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

TRANSCRIPTS FROM OTHER INSTITUTIONS SUCH AS PREPARATORY SCHOOLS, HIGH SCHOOLS, OTHER UNIVERSITIES, COLLEGES AND TECHNICAL SCHOOLS USED TO SUPPORT THE ADMISSIONS PROCESS.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY. (EVT = DATE OF APPLICATION)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU024. **UWSTU024: VETERANS RECORDS, (ENROLLED STUDENTS)** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

RECORDS RELATED TO STUDENT ENROLLMENT FOR FEDERAL/STATE MILITARY BENEFITS SUCH AS APPLICATION, COPIES OF DISCHARGE FORM DD214, VA ELIGIBILITY CERTIFICATES, STUDY GRANTS, VA VOCATIONAL REHABILITATION AGREEMENTS, VA FEE VOUCHERS, AND CORRESPONDENCE, IN AS FAR AS THESE RECORDS SUPPORT THE ADMISSIONS PROCESS. SEE FINAID001 AND FINAID010 FOR THE DISPOSAL OF THOSE VETERAN'S RECORDS USED TO DETERMINE FINANCIAL AID ELIGIBILITY.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY. (EVT = END OF BENEFIT AWARD YEAR)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU025. **UWSTU025: VETERANS RECORDS, (NOT ENROLLED)** **EVT+2** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

RECORDS RELATED TO STUDENT ENROLLMENT FOR FEDERAL/STATE MILITARY BENEFITS SUCH AS APPLICATION, COPIES OF DISCHARGE FORM DD214, VA ELIGIBILITY CERTIFICATES, STUDY GRANTS, VA VOCATIONAL REHABILITATION AGREEMENTS, VA FEE VOUCHERS, AND CORRESPONDENCE, IN AS FAR AS THESE RECORDS SUPPORT THE ADMISSIONS PROCESS. SEE FINAID001 AND FINAID010 FOR THE DISPOSAL OF THOSE VETERAN'S RECORDS USED TO DETERMINE FINANCIAL AID ELIGIBILITY.

RETENTION PERIOD: EVT + 2 YEARS THEN DESTROY CONFIDENTIALLY. (EVT = DATE OF APPLICATION)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU026. **UWSTU026: ACADEMIC DISMISSAL/SUSPENSION/EXPULSION RECORDS** **CR+6** **SHSW** **Y**

** FOR USE BY UW STAFF ONLY **

UNIVERSITY'S COPY OF THE LETTER IN ANY FORMAT FROM THE DEAN OF STUDENTS OR EQUIVALENT OFFICE EXPLAINING TO THE STUDENT THE DISMISSAL AND THE ACADEMIC OR NONACADEMIC REASONS FOR THE ACTION.

RETENTION PERIOD: CR + 6 YEARS, THEN TRANSFER TO UNIVERSITY ARCHIVES.

PII? YES
 CONFIDENTIAL? YES
 COPIES: RETAIN ONE YEAR THEN DESTROY CONFIDENTIALLY.

<u>UWSTU027.</u>	<u>UWSTU027: ACADEMIC MISCONDUCT RECORDS</u>	<u>CR+6</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

NOTIFICATION OF ACADEMIC MISCONDUCT AND DOCUMENTATION OF SANCTIONS OR DISCIPLINARY ACTION INCLUDING CORRESPONDENCE, REPORTS, REQUESTS FOR HEARINGS, APPEALS AND PETITIONS.

RETENTION PERIOD: CR + 6 YEARS, THEN TRANSFER TO UNIVERSITY ARCHIVES.

PII? YES
 CONFIDENTIAL? YES
 COPIES: RETAIN ONE YEAR THEN DESTROY CONFIDENTIALLY.

<u>UWSTU028.</u>	<u>UWSTU028: ACADEMIC WARNINGS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

ACADEMIC WARNING SENT BY EMAIL OR PAPER CORRESPONDENCE INFORMING THE STUDENT OF POOR ACADEMIC PERFORMANCE THAT THREATENS CONTINUED ATTENDANCE OF THE INSTITUTION.

RETENTION PERIOD: EVT + 5 YEARS. (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU029.</u>	<u>UWSTU029: ADD/DROP RECORDS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

COMPLETED COURSE ADD OR DROP FORMS AND RELATED RECORDS REQUIRED BY THE INSTITUTION TO ADD OR DROP COURSES AFTER THE REGISTRATION DEADLINE.

RETENTION PERIOD: EVT + 1 YEAR. (EVT = DATE SUBMITTED)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU030.</u>	<u>UWSTU030: APPLICATIONS FOR GRADUATION, (GRADUATED STUDENTS)</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

APPLICATIONS COMPLETED BY STUDENTS AS REQUIRED PRIOR TO GRADUATION. THESE TRIGGER DEGREE AUDITS WHICH REVIEW STUDENT RECORDS FOR COMPLETION OF DEGREE REQUIREMENTS. (DEGREE AUDITS UWSTU044)

RETENTION PERIOD: EVT + 1 YEAR. (EVT = DATE OF APPLICATION)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU031.</u>	<u>UWSTU031: APPLICATIONS FOR GRADUATION, (NOT-GRADUATED STUDENTS)</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

APPLICATIONS COMPLETED BY STUDENTS AS REQUIRED PRIOR TO GRADUATION. THESE TRIGGER DEGREE AUDITS WHICH REVIEW STUDENT RECORDS FOR COMPLETION OF DEGREE REQUIREMENTS. (DEGREE AUDITS UWSTU044)

RETENTION PERIOD: EVT + 5 YEARS. (EVT = APPLICATION DATE)

PII? YES

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

RETENTION PERIOD: CR + 6 YEARS, THEN TRANSFER TO UNIVERSITY ARCHIVES.

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU037. **UWSTU037: CORRESPONDENCE BETWEEN STUDENTS AND FACULTY REG/** **EVT+0/6** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

CORRESPONDENCE BETWEEN FACULTY AND STUDENTS IN ANY FORM RELATING TO COURSEWORK, AS RETAINED BY ACADEMIC DEPARTMENTS TO SERVE AS SOURCE DOCUMENTS FOR SUBMITTED OFFICIAL GRADES.

RETENTION PERIOD: 6 MONTHS AFTER CLOSE OF SEMESTER IN WHICH GRADES ARE SUBMITTED. DESTROY CONFIDENTIALLY.

