285W-UW SYSTEM ADMINISTRATION

Dept # *Department Name*

RDA #	*RDA Title*	*Retention*	*Disposition*	*PII*
00115000.	**UPWARD BOUND STUDENT RECORDS**	**EVT+5**	**DEST**	**Y**

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.

RETENTION: EVENT (after date of last service or contact) + 5 years and destroy confidential

UWADM013.	**AGREEMENTS AND CONTRACTS**	**EVT+6**	**DEST**	**Y**

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

UWADM018.	**UNIVERSITY MEETING RECORDS**	**EVT+3**	**UW-TRANS**	**Y**

This series includes records documenting university meetings. Meetings may include, but are not limited to, departmental meetings, committees, governance meetings, council meetings, personnel/executive committees and university-wide meetings. Some records may contain PII.

Records may include, but are not limited to, meeting minutes and agendas, supplementary documents or other materials distributed as part of the meeting. Voting records are covered under another schedule.

The minutes of the meetings serve as the official record of events. Additional methods of recording or documenting the meeting can be destroyed once official meeting minutes are approved. If no meeting minutes are approved, the additional methods of recording or documenting the meeting must be retained.

Closed session materials may be confidential pursuant to Wis. Stat. § 19.85(1), Wis. Stat § 19.36(5), Wis. Stat. § 19.36(9) or Wis. Stat. § 19.35(1)(a).

RETENTION: EVENT (Date of meeting) + 3 years and transfer to Archives

UWADM024.	**ACCREDITATION FILES**	**EVT+11**	**UW-TRANS**	**N**

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.	**FEDERAL LOBBYING REPORTS**	**EVT+6**	**DEST**	**Y**

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

UWADM027.	**OUTSIDE ACTIVITY REPORTS**	**EVT+8**	**DEST**	**Y**

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. STATEMENTS OF ECONOMIC INTEREST EVT+3 DEST Y

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

UWATH001. WISCONSIN INTERCOLLEGIATE ATHLETIC CONFERENCE (WIAC) COMMISSI FIS+6 DEST N

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

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

UWATH002. WIAC COMMISSIONER'S STUDENT ELIGIBILITY RECORDS EVT+6 DEST Y

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

UWATH003. WIAC COMMISSIONER'S SCHOLASTIC HONOR ROLL EVT+3 DEST Y

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

UWATH004. PHOTOGRAPHS AND VIDEO RECORDINGS EVT+6 UW-TRANS Y

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

UWATH005. RECRUITMENT RECORDS EVT+9 DEST Y

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.

UWATH006. PARTICIPATION RECORDS EVT+6 DEST Y

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

UWATH007. TEAM ROSTER EVT+1 UW-TRANS Y

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

UWATH008. ATHLETIC EVENT PLANNING RECORDS EVT+6 DEST Y

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

UWATH009. TICKETING RECORDS - PURCHASED FIS+6 DEST Y

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

UWATH010. TICKETING RECORDS - NOT PURCHASED EVT+0/1 DEST N

Remaining unsold tickets and other ticketing materials that remained unsold or unneeded after an athletic event.

RETENTION: EVENT (End of season) + 1 week and destroy

UWATH011. TICKETING RECORDS - COMPLIMENTARY AND PREFERENTIAL SEATING FIS+10 DEST Y

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

UWATH012. CAMPUS HALL OF FAME NOMINATION RECORDS CR+20 DEST Y

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

UWATH013. ATHLETIC ACHIEVEMENTS RECORDS EVT+20 UW-TRANS Y

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

UWATH014. STAFF CERTIFICATION DOCUMENTATION EVT+6 DEST Y

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

UWATH015. NCAA COMPLIANCE RECORDS FIS+10 UW-TRANS Y

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

UWATH016. NCAA RULES VIOLATION REPORT RECORDS EVT+7 DEST Y

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

UWATH017. NCAA PROGRAM AUDITS EVT+6 DEST Y

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

UWATH018. STUDENT ATHLETE AID RECORDS EVT+6 DEST Y

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

UWGNT001. GRANT FOLDERS - FEDERAL AND NON-FEDERAL - ACCEPTED EVT+6 DEST Y

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 DEST N

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 DEST N

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 DEST N

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** **DEST** **N**

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. **HR PERSONNEL HIRING AND POSITION CHANGE FORMS AND REQUESTS** **EVT+2** **DEST** **N**

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

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

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

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

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

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

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

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

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

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

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. AFFIRMATIVE ACTION RECORDS - EEOC (EQUAL OPPORTUNITY COMMISSIO **EVT+6** **DEST** **N**

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. AFFIRMATIVE ACTION RECORDS - EEOC (EQUAL OPPORTUNITY COMMISSIO **EVT+3** **DEST** **N**

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. DISCRIMINATION COMPLAINT FILES EVT+6 DEST N

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. GRIEVANCE/COMPLAINT TRACKING LOG EVT+6 DEST N

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. EMPLOYEE COMPLAINTS AND/OR GRIEVANCE RECORDS EVT+6 DEST N

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. FORMAL UNIVERSITY GRIEVANCE AND APPEAL EVT+6 UW-TRANS N

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. EMPLOYEE LAY - OFF RECORDS EVT+6 DEST N

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. NON-RENEWAL OF APPOINTMENT - ACADEMIC STAFF/FACULTY EVT+6 DEST N

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. PERSONNEL RECORD - UNIVERSITY STAFF, ACADEMIC STAFF AND FACULT EVT+10 DEST N

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. PERSONNEL FILE INCLUDING FACULTY CAREER FILE - TENURED FACULTY EVT+30 UW-TRANS N

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. PERSONNEL FILE - ACADEMIC & NON-TENURED FACULTY (ALL CAMPUSES EVT+10 UW-TRANS N

** 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. PERSONNEL FILE - ACADEMIC & NON-TENURED FACULTY (FOR UW-MADIS(EVT+10 DEST N

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. PERSONNEL FILE - PHD, GRADUATE, TEACHING ASSISTANT OR RESEARCH **EVT+6** **DEST** **N**

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

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** **DEST** **N**

** FOR USE BY UW STAFF ONLY **

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

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

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

UWHR0501. HIPAA PRIVACY COMPLAINT FILES **EVT+6** **DEST** **N**

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

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

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

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

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

UWHR0602. EAP - EMPLOYEE ASSISTANCE SATISFACTION SURVEYS EVT DEST N

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

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

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

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

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. PERM = PROGRAM ELECTRONIC REVIEW MANAGEMENT (ALSO REFERRED EVT+5 DEST N

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

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. PR (PERMANENT RESIDENCY) FILES (APART FROM THE ABOVE PERM FILE EVT+5 DEST N

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. STUDENT EVALUATIONS OR SUMMARY OF TENURED FACULTY, ACADEMIC EVT+5 DEST N

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. STUDENT EVALUATIONS OR SUMMARY OF PROBATIONARY FACULTY FOR EVT+5 DEST N

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

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

RDA #	*RDA Title*	*Retention*	*Disposition*	*PII*

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

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

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

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

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

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. **IT DEVELOPMENT, REDESIGN AND MODIFICATION RECORDS** **EVT+5** **DEST** **N**

This record series includes records pertaining to the development, redesign or modification of university computer systems or applications.

Records include, but are not limited to, proposals, risk assessments, cost benefit analysis, system or application requirements, staffing requirements, final reports and accomplishments.

These records may be confidential under Wis. Stat. § 19.36(9), Wis. Stat. § 16.851, and Wis. Stat. § 19.35(1)(a).

RETENTION: EVENT (Date completed or decision made to not move forward.) + 5 years and destroy confidential

UWIT0002. **IT DEVELOPMENT , REDESIGN AND MODIFICATION - WORKING DOCUMENTS** **EVT+5** **DEST** **N**

This record series includes records pertaining to working documents created during the development, redesign or modification of a computer system or application.

Records include, but are not limited to, change logs, data cleanup tasks and stats, post-implementation system and application reviews, test results, and data conversion results.

RETENTION: EVENT (Date Completed) + 5 years and destroy

UWIT0003. **PROGRAM SOURCE CODE** **EVT+3** **DEST** **N**

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

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

UWIT0004. **SOFTWARE DOCUMENTATION AND MAINTENANCE** **EVT+3** **DEST** **N**

This series consists of records documenting software implemented by the university and provides information about the content, structure, and the technical specifications of the systems required to run the software.

RETENTION: EVENT (Date software is superseded or replaced) and destroy confidential

UWIT0005. **ROUTINE IT ADMINISTRATIVE AUDIT LOGS** **EVT+4** **DEST** **Y**

This record series consists of system-generated audit trails tracking events relating to records in information systems which may be used for routine administrative activities.

Audit trails link to specific records in a system and track such information as the user, date and time of event, and type of event (data added, modified, deleted, etc.).

RETENTION: EVENT (Date review is complete) + 4 years and destroy confidential

UWIT0006. **IT DATA MIGRATION RECORDS** **EVT+3** **DEST** **N**

This series consists of records documenting the migration of data from one IT system to another when systems are upgraded or a new system is implemented. Records may also document the conversion of data that may happen during the migration.

Records may include, but are not limited to, system mappings, data conversion schemas, code migration procedures, and post migration test results.

RETENTION: EVENT (Date migration is completed) + 3 years and destroy confidential

UWIT0007. **VOICEMAIL SYSTEM CALL DETAIL** **CR+4** **DEST** **Y**

This records series contains voicemail system call detail which includes, but is not limited to, the call date and time, the “to” and “from” numbers, and call duration.

This does not cover the voice messages themselves which would be covered under other schedules according to their content.

RETENTION: EVENT (Date call received) + 4 years and destroy confidential

UWIT0008. **IT TELECOM AND MAINTENANCE RECORDS** **EVT+1** **DEST** **Y**

This series consists of university phone support, maintenance, and service orders.

Records may include, but are not limited to, service change orders, service support records such as service prices and history, and facility equipment location reports.

RETENTION: EVENT (Date service / support completed) + 1 year and destroy

UWIT0009. **IT NETWORK SUPPORT AND SERVICES RECORDS** **EVT+1** **DEST** **N**

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

RETENTION: EVENT (Date of report or service completed) + 1 year and destroy confidential

UWIT0010. **IT NETWORK ARCHITECTURE RECORDS** **EVT+3** **DEST** **N**

This records series consists of records documenting the university’s network architecture and configuration management and the network’s circuit inventory system.

