

285W-UW SYSTEM ADMINISTRATION

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00115000.</u>	<u>UPWARD BOUND STUDENT RECORDS</u>		<u>EVT+5</u>	
	<p>These records are individual student files for students participating in the Upward Bound program. The records may track students from as early as 8th grade through high school. These records are kept to mentor and track the progress of pre-secondary education candidates to encourage targeted and disadvantaged students toward higher education. The student record for one individual, over a period of five years, can include more than 50 different business forms, letters, reports and documents. The files consist of applications and acceptance materials, student essays, teacher recommendations, report cards, attendance records, income verification (federal income taxes), eligibility verification, application form, interview notes, general contract, needs assessment, health card and insurance information, records, high school transcripts and photo release forms, internet agreement and permission, UW-Systems release, policy agreements, and a variety of standardized test scores. The records do contain names, addresses, Social Security numbers, birthdate, telephone numbers, signatures, medical insurance policy numbers and other personal information.</p> <p>RETENTION: EVENT (after date of last service or contact) + 5 years and destroy confidential</p>			
<u>UWADM001.</u>	<u>UWADM001: POLICIES AND PROCEDURES</u>		<u>EVT+7</u>	
	<p>** For use by UW staff only **</p> <p>This record series consist of university established departmental policies and procedures, including manuals, manual code, handbooks, and other related materials.</p> <p>* Note: Some institutions may consider some or all of these policies to have archival value; consult your institution's archives for additional information.</p> <p>RETENTION: EVENT (Policy or procedure is superseded) + 7 years and destroy or transfer to archives per institutional policy Destroy copies when no longer needed</p>			
<u>UWADM002.</u>	<u>UWADM002: CALENDARS AND SCHEDULES</u>		<u>EVT+5</u>	
	<p>** For use by UW staff only **</p> <p>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.</p> <p>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.</p> <p>*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.</p> <p>RETENTION: EVENT (End of calendar year) + 5 years and destroy or transfer to archives per institutional policy Destroy copies when no longer needed</p>			
<u>UWADM003.</u>	<u>UWADM003: ALPHABETICAL/TOPICAL FILES</u>		<u>EVT+3</u>	
	<p>** For use by UW staff only **</p> <p>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.</p> <p>RETENTION: EVENT (Creation of materials) + 3 years and transfer to archives for review Destroy copies when no longer needed</p>			
<u>UWADM005.</u>	<u>UWADM005: PLANNING DOCUMENTATION</u>		<u>EVT+6</u>	
	<p>** For use by UW staff only **</p> <p>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.)</p> <p>RETENTION: EVENT (Plan is completed or superseded) + 6 years and transfer to the archives Destroy copies when no longer needed</p>			
<u>UWADM006.</u>	<u>UWADM006: REORGANIZATION DOCUMENTATION</u>		<u>EVT+2</u>	

** For use by UW staff only **

This record series consists of documents showing organizational changes within the college or university, including files of sign of significant addition, deletion, or transfer of administrative, functional or regulatory responsibilities, etc.

RETENTION: EVENT (Date reorganization is completed) + 2 years and transfer to archives
 Destroy copies when no longer needed

<u>UWADM007.</u>	<u>UWADM007: ORGANIZATIONAL CHARTS</u>		<u>EVT+0</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: EVENT (Organizational chart is superseded) and transfer to Archives
 Destroy copies when no longer needed

<u>UWADM008.</u>	<u>UWADM008: TRANSITION BRIEFINGS</u>		<u>EVT+2</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: EVENT (Date prior official or department chair leaves his/her position) + 2 years and destroy
 Destroy copies when no longer needed

<u>UWADM009.</u>	<u>UWADM009: UNIVERSITY SPONSORED CONFERENCE RECORDS</u>		<u>EVT+3</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: EVENT (Date of the conference) + 3 years and transfer to Institutional Archives for review per policy
 Destroy copies when no longer needed

<u>UWADM010.</u>	<u>UWADM010: EXTERNAL COMPLAINTS</u>		<u>EVT+5</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: EVENT (Superseded or replaced) + 5 years and destroy confidentially or transfer to Archives, per institutional policy
 Destroy copies confidentially when no longer needed

<u>UWADM011.</u>	<u>UWADM011: LEGAL NOTICES</u>		<u>EVT+1</u>	
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** For use by UW staff only **

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: EVENT (Creation of legal notice) + 1 year and destroy
 Destroy copies confidentially when no longer needed

<u>UWADM012.</u>	<u>UWADM012: PUBLIC RECORDS REQUESTS</u>		<u>EVT+3</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: EVENT (Response to request is provided) + 3 years and destroy confidential
 Destroy copies when no longer needed

UWADM013. **UWADM013: AGREEMENTS AND CONTRACTS** **EVT+6**

** For use by UW staff only **

This series consists of Contracts between a university or smaller 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.

Some contracts may be scheduled in other series for shorter or longer retention periods; consult your institution's records officer.

RETENTION: EVENT (Close of the contract date or fulfillment/supersession of the terms) + 6 years and destroy confidential
 Destroy copies when no longer needed

UWADM014. **UWADM014: UNIT/DEPARTMENT TRAINING/COURSE MATERIALS** **EVT+0**

** For use by UW staff only **

Materials prepared and used by staff to provide information targeted to internal and external audiences. This series may include handouts, flyers, presentation files, or any other materials used in the course of training sessions.

RETENTION: EVENT (End of course or when no longer relevant to course) and destroy
 Destroy copies when no longer needed

UWADM015. **UWADM015: UNIVERSITY PUBLICATIONS** **EVT+3**

** For use by UW staff only **

All publications - whether one-time only or serial- produced by the university, such as newsletters, newspapers, magazines, pamphlets, brochures, press releases, bulletins and catalogs. This series includes both analog and digital publications.

RETENTION: EVENT (Creation of the materials) + 3 years and transfer to Archives
 Destroy copies when no longer needed

UWADM016. **UWADM016: UNIVERSITY SPEECHES/PRESENTATIONS** **EVT+3**

** For use by UW staff only **

Official or final version of the speech or presentation that is filled with department records. Working copies, hand-written notes, and drafts should be filed with the personal papers or the presenter.

*Note: Some institutions may consider the delivered remarks of high-level officials (Deans, Chancellors, etc.) To have archival value; consult your institution's archives for additional information.

RETENTION: EVENT (Creation of materials) + 3 years and destroy or transfer to Archives per institutional policy
 Destroy copies when no longer needed

UWADM017. **UWADM017: UNIVERSITY RECORDED PERFORMANCES/EVENTS (NON-ATHL** **EVT+3**

** For use by UW staff only **

Audio or Video recordings of campus events or performances staged or recorded by a campus unit. This series does not include audio-visual materials prepared for course instruction or conduct of research unless these materials are of a unique nature.

*Note: Some institutions may consider the delivered remarks of high-level officials (Deans, Chancellors, etc.) To have archival value; consult your institution's archives for additional information.

RETENTION: EVENT (Creation of materials) + 3 years and destroy or transfer to Archives per institutional policy
 Destroy copies when no longer needed

UWADM018. **UWADM018: UNIVERSITY MEETING RECORDS** **EVT+3**

** For use by UW staff only **

This series includes the meeting materials for official university meetings. Groups include, but are not limited to, departments, official committees, governance meetings, council meetings, personnel/executive committees and university-wide meetings.

Records include, but are not limited to, meeting minutes and agendas, supplementary documents or other materials that are associated with the minutes. Records may also include voting materials for elections to committees, actions to be taken and formal ballots on issues of promotion or tenure decided by executive committees. Depending on the purpose of the group, some records may contain PII.

The minutes of the meetings should serve as the official record of events. Audio or video recordings of official meetings can be destructed once the meeting minutes are approved.

Closed session materials may be confidential pursuant to Wis. Stat. § 19.85(1)(c)(e)(f)(g) and Wis. Stat. § 19.36(5).

RETENTION: EVENT (Meeting date) + 3 years and transfer to Archives

<u>UWADM019.</u>	<u>UWADM019: MEETING RECORDINGS</u>	<u>EVT+0</u>
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** For use by UW staff only **

Audio or video recordings of official meetings, including all categories of meetings mentioned in UWMADM017. In general, these recordings have little to no historical value; the minutes of the meetings recorded should serve as the official record of events.

RETENTION: EVENT (No longer needed for administrative purposes) and destroy
Destroy copies when no longer needed

<u>UWADM020.</u>	<u>UWADM020: VOTING MATERIALS - ELECTIONS TO COMMITTEES</u>	<u>EVT+1</u>
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** For use by UW staff only **

Written or electronic ballots, nomination papers, tally sheets, and other materials used by departmental executive committees to decide on actions to be taken by the committee. This series includes formal ballots on issues of promotion or tenure decided by executive committees.

RETENTION: EVENT (Vote is tabulated) + 1 year and destroy confidential
Destroy copies when no longer needed

<u>UWADM021.</u>	<u>UWADM021: VOTING MATERIALS - EXECUTIVE COMMITTEE ACTIONS</u>	<u>EVT+6</u>
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** For use by UW staff only **

Written or electronic ballots, nomination papers, tally sheets, and other materials used by departmental executive committees to decide on actions to be taken by the committee. This series includes formal ballots on issues of promotion or tenure decided by executive committees.

RETENTION: EVENT (Approval of the minutes) + 6 years and transfer to Archives
Destroy copies when no longer needed

<u>UWADM022.</u>	<u>UWADM022: ROUTINE ACTIVITY/PRODUCTION REPORTS</u>	<u>EVT+1</u>
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** For use by UW staff only **

Occasional and/or periodic reports by individuals, offices or teams that document the business of the agency

RETENTION: EVENT (Date Report is created) + 1 year and destroy
Destroy copies when no longer needed

<u>UWADM023.</u>	<u>UWADM023: ANNUAL/SUMMARY REPORTS</u>	<u>EVT+5</u>
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** For use by UW staff only **

This series consists of summaries of accomplishments, goals, statistics, awards received, anticipated program needs and plans, as well as any supplementary documentation to support such reports.

RETENTION: EVENT (End of the reporting period) + 5 years and transfer to Archives
Destroy copies when no longer needed

<u>UWADM024.</u>	<u>UWADM024: ACCREDITATION FILES</u>	<u>EVT+11</u>
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** For use by UW staff only **

This series contains records created by departments and schools or colleges in the process of accreditation or reaccreditation of their programs by external accreditation agencies.

These records include, but are not limited to, accreditation applications, program descriptions and supporting documentation, faculty vitae, final reports to the accreditation committee, and results of the accreditation process.

RETENTION: EVENT (End of the Accreditation Cycle or creation of the final accreditation report, whichever is later) + 11 years and transfer to Archives

UWADM025. **UWADM025: FEDERAL LOBBYING REPORTS** **EVT+6**

** For use by UW staff only **

The Federal Lobby Disclosure Act of 1995 requires the University to report authorized lobbying on behalf of the University with federal entities. Federal lobbying reports are generally compiled and submitted quarterly, but there may be additional reports that are required bi-annually.

This series contains the federal lobbying reports that are submitted to meet this requirement and any documentation collected from around campus in support of the reports.

RETENTION: EVENT (Date report filed) + 6 years and destroy confidential

UWADM026. **UWADM026: SURVEYS/QUESTIONNAIRES - NON-ACADEMIC** **EVT+1**

** For use by UW staff only **

Documents the creation and results of surveys by or for agencies for administrative, informational or non-academic research purposes. Records may include, but are not limited to, survey planning documents, survey instruments, completed surveys or questionnaires, analyzed results, and any reports or publications that result from the survey. For academic course evaluations, please see the UWSA Personnel Records Schedule.

* Note: Some institutions may consider the results of certain surveys, such as senior exit surveys or student demographic surveys, to have archival value; consult your institution's archives for additional information.

RETENTION: EVENT (Date survey is completed) + 1 year and destroy confidential
 Destroy copies when no longer needed

UWADM027. **UWADM027: OUTSIDE ACTIVITY REPORTS** **EVT+8**

** For use by UW staff only **

UW System policy prohibits University employees from accepting outside employment that causes a conflict of interest with their university employment. Guidelines for which activities may constitute a conflict of interest can be found in the University policy. Prohibited activities include using or attempting to use university property, or using the prestige or influence of their university position for financial gain or other benefits.

Outside Activity Reports (OARs) report outside employment activities related to an individual's field(s) of professional work in order to comply with Federal, State, and University policy.

OARs are required to be filled out annually by university faculty, academic staff, and individuals listed on human subjects protocols or federal grants. This requirement also includes graduate students, fellows, and post-docs who participate in research or service arrangements with non-federal entities. OARs are required to be submitted annually even if no outside activities occurred.

RETENTION: EVENT (Termination of service) + 8 years and destroy confidential

UWADM028. **UWADM028: STATEMENTS OF ECONOMIC INTEREST** **EVT+3**

** For use by UW staff only **

Statement's of Economic Interest disclose financial interests held by an individual and ensure there are no conflicts between an individual's employment and those financial relationships in order to comply with Federal, State, and University policy.

Statement's of Economic Interest are required to be filled out annually by select university officials that have been identified by the Wisconsin Ethics Commission in Wis. Stat. § 19.42(13)(cm) and individuals listed on human subjects protocols or federal grants. This requirement also includes graduate students, fellows, and post-docs who participate in research or service arrangements with non-federal entities.

RETENTION: EVENT (date review completed) + 3 years and destroy confidential

UWADV001. **UWADV001: ACADEMIC ADVISING RECORDS - UNDERGRADUATE** **EVT+3**

** For use by UW staff only **

Records created to document and support comprehensive and planned guidance for matriculated undergraduate students so that both

the basic requirements and those of specific majors and minors are fulfilled. This records series does not include informal and isolated communications of faculty and staff who do not provide regular advising services. Academic advising records pertain to undergraduate students and are maintained in two ways: one, by a centralized advising center which advises students for a variety of academic departments and two, by specific academic departments and colleges. The records are kept as a means for staff to provide consistency and comprehensiveness in advising of students. Files are generally organized by student name and may contain, but are not limited to: advising notes, curriculum planner, degree planning sheets, consortium agreements, worksheets, applications and worksheets particular to a department and copies of key advising email and other correspondence. A wide variety of other documents are frequently found in these files including: student academic reports, student progress summaries, requests for modification, requests for late/drop, checklists, waiting lists, internship or independent study agreements and worksheets. Frequently, active records are separated from inactive records to facilitate retrieval and disposition routines. Inactive files can contain information about students who have graduated, have stopped attending or who have formally withdrawn from the program, college or university. This series includes all undergraduate programs except those that are for professional licensure or certification (see ADV003).

RETENTION: EVENT (Last semester of attendance and when no longer needed for ongoing administration) + 3 years and destroy confidential
 Keep copies until no longer needed then destroy confidentially

UWADV002. UWADV002: ACADEMIC ADVISING RECORDS - GRADUATE EVT+3

** For use by UW staff only **

Records created to document and support comprehensive and planned guidance for matriculated graduate students completing their degrees. This records series does not include informal and isolated communications of faculty and staff who do not provide regular advising services. The academic advising file, which is generally the same or a part of a student's graduate application, matriculation and graduation record, typically contains a standard admission to candidacy form for a graduation record, typically contains a standard admission to candidacy form for a graduate degree (master's or doctorate), certificate or achievement program, official transcripts, a resume, standard graduate admission test results (i.e. GRE, GMAT, MAT), documentation of specific academic content areas, letters of recommendation, a personal statement describing why the applicant is pursuing this program, a certificate of admission, research proposal form, copies of key advising email and other correspondence. This series includes all graduate programs except those that are for professional licensure or certification (see ADV003).

RETENTION: EVENT (Last semester of attendance and when no longer needed for ongoing administration) + 3 years and destroy confidential
 Keep copies until no longer needed then destroy confidentially

UWADV003. UWADV003: ACADEMIC ADVISING RECORDS - CERTIFICATE, LICENSE PROF EVT+8

** For use by UW staff only **

Records created to document comprehensive and planned guidance for matriculated undergraduate and graduate students who are pursuing professional licensure or certification in areas such as education, social work, nursing, and counseling. This records series does not include informal and isolated communications of faculty and staff who do not provide regular advising services. The records include documents kept for both undergraduate advising and graduate academic advising, but also records specialized for specific professions. This series may include, but is not limited to: student academic reports, a signed statement of commitment to an ethical code, a background information disclosure (BID), a criminal report, a student responsibilities agreement, contact information sheet, an application for formal admission to the undergraduate or graduate program, a volunteer reference, practicum documents, teaching materials, clinical assignments, copies of key advising email and other correspondence, and other documents related to specific program preparing students for licensed and professional employment. Certificate, license, professional advising records are kept longer than other advising records for particular programmatic needs.

RETENTION: EVENT (Last semester of attendance and when no longer needed for ongoing administration) + 8 years and destroy confidential
 Keep copies until no longer needed then destroy confidentially

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

** For use by UW staff only **

Prospective student files are kept for students who express 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: EVENT (Last contact with individual) + 2 years and destroy confidential
 Keep copies until no longer needed then destroy confidentially

UWATH001. WISCONSIN INTERCOLLEGIATE ATHLETIC CONFERENCE (WIAC) COMMISSIO FIS+6

Documentation created during the process of developing the annual budget for the conference office.

RETENTION: EVENT (End of fiscal year) + 6 years and destroy

<u>UWATH002.</u>	<u>WIAC COMMISSIONER'S STUDENT ELIGIBILITY RECORDS</u>	<u>EVT+6</u>		
	Records kept by the WIAC commissioner's office documenting the eligibility of student athletes in compliance with NCAA and WIAC rules. Records, sometimes called "eligibility packets," include the WIAC Eligibility Certificate filed by each campus for each sport, and may also include WIAC Transfer Player Eligibility Statement, Athletics Tracer Report, Medical Hardship Request Form (contains medical records) and the Petition for Wavier of Conference Eligibility Rules. Also included in the series are Season of Participation/Competition Forms.			
	RETENTION: EVENT (End of last year of eligibiity) + 6 years and destroy confidential			
<u>UWATH003.</u>	<u>WIAC COMMISSIONER'S SCHOLASTIC HONOR ROLL</u>	<u>EVT+3</u>		
	Series enumerating individual student athletes for their outstanding work in the classroom for each academic year.			
	RETENTION: EVENT (End of academic year created) + 3 years and destroy confidential			
<u>UWATH004.</u>	<u>PHOTOGRAPHS AND VIDEO RECORDINGS</u>	<u>EVT+6</u>		
	Records documenting a visual history of the University's athletic programs as well as documenting and adhering to athletic licensing requirements. Records include, but are not limited to, photographs and video recordings taken for use by the Athletic Department for scouting, player and coaching improvement (game film), marketing materials and news media usage.			
	RETENTION: EVENT (End of academic year created) + 6 years and transfer to UW Archives			
<u>UWATH005.</u>	<u>RECRUITMENT RECORDS</u>	<u>EVT+9</u>		
	Records documenting contact between the school and a perspective student-athlete (PSA). These records include, but are not limited to, correspondence with a recruit, recruitment questionnaire and recruitment-related forms. Also included may be correspondence with other institutions regarding transfer of student athletes.			
	RETENTION: EVENT (End of year recruitment file created) + 9 years and destroy confidential.			
<u>UWATH006.</u>	<u>PARTICIPATION RECORDS</u>	<u>EVT+6</u>		
	Forms and associated records created in the process of documenting student athletes who participated in each sport in each season for conference, compliance, or academic eligibility and financial aid reasons, Unlike UWATH007, these records are considered confidential. Records may include, but are not limited to, forms for each athlete indicating each game they took part in, or withdrawals from a game, beginning of season "Squad lists" along with financial aid received, forms documenting participation (e.g. form CAi), certain waivers and redshirt information.			
	RETENTION: EVENT (End of season) + 6 years and destroy confidential			
<u>UWATH007.</u>	<u>TEAM ROSTER</u>	<u>EVT+1</u>		
	Final list of student athletes approved to play in an upcoming season. Roster information may include: student name, position, year in school, height, weight, jersey number, high school, previous season statistics (ERA, FGP, etc.). Unlike UWAT006, this record series is not confidential and may take the form of a distributed media guide.			
	RETENTION: EVENT (End of season) + 1 year and transfer to UW Archives			
<u>UWATH008.</u>	<u>ATHLETIC EVENT PLANNING RECORDS</u>	<u>EVT+6</u>		
	Itineraries, correspondence with game officials, volunteer forms, travel release records and other materials created in the process of organizing and implementing athletic events.			
	RETENTION: EVENT (End of season) + 6 years and destroy confidential			
<u>UWATH009.</u>	<u>TICKETING RECORDS - PURCHASED</u>	<u>FIS+6</u>		
	Records documenting the sale and distribution of audience attendance to athletic events. Records include, but are not limited to, routine reports for deposits, written requests or applications for tickets by individuals or institutions and other materials created in the process of printing, scheduling, selling and distribution of admission tickets to athletic events.			
	RETENTION: EVENT (end of fiscal year) + 6 years and destroy confidentially			
<u>UWATH010.</u>	<u>TICKETING RECORDS - NOT PURCHASED</u>	<u>EVT+0/1</u>		
	Remaining unsold tickets and other ticketing materials that remained unsold or unneeded after an athletic event.			