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU038. **UWSTU038: CORRESPONDENCE RELATED TO ACADEMIC INQUIRY** **EVT+0/6** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

STUDENT CORRESPONDENCE RELATED TO ACADEMICS OTHER THAN WITH CURRENT INSTRUCTORS (SEE UWSTU037) OR WITH ENROLLMENT SERVICES REGARDING ADMISSION (SEE UWSTU007; UWSTU008)

RETENTION PERIOD: EVT + 6 MONTHS YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF CORRESPONDENCE)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU039. **UWSTU039: COURSE REPEAT APPROVAL FORM** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

FORM REQUESTING AND/OR GRANTING APPROVAL TO REPEAT A COURSE FOR CREDIT. DOCUMENT CONTAINS STUDENT NAME, ID, COURSE NUMBER AND SIGNATURE OF ADVISOR AND MAY RECORD ACADEMIC REASONS FOR REPEATING THE CLASS.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY. (EVT = DATE OF SUBMISSION)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU040. **UWSTU040: COURSE WAIT LIST** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

LISTS OF STUDENTS WAITING FOR AN ENROLLMENT OPENING IN AN INDIVIDUAL COURSE BECAUSE THE COURSE HAS REACHED ITS MAXIMUM CLASS SIZE. LISTS MAY BE GENERATED BY ACADEMIC DEPARTMENTS OR INDIVIDUAL INSTRUCTORS. THEY MAY BE USED TO GIVE PREFERENCE TO WAITING STUDENTS IN THE FOLLOWING SEMESTER OR DETERMINE THE NEED FOR MORE SECTIONS OF THE CLASS.

RETENTION PERIOD: EVT + ONE SEMESTER OR WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. (EVT = END OF SEMESTER IN WHICH LIST WAS CREATED.)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU041. **UWSTU041: CREDIT/NO CREDIT APPROVAL FORMS** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

REQUEST FORMS COMPLETED BY THE STUDENT AND SIGNED BY THE INSTRUCTOR AND RELATED RECORDS TO CHANGE THE INDIVIDUALS GRADING OPTION OF A COURSE FROM THE LETTER GRADE TO PASS/FAIL OR VICE VERSA.

RETENTION PERIOD: EVT+1 YEAR THEN DESTROY CONFIDENTIALLY. (EVT = DATE OF SUBMISSION)

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU047. **UWSTU047: GRADE BOOKS, ORIGINAL (ACADEMIC DEPARTMENTS)** **EVT+2** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

STUDENT GRADES RECORDED BY PROFESSORS AND INSTRUCTORS IN ANY FORMAT TO SUPPORT THE OFFICIAL AWARDED GRADES SUBMITTED TO THE REGISTRAR

RETENTION PERIOD: EVT + 2 YEARS THEN DESTROY CONFIDENTIALLY. (EVT = END OF SEMESTER)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU048. **UWSTU048: GRADES, OFFICIAL** **P** **PERM** **Y**

** FOR USE BY UW STAFF ONLY **

OFFICIAL STUDENT GRADES, RECORDED BY REGISTRAR, INCLUDING MATERIAL IN ALL FORMATS: PAPER, ELECTRONIC, D2L, ETC.

RETENTION PERIOD: PERMANENT.

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU049. **UWSTU049: GRADUATE SCHOOL RECORDS FOR ACCEPTED STUDENTS** **EVT+10** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THIS SERIES CONTAINS THE OFFICIAL STUDENT RECORD CONTAINED IN AN INTEGRATED STUDENT INFORMATION SYSTEM (ISIS). IT CONTAINS ADMISSION APPLICATIONS AND PROFICIENCY TESTING, LETTER OF RECOMMENDATIONS, DIRECTED STUDY AND THESIS PRE-AUTHORIZATION FORMS, CREDIT EVALUATIONS AND RE-EVALUATIONS, WISCONSIN RESIDENCY DETERMINATION AND SUPPORTING DOCUMENTATION, DEAN'S ACADEMIC AND TRANSFER FORMS, FOREIGN LANGUAGE EXAM FORMS, GRADE CHANGE FORMS AND GRADE PROBLEM CARDS, PASS/FAIL OPTION FORMS, MAJOR DECLARATION FORMS, DISCIPLINARY OR CONDUCT ACTIONS FORMS, WITHHOLD OF PUBLIC INFORMATION FORM (FERPA), STUDENT AUTHORIZATION FOR DISCLOSURE IN EDUCATION RECORDS, STUDY ABROAD COURSE AND GRADE EVALUATIONS, DEGREE SUMMARY WITH ATTACHED CORRESPONDENCE AND RELATED FORMS, DEGREE AUDITS, COPY OF THE TRANSCRIPT, COPY OF THE PERMANENT CARD, IDENTITY CHANGE, LEGAL SUMMONS, SUBPOENAS AND RELATED CORRESPONDENCE, ROTC FORMS, COURSE CHANGE REQUEST FORMS, ENROLLMENT LETTERS AND OTHER SUPPORTING INFORMATION FROM REGISTRARS OFFICE, AND TRANSCRIPTS FROM OTHER COLLEGES OR UNIVERSITIES. OTHER FORMATS MAY INCLUDE MICROFILM, IMAGES, AND DATA IN THE DATA WAREHOUSE.

RETENTION PERIOD: 10 YEARS FROM DATE OF RECEIPT OF DEGREE OR DATE OF LAST ATTENDANCE AND DESTROY CONFIDENTIALLY.

PII? YES
 CONFIDENTIAL? YES

UWSTU050. **UWSTU050: GRADUATE SCHOOL: THESIS/DISSERTATIONS/DIRECTED STUD** **CR+6** **UW-TRANS** **N**

** FOR USE BY UW STAFF ONLY **

THESES AND DISSERTATIONS WRITTEN AS PART OF THE REQUIREMENT FOR A CONFERRED DEGREE. SOME PROGRAMS ALLOW FOR DIRECTED STUDY OR A THESIS.

RETENTION PERIOD: CR + 6, THEN TRANSFER TO LIBRARY OR UNIVERSITY ARCHIVES PER POLICY OF THE INDIVIDUAL INSTITUTION.