RETENTION: EVENT (Discontinuance of system) + 3 years and destroy confidential

UWIT0011. **IT NETWORK INSTALLATION AND MAINTENANCE RECORDS** **EVT+1** **DEST** **N**

This record series documents the installation and maintenance of university networks and associated circuit systems.

Records may include, but are not limited to, work orders, work schedules, outage reports, planned building / circuit diagrams and related correspondence.

RETENTION: EVENT (Date work completed) + 1 year and destroy confidential

UWIT0012. **IT DATA DOCUMENTATION RECORDS** **EVT+3** **DEST** **N**

This series is comprised of records documenting a system’s data structures, metadata, associated data dictionaries, code translations and associated reports.

RETENTION: EVENT (Date system is discontinued) + 3 years and destroy confidential

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

Records of incidents involving unauthorized entry attempts, probes, and/or attacks on data processing systems, information technology systems, telecommunication networks, and electronic security systems including associated software and hardware.

Records may include, but are not limited to documentation of the incident, steps taken to mitigate the event, and official reports.

RETENTION: EVENT (Date incident is resolved) + 5 years and destroy confidential

UWIT0014. USER ACCESS REQUESTS AND AUTHORIZATIONS EVT+4 DEST Y

This series documents the approvals and actions which provide users with access to university servers, systems and security groups.

Records may include, but are not limited to, privileged user forms for managed servers and authorizations for privileged staff, user access requests and authorizations and signed confidentiality agreements.

RETENTION: EVENT (Date user has access removed or is denied) + 4 years and destroy confidential

UWIT0015. COMPUTER & INFORMATION SYSTEMS LOGS CR+0/1 DEST Y

This record series consists of logs created to monitor network usage and operating system logs.

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

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

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

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.

UWPAY001. EMPLOYEE TIME RECORDS (ACADEMIC AND UNIVERSITY STAFF) EVT+6 DEST N

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. TIME AND LABOR ADMINISTRATIVE REPORTS CR+1 DEST N

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. EMPLOYEE EARNINGS STATEMENT AND LEAVE BALANCES AND LEAVE AC **EVT+15** **DEST** **N**

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. LEAVE ACTIVITY SUMMARY REPORTS - INSTITUTION **CR+15** **DEST** **N**

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. LEAVE OF ABSENCE REQUEST FORMS **CR+5** **DEST** **N**

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. LEAVE OF ABSENCE REPORTS **CR+15** **DEST** **N**

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. UW-SYSTEM LEAVE PLAN TYPES **EVT** **DEST** **N**

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. PAYROLL REGISTERS AND VOUCHERS **FIS+6** **DEST** **N**

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. GARNISHMENT RECORDS EVT+6 DEST N

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. TAX WITHHOLDING REPORTING FILES CR+5 DEST N

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. UNEMPLOYMENT COMPENSATION REPORT TO DEPT. OF WORKFORCE DEV CR+5 DEST N

** 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. COBRA RELATED REPORTS EVT+5 DEST N

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. EMPLOYEE PAYROLL CASE FILE - INSTITUTIONAL EVT+50 DEST N

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. EMPLOYEE ETF/BENEFITS CASE FILE - INSTITUTION **EVT+5** **DEST** **N**

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. ANNUAL BENEFIT STATEMENTS/BENEFIT REPORTS **EVT+5** **DEST** **N**

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. SUMMARY REPORTS OF BENEFITS PROGRAMS PROVIDED TO ETF **CR+7** **DEST** **N**

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. WISCONSIN RETIREMENT SYSTEM REPORTING - WRS **CR+15** **DEST** **N**

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. TAX SHELTERED ANNUITY - TSA MULTIPLE ENROLLMENTS REPORTS **CR+5** **DEST** **N**

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. PAYROLL ACCOUNTING AND BENEFIT REPORTS AND TRANSFERS **CR+5** **DEST** **N**

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. CORE PAYROLL HISTORY DATA **CR+50** **DEST** **N**

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

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

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

UWRSC009. IRB MINUTES **EVT+3** **DEST** **Y**

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

UWRSC010. IRB PROTOCOLS **EVT+3** **DEST** **N**

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

UWRSC011. **CONTINUING REVIEW RECORDS** **CR+3** **DEST** **Y**

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. **DETERMINATION OF IRB SUBMISSION FORMS** **CR+0/6** **DEST** **N**

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. **ANIMAL CARE AND USE PROTOCOLS** **EVT+3** **DEST** **Y**

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. **ANIMAL CARE COMMITTEE MATERIALS** **CR+3** **DEST** **Y**

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. **ANIMAL CARE CERTIFICATION MATERIALS** **EVT** **DEST** **N**

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. **ANIMAL ADOPTION AGREEMENTS** **CR+3** **DEST** **N**

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. **ANIMAL ORDERING AND HUSBANDRY RECORDS** **CR+3** **DEST** **N**

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.

UWRSC018. **ANIMAL HEALTH RECORDS** **EVT+3** **DEST** **N**

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.

UWRSC019. COMMERCIAL COMPANIES RECORDS EVT+5 DEST Y

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.

UWRSC020. TECHNOLOGY TRANSFER RECORDS--ADMINISTRATIVE EVT+6 DEST Y

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.

UWRSC021. TECHNOLOGY TRANSFER RECORDS - INVENTIONS AND PATENTS CR+20 UW-TRANS Y

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

UWRSC031. RESEARCH CLINIC CLIENT FILES--ADULT EVT+10 DEST Y

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. CLINICAL STUDIES, TRIALS AND PARTICIPANT STUDY RECORDS EVT+10 DEST Y

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. LABORATORY REPORTS EVT+6 DEST Y

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.

UWRSC035. RESEARCH PROJECT ADMINISTRATIVE RECORDS EVT+4 UW-TRANS Y

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. ANIMAL CARE CERTIFICATION RESULTS EVT+0/6 DEST N

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. ANIMAL CARE CERTIFICATION LOG EVT+7 DEST Y

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. RESEARCH CLINIC CLIENT FILES-CHILDREN EVT DEST Y

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.

UWRSC35A. GRANT FINAL REPORTS EVT+4 UW-TRANS Y

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.

UWSH1040. STUDENT HEALTH SERVICES HEALTH INSURANCE RECORDS CR+5 DEST Y

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

UWSH1060. STUDENT HEALTH CENTER MEDICAL RECORDS EVT+10 DEST Y

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

UWSH1100. STUDENT HEALTH CENTER APPOINTMENT SCHEDULES AND STATISTICAL CR+5 DEST Y

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

UWSH1170. **STUDENT HEALTH CENTER QUALITY CONTROLS RECORDS** **CR+3** **DEST** **Y**

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

UWSH1270. **STUDENT ATHLETICS STUDENT ATHLETE MEDICAL FILES** **EVT+7** **DEST** **Y**

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

UWSTA100. **BEHAVIORAL INCIDENT REPORTS - NOT RESULTING IN STUDENT CONDITIO** **EVT+7** **DEST** **Y**

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. **BEHAVIORAL INCIDENT REPORTS RESULTING IN STUDENT AGREEMENTS V** **EVT+10** **DEST** **Y**

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. BEHAVIORAL INCIDENT REPORTS RESULTING IN EXPULSION EVT+30 DEST Y

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. BEHAVIORAL DISCIPLINARY ACTION RECORDS- NOT RESULTING IN STUDE EVT+7 DEST Y

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. BEHAVIORAL DISCIPLINARY ACTION RECORDS RESULTING IN STUDENT AC EVT+10 DEST Y

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. BEHAVIORAL DISCIPLINARY ACTION RECORDS RESULTING IN EXPULSION **EVT+30** **DEST** **Y**

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. STUDENT BEHAVIOR INTERVENTION TEAM (BIT) CASE FILES- NOT RESULTI **EVT+7** **DEST** **Y**

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. STUDENT BEHAVIOR INTERVENTION TEAM (BIT) CASE FILES RESULTING IN **EVT+10** **DEST** **Y**

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. STUDENT BEHAVIOR INTERVENTION TEAM (BIT) CASE FILES RESULTING IN **EVT+30** **DEST** **Y**

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. DISABILITY SERVICE STUDENT CASE FILES **EVT+7** **DEST** **Y**

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. DISABILITY SERVICE STUDENT CASE FILES - NOT PURSUED **EVT+2** **DEST** **Y**

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. CHILD CARE CENTER CHILD FILES EVT+3 DEST Y

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. CHILD CARE CENTER CHILD FILES - NOT ENROLLED EVT+1 DEST Y

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. ATTENDANCE RECORDS EVT+3 DEST Y

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. CHILD CARE CENTER SCHEDULING EVT+0/3 DEST Y

Series containing multiple types of records created to organize the care of children at the child care center. Records include, but are not limited to:

Parent Schedule
Form indicating emergency contact information, employment status, work schedule, class schedule, etc. for parents or guardians that leave their children in the care of the Child Care Center.

Child's Schedule Change
Form changing time/days of care at the child care center. Records identified during records review.

RETENTION: EVENT (Last day of attendance) + 3 months and destroy confidential

UWSTA304. CHILD CARE CENTER CHILD HEALTH RECORDS EVT+3 DEST Y

Series containing multiple types of records created for the management of the health and safety of children in the care of the child care center. Records include, but are not limited to:

Immunization Records
Records documenting the history of vaccines received by the child.

Health History and Emergency Care Plan
Identifies family physician, child's medical conditions, and emergency contact information.

Child Health Report
Instructions for children with special problems and allergies and immunizations to not be administered for medical reasons.

Authorization to Administer Medication
Form completed by parent or guardian to give care center permission to administer medication to their child.

Records identified during records review.

RETENTION: EVENT (Last day of attendance) + 3 years and destroy confidential

UWSTA305. MENUS FOR MEALS AND SNACKS EVT+0/3 DEST N

Records documenting all meals and snacks that are provided at the child care center.

Records identified during records review.

RETENTION: EVENT (Creation) + 3 months and destroy

UWSTA306. CHILD AND ADULT CARE FOOD PROGRAM (CACFP) RECORDS **FIS+3** **DEST** **Y**

Applications and supporting documentation regarding a federal nutrition program used in child care centers. Records include: enrollment lists, daily records of number of participants indicating type of meal, dates and amounts of disbursement, copies of menus and any other food service records, training documentation, administrative and operating costs, income, claims for reimbursement, receipts of program payments received from the state, food service contracts, health inspection report.