RDA #	RDA Title	Retention	Disposition	PII
	RETENTION: EVENT (End of season) + 1 week and destroy			
<u>UWATH011.</u>	<u>TICKETING RECORDS - COMPLIMENTARY AND PREFERENTIAL SEATING</u>	<u>FIS+10</u>		
	Forms, reports and other ticketing materials created in the issuance of complimentary tickets or preferential seating to select individuals including athletes, coaches, and guests of the university and members of the general public.			
	RETENTION: EVENT (End of fiscal year) + 10 years and destroy confidentially			
<u>UWATH012.</u>	<u>CAMPUS HALL OF FAME NOMINATION RECORDS</u>	<u>CR+20</u>		
	Records consist of documentation used to determine an individual's admittance or rejection to a UW campus's Hall of Fame. Records include, but are not limited to, nomination forms, meeting agendas and minutes established to select and honor former athletes, coaches and friends of athletic programs who have made exceptional and positive contributions to the school's athletic programs.			
	RETENTION: EVENT (Creation of nomination file) + 20 years and destroy confidentially			
<u>UWATH013.</u>	<u>ATHLETIC ACHIEVEMENTS RECORDS</u>	<u>EVT+20</u>		
	Records documenting significant athletic and scholarly accomplishments of individual athletes or teams. These records include, but are not limited to, records related official announcements for induction into a campus or conference Hall of Fame, documentation of significant competitions that an athlete/team participated in, official documentation of athletic achievements (records set), or athlete/team recognition at the conference or national level.			
	RETENTION: EVENT (Date of record or accomplishment) + 20 years and transfer to UW Archives			
<u>UWATH014.</u>	<u>STAFF CERTIFICATION DOCUMENTATION</u>	<u>EVT+6</u>		
	Records documenting the certification of athletic staff, mainly coaches, in the areas of safety, health and NCAA regulations. Materials include, but are not limited to, up-to-date documentation of CPR and first aid training as well as proof of successful completion of NCAA recruitment rules training.			
	RETENTION: EVENT (Separation from employment) + 6 years and destroy confidentially			
<u>UWATH015.</u>	<u>NCAA COMPLIANCE RECORDS</u>	<u>FIS+10</u>		
	Records documenting athletic department efforts to educate about, and monitor for, NCAA rules compliance in order to identify and reduce areas of risk within the athletic program. Materials include documentation verifying training activities, investigations of incidents or infractions of NCAA rules or University Policies regarding participation in competitive intercollegiate sports. Records may also include, but are not limited to, documentation of support given to the establishment of any campus rules compliance committees, petitions to conference officials, and formal interpretations of NCAA policies and rules.			
	RETENTION: EVENT (End of fiscal year) + 10 years and transfer to the UW Archives			
<u>UWATH016.</u>	<u>NCAA RULES VIOLATION REPORT RECORDS</u>	<u>EVT+7</u>		
	Records documenting any rules violations reported to the NCAA. These are required to be filed using Requests/Self Reports Online (RSRO) system provided by the NCAA. Records identify the details of the violation as well as what steps the school took to correct it or take disciplinary action if needed. Series may also include correspondence and other materials copied and forwarded to the NCAA offices.			
	RETENTION: EVENT (End of corrective action) + 7 years and destroy confidential			
<u>UWATH017.</u>	<u>NCAA PROGRAM AUDITS</u>	<u>EVT+6</u>		
	Records surrounding the routine external audit of financial reporting and agreed upon procedures specific to compliance rules set out in the NCAA Manual. Records document a program's fidelity to a number of rules regarding governance, eligibility of athletes, financial aid administration, recruiting activities, rules education, coaching playing and practice spaces and other issues.			
	RETENTION: EVENT (Conclusion of audit) + 6 years and destroy confidentially			
<u>UWATH018.</u>	<u>STUDENT ATHLETE AID RECORDS</u>	<u>EVT+6</u>		
	Records specific to Division I and II programs that document the distribution of financial aid specifically to student athletes in accordance to NCAA rules. Materials include documentation of the distribution of NCAA Student Assistance Funds (SAFs) and Student-Athlete Opportunity Funds (SAOFs).			
	RETENTION: EVENT (End of season) + 6 years and destroy confidentially			
<u>UWBC0001.</u>	<u>UWBC0001: BUSINESS COMMUNICATION: ROUTINE</u>	<u>EVT+0/6</u>		

** 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. Moreover, because routine communication may be used as a tool in performing certain aspects of a project on behalf of the University of Wisconsin System, it is always important to both understand and follow the existing records schedules that may apply to other types of records that are created or received in relation to a project.

Routine communication includes any attachments to the communication, and 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 occurred 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. However, an employee may retain routine communication beyond the specified retention time period, for as long as the employee deems the record useful as a reference for completing business-related projects. Notably, some time may need to pass before an employee can accurately classify a business communication as either routine or transitory; thus, employees are encouraged to take the time necessary to accurately classify business communications prior to destruction.

RETENTION: EVENT (Business activity or project is completed) + 6 months and destroy

<u>UWBC0002.</u>	<u>UWBC0002: BUSINESS COMMUNICATION: TRANSITORY</u>	<u>EVT+0/1</u>
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** 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 often replaces in-person conversation, and it can be memorialized using many different types of business tools. Transitory communication includes any attachments to the communication, 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 occurred.
- (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.

Transitory communication does not establish policies, guidelines, or procedures; certify a transaction; become a receipt; nor perpetuate or formalize business activities 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 management system. Moreover, because transitory communication may be used as a tool in performing short-term aspects of a work project on behalf of the University of Wisconsin System, it is always important to both understand and follow the existing records schedules that may apply to other types of records that are created or received in relation to a project.

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 occurred. Therefore, transitory communication may be destroyed after seven days, or when obsolete because the communication has been superseded or its related event has transpired. However, an employee may retain transitory communication beyond the specified retention time period, for as long as the employee deems the record useful as a reference for completing business-related projects. Notably, some time may need to pass before an employee can accurately classify a business communication as either routine or transitory; thus, employees are encouraged to take the time necessary to accurately classify business communications prior to destruction.

RETENTION: EVENT (Communication has been superseded or related event has transpired) + 7 days and destroy

<u>UWFA1000.</u>	<u>UWFA1000: ADMINISTRATIVE POLICIES AND PROCEDURES</u>	<u>EVT+4</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: EVENT (Date superseded) + 4 years and transfer to Archives per institutional policy
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

UWFA1010. **UWFA1010: MANUALS** **EVT+3**

** 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: EVENT (Date superseded) + 3 years and transfer to Archives per institutional policy
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

UWFA1020. **UWFA1020: ROUTINE INTERNAL STATUS AND ACTIVITY REPORTS** **EVT**

** 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: EVENT (No longer needed) and destroy
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

UWFA1030. **UWFA1030: YEAR-END REPORTS (GAAP)** **FIS+6**

** 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: EVENT (Fiscal year of creation) + 6 years and destroy confidential
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

UWFA1040. **UWFA1040: ANNUAL FINANCIAL REPORT** **P**

** For use by UW staff **

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: Permanent

UWFA1050. **UWFA1050: NON-ROUTINE FINANCIAL REPORTS AND STUDIES** **FIS+4**

** 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, fringe 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: EVENT (Fiscal year of creation) + 4 years and destroy
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

UWFA1060. **UWFA1060: AUDIT DOCUMENTATION: REGULARLY-OCCURRING AUDIT CYC** **EVT+3**

** For use by UW staff only **

Records include all documentation related to regularly occurring audits, including reports, agency/office responses, and findings. Regular audits include A-133 and CAFR audits.

RETENTION: EVENT (Date of issuance of final audit report) + 3 years and destroy
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

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

** For use by UW staff only **

Records include all documentation relating to infrequent audits, including reports, agency/office responses, and findings.

RETENTION: EVENT (Date of next audit cycle) + 10 years and destroy
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

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

** 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: EVENT (Fiscal year of creation) + 4 years and destroy
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA1090.</u>	<u>UWFA1090: AUTHORIZATION FOR ACCESS / FORMS</u>	<u>FIS+4</u>		
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** 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: EVENT(Fiscal year in which account was inactivated) + 4 years and destroy
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA1100.</u>	<u>UWFA1100: CREDIT CARD RECEIPTS AND/OR DEPOSITS TRANSACTIONS</u>	<u>EVT+3</u>		
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** For use by UW staff **

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: EVENT (Date of transaction) + 3 years and destroy confidential
 Destroy copies confidentially when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA1110.</u>	<u>UWFA1110: PAYMENT CARD INDUSTRY COMPLIANCE (PCI)</u>	<u>CR+3</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: EVENT (Creation) + 3 years and destroy confidential
 Destroy copies confidentially when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA2000.</u>	<u>UWFA2000: INTERNAL CONTROL POLICIES AND PROCEDURES</u>	<u>EVT+3</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 manuals.

RETENTION: EVENT (Date on which the policy directive is withdrawn, revised, or superseded) + 3 years and destroy
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA2010.</u>	<u>UWFA2010: INTERNAL MANAGEMENT REVIEW AND ROUTINE OVERSIGHT C</u>	<u>EVT+3</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: EVENT (Date of completed audit report) + 3 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA2020.</u>	<u>UWFA2020: INTERNAL AUDIT CONTROL FILES, REPORTS, ACTION FILES AN</u>	<u>EVT+10</u>		
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** For use by UW staff only **

Records include all documentation relating to internal audits of controls and findings.

RETENTION: EVENT (Date of next audit cycle or 10 years) + 10 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA2030.</u>	<u>UWFA2030: INTERNAL CONTROL REFERENCE FILES</u>	<u>EVT</u>		
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** For use by UW staff only **

Records include all reference files used to support internal control programs.

RETENTION: EVENT (Date of supersession of file) and destroy
Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

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

** 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: EVENT (Fiscal year of creation) + 6 years and destroy
Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

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

** 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 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: EVENT (Fiscal year of creation) + 6 years and destroy
Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

UWFA4000. **UWFA4000: PAID/CANCELED CHECKS** **FIS+6**

** 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: EVENT (Fiscal year of creation) + 6 years and destroy confidential
Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

UWFA4010. **UWFA4010: VOIDED CHECKS** **FIS+6**

** For use by UW staff only **

Voided checks resulting from printing errors.

RETENTION: EVENT (Fiscal year of creation) + 6 years and destroy confidential
Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

UWFA4020. **UWFA4020: STOP PAYMENT / VOIDED / CANCELED CHECK RECORDS** **FIS+6**

** 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, and reissues.

RETENTION: EVENT (Fiscal year of creation) + 6 years and destroy confidential
Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

UWFA4030. **UWFA4030: BANK STATEMENTS: ALL ACCOUNTS** **FIS+6**

** For use by UW staff only **

Records include all statements and supporting documentation for reconciliation. Also included are bank analysis reports and all documentation relating to signature authority for checks.

RETENTION: EVENT (Fiscal year of creation) + 6 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

UWFA4040. UWFA4040: SIGNATURE CARDS: AUTHORIZATION EVT+6

** For use by UW staff only **

Records include all documentation relating to requests for signature authority for checks.

RETENTION: EVENT (Date of inactivation of signature authority) + 6 years and destroy
 Destroy copies when no longer needed. Do not retain duplicates longer than the original record.

UWFA4050. UWFA4050: GENERAL OBLIGATION BOND RECORDS EVT+50

** For use by UW staff only **

Records include all supporting documentation for principal and interest payments, including correspondence and reports.

RETENTION: EVENT (Date the bond matures or is called) + 50 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

UWFA5000. UWFA5000: COLLECTION CASE FILES EVT+7

** For use by UW staff only **

Records include documentation of collection efforts: correspondence, reports, "dunning" letters, payment agreements, relevant reports to/from the agency and the amount of debt defaulted or written off as uncollectible. Also included is all correspondence to/from outside collection agencies.

Although this General Schedule applies to non-student related records, be advised that this series includes all correspondence and documentation relating to delinquent student accounts. These records can include, but are not limited to, payment plans, deferments, student letters, e-mail correspondence, pre-collect processes, book vouchers, and temporary loans.

Note that student collection records and data are integrated with the ISIS/PeopleSoft 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: EVENT (Date account is due) + 7 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

UWFA6000. UWFA6000: JOURNAL ENTRIES FIS+6

** 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: EVENT (Fiscal year of creation) + 6 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

UWFA7000. UWFA7000: CAPITAL ACCOUNTING PROJECTS: FEDERAL CONSTRUCTION I EVT+30

** 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: EVENT (Date of issuance) + 30 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

UWFA7010. UWFA7010: CAPITAL ACCOUNTING PROJECTS: NON-FEDERAL CONSTRUCTION I FIS+4

** 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: EVENT (Fiscal year of creation) + 4 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA7020.</u>	<u>UWFA7020: CAPITAL ACCOUNTING PROJECT BUDGETS</u>	<u>FIS+4</u>
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** For use by UW staff only **

Records include budget-related records (allotments) for construction fund projects.

RETENTION: EVENT (Fiscal year of creation) + 4 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA8000.</u>	<u>UWFA8000: CAPITAL AND NON-CAPITAL EQUIPMENT INVENTORIES</u>	<u>FIS+4</u>
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** For use by UW staff only **

Records include running inventories of capital equipment such as motor vehicles, audio-visual equipment, computers, printing and mailing equipment, production copiers, tools lab equipment, furniture, etc., that describe each piece of property, denote its location, and provide totals of each type of institution - or equipment owned by the University of Wisconsin System institutions.

Also included are the same types of inventories for non-capital equipment such as office supplies, computers, commodities, parts, and materials.

RETENTION: EVENT (Fiscal year of creation) + 4 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA8010.</u>	<u>UWFA8010: SURPLUS PROPERTY DISPOSITION RECORDS</u>	<u>FIS+4</u>
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** For use by UW staff only **

Records include documentation that identifies surplus property and tracks its disposition. Included are requests for disposal of property, receipts, duplicates of reporting forms and supporting documentation that describes the property and the proposed method of disposition. Records may also include acquisition information and depreciation schedules.

RETENTION: EVENT (Date of disposition of property) + 4 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA9020.</u>	<u>UWFA9020: ALLOCATIONS</u>	<u>FIS+6</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: EVENT (Fiscal year of grant's awarding) + 6 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA9030.</u>	<u>UWFA9030: LETTER OF CREDIT: DRAWDOWN INFORMATION</u>	<u>EVT+4</u>
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** For use by UW staff **

Records include all documentation used to determine draw amounts against federal grants' Letters of Credit.

RETENTION: EVENT (Date of submission of LOC draw request) + 4 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

<u>UWFA9040.</u>	<u>UWFA9040: FACILITIES AND ADMINISTRATION (F&A) COST RATE PROPOSAL</u>	<u>EVT+3</u>
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** For use by UW staff only **

Records include rate proposals, cost allocation plans, and computations.

RETENTION: EVENT (Date of submission of proposal) + 3 years and destroy
 Destroy duplicates when no longer needed. Do not retain duplicates longer than the original record.

<u>UWGNT001.</u>	<u>GRANT FOLDERS - FEDERAL AND NON-FEDERAL - ACCEPTED</u>	<u>EVT+6</u>
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This record series contains, but is not limited to, the records contained in the grant application process to campus research offices which were accepted and would be included as part of the grant folder. Records would include project proposals, letter of support, supplementary material, minutes of review meeting, review reports, necessary signatures, and other documentation which was submitted and approved.

Other records that would be included as part of the grant folder are transmittals, awards, budgets and other grant financial accounting, and all other documentation related to the procurement of federal grants. In addition all reports, forms, and documentation related to Performance and Accountability Reports (PARs), as well as reports and supplemental information for verification of grants and contracts.

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, final reports, and other related records.

RETENTION: EVENT (Date that the Grant was Closed) + 6 years and destroy confidential

UWGNT002. GRANT PROPOSALS REVIEW FILES - REJECTED OR NO RESPONSE EVT+4

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.

RETENTION: EVENT (Date Grant Rejected or No Response) + 4 years and destroy

UWGNT003. GRANT FILES - UW-SYSTEM ADMINISTERED EVT+6

Applications and documentation for grant programs such as the Challenge Grant and other grants run by UW-System and often facilitated by campus research offices. The files include applications, public meeting minutes, budget forms, system award documentation, non-award documentation, and evaluation materials.

RETENTION: EVEN T(Date that the Grant was closed) + 6 years and destroy

UWGNT004. GRANT FILES - INTERNAL GRANT AWARD DOCUMENTATION EVT+6

Documentation of the winners of internal grants awarded by the University Research Office or granting units. Information contained would include, but not be limited to, the name and scope of project, the amount of money requested, and the start and end dates of the projects. This data has long-term administrative and historical value to the University Research Office or university granting units on the university campus in tracking internal grants.

RETENTION: EVENT (Date that the grant was closed) + 6 years and destroy

UWGNT005. SCIENTIFIC OR RESEARCH MISCONDUCT RECORDS EVT+7

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, hearing and review records and final report.

RETENTION: EVENT (Date Audit or Inquiry is closed) + 7 years and destroy confidential

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

** 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.

RETENTION: EVENT (Date the request is approved or denied) + 2 years and destroy confidential

UWHR0101. UWHR0101: POSITION VACANCY LISTING OR POSITION ANNOUNCEMENT EVT+6

** 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.

RETENTION: EVENT (Date position is filled) + 6 years and destroy

UWHR0102. UWHR0102: CRIMINAL BACKGROUND CHECKS CR+7

**** 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.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10).

RETENTION: EVENT (Creation) + 7 years and destroy confidential

<u>UWHR0103.</u>	<u>UWHR0103: FEDERAL I-9 EMPLOYEE ELIGIBILITY VERIFICATION</u>	<u>EVT+3</u>
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**** 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).

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10).

RETENTION: EVENT (Date of separation) + 3 years and destroy confidential

<u>UWHR0104.</u>	<u>UWHR0104: CANDIDATE FILES</u>	<u>EVT+6</u>
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**** 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.

29 US Code § 626, 29 CRF § 1627.3, 29 CRF § 1602.3.

RETENTION: EVENT (Date position is filled) + 6 years and destroy confidential

<u>UWHR0105.</u>	<u>UWHR0105: SEARCH AND SCREEN COMMITTEE RECORDS - GENERAL</u>	<u>EVT+6</u>
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**** 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.

(29) U.S. Code § 626 and 29 CFR § 1627.3 (Age Discrimination in Employment Act (ADEA)) and 29 CFR § 1602.32 (Title VII of the Civil Rights Act of 1964)

RETENTION: EVENT (Date position is filled) + 6 years and destroy confidential

UWHR0106. UWHR0106: SEARCH AND SCREEN COMMITTEE RECORDS - HIGHER LEVEL EVT+6

** 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.

(29) U.S. Code § 626 and 29 CFR § 1627.3 (Age Discrimination in Employment Act (ADEA)) and 29 CFR § 1602.32 (Title VII of the Civil Rights Act of 1964)

RETENTION: EVENT (Date position is filled) + 6 years and transfer to institutional archives or destroy confidentially per institutional policy

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

** 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.

RETENTION: EVENT (Date that analysis or survey was completed) + 6 years and destroy

UWHR0200. UWHR0200: AFFIRMATIVE ACTION RECORDS - EEOC (EQUAL OPPORTUNITY) EVT+6

** 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.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10).

RETENTION: EVENT (Date position is filled) + 6 years and destroy confidential

UWHR0201. UWHR0201: AFFIRMATIVE ACTION RECORDS - EEOC (EQUAL OPPORTUNITY) EVT+3

** 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.

Each institution within the UW-System has an Affirmative Action related plan which contains policy related items and working papers.

RETENTION: EVENT (Date that plan is created, updated, or superseded) + 3 years and destroy

UWHR0202. UWHR0202: DISCRIMINATION COMPLAINT FILES EVT+6

** FOR USE BY UW STAFF ONLY **

This series documents the investigation into any act(s) of discrimination filed by an employee.

This series may include, but is not limited to:

- investigative and interview notes,
- logs,
- reports, and
- Equal Employment Opportunity Commission (EEOC) claims.
- Also includes Title VI, Title IX and ADA investigations 29 CFR§ 1602.1

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10).

RETENTION: EVENT (Date that personnel action was resolved or terminated) + 6 years and destroy confidential

UWHR0300. **UWHR0300: GRIEVANCE/COMPLAINT TRACKING LOG** **EVT+6**

** FOR USE BY UW STAFF ONLY **

An electronic system, database or mechanism to track the grievances filed by employees at the University. Tracking systems or logs may include information about the grievant, contractual language being grieved, relief sought, grievance response, status of grievance and potential arbitration results.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Date that complaint or grievance is resolved) + 6 years and destroy confidential

UWHR0301. **UWHR0301: EMPLOYEE COMPLAINTS AND/OR GRIEVANCE RECORDS** **EVT+6**

** FOR USE BY UW STAFF ONLY **

This series documents the initial complaint, actions, investigation, summary, and deposition of an employee grievance or complaint. This series may include, but is not limited to: investigative and interview notes, logs, and reports and appeals.