PII? NO
 CONFIDENTIAL? NO
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU051. **UWSTU051: GRIEVANCES, EXAM/COURSE RELATED (NOT GRADE DISPUTE)** **EVT+3** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

PAPER OR ELECTRONIC FORMS RECORDING STUDENT GRIEVANCES ABOUT COURSES, COURSEWORK, EXAMS, INSTRUCTOR AND INCLUDE STUDENT NAME AND NUMBER, TERM/SEMESTER, COURSE NUMBER NAME OF INSTRUCTOR AND SIGNATURES BY STUDENT, FACULTY OR STAFF.

RETENTION PERIOD: EVT + 3 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF SUBMISSION)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU052.</u>	<u>UWSTU052: HOLD OR ENCUMBRANCE AUTHORIZATIONS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

LIMITATIONS PLACED ON A STUDENT'S ACCOUNT DUE TO LATE PAYMENT, LATE REGISTRATION, OR OTHER REASONS STATED BY THE INSTITUTION DUE TO NONPAYMENT OF FEES, LIBRARY FINES, PARKING CITATIONS, ETC. AN ENCUMBRANCE CAN PROHIBIT STUDENTS FROM REGISTERING FOR CLASSES, AFFECT THE RELEASE OF THEIR TRANSCRIPTS, OR DELAY THE RECEPTION OF THEIR DIPLOMAS.

RETENTION PERIOD: EVT + 6 YEARS THEN DESTROY CONFIDENTIALLY (EVT = FISCAL YEAR OF CREATION)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU053.</u>	<u>UWSTU053: HONORS PROGRAM APPLICANT FILES, UNDERGRADUATE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THIS RECORD SERIES INCLUDES HONORS PROGRAM APPLICANT FILES AND APPLICATIONS, GRADE POINT AVERAGES, SCHOLARSHIP AND AWARD MATERIALS, AND STATISTICS.

RETENTION: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF APPLICATION)

PII? YES

CONFIDENTIAL? YES

<u>UWSTU054.</u>	<u>UWSTU054: INSTRUCTIONAL MATERIALS INCLUDING MATERIALS IN COURSE</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

EXAMINATIONS, COURSEWORK, ASSIGNMENTS, ETC. AS RETAINED BY ACADEMIC DEPARTMENTS TO SERVE AS SOURCE DOCUMENTS FOR SUBMITTED OFFICIAL GRADES. THIS SERIES INCLUDES COURSE SUPPORT INSTRUCTIONAL MATERIALS IN ANY FORMAT INCLUDING THOSE FOUND IN COURSE MANAGEMENT SYSTEMS, SUCH AS DESIRE2LEARN (D2L).

RETENTION PERIOD: 1 YEAR AFTER END OF SEMESTER IN WHICH GRADES ARE SUBMITTED YEARS THEN DESTROY CONFIDENTIALLY.

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU055.</u>	<u>UWSTU055: INTERNSHIP AGREEMENTS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

AGREEMENTS, ALSO KNOWN AS MEMORANDUMS, BETWEEN THE UNIVERSITY, INDIVIDUAL DEPARTMENTS OR COLLEGES OR THE UW BOARD OF REGENTS AND EXTERNAL BUSINESSES OR AGENCIES GOVERNING POTENTIAL SUPERVISED PRACTICAL TRAINING OR SERVICE LEARNING EXPERIENCES OF UNIVERSITY STUDENTS. INTERNSHIP AGREEMENTS DO NOT CONCERN INDIVIDUAL STUDENTS BUT RATHER ACKNOWLEDGE THE BUSINESS OR AGENCY'S WILLINGNESS TO ACCEPT INTERNS IN THE FUTURE. AGREEMENTS MAY INCLUDE A LIST OF THE RESPONSIBILITIES AND EXPECTATIONS OF THE AGENCIES, THE UNIVERSITY OFFICES AND THE STUDENTS; AS WELL AS ANY GENERAL PROVISIONS OR INFORMATION GERMANE TO THE EXECUTION OF THE LEARNING EXPERIENCE.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY (EVT = EXPIRATION OF AGREEMENT)

PII? NO

CONFIDENTIAL? NO

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU056.</u>	<u>UWSTU056: INTERNSHIP CONTRACTS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

SIGNED AGREEMENTS GOVERNING SUPERVISED PRACTICAL TRAINING OR SERVICE LEARNING EXPERIENCES OF

UNIVERSITY STUDENTS. OFTEN INTERNSHIP CONTRACTS ARE MADE BETWEEN ACADEMIC DEPARTMENTS/COLLEGES AND EXTERNAL AGENCIES BUT MAY INVOLVE ANOTHER UNIVERSITY DEPARTMENT. CONTRACTS STIPULATE EXPECTATIONS OF A STUDENT'S RESPONSIBILITIES, THE LEARNING OUTCOMES TO BE COVERED AS WELL AS THE LOGISTICAL ASPECTS OF THE PROGRAM. RETENTION PERIOD IS IDENTICAL TO THAT FOR TESTS AND OTHER INSTRUCTIONAL MATERIALS THAT ARE SIMILARLY USED TO DETERMINE A STUDENT'S FINAL GRADE.

RETENTION PERIOD: ORIGINAL: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY. (EVT = DATE OF END OF INTERNSHIP AS DETERMINED BY THE UNIVERSITY)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU057. UWSTU057: MAJOR DECLARATIONS, CHANGES, CERTIFICATION OF SECON EVT+5 DEST Y

** FOR USE BY UW STAFF ONLY **

ELECTRONIC OR PAPER DOCUMENTS DETAILING THE STUDENT'S DECLARATION OR CHANGE OR MAJORS OR THE ADDITION OF A SECOND MAJOR OR MINOR. RECORDS CONTAIN THE DATE OF THE CHANGE, REQUIRED AUTHORIZATIONS, THE PARAMETERS OF THE ADDITION OR CHANGE INCLUDING THE NEW REQUIREMENTS FOR COMPLETION. MAJOR DECLARATION, CHANGE AND THE ADDITION OF A SECOND MAJOR OR MINOR MAY ALL BE CONTAINED IN ONE DOCUMENT OR THEY MAY BE ACCOMPLISHED VIA SEVERAL FORMS. PRACTICE VARIES BETWEEN DEPARTMENTS AND SCHOOL.

RETENTION PERIOD: EVT+ 5 YEARS THEN DESTROY CONFIDENTIALLY. (EVT = GRADUATION OR LAST ATTENDANCE)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LOGNER THAN THE ORIGINAL.