Records identified during records review.

RETENTION: EVENT (Fiscal year) + 3 years and destroy confidential

UWSTA307. REPORTING AND DOCUMENTATION RECORDS FOR WISCONSIN AND FAMIL **EVT+1** **DEST** **Y**

Records pertaining to documentation that the facility is required to create to meet reporting requirements to DCF.

NOTE: DCF holds these records permanently.

Records identified during records review.

RETENTION: EVENT (Date submitted to DCF) + 1 year and destroy confidential

UWSTA308. STAFF RECORDS **EVT+8** **DEST** **Y**

Records documenting personnel issues that are unique to the work of the center and are not part of formal personnel files.

These records may include, but are not limited to: demographic data, background verification, physical examination, education qualifications and continued training documentation.

Records identified during records review.

RETENTION: EVENT (Date of separation) + 8 years and destroy confidential

UWSTA309. STAFF DEVELOPMENT AND TRAINING RECORDS **EVT+8** **DEST** **Y**

Records documenting child care center staff professional development as required under Wis. Admin. Code § DCF 251.05 (2).

Records include review of center policies, training in emergency procedures, first aid, job descriptions, recognition of childhood illness and infectious disease control, schedule of activities of the center, child abuse awareness, knowledge of where children are, child management techniques and integrations of children with disabilities.

Records identified during records review.

RETENTION: EVENT (Date of separation) + 8 years and destroy confidential

UWSTA400. STUDENT GOVERNMENT ADMINISTRATIVE FILES **EVT+5** **UW-TRANS** **N**

Records pertaining to various functions of the Office of Student Life. Subjects may include, but are not limited to: student organizations, student government, task forces, professional organizations, committee minutes, reports, and correspondence, and print promotional materials.

Records identified during records review.

RETENTION: EVENT (Creation) + 5 years and transfer to Archives

UWSTA401. STUDENT GOVERNMENT LEGISLATIVE AND DELIBERATIVE RECORDS **EVT+10** **UW-TRANS** **N**

Records of the elected student representatives that are chiefly responsible for exercising the legislative powers and duties as stipulated by Wis. Stat. § 36.09(5). Records include: constitution, bylaws, agendas, meeting minutes, legislation passed and/or rejected, resolutions, statutes, formal statements, official letters, and correspondence.

Records identified during records review.

RETENTION: EVENT (Creation) + 10 years and transfer to Archives

UWSTA402. STUDENT COURT JUDICIAL RECORDS- NOT RESULTING IN STUDENT AGRE **EVT+8** **UW-TRANS** **Y**

Records documenting disciplinary decisions passed by student court, or equivalent body, regarding campus groups and/or individuals.

This series applies to records documenting actions 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: minutes, agendas, correspondence and formal decisions.

Records identified during records review.

RETENTION: EVENT (End of hearing) + 8 years and transfer to Archives

UWSTA403. STUDENT COURT JUDICIAL RECORDS RESULTING IN EXPULSION **EVT+30** **UW-TRANS** **Y**

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's expulsion from the University. Records include: minutes, agendas, correspondence and formal decisions.

Records identified during records review.

RETENTION: EVENT (Date of expulsion) + 30 years and transfer to Archives

UWSTA404. STUDENT COURT JUDICIAL RECORDS RESULTING IN STUDENT AGREEMEN **EVT+10** **UW-TRANS** **Y**

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. SEGREGATED FEE DOCUMENTATION **FIS+6** **UW-TRANS** **Y**

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. STUDENT GOVERNMENT PURCHASE REQUESTS **EVT+1** **UW-TRANS** **Y**

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. MEMBERSHIP LISTS **EVT+6** **UW-TRANS** **N**

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. ORGANIZATION OFFICER AND ADVISER LISTINGS **EVT+6** **UW-TRANS** **N**

Lists of organization officers and advisers.

Records identified during records review.

RETENTION: EVENT (Superseded) + 6 years and transfer to Archives

UWSTA409. STUDENT ORGANIZATION RECOGNITION FILES **EVT+6** **UW-TRANS** **Y**

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. RECREATION RECORDS EVT+1 DEST N

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

UWSTA501. STUDENT TRIP FILES EVT+3 DEST Y

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

UWSTA600. LIABILITY WAIVERS EVT+1 DEST Y

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

UWSTA700. ON-CAMPUS FEE WAIVER FORM EVT+5 DEST Y

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

UWSTU001. ACCEPTANCE LETTERS, (ENROLLED STUDENTS) EVT+5 DEST Y

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.

UWSTU002. ACCEPTANCE LETTERS, (NOT ENROLLED) EVT+1 DEST Y

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.

UWSTU003. APPLICATIONS FOR ADMISSION, (ENROLLED STUDENTS) EVT+5 DEST Y

The records include official institutional application forms completed in any format by prospective students for admission or readmission to 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.

UWSTU004. APPLICATIONS FOR ADMISSION (NOT ENROLLED) EVT+1 DEST Y

The records include official institutional application forms completed in any format by prospective students for admission or readmission to the institution.

RETENTION: EVENT (Date of application) + 1 year and destroy confidentially
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU005. **APPLICATIONS FOR ADMISSION, FALSIFIED** **EVT+8** **DEST** **Y**

Admissions application and supporting documentation received from individuals misrepresenting themselves. The retention period provides sufficient time to track those individuals who may make repeat attempts to submit a falsified application.

RETENTION: EVENT (Term for which the subject applied + 3 semesters and 7 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU006. **APPLICATIONS FOR ADMISSION, UNSOLICITED** **EVT+3** **DEST** **Y**

This series contains letters of recommendation, test scores, portfolios, CDs, examples of work prepared by the potential applicants where no formal application was ever submitted. The materials may be received in any format. Some institutions receive a significant number of admission inquiries from abroad. It is often difficult for those potential applicants to obtain or reproduce materials previously submitted. Two years incorporates a grace period for those potential students who do complete an application for the next academic year.

RETENTION: EVENT (Term for which subject applied) + 3 semesters and 2 years and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU007. **CORRESPONDENCE, STAFF, WITH OR CONCERNING ENROLLED STUDENTS** **EVT+5** **DEST** **Y**

This series includes correspondence in any format between Enrollment Services staff within units or with students, relevant to the admission and/or academic progress of individual student.

RETENTION: 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.

UWSTU008. **CORRESPONDENCE, STAFF, WITH OR CONCERNING STUDENTS WHO DID N** **EVT+1** **DEST** **Y**

This series includes correspondence in any format between Enrollment Services staff within units or with students, relevant to the admission and/or academic progress of individual student.

RETENTION: EVENT (Date of application) + 1 year and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.

UWSTU009. **CREDIT BY EXAMINATION OR EXPERIENTIAL LEARNING CREDIT RECORDS** **EVT+5** **DEST** **Y**

Examinations include but are not limited to Advanced Placement results, CLEP, PEP, other test score results, prior learning documentation, etc. Used for advanced placement within degree program.

RETENTION: EVENT (Graduation date or date last attended) + 5 years (for enrolled and non-enrolled students) and destroy confidential
Copies: destroy confidentially when no longer needed. Do not keep copies longer than the original.
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UWSTU010. **ENTRANCE EXAMINATION RESULTS AND OTHER PLACEMENT TEST RECOR** **EVT+5** **DEST** **Y**

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. **ENTRANCE EXAMINATION RESULTS AND OTHER PLACEMENT TEST RECOR** **EVT+1** **DEST** **Y**

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. **GRADUATE SCHOOL DEGREE APPLICATIONS - RECEIVED** **EVT+1** **DEST** **Y**

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. GRADUATE SCHOOL ADMISSION APPLICATIONS - RESIDENCY/FELLOWSHIF **EVT+5** **DEST** **Y**

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. GRADUATE SCHOOL QUALIFYING EXAMS **EVT+2** **DEST** **Y**

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. LETTERS OF RECOMMENDATION, (ENROLLED STUDENTS) **EVT+5** **DEST** **Y**

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. LETTERS OF RECOMMENDATION, (NOT ENROLLED) **EVT+1** **DEST** **Y**

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. PROGRAM ADMISSIONS RECORDS, (NOT ADMITTED) **EVT+2** **DEST** **Y**

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. RESIDENCY RECORDS, (ENROLLED STUDENTS) **EVT+5** **DEST** **Y**

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. RESIDENCY RECORDS, (ADMITTED, NOT ENROLLED) **EVT+1** **DEST** **Y**

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. TRANSCRIPTS FROM OTHER INSTITUTIONS, (ENROLLED STUDENTS) **EVT+5** **DEST** **Y**

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. TRANSCRIPTS FROM OTHER INSTITUTIONS, (NOT ENROLLED) EVT+1 DEST Y

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. VETERANS RECORDS, (ENROLLED STUDENTS) EVT+5 DEST Y

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. VETERANS RECORDS, (NOT ENROLLED) EVT+2 DEST Y

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. ACADEMIC DISMISSAL/SUSPENSION/EXPULSION RECORDS CR+6 SHSW Y

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. ACADEMIC MISCONDUCT RECORDS CR+6 UW-TRANS Y

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. ACADEMIC WARNINGS EVT+5 DEST Y

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. ADD/DROP RECORDS EVT+1 DEST Y

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. APPLICATIONS FOR GRADUATION, (GRADUATED STUDENTS) EVT+1 DEST Y

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.

RDA #	*RDA Title*	*Retention*	*Disposition*	*PII*

UWSTU031. **APPLICATIONS FOR GRADUATION, (NOT-GRADUATED STUDENTS)** **EVT+5** **DEST** **Y**

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.

UWSTU032. **ATHLETE ACADEMIC RECORDS** **EVT+10** **DEST** **Y**

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.

UWSTU033. **ATHLETIC ELIGIBILITY REPORTS** **EVT+2** **DEST** **Y**

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.

UWSTU034. **AUDIT AUTHORIZATIONS** **EVT+1** **DEST** **Y**

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.

UWSTU035. **CHANGE OF GRADE DOCUMENTATION** **EVT+5** **DEST** **Y**

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.

UWSTU036. **CHANGED GRADE RECORD** **CR+6** **UW-TRANS** **Y**

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.