For formal grievances see record series UWHR0303.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Date that complaint or grievance is resolved) + 6 years and destroy confidential

UWHR0302. **UWHR0302: FORMAL UNIVERSITY GRIEVANCE AND APPEAL** **EVT+6**

** FOR USE BY UW STAFF ONLY **

This record series includes grievance and appeal records that are related to grievances that are filed under the authority of the official University, Faculty, or Academic Staff Policies and Procedures and their appeals processes.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Date that complaint or grievance is appealed and resolved) + 6 years and transfer to institutional archives per policy for archival review

UWHR0303. **UWHR0303: EMPLOYEE LAY - OFF RECORDS** **EVT+6**

** FOR USE BY UW STAFF ONLY **

Employee layoff records may include, but are not limited to: notice of risk status or impending layoff; all union/individual notices and layoff plan to include organizational charts, if appropriate; any other documents that detail or explain the layoff as it affected the employee, seniority lists, referral to other positions, and documentation that a reasonable offer was made and either accepted or turned down. Other records covered under this series are related to the process by which faculty or academic staff is laid off from their position, including hearing transcripts and other evidence and recommendations from the Committee on Faculty rights and Responsibility or other appropriate body.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Effective date of the layoff) + 6 years and destroy confidential

UWHR0304. **UWHR0304: NON-RENEWAL OF APPOINTMENT - ACADEMIC STAFF/FACULTY** **EVT+6**

** FOR USE BY UW STAFF ONLY **

This series includes records relating to incidents where a faculty or academic staff member fails to have their appointment renewed. Records may include, but are not limited to: notice of non-renewal from the employee's supervisor, department, dean or administrative officer making the decision, the reason for non-renewal, the written request for full review or appeal; records of an appeal, and any other reports to the dean or chancellor.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Date of final decision) + 6 years and destroy confidential

UWHR0400. **UWHR0400: PERSONNEL RECORD - UNIVERSITY STAFF, ACADEMIC STAFF** **EVT+10**

** 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.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Separation from Institution) + 10 years and destroy confidential

UWHR0401. UWHR0401: PERSONNEL FILE INCLUDING FACULTY CAREER FILE - TENURE EVT+30

** 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

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Separation from Unit or Department or Institution) + 30 years and transfer to institutional archives per policy for archival review

UWHR0402. UWHR0402: PERSONNEL FILE - ACADEMIC & NON-TENURED FACULTY (ALL EVT+10

** 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

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Separation from Unit or Department or Institution) + 10 years and transfer to institutional archives per policy for archival review

UWHR0403. UWHR0403: PERSONNEL FILE - ACADEMIC & NON-TENURED FACULTY (FOR EVT+10

** 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.

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

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Separation from Unit or Department or Institution) + 10 years and destroy confidential

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

** 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

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Date of termination) + 6 years and destroy confidential

UWHR0405. UWHR0405: VOLUNTEER AND UNPAID INTERNSHIPS EVT+2

** 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.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Date of assignment completion) + 2 years and destroy confidential

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

** 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.

RETENTION: EVENT (Separation from the institution) + 10 years and destroy confidential

<u>UWHR0501.</u>	<u>UWHR0501: HIPAA PRIVACY COMPLAINT FILES</u>	<u>EVT+6</u>		
	** FOR USE BY UW STAFF ONLY **			
	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.			
	RETENTION: EVENT (Date that Personnel Action was resolved or terminated) + 6 years and destroy confidential			
<u>UWHR0600.</u>	<u>UWHR0600: EAP - STATISTICAL REPORTS AND PROGRAM ACCOMPLISHME</u>	<u>CR+5</u>		
	** 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.			
	RETENTION: EVENT (Date of creation) + 5 years and destroy			
<u>UWHR0601.</u>	<u>UWHR0601: EAP - EMPLOYEE ASSISTANCE CASE FILES</u>	<u>EVT+5</u>		
	** FOR USE BY UW STAFF ONLY **			
	This series includes confidential records documenting an employee's contact with EAP.			
	Series many include, but in 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.			
	Wis. Stat. § 146.81 - 146.84 - Confidentiality of Health Records Wis. Stat. § 51.30 -Mental Health Records HIPAA Privacy Rule at 45 CFR Parts 160 and 164			
	RETENTION: EVENT (Date of last encounter) + 5 years and destroy confidential			
<u>UWHR0602.</u>	<u>UWHR0602: EAP - EMPLOYEE ASSISTANCE SATISFACTION SURVEYS</u>	<u>EVT</u>		
	** 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.			
	RETENTION: EVENT (Date survey analysis was completed) and destroy confidential			
<u>UWHR0603.</u>	<u>UWHR0603: UNIVERSITY WELLNESS PROGRAM AND RELATED ACTIVITIES</u>	<u>CR+5</u>		
	** 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.			
	RETENTION: EVENT (Date of creation) + 5 years and destroy			
<u>UWHR0700.</u>	<u>UWHR0700: H-1B AND E-3 LABOR CONDITION APPLICATIONS (LCA) PUBLIC</u>	<u>EVT+1</u>		
	** 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.

20 CFR § 655.760(a)

RETENTION: 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) + 1 year and destroy confidential

UWHR0701. UWHR0701: PERM = PROGRAM ELECTRONIC REVIEW MANAGEMENT (ALSO EVT+5

** 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
- Evidence of attempts to contact applicants
- Documentation

20 CFR § 656.10(f)

RETENTION: EVENT (Date of filing) + 5 years and destroy confidential

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

** 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

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Last date of employment) + 3 years and destroy confidential

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

** 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

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Date permanent residency obtained) + 5 years and destroy confidential

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

** 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.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (End of the semester in which the evaluation in which the evaluation was completed) + 5 years and destroy confidential

UWHR0801. UWHR801: STUDENT EVALUATIONS OR SUMMARY OF PROBATIONARY FAC EVT+5

** 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.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (End of the tenure review process) + 5 years and destroy confidential

UWHR0802. UWHR0802: FACULTY TENURE FILE - SUCCESSFUL AND UNSUCCESSFUL EVT+6

** 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.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Date of final tenure decision) + 6 years and transfer to institutional archives per policy for archival review

UWHR0900. UWHR0900: EMPLOYEE TRAINING REQUEST DOCUMENTATION CR+1

** 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.

RETENTION: EVENT (Creation) +1 year and destroy confidential

UWHR0901. UWHR0901: COURSE EVALUATION FOR EMPLOYEE TRAINING CR+1

** 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.

RETENTION: EVENT (Date of creation) +1 year and destroy confidential

UWHR0902. UWHR0902: HUMAN RESOURCE TRAINING VENDORS EVT+1

** 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.

RETENTION: EVENT (Date that the vendor last provided a class) + 1 year and destroy confidential

UWHR0903. UWHR0903: HUMAN RESOURCE TRAINING COURSE MATERIALS EVT+5

** 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.

RETENTION: EVENT (Date old materials are superseded) + 5 years and destroy confidential

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

** 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.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Date of employee termination) + 5 years and destroy confidential

UWIT0001. **UWIT0001: PROJECT PLANS AND CHARTERS** **EVT+5**

** FOR USE BY UW STAFF ONLY **

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

The following are included, but the series is not limited to:

- * 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, time line, budget, control strategies);
- * Project Plans: (Including WBS, staffing, schedule, budget, communication plan, change management plan, change management risk plan, support transition plan).

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

RETENTION: EVENT (Project completion or end date) + 5 years and transfer to institutional archives

Copies: Destroy when no longer needed

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

** 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: EVENT (Project completion or end date) + 5 years and destroy/delete

Copies: destroy when no longer needed

UWIT0003. **UWIT0003 : PROGRAM SOURCE CODE** **EVT+3**

** FOR USE BY UW STAFF ONLY **

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

RETENTION: EVENT (Code is superseded or replaced) + 3 years and destroy/delete

Copies: Destroy when no longer needed

UWIT0004. **UWIT0004: ELECTRONIC RECORDS SOFTWARE AND DOCUMENTATION AND** **EVT**

** 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: EVENT (Software dependent records no longer retained) and destroy

UWIT0005. **UWIT0005: AUDIT TRAILS: ROUTINE ADMINISTRATIVE INFORMATION** **EVT+4**

** 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 like 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: EVENT (Date of completion and/or audit report) + 4 years and destroy/delete

UWIT0006. **UWIT0006: OPERATING SYSTEM AND HARDWARE MIGRATION CONVERSION** **EVT+3**

** 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: EVENT (Completion of conversion) + 3 years and destroy/delete

UWIT0007. **UWIT0007: TELEPHONE VOICEMAIL SYSTEM CALL DETAIL** **CR+4**

** 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.

PII under Wis SS Stats 19.62(5)

RETENTION: EVENT (Creation date) + 4 years and destroy/delete
Copies: destroy when no longer needed

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

** 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: EVENT (Date of completion and audit report) + 1 year and destroy/delete
Copies: destroy when no longer needed

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

** 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: EVENT (Creation date) + 1 year and destroy/delete
Copies: destroy when no longer needed

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

** FOR USE BY UW STAFF ONLY **

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

RETENTION: EVENT (Discontinuance of system) + 3 years and destroy/delete
Copies: destroy when no longer needed

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

** FOR USE BY UW STAFF ONLY **

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

RETENTION: EVENT (Creation date) + 1 year and destroy/delete
Copies: destroy when no longer needed

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

** FOR USE BY UW STAFF ONLY **

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

RETENTION: EVENT (Discontinuance of system and all data created by every system instance has been destroyed or migrated to a new structure or format) + 3 years and destroy/delete
Copies: destroy when no longer needed

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

** 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.

Confidential under Wis SSE Stats 19.62(5)

RETENTION: EVENT (Date that incident was resolved) + 5 years and destroy/delete
 Copies: destroy when no longer needed

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

** 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.

Confidential under Wis SS Stats 19.62(5)

RETENTION: EVENT (Departure of Employee from employment) + 4 years and destroy/delete
 Copies: destroy when no longer needed

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

** 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: EVENT (Creation) + 30 days or until review of logs is complete, whichever occurs first, and destroy/delete
 Copies: destroy when no longer needed

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

** 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: EVENT (Superseded) and destroy/delete
 Copies: destroy when no longer needed

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

** 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.

Confidential under Wis. SS Stats. 19.62(5)

RETENTION: EVENT (Date of disaster/event) + 14 days and destroy/delete
 Copies: destroy when no longer needed.

Notes: Back-Up

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

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

UWLA0001. **UWLA0001: MATTER CASE FILES** **EVT+10**

** FOR USE BY UW STAFF ONLY **

The legal affairs offices at UW System Administration, UW-Madison, and UW-Milwaukee serve as primary, advisory, or liaison counsel on a variety of litigated case files including, but not limited to: State of Wisconsin administrative proceedings; Federal or State court proceedings; internal proceedings; and federal enforcement actions and other campus legal matters. Legal matter files include but are not limited to pleadings and legal argument, correspondence, evidence, research, orders all documents related to a Legal Summons, and Subpoenas issued, may contain Client File; Expenses; Attorney Notes; Medical Records; Government Agency Filings; Discovery [for example Interrogatories, Request for Production of Documents; Disposition Transcripts; Evidence [for example photos, statements, etc. And/or related correspondence requesting specific records pertaining to University employees or University business transactions are included in this series. This retention period is consistent with that employed by the Wisconsin Department of Justice for similar records and covers the longest expected applicable statute of limitations. The recommended retention period is ten years, unless the file is deemed historic. See UWLA001

RETENTION: EVENT (Date the file was close) + 10 years and destroy confidential
Copies: When no longer needed for administrative or quality control purposes destroy confidentially.

UWLA0002. UWLA0002: LEGAL AFFAIRS CASE FILES - HISTORICALLY SIGNIFICANT CR+20

** FOR USE BY UW STAFF ONLY **

Matter Case files that are determined to be documentation of historically significant events that happen on the university campuses.

RETENTION: EVENT (Creation) + 20 years and transfer to University Archives per institutional policy
Copies: When no longer needed for administrative or quality control purposes destroy confidentially

UWLA0003. UWLA0003: LEGAL TRADEMARK AND INTELLECTUAL PROPERTY - FORMAL CR+50

** FOR USE BY UW STAFF ONLY **

Official legal documents dealing with Trademarks and Intellectual Property which are retained by Legal Affairs. Examples of these documents include those related to, but not limited to: trademark, intellectual property, trusts, real estate, and certain legal agreements or court orders related to trademarks and intellectual property.

RETENTION: EVENT (Creation year) + 50 years and transfer to University Archives
Copies: When no longer needed for administrative or quality control purposes destroy confidentially

UWLA0004. UWLA0004: CLIENT CONSULTATION RECORDS EVT+10

** 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.

RETENTION: EVENT (Date of issue resolution) + 6 years and destroy confidential*
*The minimum is EVT + 6 years. UW-Madison has opted to keep records more than the minimum for operational purposes to EVT + 10 years.
Copies: When no longer needed for administrative or quality control purposes destroy confidentially.

UWLA0006. UWLA0006: ADMINISTRATIVE RULE DEVELOPMENT - OFFICIAL FILE P

** 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: Permanent (Transfer to Archives per institutional policy)
Copies: When no longer needed for administrative or quality control purposes, destroy confidentially.

UWLI137A. UWLI137A: PROGRAMMING AND EVENTS FILES - EXTERNAL COMMUNICATI EVT+1

** FOR USE BY UW STAFF ONLY **

Records include materials developed for publicity and programming of public programs or events: files documenting performances and lectures may include promotional literature, printouts from performer websites, press releases, correspondence, and flyers. These files may include subject files about performers in general, flyers or other promotional materials and photographs of library programming events.

RETENTION: EVENT (End of academic year) + 1 year and transfer to Archives

UWLI137B. UWLI137B: PROGRAMMING AND EVENTS FILES - ADMINISTRATIVE RECORD EVT+1

** FOR USE BY UW STAFF ONLY **

Records may include the number and distribution sites of publicity materials, 1schedules as well as notes, permission/consent to

photograph forms signed by attendees, any donation requests.

Files may also include attendance sheets, reservation lists and program evaluations.

Attendance sheets and reservations that include individuals' names should be destroyed confidentially after completion of statistics.

New schedule to separate material not necessary for archival preservation.

RETENTION: EVENT (End of academic year) + 1 year and destroy confidential

<u>UWLIB107.</u>	<u>UWLIB107: LIBRARY BUDGET RECORDS</u>	<u>FIS+6</u>
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** FOR USE BY UW STAFF ONLY **

Records in this series are used in forecasting of revenue and expenditures for the fiscal year. 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 sub-department for funding.

RETENTION: EVENT (Fiscal) + 6 years and destroy

<u>UWLIB109.</u>	<u>UWLIB109: Library Electronic Equipment Records</u>	<u>EVT+2</u>
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** FOR USE BY UW STAFF ONLY **

Records include documentation of the use of hardware and software used by library patrons and staff as well as servers, network and telecommunications equipment.

Records include, but are not limited to software or hardware inventories, software license information, site licenses, manuals, and purchase/repair, documentation.

RETENTION: EVENT (Date equipment is withdrawn from use) + 2 years and destroy

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

Records include, but are 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.

RETENTION: EVENT (Creation) + 2 weeks and destroy confidential

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

Series documents recommendations concerning deaccessioning of specific holdings and any action upon those recommendations when detailed deaccessioning procedures are necessary. This occurs most often with gift books or materials purchased under special conditions. These records would not include routine withdrawals 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 reacession recommendations and dates, reasons for declassifying, 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: EVENT (Date item is deaccessioned) + 10 years and destroy confidential

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

Records documenting 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.

RETENTION: EVENT (Date item is donated) + 10 years and destroy

<u>UWLIB113.</u>	<u>UWLIB113: OBJECT COLLECTION MANAGEMENT RECORDS</u>	<u>P</u>
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** FOR USE BY UW STAFF ONLY **

Records pertaining to the acquisition, history, value, care and movement of 3D and artistic objects/artifacts. Materials include accession records, catalog records, deeds of gifts, research materials, object images, condition reports, appraisals, insurance records, historical information, brochures and clippings.

These records include vital information regarding the provenance of University-owned museum objects, Such information is used to

document the historical, cultural and intrinsic value of these items. The records also provide evidence of staff decisions concerning materials of historical, cultural and intrinsic value thus documenting institutional accountability.

Series will also include information on objects that were once owned by an agency but were deaccessioned. Deaccession records are also kept to preserve provenance information and organizational accountability.

RETENTION: Permanent

UWL114. UWL114: SPECIAL COLLECTIONS - ANNUAL REGISTRATION RECORDS FIS+10

** FOR USE BY UW STAFF ONLY **

Annual documents created by patrons conducting research in special collections and museums 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 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. Records may be captured on paper forms or through electronic systems.

RETENTION: EVENT (Fiscal) + 10 years and destroy confidential

UWL115. UWL115: SPECIAL COLLECTIONS - DAILY RESEARCHER REGISTRATION F FIS+10

** FOR USE BY UW STAFF ONLY **

Records documenting each patron's daily research use of the special collections or museum collections 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. Records may be captured on paper forms or through electronic systems.

RETENTION: EVENT (Fiscal) + 10 years and destroy confidential

UWL116. UWL116: ANNUAL STATISTICAL RECORDS AND REPORTS (SPECIAL COLL FIS+10

** 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 interlending.

RETENTION: EVENT (Fiscal) + 10 years and destroy

UWL117. UWL117: CIRCULATION RECORDS (SPECIAL COLLECTIONS) FIS+10

** FOR USE BY UW STAFF ONLY **

Call slips, collections used forms, or similar records that record the materials used by patrons in special collections departments. Records may include the name of the individual, date of use, reason for use and bibliographic information regarding the collection.

This series does not include circulation records that are created within the Alma ILS and are scheduled in UWL122 and UWL147.

RETENTION: EVENT (Fiscal) + 10 years and destroy confidential

UWL118. UWL118: INTERLENDING RECORDS (SPECIAL COLLECTIONS) FIS+10

** FOR USE BY UW STAFF ONLY **

Paper forms and/or electronic records used to process shipments of special collections materials through the Area Research Center network. Paper forms continue to be used for shipping lists and to confirm shipments. Patron information is included in these documents.

This series does not include interlending records that are created within the Alma ILS and are scheduled in UWL130 and UWL147.

RETENTION: EVENT (Fiscal) + 10 years and destroy confidential

UWL119. UWL119: SPECIAL COLLECTIONS - REFERENCE/RESEARCH REQUESTS & FIS+1

** FOR USE BY UW STAFF ONLY **

Records documenting off-site reference and research services by special collections and museum staff. This series includes requests made in writing, emailed, sent via web form or other computer system, or transcribed from telephone calls and the response from the special collections staff.

RETENTION: EVENT (Fiscal) + 1 year and destroy confidential

UWL120. UWL120: DONOR FILES P

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

Files documenting the individuals or institutions responsible for the donation of materials to special or museum collections. Records may include materials included in object collection management or special collections accession records but may also include less item specific information, including signed deeds of gift, correspondence, contact information, and research materials.

These records include vital information regarding the provenance of University-owned special collections, archival and museum objects. Such information is used to document the historical, cultural and intrinsic value of these items.

RETENTION: Permanent

UWL121. UWL121: ACCESSION, DEACCESSION, AND PROCESSING RECORDS (SPE) P

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

Records documenting the transfer of legal and physical custody of materials to and from the 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 and existence of copies of the materials, any restrictions on use of the collection, and other notes. These files may also contain information about what is retained or de-accessioned during the processing of each collection.

These records include vital information regarding the provenance of University-owned special collection materials. Such information is critical to documenting the historical, cultural and intrinsic value of these items. The records also provide evidence of staff decisions concerning valuable materials thus documenting institutional accountability.

RETENTION: Permanent

UWL122. UWL122: CIRCULATION RECORDS EVT

**** 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: bibliographic information of item, the name and identification of the borrower; the titles of materials borrowed; the length of time borrowed; the due date; overdue and fine payment notations; and related documentation and correspondence.

Circulation records are kept for the duration of a patron's status as an authorized borrower as a courtesy to patrons interested in their borrowing history.

Circulation records are handled by the Alma integrated library system. Alma migrates circulation records into its analytics database. These records are scheduled under UWL147 for longer retention.

RETENTION: EVENT (Patron record's expiration data) + 1 year and destroy confidential

UWL124. UWL124: PATRON CIRCULATION CORRESPONDENCE EVT

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

Records of any patron communication generated through the integrated library system or by staff regarding circulation issues. These notices are sent most often to patrons to remind them to return borrowed items.

RETENTION: EVENT (Date correspondence sent) + 1 year and destroy confidential

UWL125. UWL125: FEE RECOVERY RECORDS EVT+6

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

Records produced (after a period of time determined by each institution's policy) when a patron fails to pay library fines or fees. These records may be sent to the University Cashier's Office or to a Collection Agency. Records may affect a patron's credit rating for a period of six years; therefore, they must be retained for a time period of no less than six years.

RETENTION: EVENT (Date records are transferred regardless if they are eventually paid or unpaid) + 6 years and destroy confidential

UWL126. UWL126: PATRON REGISTRATION FORM/USER AGREEMENTS (LIBRARY) EVT+0/1

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

Records related to registration of patrons, including, but not limited to: user agreements regarding the use of library resources and facilities, including those for intertype library consortium users; checkout forms regarding the names of borrowed resources and due dates for their return; or the forms by which patrons request and receive interlibrary loans of materials. Typically these serve as source documents for patron database.

RETENTION: EVENT (Completion of first circulation transaction or expiration of agreement) + 2 weeks and destroy confidential

<u>UWL127.</u>	<u>UWL127: SEARCH/HOLD/RETRIEVAL REQUESTS</u>	<u>EVT</u>
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** FOR USE BY UW STAFF ONLY **

Records created by library patrons asking library staff to find a missing item or retrieve and place a hold on an item. Record may include the name of the patron, contact information, campus ID number and bibliographic information regarding the title.

RETENTION: EVENT (Date search/hold is resolved) and destroy confidential

<u>UWL128.</u>	<u>UWL128: RESOLVED SEARCH LISTS</u>	<u>EVT+1</u>
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** FOR USE BY UW STAFF ONLY **

Cumulative list of resolved title searches for each academic year. Includes only date, bibliographic information, and how the search was resolved.

RETENTION: EVENT (End of academic year) + 1 year and destroy

<u>UWL129.</u>	<u>UWL129: STACK MANAGEMENT RECORDS</u>	<u>EVT+5</u>
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** FOR USE BY UW STAFF ONLY **

Records created in the process of managing book and multi-media stacks. Records may include measurements of free space, shelf reading materials, shelving accuracy statistics, and other records created in the shelving and shifting of collections.