UWSTU058. UWSTU058: NAME CHANGE AUTHORIZATIONS EVT+5 DEST Y

** FOR USE BY UW STAFF ONLY **

FORMS AND SUBSEQUENT RECORDS IN ANY FORM DOCUMENTING A NAME CHANGE REQUEST AND ACTION INITIATED BY A STUDENT.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF SUBMISSION)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU059. UWSTU059: PETITIONS, EXCEPTIONS TO ACADEMIC RULES EVT+5 DEST Y

** FOR USE BY UW STAFF ONLY **

PAPER FORMS SUBMITTED BY THE STUDENT REQUESTING AN EXCEPTION BE MADE TO ACADEMIC RULES REGARDING REQUIRED CLASSES, ETC. FORMS INCLUDE STUDENT NAME AND ID NUMBER, TERM/SEMESTER, COURSE NUMBER NAME OF INSTRUCTOR AND SIGNATURES BY STUDENT, FACULTY OR STAFF.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF SUBMISSION)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU060. UWSTU060: REGISTRATION FORMS EVT+1 DEST Y

** FOR USE BY UW STAFF ONLY **

FORMS COMPLETED BY STUDENTS AT THE TIME OF REGISTRATION IN PAPER, ELECTRONIC OR ONLINE FORMATS. THESE FORMS CONTAIN STUDENT NAME AND NUMBER, TERM OR SEMESTER, CLASS NUMBER AND TITLE AND NUMBER OF CREDITS.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY (EVT = DATE OF SUBMISSION)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LOGNER THAN THE ORIGINAL.

UWSTU061. UWSTU061: SCHEDULES--INDIVIDUAL STUDENT SCHEDULE OF CLASSES EVT+1 DEST Y

** FOR USE BY UW STAFF ONLY **

ELECTRONIC OR PAPER SCHEDULE ISSUED TO STUDENTS RECORDING THE CLASSES IN WHICH THEY ARE ENROLLED, CREDITS, GRADING OPTION, LOCATION AND MEETING TIMES OF CLASSES, AND INCLUDING STUDENT NAME, CLASS, MAJOR AND IDENTIFICATION NUMBER.

RETENTION PERIOD: EVT+1 YEAR THEN DESTROY CONFIDENTIALLY (EVT = DATE OF SCHEDULES CREATION)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU062.</u>	<u>UWSTU062: STUDENT TEACHER FIELD EXPERIENCE FILE</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS ASSEMBLED THROUGH THE EVALUATION OF STUDENT TEACHERS CONDUCTING THEIR FIELD WORK. RECORDS MAY CONTAIN BUT ARE NOT LIMITED TO: WRITTEN EVALUATIONS OF FIELD SUPERVISORS AND COOPERATING TEACHERS; REMEDIATION PLANS; RECOMMENDATION LETTERS; SIGNED AGREEMENTS WITH DISTRICTS; CORRESPONDENCE; COPIES OF TRANSCRIPTS AND OTHER STUDENT RECORDS. RECORDS KEPT DURING A PROBATIONARY PERIOD OF NEW TEACHERS TO AID IN THEIR PROFESSIONAL DEVELOPMENT PLANS. NOTE: FOR RETENTION GUIDELINES FOR NECESSARY TUBERCULOSIS OR OTHER MEDICAL TESTS THAT FIELD EXPERIENCE MAY REQUIRE, SEE THE HEALTH SERVICES GENERAL RECORD SCHEDULE.

RETENTION PERIOD: EVT + 7 YEARS THEN DESTROY (EVT = GRADUATION OR SEMESTER OF LAST ATTENDANCE)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU063.</u>	<u>UWSTU063: STUDY ABROAD PROGRAM FILES</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THESE RECORDS CONSIST OF A SERIES OF DATABASES OR PAPER FILES WHICH ARE MAINTAINED FOR MULTIPLE YEARS. THE DATA PROVIDES A CONTINUOUS LIST OF STUDY ABROAD PROGRAM NAMES, STUDENT NAMES, NUMBER PARTICIPATING, DATES OF THE PROGRAM, COURSE REGISTRATION, MEDICAL INFORMATION, NAMES OF ROOMMATES, BIOGRAPHICAL INFORMATION AND OTHER INFORMATION.

RETENTION PERIOD: EVT + 1

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU064.</u>	<u>UWSTU064: SYLLABI AND/OR INDIVIDUAL COURSE CALENDARS</u>	<u>EVT+10</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORD SERIES INCLUDES THE WRITTEN SUMMARY OF INDIVIDUAL CLASS OBJECTIVES, TOPICS COVERED, REQUIREMENTS, NECESSARY TEXTS AND EQUIPMENT, GRADING AND EVALUATION PROCEDURES AND OTHER CLASS-SPECIFIC POLICIES CREATED BY AN INSTRUCTOR FOR STUDENTS. AN OFFICIAL COPY OF THE SYLLABUS SHOULD BE KEPT BY THE DEPARTMENT FOR OFFICIAL RETENTION AS DETAILED BELOW. OTHER COPIES MAY BE KEPT BY INSTRUCTORS FOR ADMINISTRATIVE, PERSONAL USE FOR A TIME SPECIFIC TO EACH COLLEGE, DEPARTMENT OR INDIVIDUALS' NEEDS FOR THE PURPOSES OF RE-ACCREDITATION, COURSE MODIFICATION AND REVIEW, TENURE/PERSONNEL DECISIONS, ETC.

RETENTION: OFFICIAL DEPARTMENT COPY: 10 YEARS AFTER LAST DAY OF COURSE THEN TRANSFER TO ARCHIVES *

PII? NO

CONFIDENTIAL? NO

COPIES: DESTROY WHEN NO LONGER NEEDED FOR COLLEGE/DEPARTMENTAL OR PERSONAL USE.

* THE DETERMINATION OF ARCHIVAL VALUE OF SYLLABI WILL BE MADE BY EACH INSTITUTION'S ARCHIVES.

<u>UWSTU065.</u>	<u>UWSTU065: TRANSCRIPTS, OFFICIAL</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

OFFICIAL STUDENT ACADEMIC TRANSCRIPTS SHOWING NAME, YEARS OF ATTENDANCE, COURSES ATTENDED, GRADES, MAJOR AND FURTHER ACADEMIC ACHIEVEMENTS.