UWSTU037. **CORRESPONDENCE BETWEEN STUDENTS AND FACULTY REGARDING COU** **EVT+0/6** **DEST** **Y**

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.

UWSTU038. **CORRESPONDENCE RELATED TO ACADEMIC INQUIRY** **EVT+0/6** **DEST** **Y**

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.

UWSTU039. **COURSE REPEAT APPROVAL FORM** **EVT+1** **DEST** **Y**

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.

UWSTU040. COURSE WAIT LIST **EVT+1** **DEST** **Y**

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.

UWSTU041. CREDIT/NO CREDIT APPROVAL FORMS **EVT+1** **DEST** **Y**

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.

UWSTU042. CRIMINAL BACKGROUND CHECK RECORDS, STUDENTS **EVT+7** **DEST** **Y**

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.

UWSTU043. CURRICULUM CHANGE AUTHORIZATIONS **EVT+5** **DEST** **Y**

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.

UWSTU044. DEGREE AUDITS **EVT+5** **DEST** **Y**

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.

UWSTU045. DIPLOMAS, (RETURNED BECAUSE UNDELIVERABLE) **EVT+1** **DEST** **N**

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. FELLOWSHIPS AND SCHOLARSHIPS (GRADUATE AND UNDERGRADUATE) **EVT+3** **DEST** **Y**

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. GRADE BOOKS, ORIGINAL (ACADEMIC DEPARTMENTS) **EVT+2** **DEST** **Y**

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. GRADES, OFFICIAL **P** **PERM** **Y**

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. GRADUATE SCHOOL RECORDS FOR ACCEPTED STUDENTS EVT+10 DEST Y

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. GRADUATE SCHOOL: THESIS/DISSERTATIONS/DIRECTED STUDY CR+6 UW-TRANS N

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. GRIEVANCES, EXAM/COURSE RELATED (NOT GRADE DISPUTES) EVT+3 DEST Y

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. HOLD OR ENCUMBRANCE AUTHORIZATIONS EVT+6 DEST Y

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. HONORS PROGRAM APPLICANT FILES, UNDERGRADUATE EVT+5 DEST Y

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. INSTRUCTIONAL MATERIALS INCLUDING MATERIALS IN COURSE MANAGEI EVT+1 DEST Y

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. INTERNSHIP AGREEMENTS EVT+1 DEST N

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. INTERNSHIP CONTRACTS EVT+1 DEST Y

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. MAJOR DECLARATIONS, CHANGES, CERTIFICATION OF SECOND MAJOR, M **EVT+5** **DEST** **Y**

Electronic or paper documents detailing the student's declaration or change or majors or the addition of a second major or minor. Records contain the date of the change, required authorizations, the parameters of the addition or change including the new requirements for completion. Major declaration change and the addition of a second major or minor may all be contained in one document or they may be accomplished via several forms. Practice varies between departments and school.

RETENTION: 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. NAME CHANGE AUTHORIZATIONS **EVT+5** **DEST** **Y**

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. PETITIONS, EXCEPTIONS TO ACADEMIC RULES **EVT+5** **DEST** **Y**

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. REGISTRATION FORMS **EVT+1** **DEST** **Y**

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. SCHEDULES--INDIVIDUAL STUDENT SCHEDULE OF CLASSES **EVT+1** **DEST** **Y**

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. STUDENT TEACHER FIELD EXPERIENCE FILE **EVT+7** **DEST** **Y**

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. STUDY ABROAD PROGRAM FILES **EVT+1** **DEST** **Y**

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. SYLLABI AND/OR INDIVIDUAL COURSE CALENDARS **EVT+10** **UW-TRANS** **N**

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. TRANSCRIPTS, OFFICIAL P PERM Y

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. TRANSCRIPTS, STUDENT REQUESTS EVT+1 DEST Y

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. TRANSFER CREDIT EVALUATIONS EVT+5 DEST Y

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. WITHDRAWAL AUTHORIZATIONS EVT+5 DEST Y

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. ARRIVAL-DEPARTURE RECORDS, (ENROLLED STUDENTS) (I-94) (COPY) EVT+5 DEST Y

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. ARRIVAL-DEPARTURE RECORDS, (NOT ENROLLED) (I-94) (COPY) EVT+1 DEST Y

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. CERTIFICATE OF ELIGIBILITY FOR F-1 VISA STATUS, (ENROLLED STUDENTS EVT+5 DEST Y

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. CERTIFICATE OF ELIGIBILITY FOR F-1 VISA STATUS, (NOT ENROLLED) (I-20) EVT+1 DEST Y

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. CERTIFICATE OF ELIGIBILITY FOR EXCHANGE VISITOR J-1 STATUS FORM D **EVT+5** **DEST** **Y**

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. CERTIFICATE OF ELIGIBILITY FOR EXCHANGE VISITOR J-1 STATUS FORM D **EVT+1** **DEST** **Y**

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. PASSPORT PAGE SHOWING PASSPORT NUMBER, (ENROLLED STUDENTS) (**EVT+5** **DEST** **Y**

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. PASSPORT PAGE SHOWING PASSPORT NUMBER, (NOT ENROLLED) (COPY) **EVT+1** **DEST** **Y**

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. STATEMENT OF EDUCATIONAL COSTS, (ENROLLED STUDENTS) **EVT+5** **DEST** **Y**

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. STATEMENT OF EDUCATIONAL COSTS, (NOT ENROLLED) **EVT+1** **DEST** **Y**

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. STATEMENT OF FINANCIAL RESPONSIBILITY AND SUPPORTING DOCUMEN **EVT+5** **DEST** **Y**

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. STATEMENT OF FINANCIAL RESPONSIBILITY AND SUPPORTING DOCUMEN **EVT+1** **DEST** **Y**

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. UNITED STATES PERMANENT RESIDENT CARD (GREEN CARD) COPY, (ENR(EVT+5 DEST Y

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. UNITED STATES PERMANENT RESIDENT CARD (GREEN CARD) COPY, (NOT EVT+1 DEST Y

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. CATALOG, GRADUATE AND UNDERGRADUATE CR+6 UW-TRANS N

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. CLASS SCHEDULES/TIMETABLES (INSTITUTIONAL) CR+6 UW-TRANS N

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. ORRESPONDENCE, POLICY-SETTING CR+6 UW-TRANS N

Policy-setting correspondence within enrollment services units or between them and university administration.

RETENTION: EVENT (Creation) + 6 years and transfer to University Archives
Copies: Destroy when no longer needed

UWSTU086. COURSE FILE, MASTER CR+6 UW-TRANS N

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

UWSTU087. ENROLLMENT AND CLASS LISTS CR+6 UW-TRANS Y

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

UWSTU088. ENROLLMENT VERIFICATIONS AND CERTIFICATIONS EVT+1 DEST Y

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.

UWSTU089. GRADE REPORTS / STATISTICS CR+6 UW-TRANS Y

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

UWSTU090. **HONORS LISTS** **CR+6** **UW-TRANS** **Y**

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

UWSTU091. **TRANSFER EQUIVALENCIES** **EVT** **DEST** **N**

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

UWSTU092. **REQUESTS FOR AND DISCLOSURE OF PERSONALLY IDENTIFIABLE INFORM** **P** **PERM** **Y**

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.

UWSTU093. **REQUESTS FOR CORRECTIONS TO RECORDS AND FORMAL HEARINGS** **P** **PERM** **Y**

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. **REQUESTS FOR NONDISCLOSURE OF DIRECTORY INFORMATION** **P** **PERM** **Y**

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. **STATEMENT ON CONTENTS OF RECORDS REGARDING HEARING PANEL DE** **P** **PERM** **Y**

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. **WAIVER OF RIGHT OF ACCESS TO CONFIDENTIAL RECOMMENDATIONS** **P** **PERM** **Y**

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. **WRITTEN CONSENT FOR RECORDS DISCLOSURE** **P** **PERM** **Y**

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. **WRITTEN DECISIONS OF HEARING PANELS** **P** **PERM** **Y**

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. ATHLETIC PARTICIPATION/EADA DOCUMENT **EVT+3** **SHSW** **N**

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
Copies: Destroy when no longer needed.

UWSTU100. COLLEGE COSTS, ACCREDITATION, TEXTBOOK INFORMATION, TRANSFER **EVT+3** **SHSW** **N**

These records are provided both to students and the Department of Education. The source and background for these reports are data retained in worksheets, spreadsheets, charts, surveys, email, web-linked data and narrative reports, all of which are to be considered records belonging to this series. These disclosure records are organized in two broad categories: I. Non-Loan-Related Disclosure Requirements: Availability of Institutional and Financial Aid Information, Student Financial Assistance, General Institutional Information, Teacher Preparation Program Report, Health and Safety, Student Outcomes, Intercollegiate Athletic Program, and Voter Registration II. Disclosure Requirements Relating to Education Loans: HEA disclosure requirements that are related to Title IV, HEA program loans and private education loans.

RETENTION: EVENT (Required disclosure) + 3 years and destroy or transfer to Archives
Copies: Destroy when no longer needed.

UWSTU101. GRADUATION/COMPLETION TRANSFER OUT DATA **EVT+3** **SHSW** **N**

The records include data and reports supplied to the Department of Education (ED) and to students fulfilling Student Right-to-Know legislative requirements. The source and background for these reports are data retained in worksheets, spreadsheets, charts, surveys, email, web-linked data and narrative reports, all of which are to be considered records belonging to this series. Reporting to ED is accomplished via systems such as the Integrated Postsecondary Education Data System (IPEDS). IPEDS collects data on postsecondary education in the United States in seven areas: institutional characteristics, institutional prices, enrollment, student financial aid, degrees and certificates conferred, student persistence and success, and institutional human fiscal resources. The completion of all IPEDS surveys is mandatory for institutions that participate in or are applicants for participation in any federal student financial aid programs and other programs. (See records retention information 34 CFR 668.24).

RETENTION: EVENT (Required disclosure) + 3 years and destroy or transfer to Archives
Copies: Destroy when no longer needed.