RETENTION: EVENT (When no longer needed) and destroy

<u>UWL130.</u>	<u>UWL130: INTERLENDING RECORDS</u>	<u>EVT</u>
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** FOR USE BY UW STAFF ONLY **

Records that track the request, shipping and return of library and archival items with other libraries through Interlibrary Loan and UW System borrowing and similar systems. Records may include but are not limited to, requests for materials, receipts, patron signed forms, routing slips and other records created 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.

Records for materials interlended through UW System are handled by the Alma integrated library system Alma migrates interlending records into its analytics database. These records are scheduled under UWL147 for longer retention.

RETENTION: EVENT (Date item is returned or is otherwise completed) + 1 year and destroy confidential

<u>UWL133.</u>	<u>UWL133: PATRON RECORDS AND STATISTICS</u>	<u>EVT+0/1</u>
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** 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: EVENT (Creation) + 2 weeks and destroy

<u>UWL135.</u>	<u>UWL135: LIBRARY WEBSITE</u>	<u>EVT</u>
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** 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: EVENT (Website information is not current or of use to the public) and destroy

<u>UWL137.</u>	<u>UWL137: PROGRAMMING AND EVENTS FILES</u>	<u>CR+1</u>
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** 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. § 43.30.

RETENTION: EVENT (Academic year of creation) + 1 year and transfer to Archives
 Destroy copies when no longer needed.

<u>UWLIB138.</u>	<u>UWLIB138: REFERENCE QUESTIONS AND TABULATIONS (LIBRARY)</u>	<u>EVT</u>
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** FOR USE BY UW STAFF ONLY **

Records of written exchanges between patrons and library staff regarding ready reference or resource based questions made via email, text, chat, or other forms of written communications. Series also includes records created to record the number and nature of the exchanges for statistical purposes.

RETENTION: EVENT(Exchange is no longer needed for quality control or statistical purposes) + 6 months and destroy confidential

<u>UWLIB139.</u>	<u>UWLIB139: BIBLIOGRAPHIC INSTRUCTION STATISTICS</u>	<u>EVT+1</u>
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** FOR USE BY UW STAFF ONLY **

Records created to document classes taught 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: EVENT (Academic year) + 1 year and destroy confidential

<u>UWLIB140.</u>	<u>UWLIB140: LIBRARY INSTRUCTIONAL MATERIALS</u>	<u>EVT</u>
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** FOR USE BY UW STAFF ONLY **

Materials created for patron use, explaining the use of the catalog, databases and other bibliographic tools.

RETENTION: EVENT (No longer needed) + 6 months and destroy

<u>UWLIB142.</u>	<u>UWLIB142: SECURITY RECORDS</u>	<u>CR+3</u>
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** FOR USE BY UW STAFF ONLY **

Records documenting incidents occurring on library property that require prolonged and substantial follow up. 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.

RETENTION: EVENT (Academic year follow up was completed) + 3 years and destroy confidential

<u>UWLIB143.</u>	<u>UWLIB143: INCIDENT REPORT RECORDS (NON-INJURY)</u>	<u>EVT+7</u>
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** FOR USE BY UW STAFF ONLY **

Series documents any unexpected (yet common) events on the library premises involving non-employees that require only minimal follow up. The records are incidents related to security issues such as tripped alarms, water leaks, unlocked secure doors, distressed individuals, and other similar events .It lists location, witnesses, any property damage, and actions t prevent reoccurrence. These records are reviewed and signed by relevant administrators. For injury related incident reports see RISK0045.

In some cases personally identifiable information is recorded.

RETENTION: EVENT (Academic year incident was considered handled) + 1 year and destroy confidential

<u>UWLIB144.</u>	<u>UWLIB144: PATRON DISCIPLINARY FILES</u>	<u>EVT+5</u>
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** FOR USE BY UW STAFF ONLY **

Files documenting patrons who have received disciplinary action or prohibitory sanctions by the university or library. Records may consists 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.

RETENTION: EVENT (Academic year of last incident involving patron) + 3 years and destroy confidential

<u>UWLIB145.</u>	<u>UWLIB145: PATRON RECORD</u>	<u>EVT+3</u>
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** FOR USE BY UW STAFF ONLY **

Records created within the library automated system that indicate name, address, major, class standing, etc. of library patrons. System allows for patrons of different user types including students, staff, and community members.

New schedule added due to omission in previous GRS.

RETENTION: EVENT (Date of last attendance, last day of employment, or expiration of user agreement) + 3 years and destroy confidential

<u>UWL146.</u>	<u>UWL146: LIBRARY BIBLIOGRAPHIC RECORD</u>	<u>EVT</u>
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** FOR USE BY UW STAFF ONLY **

Shared system catalog records of all library research materials considered part of the library collection including books, media, archival, and special collection materials. Records include descriptive metadata on each item.

New schedule added due to omission in previous GRS.

RETENTION: EVENT (Date last copy of item is withdrawn from use) and destroy

<u>UWL147.</u>	<u>UWL147: ANALYTICS RECORDS</u>	<u>EVT+10</u>
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** FOR USE BY UW STAFF ONLY **

Records of both incomplete and completed circulation and interlending actions created by the library automated system (Alma) that are migrated into a separate database for purpose of statistical analysis. The records protected include patron data as well as bibliographic. Alma Analytics records are kept 10 years to provide better collection security for special collections materials

New schedule added due to new functionality of the new library automated system (Alma)

RETENTION: EVENT (Date item is returned to the satisfaction of staff members) + 10 years and destroy confidential

<u>UWL148.</u>	<u>UWL148: CONSERVATION TREATMENT RECORDS</u>	<u>P</u>
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** FOR USE BY UW STAFF ONLY **

Records document any repair or conservation treatment performed on art objects, artifacts and special collection materials, and may include a description of the action, the person or company performing such work, and related documentation.

These records include vital information regarding the provenance of University-owned museum objects, special collections and archival materials. Such information is used to document the historical, cultural and intrinsic value of these items. The records also provide evidence of staff decisions concerning valuable materials thus documenting institutional accountability. Furthermore, conservation treatments frequently involve physical and chemical manipulations of objects and materials. The precise nature of these treatments must be understood in the future so that they may be augmented or reversed as part of the ongoing project to preserve the collections.

New record series added to expand GRS coverage to include museums. Museum records were previously not scheduled agency-wide.

RETENTION: Permanent - As per industry best practice, records are kept permanently to ensure the provenance of materials in or that were once in agency custody is preserved.

<u>UWL149.</u>	<u>UWL149: MUSEUM & GALLERY LOAN RECORDS - SHORT TERM</u>	<u>EVT+5</u>
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** FOR USE BY UW STAFF ONLY **

Series documenting the borrowing or loan of collection materials by museums and galleries to other similar institutions. Including, but not limited to: brochures; insurance certifications; loan forms; manuscript appraisals; condition and facility reports, and related correspondence.

New record series added to expand GRS coverage to include museums. Museum records were previously not scheduled agency-wide.

RETENTION: EVENT (Date materials loaned or borrowed are returned) + 5 years and destroy confidential

<u>UWL150.</u>	<u>UWL150: EXHIBITION RECORDS - SHORT TERM</u>	<u>EVT+5</u>
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** FOR USE BY UW STAFF ONLY **

Materials pertaining to the design, execution, and installation of exhibitions. Records include correspondence, memoranda, concepts, scripts, label texts, catalogs, promotional materials, clippings, installation photographs, floor plans, drawings, graphics, checklists, schedules, visitor comment books, notes, and related materials. Records may include the names of individuals responsible for the exhibit as well as visitors.

New record series added to expand GRS coverage to include museums. Museum records were previously not scheduled agency-wide.

RETENTION: EVENT (Date exhibit closed) + 5 years and destroy confidential

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

** 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 (Date supervisor approved leave report or timesheet report) + 6 years and destroy confidential

UWPAY002. UWPAY002: TIME AND LABOR ADMINISTRATIVE REPORTS CR+1

** 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 reports 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: EVENT (Creation) + 1 year and destroy confidential

UWPAY003. UWPAY003: EMPLOYEE EARNINGS STATEMENT AND LEAVE BALANCES AN EVT+15

** 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 My UWSystem or UW-Extension.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Date report was created) + 15 years and destroy confidential

UWPAY004. UWPAY004: LEAVE ACTIVITY SUMMARY REPORTS - INSTITUTION CR+15

** FOR USE BY UW STAFF ONLY **

This report shows cumulative year to date leave activity by pay period.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Creation) + 15 years and destroy confidential

UWPAY005. UWPAY005: LEAVE OF ABSENCE REQUEST FORMS CR+5

** 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: EVENT (Creation) + 5 years and destroy confidential

UWPAY006. UWPAY006: LEAVE OF ABSENCE REPORTS CR+15

** 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: EVENT (Creation) + 15 years and destroy confidential

UWPAY007. **UWPAY007: UW-SYSTEM LEAVE PLAN TYPES** **EVT**

** 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 enters 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: EVENT (Superseded) and destroy confidential

UWPAY008. **UWPAY008: PAYROLL REGISTERS AND VOUCHERS** **FIS+6**

** 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)

RETENTION: EVENT (Fiscal year) + 6 years and destroy confidential

UWPAY009. **UWPAY009: GARNISHMENT RECORDS** **EVT+6**

** 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 may include original writs of garnishment; recapitulations of amounts withheld; and related records.

Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)

RETENTION: EVENT (Levy or garnishment is terminated) + 6 years and destroy confidential

UWPAY010. **UWPAY010: TAX WITHHOLDING REPORTING FILES** **CR+5**

** 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
- * 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: EVENT (Creation) +5 years and destroy confidential

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

** 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: EVENT (Creation) + 5 years and destroy confidential

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

** 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 or 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: EVENT (Date of employee termination) + 5 years and destroy confidential

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

** 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: EVENT (Date of employee termination) + 50 years and destroy confidential

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

** 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: EVENT (Date of employee termination) + 5 years and destroy confidential

UWPAY015. **UWPAY015: ANNUAL BENEFIT STATEMENTS/BENEFIT REPORTS** **EVT+5**

** FOR USE BY UW STAFF ONLY **

This series consists of Annual benefit 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 § 19.36(10)

UWPAY016. UWPAY016: SUMMARY REPORTS OF BENEFITS PROGRAMS PROVIDED TO I CR+7

** 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: EVENT (Creation) +7 years and destroy confidential

UWPAY017. UWPAY017: WISCONSIN RETIREMENT SYSTEM REPORTING - WRS CR+15

** 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: EVENT (Creation) +15 years and destroy confidential

UWPAY018. UWPAY018: TAX SHELTERED ANNUITY - TSA MULTIPLE ENROLLMENTS REI CR+5

** 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: EVENT (Creation) + 5 years and destroy confidential

UWPAY019. UWPAY019: PAYROLL ACCOUNTING AND BENEFIT REPORTS AND TRANSFE CR+5

** 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: EVENT (Creation) + 5 years and destroy confidential

UWPAY020. UWPAY020: CORE PAYROLL HISTORY DATA CR+50

**** 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: EVENT (Creation) +50 years and destroy confidential

<u>UWPAY021.</u>	<u>UWPAY021: SYSTEM-WIDE TAX SUMMARY</u>	<u>EVT+7</u>
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**** 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: EVENT + 7 years and transfer to UW Madison Archives

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

Annual report of the activities of the campus parking services.

RETENTION: EVENT (Creation) + 5 fiscal years and transfer to University Archives
Do not retain duplicates longer than originals.

<u>UWPP1010.</u>	<u>UWPP101: PARKING DIRECTOR'S CORRESPONDENCE AND ADMINISTRATIV</u>	<u>CR+5</u>
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**** 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: EVENT (Creation) + 5 years and destroy or transfer to Archives per institutional policy
Do not retain duplicates longer than original

<u>UWPP1020.</u>	<u>UWPP102: PARKING PERMIT REGISTRATION FORMS</u>	<u>FIS+5</u>
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**** 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: EVENT (Fiscal) + 5 fiscal years and destroy confidential
Do not retain duplicates longer than original

RDA #	RDA Title	Retention	Disposition	PII
<u>UWPP1030.</u>	<u>UWPP103: PARKING CITATIONS</u>	<u>CR+5</u>		
	** FOR USE BY UW STAFF ONLY **			
	Official copies of citations for parking violations on campus. Format may be paper or electronic.			
	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			
	RETENTION: EVENT (Creation) + 5 years and destroy confidential Do not retain duplicates longer than original			
<u>UWPP1040.</u>	<u>UWPP104: PARKING CITATION APPEALS</u>	<u>FIS+6</u>		
	** 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: EVENT (Date of citation payment or closure) + 6 fiscal years and destroy confidential Do not retain duplicates longer than original.			
<u>UWPP1050.</u>	<u>UWPP105: PARKING WAIT LISTS</u>	<u>EVT</u>		
	** FOR USE BY UW STAFF ONLY **			
	Lists of persons waiting for assigned parking spaces. Format may be paper or electronic.			
	RETENTION: EVENT (Superseded) and destroy Do not retain duplicates longer than original.			
<u>UWPP2000.</u>	<u>UWPP200: POLICE SERVICES ANNUAL REPORT</u>	<u>FIS+5</u>		
	** FOR USE BY UW STAFF ONLY **			
	Annual report of the campus police services.			
	RETENTION: EVENT (Creation) + 5 fiscal years and transfer to University Archives Do not retain duplicates longer than original.			
<u>UWPP2010.</u>	<u>UWPP201: POLICE CHIEF CORRESPONDENCE AND ADMINISTRATIVE FILES</u>	<u>CR+5</u>		
	** FOR USE BY UW STAFF ONLY **			
	Correspondence and files of the Chief of Police Services and other office files which may contain policy documents, letters, and administrative information of long-term value. Note: Some institutions may consider some or all of these records to have archival value; consult your institution's archives for additional information.			
	RETENTION: EVENT (Creation) + 5 years and destroy or transfer to Archives per institutional policy Do not retain duplicates longer than original			
<u>UWPP2020.</u>	<u>UWPP202: CITATIONS</u>	<u>CR+5</u>		
	** FOR USE BY UW STAFF ONLY **			
	Citations are tickets written for ordinance and non-criminal traffic violations.			
	RETENTION: EVENT (Creation) + 5 years and destroy confidential Do not retain duplicates longer than original			
<u>UWPP203A.</u>	<u>UWPP203A: JUVENILE OFFENDER MISDEMEANOR CASE FILES</u>	<u>EVT+4</u>		
	** FOR USE BY UW STAFF ONLY **			
	Open cases should be retained until closed or have passed the statute of limitations for the charge.			
	RETENTION: EVENT (18th birthday) + 4 years and destroy confidential			
<u>UWPP203B.</u>	<u>UWPP203B: JUVENILE OFFENDERS - FELONY CASE FILES</u>	<u>EVT+8</u>		
	** FOR USE BY UW STAFF ONLY **			
	Open cases should be retained until closed or have passed the statute of limitations for the charge.			

RETENTION: EVENT (18th birthday) + 8 years and destroy confidential

UWPP203C. **UWPP203C: ADULT MISDEMEANOR CASE FILES** **EVT+25**

** FOR USE BY UW STAFF ONLY **

Open cases should be retained until closed or have passed the statute of limitations for the charge.

RETENTION: EVENT (Date of incident) + 25 years and destroy confidential

UWPP203D. **UWPP203D: ADULT FELONY CASE FILES** **EVT+25**

** FOR USE BY UW STAFF ONLY **

Open cases should be retained until closed or have passed the statute of limitations for the charge.

RETENTION: EVENT (Date of incident) + 25 years and destroy confidential

UWPP2040. **UWPP204: OFFICER AND DEPARTMENT ACTIVITY REPORTS** **CR+3**

** FOR USE BY UW STAFF ONLY **

These records cover daily and weekly logs/reports of officer activities, including work schedules and court rosters.

RETENTION: EVENT (Creation) + 3 years and destroy
Do not retain duplicates longer than original

UWPP2050. **UWPP205: CAMPUS SECURITY ACTIVITIES RECORDS** **EVT+3**

** FOR USE BY UW STAFF ONLY **

Records in this series include bicycle license registrations, motor vehicle lockouts, room lockouts, ride-along programs, motor vehicle and driver authorizations, and similar activities.

RETENTION: EVENT (Occurrence of activity or creation of the record) + 3 years and destroy
Do not retain duplicates longer than original

UWPP2060. **UWPP206: DISPATCH AND RADIO LOGS** **CR+0/4**

** FOR USE BY UW STAFF ONLY **

Records of requests for police assistance and police responses, often in electronic format.

RETENTION: EVENT (Creation) + 120 days and destroy confidential
Do not retain duplicates longer than original

UWPP2070. **UWPP207: SECURITY VIDEO / AUDIO SURVEILLANCE RECORDS** **EVT+0/4**

** FOR USE BY UW STAFF ONLY **

Video or audio associated with facility related surveillance of persons entering, using, or departing campus buildings or property.

NOTE 1: If a surveillance record is requested for an investigation, a retention of 3 years from the date the investigation is closed is established for the portion of the surveillance copied.

NOTE 2: If a surveillance record is used in the prosecution of a case, the record becomes part of the case file and subject to the retention period for that type of case file.

RETENTION: EVENT (Creation; PRB has established a 120-day minimum to meet requirements of Wis. Stat. ch. 893.80.) + 120 days and destroy
Do not retain duplicates longer than original.

UWPP2080. **UWPP208: ACCESS CARDS, KEYS, OFFICIAL IDENTIFICATION BADGES ROS** **EVT+0/6**

** 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 badges, 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: EVENT (Date the card/key is returned or reported lost) + 6 years and destroy
Do not retain duplicates longer than original

<u>UWPP2090.</u>	<u>UWPP209: FIELD TRAINING FILES</u>	<u>EVT+7</u>		
	** 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: EVENT (Date of termination) + 7 years and destroy confidential Do not retain duplicates longer than original.			
<u>UWPP2100.</u>	<u>UWPP210: CLERY ACT REPORT FILES</u>	<u>CR+7</u>		
	** FOR USE BY UW STAFF ONLY **			
	This series consists of information compiled 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: EVENT (Creation) + 7 years and destroy daily logs, transfer annual reports to University Archives Do not retain duplicates longer than original			
<u>UWPP2110.</u>	<u>UWPP211: UNIFORM CRIME REPORTS</u>	<u>CR+3</u>		
	** 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: EVENT (Creation) + 3 years and destroy Copies: Those held by other campus offices may be destroyed when no longer needed for administrative purposes.			
<u>UWRES001.</u>	<u>UWRES001: HOUSING POLICY AND ADMINISTRATION RECORDS</u>	<u>CR+5</u>		
	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.			
	RETENTION: EVENT (Creation) + 5 years and transfer to Archives Copies: do not retain duplicates longer than original.			
<u>UWRES002.</u>	<u>UWRES002: HOUSING GENERATED REPORTS</u>	<u>CR+5</u>		
	** FOR USE BY UW STAFF ONLY **			
	This series comprises all housing generated reporting which includes but is not limited to: residence hall, apartment, and dining annual/end of year reports, apartment and residence hall occupancy reports, capacity reports, after action reports and communication plans for emergency events, conference summaries and closing reports, and UW System reports.			
	RETENTION: EVENT (Creation) + 5 years and destroy confidential Copies: do not retain duplicates longer than original.			
<u>UWRES003.</u>	<u>UWRES003: RESIDENCE HALL STAFF RECORDS</u>	<u>CR+5</u>		
	** FOR USE BY UW STAFF ONLY **			
	These files include subject files of all staff in residential programs and services including correspondence, orientation, student and professional staff training and development, memos of understanding with other campus offices, hall community surveys, and liability waivers for residence hall events.			
	RETENTION: EVENT (Creation) + 5 years and destroy confidential Copies: do not retain duplicates longer than original.			
<u>UWRES004.</u>	<u>UWRES004: EMERGENCY MANAGEMENT RECORDS</u>	<u>EVT</u>		
	** FOR USE BY UW STAFF ONLY **			
	This series consists of records generated through the state required continuation of operations emergency planning process (Wisconsin State Statutes, Chapter 166). Documents in this series include, but are not limited to emergency protocol, communication			

plans, staff manuals, and training guides and exercises.

RETENTION: EVENT (Superseded) and destroy confidential
Copies: do not retain duplicates longer than original.

<u>UWRES005.</u>	<u>UWRES005: STUDENT HOUSING CONTRACTS</u>	<u>EVT+6</u>		
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** FOR USE BY UW STAFF ONLY **

The purpose of the housing contract is to provide documentation for housing obligation and relationship between the student and the University. The housing contracts pertain to all residence halls or dormitories. These housing contracts do not pertain to conference center rentals. Documents in this series may include but are not limited to housing applications, room change information, hall preference records, ADA accommodations, food plans/accounts and contracts, rent references, residence hall selection cards, housing status action forms, room condition inventories, rosters and logs, contracts, cancellation notices, contract release forms, contract offer, interest assessment materials, letters and printed emails.

RETENTION: EVENT (End of contract) + 6 years and destroy confidential

<u>UWRES006.</u>	<u>UWRES006: STUDENT CONDUCT RECORDS</u>	<u>EVT+6</u>		
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** FOR USE BY UW STAFF ONLY **

The conduct unit of residence life keeps documentation about students who require attention due to infractions which occur in residence halls and on campus. The file frequently starts with a notification to the conduct officer and the student which can be in the form of email or other messaging in database. The files are maintained by the department in paper and electronic media. The records generally consist of, but are not limited to: an incident report and/or police report, a meeting notification letter (sent to the student), meeting notes, a decision letter, miscellaneous charges for damages (such as on a housing status action form), and miscellaneous documents including documentation about an incident and/or resolution of the matter (such as a student reflection paper or letter). Information in these paper documents, electronic images and related databases include student name, student identification number, address, telephone and other types of personal information. Information in these records can and does intersect with disciplinary files of the Dean of Students. Paper original source documents that are scanned can be confidentially destroyed after verification and quality control phase of the scanned images is complete.