RETENTION PERIOD: PERMANENT

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU071. **UWSTU071: CERTIFICATE OF ELIGIBILITY FOR F-1 VISA STATUS, (ENROLLE** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE UW AGENCY KEEPS A COPY OR IMAGE OF THE I-20, NOT THE ORIGINAL. THE I-20 IS A FORM USED TO APPLY FOR A NON-IMMIGRANT STUDENT VISA (F-1 VISA). THE I-20 FORM IS A CERTIFICATE OF ELIGIBILITY FOR NONIMMIGRANT (F-1) STUDENT STATUS ISSUED BY THE SCHOOL THAT HAS ADMITTED TO STUDENT. IT IS A REQUIREMENT FOR THE F-1 VISA. THE UW AGENCY PROVIDES THE I-20 TO STUDENTS WHO HAVE BEEN ACCEPTED TO ATTEND CLASS. THE STUENT IS REQUIRED TO KEEP THE ORIGINAL.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU072. **UWSTU072: CERTIFICATE OF ELIGIBILITY FOR F-1 VISA STATUS, (NOT ENRC** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE UW AGENCY KEEPS A COPY OR IMAGE OF THE I-20, NOT THE ORIGINAL. THE I-20 IS A FORM USED TO APPLY FOR A NON-IMMIGRANT STUDENT VISA (F-1 VISA). THE I-20 FORM IS A CERTIFICATE OF ELIGIBILITY FOR NONIMMIGRANT (F-1) STUDENT STATUS ISSUED BY THE SCHOOL THAT HAS ADMITTED TO STUDENT. IT IS A REQUIREMENT FOR THE F-1 VISA. THE UW AGENCY PROVIDES THE I-20 TO STUDENTS WHO HAVE BEEN ACCEPTED TO ATTEND CLASS. THE STUENT IS REQUIRED TO KEEP THE ORIGINAL.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY (EVT = DATE OF SUBMISSION)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU073. **UWSTU073: CERTIFICATE OF ELIGIBILITY FOR EXCHANGE VISITOR J-1 STA** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE UW AGENCY KEEPS A COPY OR IMAGE OF THE DS-2019. THIS IS A MULTI-PURPOSE DOCUMENT ISSUED BY A U.S. GOVERNMENT-APPROVED INSTITUTION (OR ORGANIZATION) CERTIFYING THAT ADMISSION INTO A PROGRAM HAS BEEN ACCEPTED. PROGRAM PARTICIPANTS USE THE DS-2019 TO APPLY FOR AN EXCHANGE VISITOR (J-1) NON-IMMIGRANT VISA. THE STUDENT AND EXCHANGE VISITOR INFORMATION SYSTEM (SEVIS), DATABASE, PROCESSES THE INFORMATION AND PRODUCES A COPY OF THE DS-2019 THAT IS SENT BACK TO THE SCHOOL. THE STUDENT IS REQUIRED TO KEEP THE ORIGINAL.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU074. **UWSTU074: CERTIFICATE OF ELIGIBILITY FOR EXCHANGE VISITOR J-1 STAT** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE UW AGENCY KEEPS A COPY OR IMAGE OF THE DS-2019. THIS IS A MULTI-PURPOSE DOCUMENT ISSUED BY A U.S. GOVERNMENT-APPROVED INSTITUTION (OR ORGANIZATION) CERTIFYING THAT ADMISSION INTO A PROGRAM HAS BEEN ACCEPTED. PROGRAM PARTICIPANTS USE THE DS-2019 TO APPLY FOR AN EXCHANGE VISITOR (J-1) NON-IMMIGRANT VISA. THE STUDENT AND EXCHANGE VISITOR INFORMATION SYSTEM (SEVIS), DATABASE, PROCESSES THE INFORMATION AND PRODUCES A COPY OF THE DS-2019 THAT IS SENT BACK TO THE SCHOOL. THE STUDENT IS REQUIRED TO KEEP THE ORIGINAL.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY (EVT = DATE OF SUBMISSION)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU075. **UWSTU075: PASSPORT PAGE SHOWING PASSPORT NUMBER, (ENROLLED !** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE UW AGENCY KEEPS A COPY OR IMAGE OF THE PASSPORT PHOTO PAGE TO VERIFY THE PASSPORT NUMBER, COUNTRY OF CITIZENSHIP, BIRTHPLACE, BIRTH DATE, AND ACCURATE SPELLING OF THE NAME OF THE STUDENT.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU076. **UWSTU076: PASSPORT PAGE SHOWING PASSPORT NUMBER, (NOT ENROLLED)** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE UW AGENCY KEEPS A COPY OR IMAGE OF THE PASSPORT PHOTO PAGE TO VERIFY THE PASSPORT NUMBER, COUNTRY OF CITIZENSHIP, BIRTHPLACE, BIRTH DATE, AND ACCURATE SPELLING OF THE NAME OF THE STUDENT.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY (EVT = DATE OF SUBMISSION)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU077. **UWSTU077: STATEMENT OF EDUCATIONAL COSTS, (ENROLLED STUDENTS)** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE UW AGENCY PROVIDES A COPY OF THE STATEMENT OF EDUCATIONAL COST TO THE STUDENTS. THE STATEMENT INDICATES UNIVERSITY CONTACT INFORMATION, ESTIMATED EXPENSES FOR TUITION, FEES, LIVING EXPENSES, HEALTH INSURANCE AND INSTRUCTIONS FOR SUBMITTING FINANCIAL VERIFICATION FORM.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU078. **UWSTU078: STATEMENT OF EDUCATIONAL COSTS, (NOT ENROLLED)** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

THE UW AGENCY PROVIDES A COPY OF THE STATEMENT OF EDUCATIONAL COST TO THE STUDENTS. THE STATEMENT INDICATES UNIVERSITY CONTACT INFORMATION, ESTIMATED EXPENSES FOR TUITION, FEES, LIVING EXPENSES, HEALTH INSURANCE AND INSTRUCTIONS FOR SUBMITTING FINANCIAL VERIFICATION FORM.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY (EVT = DATE OF SUBMISSION)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU079. **UWSTU079: STATEMENT OF FINANCIAL RESPONSIBILITY AND SUPPORTING DOCUMENTS** **EVT+5** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

COPIES OF FINANCIAL DOCUMENTS INCLUDE BANK LETTERS SHOWING SUFFICIENT FUNDS ON DEPOSIT FOR AT LEAST THE FIRST YEAR'S EXPENSES AND LEGAL NAMES OF SPONSORS WITH APPROPRIATE SIGNATURES AND DATES. THE UW AGENCY MAY KEEP THE ORIGINAL DOCUMENTS OR COPIES OR IMAGES OF THEM.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