UWSTU102. INSTITUTIONAL INFORMATION **EVT+3** **SHSW** **N**

These records and information are disclosed to students (including prospective students) and reported to the Federal Department of Education. The source and background for these reports are data retained in worksheets, spreadsheets, charts, surveys, email, web-linked data and narrative reports, all of which are to be considered records belonging to this series. The information collected includes, but is not limited to cost of attendance including fees and books, refund policy, withdrawal procedures, study abroad programs, and name of accrediting agencies (see 34 CFR 668.43)

RETENTION: EVENT (Required disclosure) + 3 years and destroy or transfer to Archives
Copies: Destroy when no longer needed.

W0000250. CAMPUS TRANSPORTATION AND PARKING CUSTOMER RECORDS **EVT+6** **DEST** **Y**

This series consists of campus transportation customer records pertaining to the regulation of parking on campus as a regular service or on a temporary basis. Records may include the purchase of annual bus passes and customer information collected by campus-provided/funded transit services such as safe rides/sharing and local campus shuttles. A customer can be staff, student, or the public. Inactive status may vary between UW campuses depending on local policies, but is a combination of years since last use and no outstanding fees greater than a campus-determined threshold remaining on a customer's account.

Records include, but are not limited to, customer personal information, vehicle information, payroll deduction information, parking assignments, parking citations/associated images, and appeals.

RETENTION: EVENT (Date Customer Record Becomes Inactive) + 6 years and Destroy Confidential

W0000251. ROUTINE LICENSE PLATE REGISTRATION (LPR) READS **EVT+0/1** **DEST** **N**

License Plate Recognition reads (LPRs) are broadly collected by LPR mobile cameras on transpo1tation parking enforcement vehicles

and Automated License Plate Readers (ALPR) stationary cameras at garage entrances and exits. There is no Pll associated with the reads.

Records in this series are transportation-related "non-event" LPR reads that are not 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.

This series does not include general surveillance of lots, docks, ramps, streets, alleys, and other campus thoroughfares which are covered by other RDAs.

RETENTION: EVENT (Date Collected) + 1 month and Destroy

W0000252. EVENT LICENSE PLATE RECOGNITION (LPR) READS EVT+1 DEST N

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.

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.

Some event LPRs may be moved to the customer record and follow that record schedule.

RETENTION: EVENT (Date Collected) + 1 year and Destroy

W0000253. PARKING PERMITS - LOST, STOLEN, OR RETURNED FORMS EVT+0/1 DEST Y

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.

RETENTION: EVENT (Date Entered) + 1 month and destroy confidential

W0000254. RETURNED, EXCHANGED, OR VOIDED PARKING HANG TAGS AND PERMITS FIS+3 DEST N

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.

The hang tags are kept to document that all parking hang tags and permits are accounted for during the audit process.

RETENTION: EVENT (end of fiscal year) + 3 years and destroy

W0000255. VALIDATED PAYMENT SYSTEM TICKETS - PAID BY THIRD PARTY FIS+6 DEST N

Validated parking system tickets may be provided to visitors by campus departments or hospitals. The validated tickets are source documentation for Transpo1tation Services to bill the resulting parking costs back to the issuing department or hospital.

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

W0000256. PAYMENT SYSTEM TICKETS - PAID BY CUSTOMER EVT+0/6 DEST N

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.

RETENTION: EVENT (date paid) + 6 months and destroy

W0000257. IMPOUND RECORD / TOW RECEIPT EVT+6 DEST Y

This series contains records submitted to Transpmtation Services by towing companies providing campus services.

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.

RETENTION: EVENT (date received) + 6 years and destroy confidential

W0000258. TRANSPORTATION SERVICES INCIDENT REPORTS EVT+3 DEST Y

This series consists of reports submitted directly to Transpo1tation Services regarding incidents that occurred in the spaces under their management such as lost or damaged property.

Records include, but are not limited to, correspondence and photos. This series only applies to incidents that are not reported to campus police.

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

W0000259. LEGAL MATTER CASE FILES EVT+10 DEST Y

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.

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) + 10 years and destroy confidential

W0000260. LEGAL MATTER CASE FILES - HISTORICALLY SIGNIFICANT EVT+20 UW-TRANS Y

The University of Wisconsin legal affairs offices serve as primary, advisory, or liaison counsel on a variety oflitigated 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 UW-TRANS Y

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, cettificates ofregistration 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 DEST Y

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 DEST Y

The University of Wisconsin general counsel and legal affairs office frequentlly 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

W0000264. THIRD PARTY CONTRACTS AND AGREEMENTS EVT+7 DEST Y

This series documents the provisioning by University of Wisconsin system or its campuses to third parties of commodities, services and brand licensing which may require contracts or agreements. This series includes, but is not limited to the contract, supporting documentation, and correspondence clarifying or setting terms in the contract itself. Attachments or exhibits to the contracts may contain trade secrets or personally identifiable information.

RETENTION: EVENT (DATE CONTRACT OR AGREEMENT ENDS) + 7 YEARS AND DESTROY CONFIDENTIAL

W0000265. STUDENT HOUSING CONTRACTS EVT+6 DEST Y

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 pe11ain 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

W0000266. APARTMENT AND LEASE RECORDS EVT+6 DEST Y

Records in this series pertain to lease arrangements for residents.

These records include, but are not limited to, apartment applications, apartment waitlists, apattment 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

W0000267. MENU AND RECIPE RECORDS FIS+1 UW-TRANS N

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

W0000268. FOOD COST AND USAGE RECORDS FIS+3 DEST N

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

W0000269. SAFETY INSPECTION RECORDS FIS+2 DEST N

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

W0000270. STUDENT HOUSING FRONT DESK LOGS FIS+1 DEST Y

Logs created and maintained by individual residence halls.

Records include, but are not limited to, residential mail operations: package/mail logs, non-deliverable log, tampered mail logs, package delivery receipts, and missing package logs.

Service Desk: lost and found log and supply check out logs.

Note: Building access records are covered by other record series.

Some records in this series may be confidential under 20 U.S.C. § 1232g and 34 C.F.R § 99 (FERPA).

RETENTION: EVENT (end of fiscal year) + 1 year and destroy confidential

W0000271. DIETARY ACCOMMODATION RECORDS EVT+3 DEST Y

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

W0000272. FOOD PRODUCTION RECORDS FIS+1 DEST N

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

W0000273. POLICE CASE FIES - UNLIMITED PROSECUTION P PERM Y

This series consists of case files related to solved or unsolved homicides, sexual assaults, and any criminal case with an unlimited statute of limitations. Records may include, but are not limited to, reports, attachments, crime scene photos, audio/video, restorative justice documents, subject jackets, and citations.

Records may be confidential under Wis. Stat. §§ 19.36(2) and 19.35(1)(a) for certain law enforcement records and Wis. Stat. §§ 48.396 and 938.396 - Juvenile Justice code.

Permanent: Records are permanent since there is no time limit on prosecutions.

RETENTION: PERMANENT

W0000274. POLICE CASE FIES EVT+25 DEST Y

This series consists of case files related to solved or unsolved cases and incidents with statutes of limitations (e.g., burglary, theft of a motor vehicle, OWI, etc.). Records may include, but are not limited to, reports, attachments, crime scene photos, audio/video, restorative justice documents, subject jackets, and citations. Unsolved cases should be retained until closed or have passed the statute of limitations for the charge.

Records may be confidential under Wis. Stat. § 19.36(2) and Wis. Stat. § 19.35(1)(a) for certain law enforcement records and Wis. Stat. §§ 48.396 and 938.396 - Juvenile Justice code.

EVENT: Date case closed or statute of limitations has been reached

RETENTION: EVENT + 25 years and destroy confidential

W0000275. CITATIONS EVT+7 DEST Y

This series consists of citations written for ordinance and non-criminal traffic violations on or around UW campuses.

Records may include, but are not limited to name, address, date of birth, charge, officer's name, and any corresponding documentation.

Records may be confidential under Wis. Stat. §§ 48.396 and 938.396 - Juvenile Justice code.

RETENTION: EVENT (date citation resolved) + 7 years and destroy confidential

W0000276. POLICE DAILY SCHEDULES CR+2 DEST Y

This series contains the daily briefings for staff, daily roster schedules, and assignments such as security or police officer assignments and incident briefing sheets.

RETENTION: EVENT (date of creation) + 2 years and destroy confidential

W0000277. POLICE COMMUNICATIONS - DISPATCH RECORDINGS CR+0/6 DEST Y

This series consists of recordings of campus police dispatch radio and phone transmissions, which may include, but are not limited to, requests for police assistance and police responses.

Records that eventually become part of the prosecution of a case or used for an investigation will follow the record schedule for that case or investigation.

Records may be confidential under Wis. Stat. § 19.35(1)(a) - for certain law enforcement records.

RETENTION: EVENT (date of creation) + 6 months and destroy confidential.

W0000278. COMPUTER AIDED DISPATCH (CAD) RECORDS CR+1 DEST Y

This series consists of records created by the Police Dispatcher during calls regarding incidents or activities. Records may contain the date and time received, nature of the information, general notes, or actions taken.

Records that eventually become part of the prosecution of a case or used for an investigation will follow the record schedule for that case or investigation.

Records may be confidential under Wis. Stat. § 19.35(1)(a) - for certain law enforcement records.

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

W0000279. POLICE RIDE-ALONG RECORDS EVT+2 DEST Y

This series consists of the ride-along waiver that is completed by UW police staff and the person(s) participating in the ride-along. Records include, but are not limited to, the initial application for the ride-along and the approved completed waiver. Records may also include annual logs of completed ride-alongs consisting of the name of person(s) on the ridealong,
name of officer and date.

RETENTION: EVENT (end of calendar year) + 2 years and destroy confidential

W0000280. POLICE STRATEGIC EVENT PLANNING RECORDS FIS+7 DEST Y

This series includes records created for strategic planning and implementation of special events that occur on UW campuses and require heightened police or security presence. Records document issues related to, crowd-control, traffic restrictions, special event plans, guest lists, crowd-control, staffing, threat assessments and follow-up analysis.

Records may be confidential under Wis. Stat. § 19.36(2) and Wis. Stat. § 19.35(1)(a) for certain law enforcement records.

RETENTION: EVENT (end of fiscal year) + 7 years and destroy confidential

W0000281. UW POLICE KEY LOGS EVT+2 DEST Y

This series contains records regarding keys issued to UW police department employees for police facilities.