RETENTION: EVENT (End of contract) + 6 years and destroy confidential

<u>UWRES007.</u>	<u>UWRES007: APARTMENT & LEASE RECORDS</u>	<u>EVT+6</u>		
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** FOR USE BY UW STAFF ONLY **

Records in this series pertain to lease arrangements for residents. These records include, but are not limited to apartment applications, apartment waitlists, apartment assignment records, community and social work-related documentation, check in and checkout records on apartment condition and reference letters.

RETENTION: EVENT (End of lease) + 6 years and destroy confidential

<u>UWRES008.</u>	<u>UWRES008: SAMPLE MATERIALS, PUBLICATIONS & PROMOTIONS</u>	<u>EVT</u>		
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** FOR USE BY UW STAFF ONLY **

Materials distributed to current and prospective students, parents and families, guests, housing staff, and other campus offices to provide information about the on-campus housing program. These records include, but are not limited to, publications and promotional information about residence halls and apartments programs and services, specialty housing programs, billing, rates, and collections, emergency management and safety, dining and meal services, conference programs, and employee recruitment. Materials are updated as needed to reflect changes.

RETENTION: EVENT (Superseded) and transfer one copy to the Archives
Copies: do not retain duplicates longer than original.

<u>UWRES009.</u>	<u>UWRES009: CONFERENCE CENTER AND ATTENDEE RESERVATIONS RECOI</u>	<u>EVT+6</u>		
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** FOR USE BY UW STAFF ONLY **

Conference and guest services tracks reservations from occupancy to payment. These records include summer camps/programs, Elderhostel and accommodations related to bad weather. The detail of these records includes guest rosters (names, addresses, email, etc.), dates of arrival and departure, types of rooms reserved, linen packages, security, dining service, housekeeping, accommodation and dietary needs, contracts with sponsoring departments, incident and police reports, camp inspections, event registration forms, charges for damages, guest Id number, waiting list and other information. Frequently the reservation file provides information about extra rooms which are made up and ready, accommodates walk-ins and helps plan work for staff.

RETENTION: EVENT (End of contract) + 6 years and destroy confidential
Copies: do not retain duplicates longer than original.

<u>UWRES010.</u>	<u>UWRES010: MENU & RECIPE RECORDS</u>	<u>FIS+1</u>		
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** FOR USE BY UW STAFF ONLY **

Records in this series include, but are not limited to production records, time and temperature logs pertaining to food production, recipes, and special diet requirements.

RETENTION: EVENT (Fiscal year) + 1 year and destroy
Copies: do not retain duplicates longer than original.

<u>UWRES011.</u>	<u>UWRES011: FOOD COST & USAGE RECORDS</u>	<u>FIS+3</u>		
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** 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: EVENT (Fiscal year) + 3 years and destroy
Copies: do not retain duplicates longer than original.

<u>UWRES012.</u>	<u>UWRES012: CATERING RECORDS</u>	<u>FIS+4</u>		
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** 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, year end summary, accounts receivables, menus and production records for events, time/temperature logs for menu items for events.

RETENTION: EVENT (Fiscal year) + 4 years and destroy
Copies: do not retain duplicates longer than original.

<u>UWRES013.</u>	<u>UWRES013: SAFETY INSPECTIONS</u>	<u>FIS+2</u>		
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** 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: EVENT (Fiscal year) + 2 years and destroy
Copies: do not retain duplicate longer than original.

<u>UWRSC009.</u>	<u>UWRSC009: IRB MINUTES</u>	<u>EVT+3</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: EVENT (Approval of minutes) + 3 years and destroy confidential
Destroy copies when no longer needed. Do not retain longer than originals

<u>UWRSC010.</u>	<u>UWRSC010: IRB PROTOCOLS</u>	<u>EVT+3</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: EVENT (Completion of research activity) + 3 years and destroy
Copies: Destroy when no longer needed. Do not retain longer than originals

<u>UWRSC011.</u>	<u>UWRSC011: CONTINUING REVIEW RECORDS</u>	<u>CR+3</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: EVENT (Creation) + 3 years and destroy confidential
 Copies: Destroy when no longer needed. Do not retain longer than originals

UWRSC012. **UWRSC012: DETERMINATION OF IRB SUBMISSION FORMS** **CR+0/6**

** 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: EVENT (Creation) + 6 months and destroy
 Copies: Destroy when no longer needed. Do not retain longer than originals.

UWRSC013. **UWRSC013: ANIMAL CARE AND USE PROTOCOLS** **EVT+3**

** FOR USE BY UW STAFF ONLY **

Animal Care and Use Protocols, created as required by federal regulations (9 CFR part 2) to review and approve any teaching/research involving animal use conducted on UW campuses or by UW researchers at other institutions.

Federal regulations (9 CFR part 2; 2.35 F) and the Health Research Extension Act of 1985 (PL 99-158 sec 495 (b)(3)(B) require that records be retained for at least 3 years after completion of the research.

RETENTION: EVENT (Completion of research) + 3 years and destroy confidential
 Copies: Destroy when no longer needed. Do not retain longer than originals

UWRSC014. **UWRSC014: ANIMAL CARE COMMITTEE MATERIALS** **CR+3**

** FOR USE BY UW STAFF ONLY **

Minutes, attachments, agendas and meeting announcements. Committee minutes review and approve protocols for animal usage and ensure that regulations are met for research and are appropriately followed. These minutes may contain proprietary information or information related to intellectual property rights and should thus be considered confidential. Since these records pertain to review of specific research projects, they have little long-term administrative value.

RETENTION: EVENT (Creation) + 3 years and destroy confidential
 Copies: Destroy when no longer needed. Do not retain longer than originals

UWRSC015. **UWRSC015: ANIMAL CARE CERTIFICATION MATERIALS** **EVT**

** FOR USE BY UW STAFF ONLY **

Records of training programs that may be required by Animal Care committees to allow researchers to conduct research on living animals. Records include, but are not limited to, brochures, instructional handouts, blank tests, training presentations, blank tests, and certification forms.

RETENTION: EVENT (Superseded) and destroy
 Copies: Destroy when no longer needed.

UWRSC016. **UWRSC016: ANIMAL ADOPTION AGREEMENTS** **CR+3**

** FOR USE BY UW STAFF ONLY **

Records of researcher adoption of animals once the research protocol in which the animal is involved has expired. These records may include documents releasing and indemnifying the researcher's campus and UW system from claims brought as a result of ownership of the animal, as well as any supplementary information about the animal being adopted.

RETENTION: EVENT (Creation) + 3 years and destroy
 Destroy copies when no longer needed. Do not keep longer than original.

UWRSC017. **UWRSC017: ANIMAL ORDERING AND HUSBANDRY RECORDS** **CR+3**

** FOR USE BY UW STAFF ONLY **

Forms used to procure animals for research, including any shipping and transportation forms and the records generated of the transaction, as well as forms acknowledging the receipt of the animals.

RETENTION: EVENT (Creation) + 3 years and destroy
 Destroy copies when no longer needed. Do not keep longer than original.

<u>UWRSC018.</u>	<u>UWRSC018: ANIMAL HEALTH RECORDS</u>	<u>EVT+3</u>		
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** FOR USE BY UW STAFF ONLY **

Health records associated with an animal needed to convey necessary information to all those involved in the animal's care, in contemplating utilizing these animals for research, and to share with regulatory agencies responsible for verifying the appropriate provision of veterinary care.

RETENTION: EVENT (Completion of research activity) + 3 years and destroy
 Destroy copies when no longer needed. Do not retain longer than originals.

<u>UWRSC019.</u>	<u>UWRSC019: COMMERCIAL COMPANIES RECORDS</u>	<u>EVT+5</u>		
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** FOR USE BY UW STAFF ONLY **

Records documenting cooperative relationships with commercial companies in sharing research materials and data. This series may include but is not limited to cash receipt acknowledgements; requests for sample products; acceptances or products; and related correspondence.

Retention for agreements and contracts governing or resulting from a cooperative relationship of this nature is governed by schedule UWADM013 (Agreements and Contracts).

RETENTION: EVENT (Completion of research activity) + 5 years and destroy confidential
 Destroy copies when no longer needed. Do not retain longer than originals.

<u>UWRSC020.</u>	<u>UWRSC020: TECHNOLOGY TRANSFER RECORDS--ADMINISTRATIVE</u>	<u>EVT+6</u>		
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** FOR USE BY UW STAFF ONLY **

Records documenting the transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution. This series includes, but is not limited to, documentation and correspondence related to patents and licensing, descriptions and titles of inventions, sources of funding to create the inventions, details of the provenance of the inventions and their documentation, including to whom the inventions have been disclosed, suggested manufacturers, and reports issued concerning the inventions. Because these records contain Intellectual Property or other proprietary information, they should be considered confidential.

RETENTION: EVENT (Completion of research activity) + 6 years and destroy confidential
 Copies: destroy when no longer needed. Do not retain longer than originals.

<u>UWRSC021.</u>	<u>UWRSC021: TECHNOLOGY TRANSFER RECORDS - INVENTIONS AND PATEN</u>	<u>CR+20</u>		
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** FOR USE BY UW STAFF ONLY **

Key documentation related to inventions of and patents issued to UW researchers. Records in this series include original patents and applications, legal transactions, invention disclosure forms, invention assignment forms, licensing agreements, equity review reports, and any other documentation necessary to prove ownership of a patent or invention. The retention for this series is based on 35 USC § 154, which sets the term of a patent at 20 years from date of filing.

RETENTION: EVENT (Creation) + 20 years and transfer to UW Archives
 Copies: Destroy when no longer needed

<u>UWRSC022.</u>	<u>UWRSC022: HAZARDOUS MATERIALS RECORDS</u>	<u>EVT+7</u>		
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** 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 §73.17, 40 CFR §260, and 29 CFR §1904.33, and is based on the maximum retention stipulated in schedule RISK0085.

RETENTION: EVENT (Completion of research activity) + 7 years and destroy
 Copies: destroy when no longer needed. Do not retain longer than originals.

<u>UWRSC023.</u>	<u>UWRSC023: SAFETY DATA SHEETS</u>	<u>EVT+30</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 § 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: EVENT (Superseded) + 30 years and destroy
 Copies: destroy when no longer needed. Do not retain longer than originals.

<u>UWRSC024.</u>	<u>UWRSC024: RADIONUCLIDE POSSESSION USE RECORDS</u>	<u>EVT+30</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 § 157.31.

RETENTION: EVENT (Completion of research activity) + 30 years and destroy
 Copies: destroy when no longer needed. Do not retain longer than originals

<u>UWRSC025.</u>	<u>UWRSC025: PERSONAL DOSIMETER APPLICATION</u>	<u>P</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: Permanent
 Copies: destroy when no longer needed. Do not retain longer than originals.

<u>UWRSC026.</u>	<u>UWRSC026: DOSIMETRY REPORTS</u>	<u>P</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 § 157.31 recommends retaining these records for an extended period due to the transferable nature of the records; the retention period is based on the retention in RISK0092 (Radioactive Materials--Individual Monitoring Records).

RETENTION: Permanent
 Copies: destroy when no longer needed. Do not retain longer than originals.

<u>UWRSC027.</u>	<u>UWRSC027: AUTHORIZED USER INVENTORIES</u>	<u>EVT+7</u>		
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** FOR USE BY UW STAFF ONLY **

Records of the use, decay, and disposal of radioactive materials in individual labs, including information about total activity of radioactive material and any supply, disposal, or transfer documentation. These records should be considered as supporting documents and be maintained for 7 years per DHS § 157.31.

RETENTION: EVENT (Superseded or end of user access) + 7 years and destroy
 Copies: destroy when no longer needed. Do not retain longer than originals.

<u>UWRSC028.</u>	<u>UWRSC028: RADIATION SAFETY PROGRAM INVENTORIES</u>	<u>EVT+7</u>		
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** FOR USE BY UW STAFF ONLY **

Records kept by campus Radiation Safety Programs of their campus' total inventory of radioactive materials, including information on materials held by each Authorized User and those materials held as waste. This series may include copies of receipt and disposal forms provided by individual labs and any other forms used to track use and possession of radioactive materials, as well as any material produced during audits or inspection of labs. 10 CFR § 20.2102 recommends keeping these records for regulatory review for no fewer than 3 years; Retention for this series is based on RISK0094 (Radioactive Materials Receipt and Disposition Records) and DHS § 157.06

Although this series is not confidential by statute, a potential security issue may exist with the release of this information. See authorization from agency level counsel before releasing any information.

RETENTION: EVENT (Termination of institution license) +7 years and destroy confidential
 Copies: destroy when no longer needed. Do not retain longer originals.

<u>UWRSC029.</u>	<u>UWRSC029: CONTAMINATION SURVEYS</u>	<u>CR+7</u>		
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** FOR USE BY UW STAFF ONLY **

Routine surveys of labs for radioactive or other materials, including information on the location and date of survey, diagrams of the area surveyed, source and background readings information, monthly survey log sheets, and plans for remediation if necessary. 10 CFR § 20.2106 recommends keeping these records for regulatory review for no fewer than 3 years; retention for this series is based on

RISK0090 (Radioactive Materials/Radiation Supporting Documents).

RETENTION: EVENT (Creation) +7 years and destroy
Copies: destroy when no longer needed. Do not retain longer than originals.

UWRSC030. UWRSC030: INCIDENT REPORTS CR+12

** FOR USE BY UW STAFF ONLY **

Reports of minor or major incidents involving radioactive material, including a complete history of the incident and description of any corrective measures taken. 10 CFR 20.2102 recommends keeping these records for regulatory review for no fewer than 3 years; retention is based on RISK0090 (Radioactive Materials/Radiation Supporting Documents, if report is related to a spill record, these records may need to be maintained as part of decommissioning documentation, per DHS 157.15(7) and under RDA RISK0093.

RETENTION: EVENT (Creation) + 12 years and destroy
Copies: destroy when no longer needed. Do not retain longer than originals.

UWRSC031. UWRSC031: RESEARCH CLINIC CLIENT FILES--ADULT EVT+10

** 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: EVENT (Last contact with client) + 10 years and destroy confidential
Copies: destroy when no longer needed. Do not retain longer than originals.

UWRSC032. UWRSC032: CLINICAL STUDIES, TRIALS AND PARTICIPANT STUDY RECORD EVT+10

** 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: EVENT (Last contact with client) + 10 years and destroy confidential
Copies: destroy when no longer needed. Do not retain longer than originals.

UWRSC033. UWRSC033: LABORATORY REPORTS EVT+6

** 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: EVENT (Completion of research activities) + 6 years and destroy confidential
Copies: destroy when no longer needed. Do not retain longer than originals.

UWRSC034. UWRSC034: CAMPUS SURVEY STUDIES EVT+10

** 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: EVENT (Publication of final report) + 10 years and transfer to Archives
Copies: destroy when no longer needed. Do not retain longer than originals.

UWRSC035. UWRSC035: RESEARCH PROJECT ADMINISTRATIVE RECORDS EVT+4

** 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.

RETENTION: EVENT (Publication of final report) + 4 years and transfer to Archives
 Copies: destroy when no longer needed. Do not retain longer than originals.

UWRSC15A. **UWRSC15A: ANIMAL CARE CERTIFICATION RESULTS** **EVT+0/6**

** FOR USE BY UW STAFF ONLY **

Records created by researchers seeking certification for Animal Care, consisting of completed tests as maintained in series UWRSC015. These records are useful mainly for verification purposes and have little or no long-term administrative value.

RETENTION: EVENT (Recording of results in master database) + 6 months and destroy confidential
 Copies: destroy when no longer needed.

UWRSC15B. **UWRSC15B: ANIMAL CARE CERTIFICATION LOG** **EVT+7**

** FOR USE BY UW STAFF ONLY **

Continually active record of all researchers who have completed the Animal Care certification process. This log is used to verify researcher eligibility to work with live animals in their research, as well as to inform Animal Care committee members of the expiration of any of their researchers' eligibility status.

RETENTION: EVENT (Expiration of eligibility) + 7 years and destroy confidential
 Copies: destroy when no longer needed.

UWRSC31A. **UWRSC031A: RESEARCH CLINIC CLIENT FILES-CHILDREN** **EVT**

** FOR USE BY UW STAFF ONLY **

Records maintained by therapeutic or research clinics of non-student clients or patients, pertaining to clients 19 years of age or younger. 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. For Client Files pertaining to minors, DHS § 92.12 mandates retention of records until the client becomes 19 years of age or the retention period is met, whichever is longer.

RETENTION: EVENT (19th birthday of client) and destroy confidential
 Copies: destroy when no longer needed. Do not retain longer than originals.

UWRSC34A. **UWRSC34A: SURVEY RAW RESPONSES** **EVT+0/6**

** FOR USE BY UW STAFF ONLY **

Raw responses to surveys conducted by campus or system Institutional Research offices on behalf of various departments and units and compiled into reports for analysis. Once information is compiled, the completed response forms have little ongoing administrative value and should be destroyed following an appropriate period of time to verify data entry issues.

RETENTION: EVENT (Compilation of response into summary report/spreadsheet) + 6 months and destroy confidential
 Copies: destroy when no longer needed. Do not retain longer than originals.

UWRSC35A. **UWRSC35A: GRANT FINAL REPORTS** **EVT+4**

** FOR USE BY UW STAFF ONLY **

Final reports submitted to granting agencies and institutions as the final product of the grant project. Depending on the agency, these reports may contain a breakdown of funds spent, narrative description of the product and results, analysis, work product developed during the grant, or other information intended to explain how grant money was spent. Because these reports often reflect major activities undertaken by university centers or faculty, the Primary Investigator should retain a copy of the final report for the archives.

RETENTION: EVENT (Date of submission of final report) + 4 years and transfer to Archives
 Copies: destroy when no longer needed. Do not retain longer than originals.

UWSFA001. **UWSFA001: GENERAL STUDENT RECORDS - FINANCIAL AID** **EVT+4**

** For use by UW staff only **

The general student records regarding financial aid span a variety of documents which are maintained in paper form or as scanned documents in document imaging systems. These records may also be referred to as "financial aid folders". Documents are sent by students to apply for and verify need for financial aid such as loans, work study, and grants. Records that may be kept with this series include but are not limited to Student Aid Report (SAR), alien registration forms, proof of citizenship, low income statement, student academic progress letters, verification of dependent status, veteran benefit statements, veterans discharge papers, student W2s,

parental tax returns, student tax returns, dislocated worker documentation, consortium agreement.

These documents are frequently filed by student name in a paper file. The records and documents are used to verify and document the student status which is asserted in the free application for Federal Student Aid (FAFSA). Information on the FAFSA is also forwarded to the Wisconsin Higher Education Board (HEAB) (if the student indicates Wisconsin as the student's state of residence). This information is used in calculating eligibility for state aid, federal aid and school-based aid. A match to the federal department of education database and from HEAB then sets in motion the transfer of funds and payments for tuition, housing, meals, etc.

RETENTION: EVENT (End of the award year in which the student last attended) + 4 years and destroy confidential
 Destroy copies confidentially when no longer needed for administrative or quality control purposes

UWSFA002. UWSFA002: STUDENT INFORMATION SYSTEM (SIS) DATABASE RECORDS EVT+4

** For use by UW staff only **

Financial aid records are maintained within the Student Information System (SIS). To apply for federal financial aid a student must submit a Free Application for Federal Student Aid (FAFSA) to the Department of Education. This information is compiled, formatted, and transmitted electronically to the financial aid offices and the Wisconsin Higher Education Board. The data is referred to as the Institutional Student Information Record (ISIR). A financial aid office then imports that ISIR data directly into the SIS. The ISIR data along with other pieces of information contained in the SIS is used to determine a student's financial need. Once the need is determined the student is sent an award notification. A student view of this information indicates the name of the university, the award year, type of financial aid for which the student eligible, and provides a chance for the student to accept or turn down the aid. Once the offered aid has been accepted, the Bursar's office can apply that aid to the students account at the appropriate time. Other data records in the SIS system related to the student's academic program, grades, and classes are kept permanently and are necessary for the Registrar's purposes and production of transcripts.

RETENTION: EVENT (End of the award year in which the student last attended) + 4 years and destroy confidential
 Destroy copies confidentially when no longer needed for administrative or quality control purposes

UWSFA003. UWSFA003: STUDENT ACCOUNTS RECORDS EVT+4

** For use by UW staff only **

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: EVENT (End of the Award Year in which the Student Last Attended) + 4 years and destroy confidential
 Destroy copies confidentially when no longer needed for administrative or quality control purposes

UWSFA004. UWSFA004: PROGRAM PARTICIPATION AGREEMENT EVT+4

** 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: EVENT (End of the award year in which the student last attended) + 4 years and destroy confidential
 Destroy copies confidentially when no longer needed for administrative or quality control purposes.

UWSFA005. UWSFA005: PROGRAM REVIEW RECORDS EVT+4

** For use by UW staff only **

Records documenting university program 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.

RETENTION: EVENT (End of the Award Year in which the report was submitted) + 4 years and transfer to University Archives*
 *The determination of archival value of official file will be made by each institution's archives.
 Destroy copies when no longer needed for administrative or quality control purposes.

UWSFA006. UWSFA006: ACCREDITING AND LICENSING AGENCY REVIEWS, APPROVALS EVT+4

** 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 of Education affirming licensing of various programs and indicate the cycle of accreditation and licensing.