UWSTU080. **UWSTU080: STATEMENT OF FINANCIAL RESPONSIBILITY AND SUPPORTING DOCUMENTS** **EVT+1** **DEST** **Y**

** FOR USE BY UW STAFF ONLY **

COPIES OF FINANCIAL DOCUMENTS INCLUDE BANK LETTERS SHOWING SUFFICIENT FUNDS ON DEPOSIT FOR AT LEAST THE FIRST YEAR'S EXPENSES AND LEGAL NAMES OF SPONSORS WITH APPROPRIATE SIGNATURES AND DATES. THE UW AGENCY MAY KEEP THE ORIGINAL DOCUMENTS OR COPIES OR IMAGES OF THEM.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF GRADUATION OR LAST ATTENDANCE)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU081.</u>	<u>UWSTU081: UNITED STATES PERMANENT RESIDENT CARD (GREEN CARD)</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE UW AGENCY KEEPS A COPY OR IMAGE OF THE PERMANENT RESIDENT CARD, NOT THE ORIGINAL. THE CARD HAS PREVIOUSLY BEEN CALLED THE ALIEN REGISTRATION RECEIPT CARD AND IS NOT ALWAYS BEEN GREEN IN COLOR. THE CARD PROVIDES EVIDENCE OF ADMISSIBILITY TO THE UNITED STATES AS A LAWFUL PERMANENT RESIDENT.

RETENTION PERIOD: EVT + 5 YEARS THEN DESTROY CONFIDENTIALLY (EVT = DATE OF GRADUATION OF LAST ATTENDANCE)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU082.</u>	<u>UWSTU082: UNITED STATES PERMANENT RESIDENT CARD (GREEN CARD)</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE UW AGENCY KEEPS A COPY OR IMAGE OF THE PERMANENT RESIDENT CARD, NOT THE ORIGINAL. THE CARD HAS PREVIOUSLY BEEN CALLED THE ALIEN REGISTRATION RECEIPT CARD AND IS NOT ALWAYS BEEN GREEN IN COLOR. THE CARD PROVIDES EVIDENCE OF ADMISSIBILITY TO THE UNITED STATES AS A LAWFUL PERMANENT RESIDENT.

RETENTION PERIOD: EVT + 1 YEAR THEN DESTROY CONFIDENTIALLY (EVT = DATE OF SUBMISSION)

PII? YES

CONFIDENTIAL? YES

COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED. DO NOT KEEP COPIES LONGER THAN THE ORIGINAL.

<u>UWSTU083.</u>	<u>UWSTU083: CATALOG, GRADUATE AND UNDERGRADUATE</u>	<u>CR+6</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

OFFICIAL INSTITUTIONAL COURSE CATALOG IN PAPER OR ELECTRONIC FORMAT PROVIDING OVERVIEW OF ADMISSIONS POLICIES, COURSE OFFERINGS AND DEGREE REQUIREMENTS AS WELL AS MINOR AND CERTIFICATE REQUIREMENTS.

RETENTION PERIOD: CR + 6 YEARS, THEN TRANSFER TO UNIVERSITY ARCHIVES.

PII? NO

CONFIDENTIAL? NO

COPIES: DESTROY WHEN NO LONGER NEEDED

<u>UWSTU084.</u>	<u>UWSTU084: CLASS SCHEDULES/TIMETABLES (INSTITUTIONAL)</u>	<u>CR+6</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

OFFICIAL LIST OF COURSES OFFERED EACH SEMESTER, WITH INFORMATION REGARDING COURSE NUMBER, NAMES AND CREDITS; INSTRUCTORS; TIMES; AND COURSE LOCATION IN ANY FORMAT. THIS MAY DIFFER SIGNIFICANTLY FROM THE PUBLICATION AVAILABLE TO STUDENTS AT THE TIME OF REGISTRATION.

RETENTION PERIOD: CR + 6 YEARS, THEN TRANSFER TO UNIVERSITY ARCHIVES.

PII? NO

CONFIDENTIAL? NO

COPIES: DESTROY WHEN NO LONGER NEEDED

<u>UWSTU085.</u>	<u>UWSTU085: CORRESPONDENCE, POLICY-SETTING</u>	<u>CR+6</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

POLICY-SETTING CORRESPONDENCE WITHIN ENROLLMENT SERVICES UNITS OR BETWEEN THEM AND UNIVERSITY ADMINISTRATION.

RETENTION PERIOD: CR + 6 YEARS, THEN TRANSFER TO UNIVERSITY ARCHIVES.

PII? NO
 CONFIDENTIAL? NO
 COPIES: DESTROY WHEN NO LONGER NEEDED

<u>UWSTU086.</u>	<u>UWSTU086: COURSE FILE, MASTER</u>	<u>CR+6</u>	<u>UW-TRANS</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

OFFICIAL COURSES OFFERED THROUGHOUT THE HISTORY OF THE INSTITUTION.

RETENTION PERIOD: CR + 6 YEARS, THEN TRANSFER TO UNIVERSITY ARCHIVES.

PII? NO
 CONFIDENTIAL? NO
 COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWSTU087.</u>	<u>UWSTU087: ENROLLMENT AND CLASS LISTS</u>	<u>CR+6</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

REPORTS GENERATED BY ENROLLMENT SERVICES DURING ANY GIVEN SEMESTER REFLECTING STUDENT ENROLLMENT ROSTERS, CLASS SIZE, GRADUATION LISTS.

RETENTION PERIOD: CR + 6 YEARS, THEN TRANSFER TO UNIVERSITY ARCHIVES.

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWSTU088.</u>	<u>UWSTU088: ENROLLMENT VERIFICATIONS AND CERTIFICATIONS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS USED TO VERIFY STUDENT ENROLLMENT FOR PURPOSES SUCH AS LOAN APPLICATIONS, INSURANCE DISCOUNTS, AND SOCIAL SECURITY BENEFITS.

RETENTION PERIOD: EVT + 1. (EVT = COMPLETION OF VERIFICATION OR CERTIFICATION) DESTROY CONFIDENTIALLY

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY CONFIDENTIALLY WHEN NO LONGER NEEDED.