RETENTION: EVENT (date of seperation from employment) + 2 years and desytroy confidential

W0000282. CONTINUITY OF OPERATION PLAN ACTIVATIONS - MINOR / ROUTINE EVT+7 DEST Y

Records relating to the University’s response to, and recovery from, minor events that trigger an activation of a continuity of operations plan, such as snowstorms, power outages, and small fires.

Records include, but are not limited to, after-action reports, photographs, and other documentation about the event and the University's response, created by the Emergency Operations Center sections.

Records may be restricted under Wis. Stat. § 19.35(1)(a).

RETENTION: EVENT (DATE AFTER-ACTION PLAN COMPLETED) + 7 YEARS AND DESTROY CONFIDENTIAL

W0000283. ROUTINE CAMPUS SECURITY ACTIVITY RECORDS CR+3 DEST Y

This series contains records related to routine campus security activities such as bicycle license registrations, vehicle assists, room lockouts, motor vehicle and driver authorizations, and similar activities.

Records include, but are not limited to, the activity request, information about the person making the request, date, time, location, and resolution.

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

W0000284. POLICE FIREARMS AND OTHER WEAPONS INVENTORY RECORDS EVT+1 DEST Y

This series consists of inventories of police department weapons and individually owned firearms that have been department-approved to be used in the workplace. Weapons may include, but are not limited to, firearms and conducted electrical weapons (Tasers). Inventories may include, personal information, the weapon's make, model and serial number, inspection records and other associated documentation.

RDA #	RDA Title	Retention	Disposition	PII

RETENTION: EVENT (date superseded) + 1 year and destroy confidential

W0000285. POLICE FINGERPRINT SERVICE RECORDS EVT+0/1 DEST Y

This series consists of records related to fingerprinting conducted as a public fee-for-service by the UW Police. This service is available to UW-affiliated individuals as well as the general public and results in completed fingerprint cards which are then turned over to the requestor. These are not considered to be evidentiary records.

EVENT: Date of confirmation of receipt by the Crime Information Bureau

RETENTION: EVENT + 1 day and destroy confidential

W0000286. POLICE FIELD TRAINING FILES EVT+7 DEST Y

UW Police policy states that successful candidates for staff positions on the UW Police force must meet the standards of the field training program. This training is required for all new police officers, security officers, and police communications operators and is conducted during their probationary periods. If the field training is not successfully completed, the individual is terminated.

The records in this series document the field training for each candidate. Records may include, but are not limited to, daily notes by training officers describing duties, interactions the candidate has during their shift, evaluations of core competencies, activity reports, and a final evaluation report.

Training files are held separately from personnel files.

Records may be confidential under Wis. Stat § 19.36(10) - personnel files.

RETENTION: EVENT (date of seperation from employment) + 7 years and destroy confidential

W0000287. POLICE IN-SERVICE COURSE FILES FIS+20 DEST Y

This series consists of records associated with in-service courses for UW Police staff. Records include, but are not limited to, curriculum and lesson plans, course attendance and performance records, required state forms, and other associated records. Course materials may also include video or evidence from case files.

Records may be confidential under Wis. Stat. §§ 19.36(2) and 19.35(1)(a) for certain law enforcement records.

RETENTION: EVENT (end of fiscal year) + 20 years and destroy confidential

W0000288. POLICE SERVICE ANIMAL RECORDS EVT+7 DEST Y

Records related to the training, certification, deployment, and health records of UW Police service animals. This may include, but is not limited to, canines and mounted patrol horses.

Records may be confidential under Wis. Admin. Code § VE 1.52.

RETENTION: EVENT (date animal's service ends) + 7 years and destroy confidential

W0000289. POLICE PROFESSIONAL STANDARDS AND INTERNAL AFFAIRS (PSIA) CASE EVT+10 DEST Y

This series consists of Professional Standards and Internal Affairs (PSIA) complaints and investigative case files. This series also includes administrative reviews of high liability incidents.

Records in this series include, but are not limited to, the original complaint, final resolution, evidence, correspondence, audio/video related to the incident, and related documents.

Records may be confidential under Wis. Stat. § 19.35(1)(a) for certain law enforcement records, Wis. Stat. §§ 48.396 and 938.396 - Juvenile Justice code, Wis. Stat. § 103.13(6)(a) - investigation of a criminal offence by personnel, and Wis. Stat. § 19.36(10) - employee personnel records.

RETENTION: EVENT (date of separation from employment) + 10 years and destroy confidential

W0000290. POLICE RESPONSE TO RESISTANCE REVIEW DOCUMENTATION EVT+5 DEST Y

Response to resistance reviews are conducted by supervisors for all incidents above compliant handcuffing. These reviews determine if there are any policy, training, weapon/equipment, and/or discipline issues which should be addressed and to review the constitutionality of the use of force. After review, records may move to following RDAs W0000289 or W0000291.

Records may include, but are not limited to, the incident report, supervisor/manager review, decisions made, and associated documents.

Records may be confidential under Wis. Stat. § 19.35(1)(a) for certain law enforcement records.

RETENTION: EVENT (date review complete) + 5 years and destroy confidential

W0000291. **POLICE OFFICER INVOLVED CRITICAL INCIDENTS (OICI) CASE FILES** **EVT+10** **UW-TRANS** **Y**

This series consists of records associated with Officer Involved Critical Incidents (OICI) cases with the exception of cases investigated by other designated agencies as required by Wis. Stat. § 175.47.

Records may include, but are not limited to, details of the incident, individuals involved, interviews, audio/video, review of steps taken, investigation records, training, and final reports.

This series contains cases of high public interest and historical importance.

Records may be confidential under Wis. Stat. § 19.35(1)(a) for certain law enforcement records, Wis. Stat. §§ 48.396 and 938.396 - Juvenile Justice code, and Wis. Stat. § 103.13(6)(a) - investigation of a criminal offence by personnel.

RETENTION: EVENT (date of separation from employment) + 10 years and transfer to uw archives

W0000292. **CLERY ACT ANNUAL REPORT** **CR+7** **UW-TRANS** **N**

The Clery Act for Higher Education requires colleges and universities that receive federal funding to disseminate a public Annual Security Report (ASR) to employees and students every October 1st as stated in 20 U.S.C. § 1092(f). This ASR must include statistics of campus crime for the preceding 3 calendar years, plus details about efforts taken to improve campus safety.

Records in this series consists of the final Cleary report that is submitted annually.

RETENTION: EVENT (date of creation) + 7 years and transfer to UW archives

W0000293. **CLERY ACT REPORT SUPPORTING DOCUMENTS** **CR+7** **DEST** **Y**

The Clery Act for Higher Education requires colleges and universities that receive federal funding to disseminate a public annual security report (ASR) to employees and students every October 1st as stated in 20 U.S.C. § 1092(f).

Records in this series consist of all supporting records used in compiling the annual Clery report. It includes a daily occurrence log that describes case #, date/time, case type, locations, address, status and occurrence, and other associated documents used in preparation of the annual report.

Records may be confidential under Wis. Stat.§§ 19.36(2) and 19.35(1)(a) for certain law enforcement records and Wis. Stat. §§ 48.396 and 938.396 - Juvenile Justice code.

RETENTION: EVENT (date of creation) + 7 years and destroy confidential

W0000294. **LAW ENFORCEMENT ACCREDITATION - FINAL REPORTS** **EVT+5** **UW-TRANS** **N**

This series consists of the final report received from accreditation bodies as part of the accreditation process for law enforcement agencies to various bodies such as the Commission on Accreditation for Law Enforcement Agencies (CALEA), the Wisconsin Law Enforcement Accreditation Group (WILEAG), and the International Association of Campus Law Enforcement Administrators (IACLEA).

RETENTION: EVENT (end of accreditation assessment cycle) + 5 years and transfer to UW archives

W0000295. **LAW ENFORCEMENT ACCREDITATION - SUPPORTING DOCUMENTS** **EVT+5** **DEST** **N**

This series consists of the supporting documentation created as part of the accreditation process for law enforcement agencies to various bodies as the Commission on Accreditation for Law Enforcement Agencies (CALEA), the Wisconsin Law Enforcement Accreditation Group (WILEAG), and the International Association of Campus Law Enforcement Administrators (IACLEA).

RETENTION: EVENT (end of accreditation assessment cycle) + 5 years and destroy

W0000296. **POLICE STATISTICAL REPORTS** **CR+20** **DEST** **Y**

This series consists of historical information and statistics used to identify and track crime and incident trends. This information is typically submitted for annual state and federal reporting requirements.

Records may be confidential under Wis. Stat. §§ 19.36(2) and 19.35(1)(a) for certain law enforcement records and Wis. Stat. §§ 48.396 and 938.396 - Juvenile Justice code.

RETENTION: EVENT (date of creation) + 20 years and transfer to UW Archives.

W0000297. **CAMPUS INFRASTRUCTURE SECURITY REPORTS** **CR+3** **DEST** **N**

This series consists of reports produced by UW Police as a campus service and are related to the physical security and protection of buildings and areas of the University. Records include, but are not limited to, walk-through evaluations of buildings, crime prevention surveys, scope reports, Commission on Accreditation for Law Enforcement Agencies (CALEA) risk assessments, and other related reports.

These reports are sensitive in nature and may be confidential under Wis. Stat. § 19.36(9) for campus security measures.

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

W0000298. POLICE SURVEILLANCE RECORDS CR+1 DEST Y

This series includes photographs and video surveillance recordings made as part of a planned investigation.

Evidentiary materials that eventually become part of the prosecution of a case or used for an investigation follow the record schedule for that case or investigation.

Records may be confidential under Wis. Stat. §§ 19.36(2) and 19.35(1)(a) for certain law enforcement records and Wis. Stat. §§ 48.396 and 938.396 - Juvenile Justice code.

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

W0000299. POLICE AUDIO AND VIDEO RECORDINGS CR+0/6 DEST Y

This series includes police audio or video recordings documenting events that occur prior to, during, and after an enforcement action. Records may include recordings from in-car video systems, body cams, and police department facilities such as hallways and holding rooms.

Evidentiary recordings that eventually become part of the prosecution of a case or used for an investigation follow the record schedule for that case or investigation.

Records may be confidential under Wis. Stat. §§ 19.36(2) and 19.35(1)(a) for certain law enforcement records and Wis. Stat. §§ 48.396 and 938.396 - Juvenile Justice code.