RETENTION: EVENT (End of the Award Year in which the Report was submitted) + 4 years and destroy
 Destroy copies when no longer needed for administrative or quality control purposes

UWSFA007. UWSFA007: REMOTE SITES REPORT EVT+4

** 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.

RETENTION: EVENT (End of the award year in which the report was submitted) + 4 years and transfer to university archives*
 *The determination of archival value of official file will be made by each institution's archives.
 Destroy copies when no longer needed for administrative or quality control purposes.

UWSFA008. UWSFA008: STUDENT GRANT ADMINISTRATIVE FILES EVT+4

** 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 Origination and Disbursement student records, as well as internal correspondence related to each.

RETENTION: EVENT (End of the award year in which the student last attended) + 4 years and destroy confidential
 Destroy copies confidentially when no longer needed for administrative or quality control purposes.

UWSFA009. UWSFA009: STUDENT GRANT VOUCHERS EVT+4

** 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: EVENT (End of award year for which the aid was awarded) + 4 years and destroy confidential
 Destroy copies confidentially when no longer needed for administrative or quality control purposes.

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

** 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: EVENT (End of award year for which the aid was awarded) + 4 years and destroy confidential.
 Destroy copies confidentially when no longer needed for administrative or quality control purposes.

UWSFA011. UWSFA011: STUDENT LOAN PROGRAM ADMINISTRATION EVT+4

** 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: EVENT (End of the Award Year in which the Student Last Attended) + 4 years and destroy confidential
 Destroy copies confidentially when no longer needed for administrative or quality control purposes

UWSFA012. UWSFA012: REPORT TO HIGHER LEARNING COMMISSION EVT+4

** For use by UW staff only **

Review Report to the Higher Learning Commission (HLC) entitles 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.

RETENTION: EVENT (End of the Award Year in which the Report was submitted) + 4 years and transfer to University Archives*

* The determination of archival value of official file will be made by each institution's archives.

Destroy copies when no longer needed for administrative or quality control purposes.

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

** 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: EVENT (End of the Award Year in which the Report was submitted) + 4 years and destroy

Destroy copies confidentially when no longer needed

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

** 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: EVENT (End of the Award Year in which the Report was submitted) + 4 years and destroy

Destroy copies confidentially when no longer needed for administrative or quality control purposes

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

** 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: EVENT (The date on which a loan is assigned to the department, canceled, or repaid) + 7 years and destroy confidentially

Destroy copies confidentially when no longer needed for administrative or quality control purposes.

UWSFA016. UWSFA016: PERKINS ORIGINAL PROMISSORY NOTE **EVT+4**

** For use by UW staff only **

The Federal Perkins Loan Master Promissory Note contains spaces for name, social security number, birth date, address, school name and address, annual interest rate and signature, plus a statement of terms and conditions. Perkins loan borrowers are required to complete Perkins Loan Entrance Counseling and Master Promissory Note (MPN). The school makes the loan with funds from the federal Department of Education to the student under the terms of the MPN. The promissory note remains on file with the school and stays active for subsequent loans at the university and is returned to the student borrower after full payment (debt satisfied) and the note is closed for future disbursements. The promissory note may also be assigned, and the original signed note sent to the Department of Education for collection if not paid. Perkins MPNs are valid for 10 years following the signature if funds are disbursed in the first year. The signed MPN must be closed for further disbursements prior to returning to the borrower to avoid future loans from being disbursed without a valid note. The signed notes are returned to the borrower 6 weeks after the transaction that closes the loan and promissory note or transfer the note to the Department of Education as appropriate. Electronic MPN must be stored electronically at least 4 years after all loans made on the note are satisfied along with the disbursement records electronic authentication and signature records. The records are kept within accordance with § 34 CFR 674.19 Perkins Loans - Fiscal procedures and records.

RETENTION: EVENT (The date the loan is satisfied, or the documents are needed to enforce the obligation) + 4 years and destroy confidential

Destroy copies confidentially when no longer needed for administrative or quality control purposes.

UWSFA017. UWSFA017: STUDENT LOAN CASE FILES (NON-PERKINS) - PROMISSORY NC EVT+4

** For use by UW staff only **

Documentation regarding individual loans disbursed to students by the university. Records include promissory notes, truth-in-lending documents, entrance and exit counseling, loan applications and certification, disbursement records and associated cover letters, and miscellaneous correspondence from lenders. These case files include a variety of loans for a wide variety of funded from sources other than Title IV such as those related to nursing, pharmacy, and medical school. Case file and records related to short term loans for student emergency situations and other institutional loans are also included in this series. The promissory note remains on file with the school and stays active for subsequent loans at the university and is returned to the student borrower after full payment (debt satisfied) and the note is closed for future disbursements. Original promissory note is marked paid, copied and returned to borrower 6 weeks after the transaction that closes the loan.

RETENTION: EVENT (The date the loan is satisfied or the documents are needed to enforce the obligation) + 4 years and destroy confidential

Destroy copies confidentially when no longer needed for administrative or quality control purposes.

UWSFA018. UWSFA018: BUREAU OF INDIAN AFFAIRS CERTIFICATIONS EVT+7

** For use by UW staff only **

Forms and other documentation used to request and monitor federal Bureau of Indian Affairs Grants, Tribal Grants, and Wisconsin Indian Grants. These records contain student's name, address, 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: EVENT (Date of application) + 7 years and destroy confidential

Destroy copies confidentially when no longer needed for administrative or quality control purposes.

UWSFA019. UWSFA019: FEDERAL PELL GRANT ELECTRONIC STATEMENTS OF ACCOU EVT+4

** 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: EVENT (End of the award year in which the student last attended) + 4 years and destroy confidential

Destroy copies confidentially when no longer needed for administrative or quality control purposes.

UWSFA01A. UWSFA01A: GENERAL STUDENT FINANCIAL AID RECORDS- FOR STUDENT EVT+3

** 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: EVENT (Date of application) + 3 years and destroy confidential

Copies: When no longer needed for administrative or quality control purposes destroy confidentially.

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

** 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 Department 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: EVENT(End of the Award Year in which the Report was submitted) + 4 years and destroy confidential

Destroy copies confidentially when no longer needed for administrative or quality control purposes.

UWSFA021. UWSFA021: STATE GRANT AND SCHOLARSHIP AWARD ROSTER AND REPO EVT+4

** 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.

UWSH1000. UWSH100: STUDENT HEALTH CENTER DIRECTORS CORRESPONDENCE CR+3

** 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: EVENT (Creation) + 3 years and destroy if not transferring to Archives
(Some institutions' archives may consider the Director's general correspondence to have archival value. Each institution will need to make this determination.)

UWSH1010. UWSH101: STUDENT HEALTH CENTER ADMINISTRATIVE SUBJECT FILES CR+5

** FOR USE BY UW STAFF ONLY **

The series includes alphabetic topical files, operational policies and procedures and other issues that arise regarding the administration of the Student Health Center.

RETENTION: EVENT (Creation) + 5 years and destroy if not transferring to Archives
(Some institutions may consider administrative files to have archival value. Each institution will need to make this determination.)

UWSH1020. UWSH102: STUDENT HEALTH CENTER ANNUAL REPORTS CR+1

** 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: (Creation) + 1 year and transfer to University Archives
Copies: Destroy when no longer needed

UWSH1030. UWSH103: STUDENT HEALTH CENTER MEETING RECORDS FIS+3

** 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: EVENT (Fiscal year) + 3 years and 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

UWSH1040. UWSH104: STUDENT HEALTH SERVICES HEALTH INSURANCE RECORDS CR+5

** FOR USE BY UW STAFF ONLY **

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: EVENT (Creation) + 5 years and destroy confidential
Copies: Destroy when no longer needed

UWSH1050. UWSH105: STUDENT HEALTH SERVICES ADVISORY COMMITTEE RECORDS FIS+3

** 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: EVENT (Fiscal year) + 3 years and destroy
Copies: Destroy when no longer needed

UWSH1060. UWSH106: STUDENT HEALTH CENTER MEDICAL RECORDS EVT+10

** 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, WIR immunization reports, laboratory reports, T-B Skin Tests, progress notes,

flow sheets, psychological reports, Billing records notices of privacy practices and disclosures. Student Health records are kept according to FERPA and HIPAA 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.

RETENTION: EVENT (Last semester of attendance) + 10 years and destroy confidential

UWSH1070. UWSH107: STUDENT HEALTH SERVICES EMPLOYEE / VISITOR ENCOUNTER EVT+3

** 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: EVENT (Date of last encounter) + 3 years and destroy confidential

UWSH1080. UWSH108: STUDENT INSTRUCTIONAL CAMP HEALTH RECORDS (NON-ATHL EVT+4

** 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: EVENT (Last year of enrollment) + 4 years--unless participant is a minor, then records need to be kept until minor reaches ages 18--and destroy confidential

UWSH1090. UWSH109: STUDENT HEALTH CENTER DAILY LOG CR+3

The daily log includes the name of each patient, the name of the medical personnel attending the 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: EVENT (Creation) + 3 years and destroy confidential

UWSH1100. UWSH110: STUDENT HEALTH CENTER APPOINTMENT SCHEDULES AND ST/ CR+5

** 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: EVENT (Creation) + 5 years and destroy confidential

UWSH1110. UWSH111: STUDENT HEALTH CENTER VISIT CODING STATISTICS CR+7

** FOR USE BY UW STAFF ONLY **

The records series includes appointments, schedules, physician information, coding, invoices, billings, patient accounts, reporting and payment posting.

RETENTION: EVENT (Creation) + 7 years and destroy confidential

UWSH1120. UWSH112: STUDENT HEALTH HISTORY FORM - INACTIVE STUDENTS EVT+5

** 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: EVENT (Last semester of attendance) + 5 years and destroy confidential

UWSH1130. UWSH113: STUDENT HEALTH CENTER PHARMACY RECORDS EVT+7

** 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: EVENT (Date of last visit) + 7 years and destroy confidential

UWSH1140. UWSH1140: STUDENT HEALTH CENTER LABORATORY REPORTS - COPIES CR+3

** FOR USE BY UW STAFF ONLY **

This series includes copies of laboratory reports which include testing and their results completed on patients at the Student Health Center. (Original Laboratory Reports are kept as part of the Students Medical Record - HRS106.)

RETENTION: EVENT (Creation) + 3 years and destroy confidential

UWSH1150. UWSH115: STUDENT HEALTH CENTER MASTER PATIENT INDEX (MPI) EVT

** 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: EVENT (End of life of University Health Service) and destroy or (Creation) + 75 years and destroy, whichever is longer

UWSH1160. UWSH116: STUDENT HEALTH CENTER STD CASE RECORDS EVT+3

** 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: EVENT (Date of test) + 3 years and destroy confidential

UWSH1170. UWSH117: STUDENT HEALTH CENTER QUALITY CONTROLS RECORDS CR+3

** 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: EVENT (Creation) + 3 years and destroy

UWSH1180. UWSH118: STUDENT HEALTH CENTERS SERVICE PROGRAM RECORDS CR+3

** 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: EVENT (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

UWSH1190. UWSH119: COUNSELING CENTER ADMINISTRATIVE SUBJECT FILES CR+5

** 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: EVENT (Creation) + 5 years and destroy if not transferring to Archives
(Some institutions may consider administrative files to have archival value. Each institution will need to make this determination.)

UWSH1200. UWSH120: COUNSELING CENTER ANNUAL REPORT CR+1

** FOR USE BY UW STAFF ONLY **

The Director prepares an annual report which documents all activity of the Counseling Center on a yearly basis. The report includes statistical information.

RETENTION: EVENT (Creation) + 1 academic year and transfer to University Archives

UWSH1210. UWSH121: COUNSELING CENTER MEETING RECORDS FIS+3

** FOR USE BY UW STAFF ONLY **

The records series includes meeting minutes, agendas and distribution of materials of all committees and sub-committees created to assist in the management of the Counseling Center.

RETENTION: EVENT (Fiscal year of meeting) + 3 years and 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

UWSH1220. UWSH122: COUNSELING CENTER STUDENT COUNSELING PATIENT FILES EVT+10

** FOR USE BY UW STAFF ONLY **

This record series represents the main student health care record for the counseling center. Records include counselor's notes and reports, psychological test results, referral records, correspondence with referring agencies, release forms, security reports and additional information gathered about the client in the course of counseling. The files are used for crisis intervention, monitoring progress and as a resume for future treatment by other professionals. Student Health records are kept according to FERPA and HIPAA 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.

RETENTION: EVENT (Last semester of attendance) + 10 years and destroy confidential

UWSH1230. UWSH123: COUNSELING CENTER EMPLOYEE ASSISTANCE PROGRAM (EAP) EVT+7

** FOR USE BY UW STAFF ONLY **

The record series represents the main employee health record for the counseling center. Employee assistance files contain comprehensive information on each university employee who receives counseling services through the EAP. It includes the counselor's notes and reports, referral records, correspondence with referring agencies, release forms, security reports and additional information gathered about the client in the course of counseling. The files are used for crisis intervention, monitoring progress and as a resume for future treatment by other professionals.

RETENTION: EVENT (Last appointment date) + 7 years and destroy confidential

UWSH1240. UWSH124: COUNSELING CENTER APPOINTMENT SCHEDULE AND STATISTI CR+2

** FOR USE BY UW STAFF ONLY **

The record series includes weekly appointment sheets for each counselor with the name of the client, data and time. The statistical logs are compilations of the weekly appointment sheet used for end-of-the month reports.

RETENTION: EVENT (Creation) + 2 years and destroy confidential

UWSH1250. UWSH125: COUNSELING CENTER SATISFACTION SURVEYS CR+3

** FOR USE BY UW STAFF ONLY **

Surveys record client satisfaction with Counseling Center services, counselors and admission procedures.

RETENTION: EVENT (Creation) + 3 years and destroy confidential

UWSH1260. UWSH126: COUNSELING CENTER COMMUNITY OUTREACH PREVENTION AN CR+3

** 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: EVENT (Creation) + 3 years and destroy
(Program material, however, on significant public health issues should be offered to the University Archives.)
Destroy copies when no longer needed.

UWSH1270. UWSH127: STUDENT ATHLETICS STUDENT ATHLETE MEDICAL FILES EVT+7

** FOR USE BY UW STAFF ONLY **

Series represents the main student athlete health record for athletics programs. Student athlete medical files contain health physicals health history questionnaires, physical notes, injury evaluations, injury rehabilitation, diagnostic imaging results, operative reports,

operative pictures, health insurance information and any other health material.

RETENTION: EVENT (Last semester of attendance) + 7 years and destroy confidential

UWSH1280. UWSH128: STUDENT ATHLETICS ATHLETE DIAGNOSTIC TESTS EVT+7

** 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: EVENT (Last semester of eligibility) + 7 years and destroy confidential

UWSH1290. UWSH129: SPORT CAMP MEDICAL RECORDS EVT+4

** 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: EVENT (Year of participation) + 4 years unless participant is a minor, then records need to be kept until minor reaches age 18 and destroy confidential

UWSTA100. UWSTA100: BEHAVIORAL INCIDENT REPORTS - NOT RESULTING IN STUDENT AGRI EVT+7

** FOR USE BY UW STAFF ONLY **

Reports filed with the University due to a student's behavior that violated University policy. This series applies to reports documenting incidents that were not found severe enough to warrant a student entering into agreements with conditions with the University or resulting in a student's expulsion.

Reports include, but are not limited to:

General Incident

Reports documenting behavioral misconduct, crimes as required by the Clery Act, or general informational reports including student grievances and complaints.

Hate/Bias Incident

Report documenting an act of bias or hate crime when the crime is based on race/ethnicity, religion, sexual orientation, gender/gender identity or disability.

Student of Concern

General report of concern for students (ex.: mental health, missing student, physical health, concerning behavior, death in the family, academic struggles). This report initiates a campus response based on description of concern and degree of urgency.

Interpersonal Violence

Report of incidents of interpersonal violence including dating or domestic violence, stalking, or sexual harassment. These are Title IX records.

Information in these reports may include, but is not limited to: filers name, job position/title, phone number, email address, physical address, reason for filing, level of urgency of report, date and time of incident, location of incident, campus ID number, drivers license number, identification of parties involved, descriptive narrative of event, photographs, video and emails.

On some campuses these records may be retained with Student Response Team or Behavior Intervention Team records (UWSTA106).

These records are commonly maintained in the Maxient management system.

Records identified during records review.

RETENTION: EVENT (Date report closed) + 7 years and destroy confidential

UWSTA101. UWSTA101: BEHAVIORAL INCIDENT REPORTS RESULTING IN STUDENT AGRI EVT+10

** FOR USE BY UW STAFF ONLY **

Reports filed with the University due to a student's behavior that violated University policy. This series applies to reports documenting incidents that were found severe enough to warrant a student entering into an agreement with conditions with the University, a settlement process defined in Wis. Admin. Code § UWS 17.15, but not resulting in a student's expulsion. Reports include, but are not limited to:

General Incident

Reports documenting behavioral misconduct, crimes as required by the Clery Act, or general informational reports including student grievances and complaints.

Hate/Bias Incident
Report documenting an act of bias or hate crime when the crime is based on race/ethnicity, religion, sexual orientation, gender/gender identity or disability.

Student of Concern
General report of concern for students (ex.: mental health, missing student, physical health, concerning behavior, death in the family, academic struggles). This report initiates a campus response based on description of concern and degree of urgency.

Interpersonal Violence
Report of incidents of interpersonal violence including dating or domestic violence, stalking, or sexual harassment. These are Title IX records.

Information in the report may include, but is not limited to: filers name, job position/title, phone number, email address, physical address, reason for filing, level of urgency of report, date and time of incident, location of incident, campus ID number, drivers license number, identification of parties involved, descriptive narrative of event, photographs, video and emails.

On some campuses these records may be retained with Student Response Team or Behavior Intervention Team records (UWSTA107).

These records are commonly maintained in the Maxient management system.

Records identified during records review.

RETENTION: EVENT (Date agreement conditions met) + 10 years and destroy confidential

UWSTA102. UWSTA102: BEHAVIORAL INCIDENT REPORTS RESULTING IN EXPULSION EVT+30

** FOR USE BY UW STAFF ONLY **

Reports filed with the University due to a student's behavior that violated University policy. This series applies to reports documenting incidents that were found severe enough to warrant a student's expulsion from the University. Reports include, but are not limited to:

General Incident
Reports documenting behavioral misconduct, crimes as required by the Clery Act, or general informational reports including student grievances and complaints.

Hate/Bias Incident (Including death of victim)
Report documenting an act of bias or hate crime when the crime is based on race/ethnicity, religion, sexual orientation, gender/gender identity or disability.

Student of Concern
General report of concern for students (ex.: mental health, missing student, physical health, concerning behavior, death in the family, academic struggles). This report initiates a campus response based on description of concern and degree of urgency.

Interpersonal Violence
Report of incidents of interpersonal violence including dating or domestic violence, stalking, or sexual harassment. These are Title IX records.

Sexual Assault (Including 1st Degree)
Report filed by students, faculty and staff or community members of a sexual assault they witnessed or received a report of. All UW employees are required to file this report as outlined in Wis. Stat. § 36.11(22)(c). These are Title IX records.

Information in the above reports may include, but is not limited to: filers name, job position/title, phone number, email address, physical address, reason for filing, level of urgency of report, date and time of incident, location of incident, campus ID number, drivers license number, identification of parties involved, descriptive narrative of event, photographs, video and emails.

On some campuses these records may be retained with Student Response Team or Behavior Intervention Team records (UWSTA108).

These records are commonly maintained in the Maxient management system.

Records identified during records review.

RETENTION: EVENT (Date of expulsion) + 30 years and destroy confidential

UWSTA103. UWSTA103: BEHAVIORAL DISCIPLINARY ACTION RECORDS- NOT RESULTING IN EVT+7

** FOR USE BY UW STAFF ONLY **

Records documenting the adjudication of rules infractions by University students that were not found severe enough to warrant a student entering into any agreements with conditions with the University or resulting in a student's expulsion.

Records include behavioral dismissal records, behavioral expulsion records, and behavioral suspension records and all supporting

documents.

Records identified during records review.

RETENTION: EVENT (Creation) + 7 years and destroy confidential

UWSTA104. UWSTA104: BEHAVIORAL DISCIPLINARY ACTION RECORDS RESULTING IN EVT+10

** FOR USE BY UW STAFF ONLY **

Records documenting the adjudication of rules infractions by University students that were found severe enough to warrant a student entering into an agreement with conditions with the University, a settlement process defined in Wis. Admin. Code § UWS 17.15, but not resulting in a student's expulsion.

Records include, but are not limited to, behavioral dismissal records and behavioral suspension records and all supporting documents.

Records identified during records review.

RETENTION: EVENT (Creation) + 10 years and destroy confidential

UWSTA105. UWSTA105: BEHAVIORAL DISCIPLINARY ACTION RECORDS RESULTING IN EVT+30

** FOR USE BY UW STAFF ONLY **

Records documenting the adjudication of rules infractions by University students that were found severe enough to warrant a student's expulsion from the University. Reports include, but are not limited to: behavioral dismissal records, behavioral expulsion records, and behavioral suspension records and all supporting documents.

Records identified during records review.

RETENTION: EVENT (Creation) + 30 years and destroy confidential

UWSTA106. UWSTA106: STUDENT BEHAVIOR INTERVENTION TEAM (BIT) CASE FILES- I EVT+7

** FOR USE BY UW STAFF ONLY **

Records assembled by a multidisciplinary team charged with investigating and supporting students who may be struggling with mental health issues including suicidal ideations and disruptive conduct. This series applies to case files that were not found severe enough to warrant a student entering into any agreements with conditions with the University or resulting in a student's expulsion. Records produced by this team consist of but are not limited to: notes, summaries, and correspondence.

May be known as the Student Response Team or by another name at UW campuses.