<u>UWSTU089.</u>	<u>UWSTU089: GRADE REPORTS / STATISTICS</u>	<u>CR+6</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

REPORTS OF OFFICIAL GRADES AWARDED, DEGREES CONFERRED, GRADE LISTS, ACADEMIC STANDING, GRADE POINT AVERAGES, DEGREE STATISTICS.

RETENTION PERIOD: CR + 6 YEARS, THEN TRANSFER TO UNIVERSITY ARCHIVES.

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWSTU090.</u>	<u>UWSTU090: HONORS LISTS</u>	<u>CR+6</u>	<u>UW-TRANS</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

LISTS OF STUDENTS WHO HAVE ACHIEVED ACADEMIC DISTINCTION, INCLUDING BUT NOT LIMITED TO THE DEAN'S LIST

RETENTION PERIOD: CR + 6 YEARS, THEN TRANSFER TO UNIVERSITY ARCHIVES.

** FOR USE BY UW STAFF ONLY **

THE WAIVER TO RIGHT OF ACCESS FOR A LETTER OF RECOMMENDATION IS ALLOWED FOR THREE PURPOSES: (1) ADMISSION TO ANOTHER EDUCATIONAL INSTITUTION; (2) EMPLOYMENT; (3) RECEIPT OF AN AWARD OR HONOR. THESE ARE THE ONLY AREAS IN WHICH WAIVERS ARE ALLOWED. A STUDENT'S SIGNATURE ON A WAIVER IS VOLUNTARY AND IS NOT REQUIRED AS A CONDITION FOR ADMISSION, RECEIPT OF FINANCIAL AID FORM, OR RECEIPT OF ANY OTHER SERVICES OR BENEFITS FROM THE UNIVERSITY. STUDENTS WHO SIGN THE WAIVER WILL, UPON REQUEST, BE NOTIFIED OF THE NAMES OF ALL PERSONS MAKING CONFIDENTIAL RECOMMENDATIONS AND SUCH RECOMMENDATIONS WILL BE USED SOLELY FOR PURPOSE FOR WHICH THEY WERE SPECIFICALLY INTENDED. REVOCATION OF WAIVERS MUST BE IN WRITING TO BE EFFECTIVE.

RETENTION PERIOD: PERMANENT OR UNTIL TERMINATED BY THE STUDENT.

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWSTU097.</u>	<u>UWSTU097: WRITTEN CONSENT FOR RECORDS DISCLOSURE</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

THE STUDENT'S WRITTEN, SIGNED, AND DATED CONSENT TO THE DISCLOSURE OF PERSONALLY IDENTIFIABLE INFORMATION ABOUT A STUDENT OR THE INSPECTION OF THE STUDENT'S RECORDS. IT MUST CONTAIN THREE ELEMENTS: THE SPECIFICATION OF RECORDS TO BE RELEASED, THE IDENTITY OF THE PARTY TO WHOM THE RECORDS ARE TO BE RELEASED; THE REASON FOR THE RELEASE.

RETENTION PERIOD: PERMANENT

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWSTU098.</u>	<u>UWSTU098: WRITTEN DECISIONS OF HEARING PANELS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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** FOR USE BY UW STAFF ONLY **

DECISIONS RESULTING FROM A FORMAL HEARING REGARDING A STUDENT-INITIATED REQUEST FOR AMENDMENT OF THE STUDENT'S EDUCATIONAL RECORDS. IN MOST CASES THE DECISION OF THE DEAN OR DIRECTOR IS FINAL. IF THE STUDENT FINDS THE DECISION UNSATISFACTORY, THEY MAY PLACE A STATEMENT IN THEIR FILE SETTING FORTH ANY REASONS FOR DISAGREEING WITH THE DECISION. RELATED TO SERIES UWSTU093 AND UWSTU095

RETENTION PERIOD: PERMANENT.

PII? YES
 CONFIDENTIAL? YES
 COPIES: DESTROY WHEN NO LONGER NEEDED.

<u>UWSTU099.</u>	<u>UWSTU099: ATHLETIC PARTICIPATION/EADA DOCUMENT</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

RECORDS ARE PROVIDED BOTH TO STUDENTS IN PAPER OR ELECTRONIC FORMAT TO DISCLOSURE DATA ABOUT EQUITY IN ATHLETICS AND TO THE OFFICE OF POSTSECONDARY EDUCATION (OPE), FEDERAL DEPARTMENT OF EDUCATION. THE SOURCE AND BACKGROUND FOR THESE REPORTS ARE DATA RETAINED IN WORKSHEETS, SPREADSHEETS, CHARTS, SURVEYS, EMAIL, WEB-LINKED DATA AND NARRATIVE REPORTS, ALL OF WHICH ARE TO CONSIDERED RECORDS BELONGING TO THIS SERIES. SCHOOLS CONTRIBUTE DOCUMENTS AND ATHLETICS DATA THAT ARE SUBMITTED ANNUALLY AS REQUIRED BY THE EQUITY IN ATHLETICS DISCLOSURE ACT (EADA), VIA A WEB-BASED DATA COLLECTION, BY ALL CO-EDUCATIONAL POSTSECONDARY INSTITUTIONS THAT RECEIVE TITLE IV FUNDING (I.E., THOSE THAT PARTICIPATE IN FEDERAL STUDENT AID PROGRAMS) AND THAT HAVE AN INTERCOLLEGIATE ATHLETICS PROGRAMS.

RETENTION PERIOD: 3 YEARS AFTER REQUIRED DISCLOSURE. DESTROY OR TRANSFER TO ARCHIVES.

PII? NO
 CONFIDENTIAL? NO
 COPIES: DESTROY WEHN NO LONGER NEEDED.

<u>UWSTU100.</u>	<u>UWSTU100: COLLEGE COSTS, ACCREDITATION, TEXTBOOK INFORMATION,</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>N</u>
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** FOR USE BY UW STAFF ONLY **

THESE RECORDS ARE PROVIDED BOTH TO STUDENTS AND THE DEPARTMENT OF EDUCATION. THE SOURCE AND BACKGROUND FOR THESE REPORTS ARE DATA RETAINED IN WORKSHEETS, SPREADSHEETS, CHARTS, SURVEYS, EMAIL, WEB-LINKED DATA AND NARRATIVE REPORTS, ALL OF WHICH ARE TO BE CONSIDERED RECORDS BELONGING TO THIS SERIES. THESE DISCLOSURE RECS ARE ORGANIZED IN TWO BROAD CATEGORIES: I. NON-LOAN-RELATED DISCLOSURE REQUIREMENTS: AVAILABILITY OF INSTITUTIONAL AND FINANCIAL AID INFORMATION, STUDENT FINANCIAL ASSISTANCE, GENERAL INSTITUTIONAL INFORMATION, TEACHER PREPARATION PROGRAM REPORT, HEALTH AND SAFETY, STUDENT OUTCOMES, INTERCOLLEGIATE ATHLETIC PROGRAM, AND VOTER REGISTRATION II. DISCLOSURE REQUIREMENTS RELATING TO EDUCATION LOANS: HEA DISCLOSURE REQUIREMENTS THAT ARE RELATED TO TITLE IV, HEA PROGRAM LOANS AND PRIVATE EDUCATION LOANS.