RETENTION: EVENT (date of creation) + 6 months and destroy confidential

W0000300. POLICE PROPERTY / EVIDENCE RECORDS EVT+75 DEST Y

University police officers routinely seize/collect evidence and take custody of abandoned/recovered property as well as property that is part of an asset forfeiture process.

This series covers records of property that are recovered, seized, or forfeited and includes chain of custody information for evidence held by the UW Police. Records may contain victim information.

These records are maintained as part of civil and criminal case documentation.

May be confidential under Wis. Stat. § 950.04(1v)

RETENTION: EVENT (Date added to property record system) + 75 years and destroy confidential

W0000301. POLICE PROPERTY AUDIT RECORDS FIS+20 DEST Y

This series consists of forms and reports related to the audits of the inventory and disposition of property held by a campus UW Police department. Records may contain victim information.

May be confidential under Wis. Stat. § 950.04(1v).

RETENTION: EVENT (end of fiscal year) + 20 years and destroy confidential

W0000302. POLICE PROPERTY / EVIDENCE ROOM ACCESS LOG FIS+7 DEST Y

This series consist of log files documenting people entering and exiting UW Police property/evidence storage rooms.

RETENTION: EVENT (end of fiscal year) + 7 years and destroy confidential

W0000303. UW YOUTH ACTIVITY PARTICIPANT RECORDS - ENROLLED AND ATTENDED EVT+7 DEST Y

This series consists of participant records for individuals who attended in-person or virtual UW institution sponsored activities. Covered activities are defined by UW System Administrative Policy 625 - Youth Protection and Compliance.

Participant records may vary based on the type of program attended. Records may include, but are not limited to, registration forms, financial information, academic transcripts, consent forms, media release forms, and behavioral expectation forms.

Some records in this series may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. pt. 99 (FERPA).

RETENTION: EVENT (date activity ends) + 7 years and destroy confidential

W0000304. UW YOUTH ACTIVITY PARTICIPANT RECORDS - DID NOT ATTEND EVT+1 DEST Y

This series consists of records submitted for youth registering or applying to attend in-person or virtual UW institution sponsored activities but did not attend or were not accepted to participate. Covered activities are defined by UW System Administrative Policy 625 - Youth Protection and Compliance.

Participant records may vary based on the type of program applied to or registered for. Records may include, but are not limited to, registration forms, financial information, academic transcripts, consent forms, media release forms, and behavioral expectation forms.

Some records in this series may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. pt. 99 (FERPA).

EVENT= Date application denied or date of activity

RETENTION: EVENT + 1 year and destroy confidential

W0000305. UW YOUTH ACTIVITY PARTICIPANT MEDICAL RECORDS **EVT+3** **DEST** **Y**

This record series includes health records that are required for youth to participate in any UW institution covered activity as defined by UW System Administrative Policy 625 - Youth Protection and Compliance.

Records include, but are not limited to, medical history forms, medical consent forms, immunization records, documentation of last physical examination, and medication lists.

Records in this series are confidential under 45 C.F.R. pts. 160 and 164 (HIPAA).

EVENT: Date Activity Ends or Date of 18th Birthday

RETENTION: EVENT +3 years and destroy confidential

W0000306. UW YOUTH ACTIVITY PARTICIPANT MEDICAL LOGS **EVT+3** **DEST** **Y**

This record series contains entries into a medical log of any medication or treatment provided to a youth participant by an authorized adult during a covered activity as defined by UW System Administrative Policy 625 - Youth Protection and Compliance.

Records in this series are confidential under 45 C.F.R. pts. 160 and 164 (HIPAA).

RETENTION: EVENT (date activity ends) + 3 years and destroy confidential

W0000307. UW YOUTH ACTIVITY INCIDENT REPORTS **EVT+7** **DEST** **Y**

This series contains records pertaining to the official reporting of all documented incidents involving minors engaging in covered activities, as defined by UW System Administrative Policy 625 - Youth Protection and Compliance. Records include, but are not limited to, incident reports, steps taken, police reports, reports submitted to UW institution offices, and decisions made as a result of the incident.

RETENTION: EVENT (date incident resolved) + 7 years and destroy confidential

W0000308. UW YOUTH ACTIVITIES - THIRD PARTY CONTRACTS **EVT+7** **DEST** **N**

This record series consists of contracts between UW institutions and third parties engaging in covered activities, as defined by UW System Administrative Policy 625 - Youth Protection and Compliance. This series may also include any correspondence clarifying or setting terms in the contract itself.

RETENTION: EVENT (date contract expires) + 7 years and destroy confidential

W0000309. LIBRARY DONOR FILES **EVT+10** **DEST** **Y**

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. This series may also include records regarding the withdrawal or removal of any library materials donated or purchased under special conditions.

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT (DATE ITEM IS DONATED) + 10 YEARS AND DESTROY CONFIDENTIAL

W0000310. LIBRARY ITEM CIRCULATION RECORDS **EVT+0/6** **DEST** **Y**

Commonly called circulation records, these records document the borrowing of circulating library materials by qualified patrons. The series links the item's bibliographic information to a patron during the loan period. Information may include, but is not limited to, the time-period of the loan, renewals, and fines. This series may also include communication regarding circulating items.

Records may be confidential under Wis. Stat § 43.30 (1)(m).

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT (DATE ITEM RETURNED) +6 MONTHS AND DESTROY CONFIDENTIAL

W0000311. LIBRARY USER AGREEMENTS EVT+0/1 DEST Y

Records related to agreements signed by library patrons regarding the use of library resources and facilities.

Records may be confidential under Wis. Stat § 43.30(1)(m).

RETENTION: EVENT (DATE AGREEMET EXPIRES) + 2 WEEKS AND DESTROY CONFIDENTIAL

W0000312. LIBRARY RESOLVED SEARCH LISTS EVT+1 DEST N

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

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT (END OF ACADEMIC YEAR) + 1 YEAR AND DESTROY

W0000313. LIBRARY STACK MANAGEMENT RECORDS EVT+0/1 DEST N

Records created in the process of managing library books 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.

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT (DATE SUPERSEDED) + 1 DAY AND DESTROY

W0000314. LIBRARY INTERLENDING REQUEST RECORDS EVT+1 DEST Y

Records that track the request, shipping, and return of library items with other libraries. Records may include, but are not limited to, requests for materials, receipts, patron signed forms, 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. Some campuses use this information for long-term historical analysis.

Event: Date request completed, or historical analysis completed, whichever is longer.

Records may be confidential under Wis. Stat § 43.30(1)(m).

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT + 1 YEAR AND DESTROY CONFIDENTIAL

W0000315. LIBRARY REFERENCE QUESTIONS FIS+1 DEST Y

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.

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT (END OF FISCAL YEAR) + 1 YEAR AND DESTROY CONFIDENTIAL

W0000316. LIBRARY INSTRUCTIONAL MATERIALS EVT+0/1 DEST N

Materials created for patron or campus use, explaining the use of the catalog, databases and other bibliographic tools. Records may include LibGuides and similar resources.

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT (DATE SUPERSEDED) + 1 DAY AND DESTROY

W0000317. LIBRARY PATRON RECORDS EVT+3 DEST Y

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

Event: Date of last attendance, last day of employment, or expiration of user agreement.

Records may be confidential under Wis. Stat § 43.30(1)(m).

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT + 3 YEARS AND DESTROY CONFIDENTIAL

W0000318. LIBRARY BIBLIOGRAPHIC RECORD EVT+0/1 DEST N

Records of all cataloged library materials considered part of the library collection including books, media, archival, and special collection materials. Records include descriptive metadata for each item. Some campuses use this information for long-term historical analysis.

Event: Date last copy withdrawn, or historical analysis completed, whichever is longer.

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT +1 DAY AND DESTROY

W0000319. LIBRARY CIRCULATION HISTORICAL USAGE RECORDS EVT+0/1 DEST N

These records document the use of library materials over the lifetime of an item. The records include transaction and bibliographic information of the items that were circulated but are no longer linked to patron information to protect the identity of the borrower. Some campuses use this information for long-term historical analysis to determine when items should be removed from the collection.

Event: Date item withdrawn, or historical analysis completed, whichever is longer.

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT + 1 WEEK AND DESTROY

W0000320. LIBRARY PATRON HISTORICAL CIRCULATION RECORDS EVT+3 DEST Y

Records that document the borrowing of circulating library materials by qualified patrons who have opted-in to preserve their historical library use. Patrons may include students, staff or community members.

Event: Date of last attendance, last day of employment, or expiration of user agreement

Records may be confidential under Wis. Stat § 43.30(1)(m).

Records for Special Collections, Archives, Museums and Galleries are covered under different schedules.

RETENTION: EVENT + 3 YEARS AND DESTROY CONFIDENTIAL

W0000321. SPECIAL COLLECTIONS, MUSEUMS, AND GALLERIES MANAGEMENT RECOI P PERM Y

Records pertaining to the acquisition, history, value, care and movement of special collections, museums, and galleries materials. This series may include, but is not limited to, accession records, catalog records, deeds of gifts, donor files, processing records, research materials, object images, condition reports, appraisals, insurance records, and historical information. Deaccession records are also kept to preserve provenance information.

PERMANENT: These records include vital information regarding the provenance of university-owned museum objects, special collections, and archival materials. The records also provide evidence of staff decisions concerning materials of historical, cultural, and intrinsic value and document institutional accountability.

Records for Libraries are covered under different schedules.

RETENTION: PERMANENT

W0000322. SPECIAL COLLECTIONS AND MUSEUMS RESEARCHER REGISTRATION REC EVT+10 DEST Y

Registration records are created to authenticate a patron on an annual or daily basis in preparation for research in special collections and museums. These records are used for security purposes, statistical analysis, and to acquaint patrons with department rules and regulations. Patrons may be of different user types including students, staff, and community members.

Event: Date of last attendance, last day of employment, or expiration of user agreement.

Records may be confidential under Wis. Stat § 43.30(1)(m).

Records for Libraries are covered under different schedules.

RETENTION: EVENT +10 YEARS AND DESTROY CONFIDENTIAL

W0000323. SPECIAL COLLECTIONS CIRCULATION RECORDS EVT+10 DEST Y

Records that document the borrowing of special collections materials by qualified patrons and would include the name of the individual,

date of use, reason for use, materials used by patron and bibliographic information regarding the collection. The series links the item's bibliographic information to a patron and records items like the time period of the loan, renewals, and fines.