Records identified during records review.

RETENTION: EVENT (Close of case) + 7 years and destroy confidential

UWSTA107. UWSTA107: STUDENT BEHAVIOR INTERVENTION TEAM (BIT) CASE FILES R EVT+10

** FOR USE BY UW STAFF ONLY **

Records assembled by a multidisciplinary team charged with investigating and supporting students who may be struggling with mental health issues including suicidal ideations and disruptive conduct. This series applies to case files that were found severe enough to warrant a student entering into an agreement with conditions with the University, a settlement process defined in Wis. Admin. Code § UWS 17.15, but not resulting in a student's expulsion. Records produced by this team consist of but are not limited to: notes, summaries, and correspondence.

May be known as the Student Response Team or by another name at UW campuses.

Records identified during agency review.

RETENTION: EVENT (Close of case) + 10 years and destroy confidential

UWSTA108. UWSTA108: STUDENT BEHAVIOR INTERVENTION TEAM (BIT) CASE FILES R EVT+30

** FOR USE BY UW STAFF ONLY **

Records assembled by a multidisciplinary team charged with investigating and supporting students who may be struggling with mental health issues including suicidal ideations and disruptive conduct. This series applies to case files that were found severe enough to warrant a student's expulsion from the University. Records produced by this team consist of but are not limited to: notes, summaries, and correspondence.

May be known as the Student Response Team or by another name at UW campuses.

Records identified during records review.

RETENTION: EVENT (Date of expulsion) + 30 years and destroy confidential

UWSTA200. **UWSTA200: DISABILITY SERVICE STUDENT CASE FILES** **EVT+7**

** FOR USE BY UW STAFF ONLY **

Case files of students requesting disability services at an institution. Records may include, but are not limited to: medical or psychological documentation of a disability and statements of accommodations received in the past from either a high school or other secondary education facility, such as in the form of an IEP (Individual Evaluation Plan) or 504 Plan. Also, records of accommodations provided, student class schedules, and other pertinent letters or documents.

Records identified during records review.

RETENTION: EVENT (Last day of enrollment) + 7 years and destroy confidential

UWSTA201. **UWSTA201: DISABILITY SERVICE STUDENT CASE FILES - NOT PURSUED** **EVT+2**

** FOR USE BY UW STAFF ONLY **

Case files of students requesting disability services at an institution but made inactive after the student failed to continue the application process or chose to not receive services.

Files contain information on available disability services. This includes general description of disability type, student ID# if student is currently enrolled, preliminary request forms, and some documentation sent in but not completed.

Records identified during records review.

RETENTION: EVENT (Last day of enrollment) + 2 years and destroy confidential

UWSTA300. **UWSTA300: CHILD CARE CENTER CHILD FILES** **EVT+3**

** FOR USE BY UW STAFF ONLY **

Series containing multiple types of records created for the management of individual children cared for in the child center. Records include, but are not limited to: registration/enrollment forms and contracts, registration forms filled out by parents or guardians, parental consent/media release, development history form, and the signed contract between parents or guardians and the university. Information in these records may include child's name, parent's name, driver's license number, social security number, drop off/pick up time, fee, and insurance information. This series includes waiting list enrollment.

Records identified during records review

RETENTION: EVENT (Last date of attendance) + 3 years and destroy confidential

UWSTA301. **UWSTA301: CHILD CARE CENTER CHILD FILES - NOT ENROLLED** **EVT+1**

** FOR USE BY UW STAFF ONLY **

Records collected during the application process for a child that ultimately was never enrolled.

Records in this series may include, but are not limited to: registration/enrollment forms and contracts, parental consent/media release form, development history form, parent or child schedules, and child health records.

Records identified during records review.

RETENTION: EVENT (Date of application) + 1 year and destroy confidential

UWSTA302. **UWSTA302: ATTENDANCE RECORDS** **EVT+3**

** FOR USE BY UW STAFF ONLY **

Written record of a child's daily attendance at the child care center for the length of time the child is enrolled.

Records identified during records review.

RETENTION: EVENT (Last day of attendance) + 3 years and destroy confidential

UWSTA303. **UWSTA303: CHILD CARE CENTER SCHEDULING** **EVT+0/3**

** FOR USE BY UW STAFF ONLY **

UWSTA404. UWSTA404: STUDENT COURT JUDICIAL RECORDS RESULTING IN STUDENT EVT+10

** FOR USE BY UW STAFF ONLY **

Records documenting disciplinary decisions passed by student court, or equivalent body, regarding campus groups and/or individuals. This series applies to records of actions that were found severe enough to warrant a student entering into an agreement with conditions with the University, a settlement process defined in Wis. Admin. Code § UWS 17.15, but not resulting in a student's expulsion. Records include: minutes, agendas, correspondence and formal decisions.

Records identified during records review.

RETENTION: EVENT (End of hearing) + 10 years and transfer to Archives

UWSTA405. UWSTA405: SEGREGATED FEE DOCUMENTATION FIS+6

** FOR USE BY UW STAFF ONLY **

Records created in the process to distribute the monies derived from fees assessed to all students to support student services, activities, programs and facilities that support the mission of University of Wisconsin System institutions.

Includes allocable and non-allocable segregated fee documentation. Documentation includes: minutes, agendas, deliberations, recordings, budget requests, correspondence, distribution of funds, passed budgets and related records.

Records identified during records review.

RETENTION: EVENT (Fiscal year) + 6 years and transfer to Archives

UWSTA406. UWSTA406: STUDENT GOVERNMENT PURCHASE REQUESTS EVT+1

** FOR USE BY UW STAFF ONLY **

Requests from student organizations and subsidies from student government approved funds. Information collected includes: organization name, contact information, quantity and description of items requested and cost.

Records identified during records review.

RETENTION: EVENT (Creation) + 1 year and transfer to Archives

UWSTA407. UWSTA407: MEMBERSHIP LISTS EVT+6

** FOR USE BY UW STAFF ONLY **

Lists or other forms of documentation listing student government elected office or job assignment and name of those individuals that filled the position.

Records identified during records review.

RETENTION: EVENT (End of appointment) + 6 years and transfer to Archives

UWSTA408. UWSTA408: ORGANIZATION OFFICER AND ADVISER LISTINGS EVT+6

** FOR USE BY UW STAFF ONLY **

Lists of organization officers and advisers.

Records identified during records review.

RETENTION: EVENT (Superseded) + 6 years and transfer to Archives

UWSTA409. UWSTA409: STUDENT ORGANIZATION RECOGNITION FILES EVT+6

** FOR USE BY UW STAFF ONLY **

Records assembled in the process of conferring official status upon student groups. Series includes: recognition/re-recognition forms, organization constitution, and/or bylaws or other founding papers.

Records identified during records review.

RETENTION: EVENT (Creation) + 6 years and transfer to Archives

UWSTA500. UWSTA500: RECREATION RECORDS EVT+1

** FOR USE BY UW STAFF ONLY **

Reports and standings from non-interscholastic athletic activities including: tournaments, leagues, and other special programs.

Records identified during records review.

RETENTION: EVENT (Creation) + 1 year and destroy

<u>UWSTA501.</u>	<u>UWSTA501: STUDENT TRIP FILES</u>	<u>EVT+3</u>		
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** FOR USE BY UW STAFF ONLY **

Records pertaining to various aspects of student recreational trips. Includes: contracts, hold harmless agreements, rosters of names, and health immunization forms (for certain trips).

Records identified during records review.

RETENTION: EVENT (Creation) + 3 years and destroy confidential

<u>UWSTA600.</u>	<u>UWSTA600: LIABILITY WAIVERS</u>	<u>EVT+1</u>		
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** FOR USE BY UW STAFF ONLY **

Forms and related records documenting an individual's acknowledgement of possible risks associated with activities they participate in. Furthermore, the records, when signed, indicate the participant promises to hold harmless the University if injury does occur. Activities using liability waivers may include, but are not limited to: outdoor or indoor extra-curricular activities, field trips, excursions and other events that might pose some physical risk to participants. Forms may also ask participants to acknowledge that their photograph may be taken and/or audio/video recordings may be made capturing their likeness and used for promotion or similar purposes. Forms typically include: name, age, date of birth, date(s) of activity and a signature of each individual attending.

This series covers liability waivers for all university students, staff and guests. Records identified during records review.

RETENTION: EVENT (Last date of attendance) + 1 year and destroy confidential

<u>UWSTA700.</u>	<u>UWSTA700: ON-CAMPUS FEE WAIVER FORM</u>	<u>EVT+5</u>		
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** FOR USE BY UW STAFF ONLY **

Signed forms requesting to waive on-campus segregated fees charged to the student and acknowledgment that no services provided with funding from segregated fees through the university will be provided.

These forms are often submitted by students at a significant distance from campus, such as those completing their student teaching requirement or participating in distance education.

Records identified during records review

RETENTION: EVENT (Last day of semester enrolled) + 5 years and destroy confidential

<u>UWSTU001.</u>	<u>UWSTU001: ACCEPTANCE LETTERS, (ENROLLED STUDENTS)</u>	<u>EVT+5</u>		
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** 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: EVENT (Date of graduation or last attendance) + 5 years and destroy confidentially
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

<u>UWSTU002.</u>	<u>UWSTU002: ACCEPTANCE LETTERS, (NOT ENROLLED)</u>	<u>EVT+1</u>		
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** 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: EVENT (Date of application) + 1 year and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

<u>UWSTU003.</u>	<u>UWSTU003: APPLICATIONS FOR ADMISSION, (ENROLLED STUDENTS)</u>	<u>EVT+5</u>		
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** FOR USE BY UW STAFF ONLY **

** 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: EVENT (Date of graduation or last attendance) + 5 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU011. UWSTU011: ENTRANCE EXAMINATION RESULTS AND OTHER PLACEMENT 1 EVT+1

** 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: EVENT (Date of application) + 1 year and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU012. UWSTU012: GRADUATE SCHOOL DEGREE APPLICATIONS - RECEIVED EVT+1

** FOR USE BY UW STAFF ONLY **

This series is comprised of graduation applications received by either the Registrar's Office (for the bachelor's and Professional degrees) or the Graduate School (for master's and Doctor's degrees), may include compiled lists of students eligible to graduate. The Official Copy resides in the Registrar's Office -- Graduation and Academic records for bachelor's and Professional degrees and in the Graduate School for master's and Doctor's degrees. Other copies may be found in the College/School or Department.

RETENTION: EVENT (Date of Graduation or last attendance) + 1 year and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU014. UWSTU014: GRADUATE SCHOOL ADMISSION APPLICATIONS - RESIDENCY// EVT+5

** FOR USE BY UW STAFF ONLY **

This series includes admission applications in any format of applicants to a Residency or Fellowship program who did not match the program requirements, were not accepted, withdrew from consideration, or were not interviewed. Also includes Not Matched, Not Accepted, Withdrawn, or Not Interviewed.

RETENTION: EVENT (Date of application) + 5 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU015. UWSTU015: GRADUATE SCHOOL QUALIFYING EXAMS EVT+2

** FOR USE BY UW STAFF ONLY **

Examinations of qualifying exams taken by Ph.D. candidates in which Candidates are required to pass a certain number of exams by a certain deadline to qualify for admission to graduate school. They are grouped by semester and each exam is graded by two people. There are also Grading Charts that complement these exams which indicate who the graders are.

RETENTION: EVENT (Date of last attendance) + 2 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU016. UWSTU016: LETTERS OF RECOMMENDATION, (ENROLLED STUDENTS) EVT+5

** FOR USE BY UW STAFF ONLY **

These records include letters of recommendation in any format required by the school or provided by the applicant as additional information to admission officers.

RETENTION: EVENT (Date of application) + 5 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU017. UWSTU017: LETTERS OF RECOMMENDATION, (NOT ENROLLED) EVT+1

** FOR USE BY UW STAFF ONLY **

These records include letters of recommendation in any format required by the school or provided by the applicant as additional information to admission officers.

RETENTION: EVENT (Date of application) + 1 year and destroy confidential

Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU019. **UWSTU019: PROGRAM ADMISSIONS RECORDS, (NOT ADMITTED)** **EVT+2**

** FOR USE BY UW STAFF ONLY **

This series includes materials submitted in the application process for some majors, which have limited space and require application. Entrance to these majors is competitive; not all students will necessarily be accepted. Eligibility requirements vary from program to program. For example, in general, teacher education students must complete a minimum number of total credits, earn a minimum grade-point average, take and submit the scores for the Praxis I/Pre-Professional Skills Test (PPST), and submit an application. Some programs also require applicants to complete a minimum number of credits in the major. Programs may ask for essays or statements, letters of recommendation, extended study abroad, or other documents, test scores, or experiences. These documents for students who have applied and failed to be admitted comprise this series.

RETENTION: EVENT (Date of application) + 2 years and destroy confidential
Copies: destroy when no longer needed.

UWSTU020. **UWSTU020: RESIDENCY RECORDS, (ENROLLED STUDENTS)** **EVT+5**

** 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: EVENT (Date of graduation or last attendance) + 5 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU021. **UWSTU021: RESIDENCY RECORDS, (ADMITTED, NOT ENROLLED)** **EVT+1**

** 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: EVENT (Date of application) + 1 year and destroy confidential
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**

** 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: EVENT (Date of application) + 5 years and destroy confidential
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**

** 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: EVENT (Date of application) + 1 year and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU024. **UWSTU024: VETERANS RECORDS, (ENROLLED STUDENTS)** **EVT+5**

** 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: EVENT (End of benefit award year) + 5 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU025. **UWSTU025: VETERANS RECORDS, (NOT ENROLLED)** **EVT+2**

**** 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: EVENT (Date of application) + 2 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU026. UWSTU026: ACADEMIC DISMISSAL/SUSPENSION/EXPULSION RECORDS CR+6

**** 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: EVENT (Creation) + 6 years and transfer to University Archives
Copies: retain one year then destroy confidentially.

UWSTU027. UWSTU027: ACADEMIC MISCONDUCT RECORDS CR+6

**** 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: EVENT (Creation) + 6 years and transfer to University Archives
Copies: retain one year then destroy confidentially.

UWSTU028. UWSTU028: ACADEMIC WARNINGS EVT+5

**** 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: EVENT (Date of graduation or last attendance) + 5 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU029. UWSTU029: ADD/DROP RECORDS EVT+1

**** 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: EVENT (Date submitted) + 1 year and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU030. UWSTU030: APPLICATIONS FOR GRADUATION, (GRADUATED STUDENTS) EVT+1

**** 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: EVENT (Date of application) + 1 year and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU031. UWSTU031: APPLICATIONS FOR GRADUATION, (NOT-GRADUATED STUDENTS) EVT+5

**** 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: EVENT (Application date) + 5 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

<u>UWSTU032.</u>	<u>UWSTU032: ATHLETE ACADEMIC RECORDS</u>	<u>EVT+10</u>		
	** FOR USE BY UW STAFF ONLY **			
	Records including dossiers in any format created by the Athletic Director, the Associate Athletic Director or the Compliance Officer for individual students, compiling academic and enrollment records, credit and major requirements, amateur athletic certification, semesters of eligibility used and remaining, which make up participation status. Where offered, tutor evaluation and assessment records or mandatory study time requirement records may be included.			
	RETENTION: EVENT (Date of graduation or last attendance) + 10 years and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU033.</u>	<u>UWSTU033: ATHLETIC ELIGIBILITY REPORTS</u>	<u>EVT+2</u>		
	** FOR USE BY UW STAFF ONLY **			
	Reports in paper or electronic form created by the Athletic Director, the Associate Athletic Director or the Compliance Officer to demonstrate athletic eligibility of teams. The reports include summarized academic and enrollment information and approval of academic record for each member of the team as well as certification of amateur athletic status and number of semesters of eligible competition used and remaining. (For schools in WIAC, this series runs parallel to the conference-wide series WIAC107)			
	RETENTION: EVENT (Date of submission of official report) + 2 years and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU034.</u>	<u>UWSTU034: AUDIT AUTHORIZATIONS</u>	<u>EVT+1</u>		
	** FOR USE BY UW STAFF ONLY **			
	Documentation consisting of paper or electronic forms completed by students and signed by the course's instructor, giving the student permission to audit a course, instead of enrolling for academic credit.			
	RETENTION: EVENT (Date of submission) + 1 year and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU035.</u>	<u>UWSTU035: CHANGE OF GRADE DOCUMENTATION</u>	<u>EVT+5</u>		
	** FOR USE BY UW STAFF ONLY **			
	Documentation as a paper or electronic data entry form completed by the instructor of the relevant course and signed by the appropriate dean supporting an approved change of a previously assigned course grade.			
	RETENTION: EVENT (Date of submission) + 5 years and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU036.</u>	<u>UWSTU036: CHANGED GRADE RECORD</u>	<u>CR+6</u>		
	** FOR USE BY UW STAFF ONLY **			
	Paper, student information system (SIS) electronic, or other evidence of a legitimately changed final course grade.			
	RETENTION: EVENT (Creation) + 6 years and transfer to University Archives Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU037.</u>	<u>UWSTU037: CORRESPONDENCE BETWEEN STUDENTS AND FACULTY REG/</u>	<u>EVT+0/6</u>		
	** 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: EVENT (Close of semester in which grades are submitted) + 6 months and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU038.</u>	<u>UWSTU038: CORRESPONDENCE RELATED TO ACADEMIC INQUIRY</u>	<u>EVT+0/6</u>		
	** 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: EVENT (Date of correspondence) + 6 months and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			

<u>UWSTU039.</u>	<u>UWSTU039: COURSE REPEAT APPROVAL FORM</u>	<u>EVT+1</u>		
	** 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: EVENT (Date of submission) + 1 year and destroy confidentially Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU040.</u>	<u>UWSTU040: COURSE WAIT LIST</u>	<u>EVT+1</u>		
	** 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: EVENT (End of semester in which list was created) + 1 semester or when no longer needed for administrative purposes and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU041.</u>	<u>UWSTU041: CREDIT/NO CREDIT APPROVAL FORMS</u>	<u>EVT+1</u>		
	** 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: EVENT (Date of submission) + 1 year and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU042.</u>	<u>UWSTU042: CRIMINAL BACKGROUND CHECK RECORDS, STUDENTS</u>	<u>EVT+7</u>		
	** FOR USE BY UW STAFF ONLY **			
	Records are created through an investigation of offenses and related disclosed information for students working toward professional experience, licensure or certification and usually involved with an internship or clinical experience. Many programs keep these records separate from other student records. These records include, but are not limited to: (1) confidential self-disclosure application supplements; (2) 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 decisions related to the applicants continued progress.			
	RETENTION: EVENT (Date of completed check) + 7 years and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU043.</u>	<u>UWSTU043: CURRICULUM CHANGE AUTHORIZATIONS</u>	<u>EVT+5</u>		
	** FOR USE BY UW STAFF ONLY **			
	Forms and related documentation in any format authorized by the department chair and/or the college dean approving changes with authorizations to individual student degree program requirements.			
	RETENTION: EVENT (Date of submission) + 5 years and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU044.</u>	<u>UWSTU044: DEGREE AUDITS</u>	<u>EVT+5</u>		
	** FOR USE BY UW STAFF ONLY **			
	Records created through comparison of transcript and other student records with university and departmental requirements for graduation to verify progress made in student degree program requirements and/or eligibility for a degree.			
	RETENTION: EVENT (Date of submission) + 5 years and destroy confidential Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.			
<u>UWSTU045.</u>	<u>UWSTU045: DIPLOMAS, (RETURNED BECAUSE UNDELIVERABLE)</u>	<u>EVT+1</u>		
	** FOR USE BY UW STAFF ONLY **			
	Paper diplomas returned to the university, undeliverable due to incorrect address or other reasons.			

RETENTION: EVENT (Date of graduation) + 1 year and destroy confidential

UWSTU046. UWSTU046: FELLOWSHIPS AND SCHOLARSHIPS (GRADUATE AND UNDERG EVT+3

** FOR USE BY UW STAFF ONLY **

Notices of fellowship and scholarship opportunities, nominations of candidates and results, either individual or lists in any format, for both graduate and undergraduate students.

RETENTION: EVENT (Date of last attendance) + 3 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU047. UWSTU047: GRADE BOOKS, ORIGINAL (ACADEMIC DEPARTMENTS) EVT+2

** 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: EVENT (End of semester) + 2 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU048. UWSTU048: GRADES, OFFICIAL P

** FOR USE BY UW STAFF ONLY **

Official student grades, recorded by Registrar, including material in all formats: paper, electronic, D2L, etc.

RETENTION: Permanent
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

** 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 Registrar's office, and Transcripts from other colleges or universities. Other formats may include microfilm, Images, and Data in the data warehouse.