RETENTION PERIOD: 3 YEARS AFTER REQUIRED DISCLOSURE. DESTROY OR TRANSFER TO ARCHIVES.

PII? NO
 CONFIDENTIAL? NO
 COPIES: DESTROY WHEN NO LONGER NEEDED.

UWSTU101. **UWSTU101: GRADUATION/COMPLETION TRANSFER OUT DATA** **EVT+3** **SHSW** **N**

** FOR USE BY UW STAFF ONLY **

THE RECORDS INCLUDE DATA AND REPORTS SUPPLIED TO THE DEPARTMENT OF EDUCATION (ED) AND TO STUDENTS FULFILLING STUDENT RIGHT-TO-KNOW LEGISLATIVE REQUIREMENTS. THE SOURCE AND BACKGROUND FOR THESE REPORTS ARE DATA RETAINED IN WORKSHEETS, SPREADSHEETS, CHARTS, SURVEYS, EMAIL, WEB-LINKED DATA AND NARRATIVE REPORTS, ALL OF WHICH ARE TO BE CONSIDERED RECORDS BELONGING TO THIS SERIES. REPORTING TO ED IS ACCOMPLISHED VIA SYSTEMS SUCH AS THE INTEGRATED POSTSECONDARY EDUCATION DATA SYSTEM (IPEDS). IPEDS COLLECTS DATA ON POSTSECONDARY EDUCATION IN THE UNITED STATES IN SEVEN AREAS: INSTITUTIONAL CHARACTERISTICS, INSTITUTIONAL PRICES, ENROLLMENT, STUDENT FINANCIAL AID, DEGREES AND CERTIFICATES CONFERRED, STUDENT PERSISTENCE AND SUCCESS, AND INSTITUTIONAL HUMAN FISCAL RESOURCES. THE COMPLETION OF ALL IPEDS SURVEYS IS MANDATORY FOR INSTITUTIONS THAT PARTICIPATE IN OR ARE APPLICANTS FOR PARTICIPATION IN ANY FEDERAL STUDENT FINANCIAL AID PROGRAMS AND OTHER PROGRAMS. (SEE RECORDS RETENTION INFORMATION 34 CFR 668.24).

RETENTION PERIOD: 3 YEARS AFTER REQUIRED DISCLOSURE. DESTROY OR TRANSFER TO ARCHIVES.

PII? NO
 CONFIDENTIAL? NO
 COPIES: DESTROY WHEN NO LONGER NEEDED.

UWSTU102. **UWSTU102: INSTITUTIONAL INFORMATION** **EVT+3** **SHSW** **N**

** FOR USE BY UW STAFF ONLY **

THESE RECORDS AND INFORMATION ARE DISCLOSED TO STUDENTS (INCLUDING PROSPECTIVE STUDENTS) AND REPORTED TO THE FEDERAL DEPARTMENT OF EDUCATION. THE SOURCE AND BACKGROUND FOR THESE REPORTS ARE DATA RETAINED IN WORKSHEETS, SPREADSHEETS, CHARTS, SURVEYS, EMAIL, WEB-LINKED DATA AND NARRATIVE REPORTS, ALL OF WHICH ARE TO BE CONSIDERED RECORDS BELONGING TO THIS SERIES. THE INFORMATION COLLECTED INCLUDES, BUT IS NOT LIMITED TO: COST OF ATTENDANCE INCLUDING FEES AND BOOKS, REFUND POLICY, WITHDRAWAL PROCEDURES, STUDY ABROAD PROGRAMS, AND NAME OF ACCREDITING AGENCIES (SEE 34 CFR 668.43)

RETENTION PERIOD: 3 YEARS AFTER REQUIRED DISCLOSURE. DESTROY OR TRANSFER TO ARCHIVES.

PII? NO
 CONFIDENTIAL? NO
 COPIES: DESTROY WHEN NO LONGER NEEDED.

01157000. **DISABLED VETERAN FREE STATE PARK / FOREST / TRAIL PASS DATA DET/** **EVT+25** **DEST** **Y**

The Veteran Free Pass is an Excel spreadsheet which contains detailed data identifying each eligible applicant. Data includes name of veteran, address, phone, date of birth and if their disability is Temporary or Permanent. Free park pass serial numbers are issued and updated.

Retention: Event (superseded by updated customer data or the Free pass program has ended) + 25 yrs & destroy confidential

01158000. **DISABLED VETERAN FREE STATE PARK / FOREST / TRAIL PASS APPLICATI** **CR+1** **DEST** **Y**

This application is filled out by the veteran and approved by the County Veteran Service Officer (CVSO). The CVSO indicates the condition as Permanent /lifetime or a Temporary service related disability. Data from the paper application is entered into the Disabled Veteran Free State Park/Forest/Trail Pass Excel spreadsheet.

RETENTION: CR + 1 yr & destroy confidential

/334/ RECORDS MANAGEMENT-ENTERPRISE OPERATION

00943000. RECORDS MANAGEMENT REVIEWS EVT+5 SHSW N

The Department of Administration (DOA), authority under Wis. Stat. § 16.62(1)(c), is to periodically audit the records management programs of state agencies and the University of Wisconsin Hospitals and Clinics Authority and recommend improvements in records management practices. The purpose of these reviews is to ensure agencies have implemented records management policies, procedures and standards that comply with records retention and disposition requirements as prescribed in Wis. Stat. § 16.61 and Wis. Stat § 16.62 and Adm. Chapter 12 Electronic Records Management.

Records in this series include; reviewer notes and comments, supporting documentation, the report to the agency, responses to the report and corrective action taken.

EVENT: Date of final report