RETENTION: EVENT (Date of receipt of degree or date of last attendance) + 10 years and destroy confidential

UWSTU050. UWSTU050: GRADUATE SCHOOL: THESIS/DISSERTATIONS/DIRECTED STUD CR+6

** 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: EVENT (Creation) + 6 years and transfer to Library or University Archives per policy of the individual institution
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

** 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: EVENT (Date of submission) 3 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU052. UWSTU052: HOLD OR ENCUMBRANCE AUTHORIZATIONS EVT+6

** 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: EVENT (Fiscal year of creation) + 6 years and destroy confidential
 Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU053. **UWSTU053: HONORS PROGRAM APPLICANT FILES, UNDERGRADUATE** **EVT+5**

** 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: EVENT (Date of application) + 5 years and destroy confidential

UWSTU054. **UWSTU054: INSTRUCTIONAL MATERIALS INCLUDING MATERIALS IN COURSE** **EVT+1**

** 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: EVENT (End of semester in which grades are submitted) + 1 year and destroy confidential
 Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU055. **UWSTU055: INTERNSHIP AGREEMENTS** **EVT+1**

** 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: EVENT (Expiration of agreement) + 1 year and destroy
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU056. **UWSTU056: INTERNSHIP CONTRACTS** **EVT+1**

** 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: EVENT (Date of end of internship as determined by the University) + 1 year and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU057. **UWSTU057: MAJOR DECLARATIONS, CHANGES, CERTIFICATION OF SECOND MAJOR** **EVT+5**

** FOR USE BY UW STAFF ONLY **

Electronic or paper documents detailing the student's declaration or change of 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: EVENT (Graduation or last attendance) + 5 years and destroy confidential
 Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU058. **UWSTU058: NAME CHANGE AUTHORIZATIONS** **EVT+5**

** 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: EVENT (Date of submission) + 5 years and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU059. **UWSTU059: PETITIONS, EXCEPTIONS TO ACADEMIC RULES** **EVT+5**

** 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: EVENT (Date of submission) + 5 years and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU060. UWSTU060: REGISTRATION FORMS EVT+1

** 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: EVENT (Date of submission) + 1 year and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU061. UWSTU061: SCHEDULES--INDIVIDUAL STUDENT SCHEDULE OF CLASSES EVT+1

** 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: EVENT (Date of schedule creation) + 1 year and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU062. UWSTU062: STUDENT TEACHER FIELD EXPERIENCE FILE EVT+7

** 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: EVENT (Graduation or semester of last attendance) + 7 years and destroy
 Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU063. UWSTU063: STUDY ABROAD PROGRAM FILES EVT+1

** 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: EVENT (End of program) + 1 year and destroy confidential
 Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU064. UWSTU064: SYLLABI AND/OR INDIVIDUAL COURSE CALENDARS EVT+10

** 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: EVENT (Last day of course) + 10 years and transfer to Archives*
 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.

UWSTU065. UWSTU065: TRANSCRIPTS, OFFICIAL P

** FOR USE BY UW STAFF ONLY **

Official student academic transcripts showing name, years of attendance, courses attended, grades, major and further academic achievements.

RETENTION: Permanent

Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU066. **UWSTU066: TRANSCRIPTS, STUDENT REQUESTS** **EVT+1**

** FOR USE BY UW STAFF ONLY **

Documentation in any format recording student requests for official copies of their university transcripts.

RETENTION: EVENT (Date of request) + 1 year and destroy confidential

Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU067. **UWSTU067: TRANSFER CREDIT EVALUATIONS** **EVT+5**

** FOR USE BY UW STAFF ONLY **

Forms that evaluate the credits an individual student previously earned at another institution based on transfer equivalencies (UWSTU091) and used to determine actual student credit transfers.

RETENTION: EVENT (Date of evaluation) + 5 years and destroy confidential

Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU068. **UWSTU068: WITHDRAWAL AUTHORIZATIONS** **EVT+5**

** FOR USE BY UW STAFF ONLY **

Documentation includes forms completed by students in order to officially withdraw from all classes after the last day to withdraw from individual fee, and an explanation of the extraordinary non-academic reasons for the step. Documentation also includes the records of the decision of the granting authority.

RETENTION: EVENT (Date of submission) + 5 years and destroy confidential

Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU069. **UWSTU069: ARRIVAL-DEPARTURE RECORDS, (ENROLLED STUDENTS) (I-94)** **EVT+5**

** FOR USE BY UW STAFF ONLY **

The UW agency keeps a copy or image of the I-94, not the original. Form I-94 must be completed at the time of entry to the United States by foreign citizens that are being admitted into the United States with nonimmigrant via status. Form I-94 documents a lawful admission to the U.S. in a specific status and any defined expiration of that status in the United States.

RETENTION: EVENT (Date of graduation or last attendance) + 5 years and destroy confidential

Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU070. **UWSTU070: ARRIVAL-DEPARTURE RECORDS, (NOT ENROLLED) (I-94) (COP)** **EVT+1**

** FOR USE BY UW STAFF ONLY **

The UW agency keeps a copy or image of the I-94, not the original. Form I-94 must be completed at the time of entry to the United States by foreign citizens that are being admitted into the United States with nonimmigrant via status. Form I-94 documents a lawful admission to the U.S. in a specific status and any defined expiration of that status in the United States.

RETENTION: EVENT (Date of submission) + 1 year and destroy confidential

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, (ENROLLED)** **EVT+5**

** 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 student is required to keep the original.

RETENTION: EVENT (Date of graduation or last attendance) + 5 years and destroy confidential

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 ENROLLED)** **EVT+1**

** 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 student is required to keep the original.

RETENTION: EVENT (Date of submission) + 1 year and destroy confidential
 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

** 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: EVENT (Date of graduation or last attendance) + 5 years and destroy confidential
 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 STA' EVT+1

** FOR USE BY UW STAFF ONLY **

The UW agency keeps a copy or image of the DS-2019. The DS-2019 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: EVENT (Date of submission) + 1 year and destroy confidential
 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

** 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: EVENT (Date of graduation or last attendance) + 5 years and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU076. UWSTU076: PASSPORT PAGE SHOWING PASSPORT NUMBER, (NOT ENROL! EVT+1

** 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: EVENT (Date of submission) + 1 year and destroy confidential
 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

** 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: EVENT (Date of graduation or last attendance) + 5 years and destroy confidential
 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

** 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: EVENT (Date of submission) + 1 year and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU079. UWSTU079: STATEMENT OF FINANCIAL RESPONSIBILITY AND SUPPORTING EVT+5

** 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: EVENT (Date of graduation or last attendance) + 5 years and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU080. UWSTU080: STATEMENT OF FINANCIAL RESPONSIBILITY AND SUPPORTING EVT+1

** 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: EVENT (Date of submission) + 1 year and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU081. UWSTU081: UNITED STATES PERMANENT RESIDENT CARD (GREEN CARD) EVT+5

** 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 has not always been green in color. The card provides evidence of admissibility to the United States as a lawful permanent resident.

RETENTION: EVENT (Date of graduation or last attendance) + 5 years and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU082. UWSTU082: UNITED STATES PERMANENT RESIDENT CARD (GREEN CARD) EVT+1

** 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 has not always been green in color. The card provides evidence of admissibility to the United States as a lawful permanent resident.

RETENTION: EVENT (Date of submission) + 1 year and destroy confidential
 Copies: Destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU083. UWSTU083: CATALOG, GRADUATE AND UNDERGRADUATE CR+6

** 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: EVENT (Creation) + 6 years and transfer to University Archives
 Copies: Destroy when no longer needed

UWSTU084. UWSTU084: CLASS SCHEDULES/TIMETABLES (INSTITUTIONAL) CR+6

** 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: EVENT (Creation) + 6 years and transfer to University Archives
 Copies: Destroy when no longer needed

UWSTU085. UWSTU085: CORRESPONDENCE, POLICY-SETTING CR+6

** FOR USE BY UW STAFF ONLY **

Policy-setting correspondence within enrollment services units or between them and university administration.

RDA #	RDA Title	Retention	Disposition	PII
	RETENTION: EVENT (Creation) + 6 years and transfer to University Archives Copies: Destroy when no longer needed			
<u>UWSTU086.</u>	<u>UWSTU086: COURSE FILE, MASTER</u>	<u>CR+6</u>		
	** FOR USE BY UW STAFF ONLY ** Official courses offered throughout the history of the institution.			
	RETENTION: EVENT (Creation) + 6 years and transfer to University Archives Copies: Destroy when no longer needed			
<u>UWSTU087.</u>	<u>UWSTU087: ENROLLMENT AND CLASS LISTS</u>	<u>CR+6</u>		
	** FOR USE BY UW STAFF ONLY ** Reports generated by Enrollment Services during any given semester reflecting student enrollment rosters, class size, graduation lists.			
	RETENTION: EVENT (Creation) + 6 years and transfer to University Archives			
<u>UWSTU088.</u>	<u>UWSTU088: ENROLLMENT VERIFICATIONS AND CERTIFICATIONS</u>	<u>EVT+1</u>		
	** 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: EVENT (Completion of verification or certification) + 1 year and destroy confidential Copies: Destroy confidentially when no longer needed.			
<u>UWSTU089.</u>	<u>UWSTU089: GRADE REPORTS / STATISTICS</u>	<u>CR+6</u>		
	** FOR USE BY UW STAFF ONLY ** Reports of official grades awarded, degrees conferred, grade lists, academic standing, grade point averages, degree statistics.			
	RETENTION: EVENT (Creation) + 6 years and transfer to University Archives			
<u>UWSTU090.</u>	<u>UWSTU090: HONORS LISTS</u>	<u>CR+6</u>		
	** FOR USE BY UW STAFF ONLY ** Lists of students who have achieved academic distinction, including but not limited to the Dean's List.			
	RETENTION: EVENT (Creation) + 6 years and transfer to University Archives Copies: Destroy when no longer needed			
<u>UWSTU091.</u>	<u>UWSTU091: TRANSFER EQUIVALENCIES</u>	<u>EVT</u>		
	** FOR USE BY UW STAFF ONLY ** Aggregate transfer credit equivalency information, comparing course subject area, content, difficulty, level, and credit hours collected to evaluate and determine transferable course credits from other institutions.			
	RETENTION: EVENT (Superseded) and destroy Copies: Destroy when no longer needed			
<u>UWSTU092.</u>	<u>UWSTU092: REQUESTS FOR AND DISCLOSURE OF PERSONALLY IDENTIFI P</u>			
	** FOR USE BY UW STAFF ONLY ** Records in any form of third-party requests for information, which require a student's signed and dated written consent for disclosure of information (see UWSTU097), and documentation of the subsequent disclosure of the information, if granted.			
	RETENTION: Permanent Copies: Destroy when no longer needed.			
<u>UWSTU093.</u>	<u>UWSTU093: REQUESTS FOR CORRECTIONS TO RECORDS AND FORMAL HE P</u>			
	** FOR USE BY UW STAFF ONLY ** Student-initiated Requests for corrections to records and for formal hearings regarding the amendment of the academic record, based on the student's right to request to have records corrected that he or she believes to be inaccurate, misleading or in violation of their privacy rights. Requests to change and/or to challenge the information deemed erroneous or misleading must be made in writing and			

directed to the dean of the relevant college or the director of the appropriate office so that a hearing can be scheduled.

RETENTION: Permanent
Copies: Destroy when no longer needed

UWSTU094. UWSTU094: REQUESTS FOR NONDISCLOSURE OF DIRECTORY INFORMATI P

** FOR USE BY UW STAFF ONLY **

Documentation supporting a request to withhold items from public records, including the "Request to Withhold Student Information" form, where applicable.

RETENTION: Permanent
Copies: Destroy when no longer needed

UWSTU095. UWSTU095: STATEMENT ON CONTENTS OF RECORDS REGARDING HEARIN P

** FOR USE BY UW STAFF ONLY **

Statement written by a student who finds the decision of the formal hearing regarding the academic record unsatisfactory. The statement of reasons for disagreeing with the decision is placed in the student's file.

RETENTION: Permanent
Copies: Destroy when no longer needed

UWSTU096. UWSTU096: WAIVER OF RIGHT OF ACCESS TO CONFIDENTIAL RECOMMENI P

** 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: Permanent or until terminated by the student
Copies: Destroy when no longer needed

UWSTU097. UWSTU097: WRITTEN CONSENT FOR RECORDS DISCLOSURE P

** 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: Permanent
Copies: Destroy when no longer needed

UWSTU098. UWSTU098: WRITTEN DECISIONS OF HEARING PANELS P

** 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: Permanent.
Copies: Destroy when no longer needed

UWSTU099. UWSTU099: ATHLETIC PARTICIPATION/EADA DOCUMENT EVT+3

** FOR USE BY UW STAFF ONLY **

These 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 too 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: EVENT (Required disclosure) + 3 years and destroy or transfer to Archives

<u>W0000252.</u>	<u>EVENT LICENSE PLATE RECOGNITION (LPR) READS</u>	<u>EVT+1</u>		
	<p>License Plate Recognition reads (LPRs) are broadly collected by LPR mobile cameras on transportation parking enforcement vehicles and Automated License Plate Readers (ALPR) stationary cameras at garage entrances and exits. There is no PII associated with the reads.</p> <p>Records in this series are transportation-related "event" LPR reads that may be needed for parking citations or enforcement activities and include photos of the license plate and surrounding area for context and text records of the license plate itself.</p> <p>Some event LPRs may be moved to the customer record and follow that record schedule.</p> <p>RETENTION: EVENT (Date Collected) + 1 year and Destroy</p>			
<u>W0000253.</u>	<u>PARKING PERMITS - LOST, STOLEN, OR RETURNED FORMS</u>	<u>EVT+0/1</u>		
	<p>This series consists of forms that are received by the Transportation Office for permits that are declared lost/stolen or are returned by a customer. These forms are retained until the information is entered into the parking management system at which point it becomes part of the customer record.</p> <p>RETENTION: EVENT (Date Entered) + 1 month and destroy confidential</p>			
<u>W0000254.</u>	<u>RETURNED, EXCHANGED, OR VOIDED PARKING HANG TAGS AND PERMITS</u>	<u>FIS+3</u>		
	<p>This series contains the physical hang tags or permits which are produced, but never used, for general campus use, special events, or are returned when a customer no longer requires parking services or exchanges their permit for one that provides a different type of parking service. This may also include returned or voided hang tags from special events.</p> <p>The hang tags are kept to document that all parking hang tags and permits are accounted for during the audit process.</p> <p>RETENTION: EVENT (end of fiscal year) + 3 years and destroy</p>			
<u>W0000255.</u>	<u>VALIDATED PAYMENT SYSTEM TICKETS - PAID BY THIRD PARTY</u>	<u>FIS+6</u>		
	<p>Validated parking system tickets may be provided to visitors by campus departments or hospitals. The validated tickets are source documentation for Transportation Services to bill the resulting parking costs back to the issuing department or hospital.</p> <p>RETENTION: EVENT (end of fiscal year) + 6 years and destroy</p>			
<u>W0000256.</u>	<u>PAYMENT SYSTEM TICKETS - PAID BY CUSTOMER</u>	<u>EVT+0/6</u>		
	<p>This series contains daily validated parking system tickets that are paid directly by the customer and received by staff at point of sale or entered into self-serve kiosks when exiting a parking facility.</p> <p>RETENTION: EVENT (date paid) + 6 months and destroy</p>			
<u>W0000257.</u>	<u>IMPOUND RECORD / TOW RECEIPT</u>	<u>EVT+6</u>		
	<p>This series contains records submitted to Transportation Services by towing companies providing campus services.</p> <p>Records include, but are not limited to, tow company receipts and documentation submitted by the tow company stating any damage to the vehicle prior to towing.</p> <p>RETENTION: EVENT (date received) + 6 years and destroy confidential</p>			
<u>W0000258.</u>	<u>TRANSPORTATION SERVICES INCIDENT REPORTS</u>	<u>EVT+3</u>		
	<p>This series consists of reports submitted directly to Transportation Services regarding incidents that occurred in the spaces under their management such as lost or damaged property.</p> <p>Records include, but are not limited to, correspondence and photos. This series only applies to incidents that are not reported to campus police.</p> <p>RETENTION: EVENT (date received) + 3 years and destroy confidential</p>			
<u>W0000259.</u>	<u>LEGAL MATTER CASE FILES</u>	<u>EVT+10</u>		
	<p>The University of Wisconsin legal affairs offices serve as primary, advisory, or liaison counsel on a variety of litigated case files including, but not limited to, State of Wisconsin administrative proceedings, Federal or State court proceedings, internal proceedings, federal enforcement actions and other campus legal matters.</p> <p>Legal matter case files include, but are not limited to, pleadings and legal arguments, client files, evidence, research, legal</p>			

summons and subpoenas issued, expenses, attorney notes, medical records, and depositions or transcripts. Records may also include correspondence, attorney notes or additional documentation associated with the cases.

These records may be covered by lawyer-client privilege according to Wis. Stat. § 905.03 and the work-product doctrine codified in Wis. Stat. § 804.01 (2)(c) l.

RETENTION: EVENT (date case closed) + 10 years and destroy confidential

W0000260. **LEGAL MATTER CASE FILES - HISTORICALLY SIGNIFICANT** **EVT+20**

The University of Wisconsin legal affairs offices serve as primary, advisory, or liaison counsel on a variety of litigated case files including, but not limited to, State of Wisconsin administrative proceedings, Federal or State court proceedings, internal proceedings, federal enforcement actions and other campus legal matters.

This series documents historically significant legal cases at the University of Wisconsin that have long-lasting impact.

Legal matter case files include, but are not limited to, pleadings and legal arguments, client files, evidence, research, legal summons and subpoenas issued, expenses, attorney notes, medical records, and depositions or transcripts. Records may also include correspondence, attorney notes or additional documentation associated with the cases.

These records may be covered by lawyer-client privilege according to Wis. Stat. § 905.03 and the work-product doctrine codified in Wis. Stat. § 804.01 (2)(c) l.

RETENTION: EVENT (date case closed) + 20 years and transfer to UW archives

W0000261. **TRADEMARK AND INTELLECTUAL PROPERTY CASE FILES** **EVT+10**

This series contains University of Wisconsin legal affairs case files associated with university-related trademarks, copyright and other intellectual property issues.

Records may include, but are not limited to, legal analysis, responses and recommendations, certificates of registration received on behalf of the University, correspondence and associated documents.

These records may be covered by lawyer-client privilege according to Wis. Stat. § 905.03, the work-product doctrine codified in Wis. Stat. § 804.01(2)(c)1, and proprietary information that would be covered pursuant to Wis. Stat. § 19.36(5).

RETENTION: EVENT (date case file is closed) + 10 years and transfer to UW archives

W0000262. **TRUSTS, REAL ESTATE AND CONSTRUCTION RECORDS** **EVT+10**

This series contains University of Wisconsin legal affairs records associated with university-related trusts, real estate and construction projects.

Records may include, but are not limited to, real estate/construction project and trust fund creation legal advice, correspondence and associated documents. The formal final documents (deeds, gift instruments, etc) are retained by the appropriate system office.

These records may be covered by lawyer-client privilege according to Wis. Stat. § 905.03 and the work-product doctrine codified in Wis. Stat. § 804.01(2)(c)l.

Event is date real estate/ construction project is completed or date trust fund is established

RETENTION: EVENT + 10 years and destroy confidential

W0000263. **LEGAL CLIENT CONSULTATION RECORDS** **EVT+6**

The University of Wisconsin general counsel and legal affairs office frequently consult with university clients on legal questions and concerns.

Consultation records include, but are not limited to, client records, legal analysis, responses and recommendations, correspondence and associated documents.

Records are held with regard to applicable statutes of limitations for potential related claims to be filed.

These records may be covered by lawyer-client privilege according to Wis. Stat. § 905.03 and the work-product doctrine codified in Wis. Stat. § 804.01(2)(c)l.

RETENTION: EVENT (date of resolution) + 6 years and destroy confidential

W0000265. **STUDENT HOUSING CONTRACTS** **EVT+6**

The purpose of the housing contract is to provide documentation for housing obligation and relationship between the student and the University. The housing contracts pertain to all residence halls or dormitories. These housing contracts do not pertain to conference

center rentals.

These records include, but are not limited to, housing applications, room change information, hall preference records, Americans with Disability Act (ADA) accommodations, food plans/accounts and contracts, rent references, residence hall selection cards, housing status action forms, room condition inventories, rosters and logs, contracts, cancellation notices, contract release forms, contract offer, interest assessment materials, letters and printed emails.

Some records in this series may be confidential under 20 U.S.C. § 1232g and 34 C.F.R § 99 (FERPA).

RETENTION: EVENT (date contract ends) + 6 years and destroy confidential

<u>W0000266.</u>	<u>APARTMENT AND LEASE RECORDS</u>	<u>EVT+6</u>
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Records in this series pertain to lease arrangements for residents.

These records include, but are not limited to, apartment applications, apartment waitlists, apartment assignment records, community and social work related documentation, check in and checkout records on apartment condition and reference letters.

Some records in this series may be confidential under 20 U.S.C. § 1232g and 34 C.F.R § 99 (FERPA).

RETENTION: EVENT (date lease ends) + 6 years and destroy confidential

<u>W0000267.</u>	<u>MENU AND RECIPE RECORDS</u>	<u>FIS+1</u>
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Records in this series include, but are not limited to, menus of meals offered and recipes used in the preparation of meals. The series also documents such information as serving sizes, serving times, nutritional analysis and ingredient lists.

RETENTION: EVENT (end of fiscal year) + 1 year and transfer to UW archives

<u>W0000268.</u>	<u>FOOD COST AND USAGE RECORDS</u>	<u>FIS+3</u>
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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: EVENT (end of fiscal year) + 3 years and destroy

<u>W0000269.</u>	<u>SAFETY INSPECTION RECORDS</u>	<u>FIS+2</u>
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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: EVENT (end of fiscal year) + 2 years and destroy

<u>W0000271.</u>	<u>DIETARY ACCOMMODATION RECORDS</u>	<u>EVT+3</u>
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This record series consists of a form and correspondence regarding requests for assistance with meal plan accommodations. Following a recommendation, the dining contract is updated.

Some records in this series may be confidential under 20 U.S.C. § 1232g and 34 C.F.R § 99 (FERPA), and 45 C.F.R. § 160 and 164 (HIPAA).

RETENTION: EVENT (academic year) + 3 years and destroy confidential

<u>W0000272.</u>	<u>FOOD PRODUCTION RECORDS</u>	<u>FIS+1</u>
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Records in this series include, but are not limited to, production records, time and temperature logs pertaining to food production, and special diet requirements.

RETENTION: EVENT (end of fiscal year) + 1 year and destroy