Records may be confidential under Wis. Stat § 43.30(1)(m).

Records for Libraries are covered under different schedules.

RETENTION: EVENT (DATE ITEM RETURNED) + 10 YEARS AND DESTROY CONFIDENTIAL

W0000324. SPECIAL COLLECTIONS INTERLENDING RECORDS FIS+10 DEST Y

Records created to process shipments of special collections materials through the Area Research Center network. Records may include patron information, shipping lists and shipment confirmation statements.

Records may be confidential under Wis. Stat § 43.30(1)(m).

Records for Libraries are covered under different schedules.

RETENTION: EVENT (END OF FISCAL YEAR) + 10 YEARS AND DESTROY CONFIDENTIAL

W0000325. SPECIAL COLLECTIONS AND MUSEUMS REFERENCE / RESEARCH REQUES FIS+5 DEST Y

Records documenting reference and research requests and responses by special collections and museum staff.

Records may be confidential under Wis. Stat § 43.30(1)(m).

Records for Libraries are covered under different schedules.

RETENTION: EVENT (END OF FISCAL YEAR) + 5 YEARS AND DESTROY CONFIDENTIAL

W0000326. SPECIAL COLLECTIONS, MUSEUMS AND GALLERIES CONSERVATION TREA P PERM Y

Records documenting any repair or conservation treatment performed on art objects, artifacts, and materials in special collections, museums, and galleries. These records may include, but are not limited to, a description of the action, the person or company performing such work, and related documentation, as well as vital information regarding the provenance of university-owned museum objects, special collections and archival materials.

PERMANENT: This information is used to document the historical, cultural, and intrinsic value of these items. The precise nature of these treatments must be understood in the future so that they may be augmented or reversed in order to preserve collection materials.

Records for Libraries are covered under different schedules.

RETENTION: PERMANENT

W0000327. LIBRARY, SPECIAL COLLECTIONS, MUSEUMS, AND GALLERIES SPECIAL E EVT+5 DEST N

Records documenting the borrowing or loan of collection materials typically for exhibitions by libraries, special collections, museums, and galleries. Records include, but are not limited to, brochures, insurance certifications, loan forms, manuscript appraisals, condition and facility reports, and related correspondence.

RETENTION: EVENT (DATE MATERIALS RETURNED) + 5 YEARS AND DESTROY

W0000328. LIBRARY, SPECIAL COLLECTIONS, MUSEUMS, AND GALLERIES EXHIBITION EVT+5 DEST N

Materials pertaining to the design, execution, and installation of exhibitions. Records may include correspondence, memoranda, concepts, scripts, label texts, clippings, installation photographs, floor plans, drawings, graphics, checklists, schedules, notes, and related materials.

RETENTION: EVENT (DATE EXHIBIT CLOSED) + 5 YEARS AND DESTROY

W0000329. ACADEMIC ADVISING RECORDS EVT+8 DEST Y

This series contains records created to document and support comprehensive and planned guidance for matriculated undergraduate and graduate students as well as for certificate and licensure programs.

These records may contain, but are not limited to, advising notes, curriculum and degree planning materials, reports and summaries, and correspondence. Graduate advising records may also include graduate admission test results, certificates of admission, letters of recommendation and research proposal forms.

This series also includes records created to document comprehensive and planned guidance for students pursuing professional licensure or certification in areas including, but not limited to, education, social work, nursing, and counseling. Records may additionally include background checks, agreements, references, practicum and/or clinical reports and documents.

RETENTION: EVENT (DATE OF LAST ENROLLMENT) + 8 YEARS AND DESTROY CONFIDENTIAL

W0000330. ACADEMIC ADVISING RECORDS - ADMITTED STUDENTS - DID NOT ATTEND **EVT+2** **DEST** **Y**

This series pertains to advising records for students who express interest, but never attended the university. Records include, but are not limited to, recruitment and advising notes, transcripts, applications, and correspondence.

This records series does not include the informal and isolated communications of faculty and staff who do not provide regular advising services. This series does not apply to students considered "prospective" as those records are covered under other schedules.

RETENTION: EVENT (DATE OF FIRST CONTACT) + 2 YEARS AND DESTROY CONFIDENTIAL

W0000331. HEALTH SERVICES PATIENT RECORDS **EVT+10** **DEST** **Y**

This series pertains to patient health records for individuals who receive health services at the University. This may include general health services, counseling and psychological services, audiology, immunizations, and other health services.

Records may include, but are not limited to, a person's health history, medications, treatments, tests, immunizations, records associated with visits to a health care provider and subsequent correspondence.

This schedule does not apply to health records for minors participating in University activities, human research participants, or veterinary health records, which are covered in other schedules.

RETENTION: EVENT (Date of Last Encounter) + 10 YEARS AND DESTROY CONFIDENTIAL

W0000332. STUDENT ATHLETE HEALTH FILES **EVT+10** **DEST** **Y**

This series represents the main student athlete health record for athletics programs.

Student athlete medical files may contain, but are not limited to, health physicals, health history questionnaires, physician notes, injury evaluations and rehabilitation reports, diagnostic imaging results, operative reports and images, health insurance information, and other associated health records.

RETENTION: EVENT (Date of Last Encounter) + 10 YEARS AND DESTROY CONFIDENTIAL

W0000333. ADULT ACTIVITY HEALTH RECORDS **EVT+4** **DEST** **Y**

This series consists of health records and consent forms generated for all adult individuals (over the age of 18) attending University-sponsored activities, camps or programs where health information might be collected or medical care provided during the course of those activities.

These records may include, but are not limited to, health histories, questionnaires, signed consent forms to allow for medical treatment and medicinal dispensing, and medical liability waivers required to participate in the activity, as well as records of injury reports, first aid treatment, or medication dispensed during the activity.

RETENTION: EVENT (End of Year of Participation) + 4 YEARS AND DESTROY CONFIDENTIAL

W0000334. HEALTH INSURANCE PLAN RECORDS **CR+5** **DEST** **N**

This series pertains to information created to describe student health insurance plan products which are required for all students. Records include, but are not limited to, plan brochures regarding coverage and enrollment options, FAQs, lists of in-network providers, instructions about obtaining health cards and forms. Records may also include foreign government billing and vendor accounting information related to insurance plans.

RETENTION: EVENT (DATE OF CREATION) + 5 YEARS AND DESTROY

W0000335. HEALTH PROVIDER APPOINTMENT SCHEDULES **EVT+7** **DEST** **Y**

This series includes the appointment schedules for any health care provider. Appointment schedules may contain the name of the patient.

RETENTION: EVENT (DATE OF APPOINTMENT) + 7 YERAS AND DESTROY CONFIDENTIAL

W0000336. HEALTH SERVICES QUALITY IMPROVEMENT RECORDS **EVT+3** **DEST** **Y**

This series contains health studies and quality assessments/audits which are utilized to improve the quality of health care.

Records include, but are not limited to, quality studies, audits, peer and case reviews, complaint forms, surveys, and National College Health Assessment (NCHA) reports.

RETENTION: EVENT (DATE COMPLETED OR RECEIVED) + 3 YEARS AND DESTROY CONFIDENTIAL

W0000338. SELECT AGENT PROGRAM RECORDS **CR+4** **DEST** **Y**

This series documents records managed by the university Select Agent (SA) Program which oversees and facilitates research conducted with select agents and toxins and university units that use select agents and toxins to ensure compliance with 7 C.F.R. Part 331, 9 C.F.R. Part 121, and 42 C.F.R. Part 73.

These records include, but are not limited to, material transfers, discrepancy reports, notifications of theft, loss or release, facility records, and inspection reports. Records also include training records for individuals not covered under schedule W0000339 (ex: people who may be escorted into SA spaces).

RETENTION: EVENT (DATE OF CREATION) + 4 YEARS AND DESTROY CONFIDENTIAL

W0000339. SELECT AGENT AND TOXIN INVENTORY AND INACTIVATION RECORDS **EVT+4** **DEST** **Y**

Inventory and inactivation records of select agents and toxins that are managed by the university Select Agent Program and university units that use select agents and toxins. Inventories and inactivation records are held for a period of time after final disposition of the materials to ensure compliance with 7 C.F.R. Part 331, 9 C.F.R. Part 121, and 42 C.F.R. Part 73.

RETENTION: EVENT (FINAL DISPOSITION OF THE MATERIAL) + 4 YEARS AND DESTROY CONFIDENTIAL

W0000340. SELECT AGENT TRAINING AND SUITABILITY RECORDS **EVT+4** **DEST** **Y**

This series contains records which document the training and suitability assessments for individuals with access to select agents and toxins and select agent registered spaces at the university as a part of their work.

These records include, but are not limited to, personnel training records and access approvals to select agent and toxins and select agent registered spaces. For higher tier access to certain select agents, records may also include suitability reports (background checks, medical assessments, etc), and documentation of any incidents that arise during continuous monitoring.

These records may be confidential under 45 C.F.R. pts. 160 and 164 (HIPAA), Wis. Adm. Code 146.82 (1), 7 C.F.R. Part 331.17(b), 9 C.F.R. Part 121.17(b), and 42 CFR § 73.17(b).

RETENTION: EVENT (ACCESS TO SELECT AGENT REGISTERED SPACE IS REMOVED) + 4 YEARS AND DESTROY CONFIDENTIAL

W0000341. VETERINARY MEDICINE ANIMAL MEDICAL RECORDS **EVT+20** **DEST** **Y**

This series consists of veterinary medical records for animals that have been treated by University of Wisconsin veterinary medicine programs.

These records include, but are not limited to, admission and discharge information, treatment received, surgery information, laboratory results, discharge and billing information. Entries are made by faculty, staff and students participating in the veterinary medical care provided to animal patients.

RETENTION: EVENT (DATE PATIENT LAST SEEN) + 20 YEARS AND DESTROY CONFIDENTIAL

W0000342. VETERINARY MEDICINE CLIENT FEE ADJUSTMENT FORM **CR+3** **DEST** **Y**

This record series consists of the adjustment form completed by the veterinary clinic approving fee adjustments in individual patient cases.

RETENTION: EVENT (DATE OF CREATION) + 3 YEARS AND DESTROY CONFIDENTIAL

W0000343. VETERINARY MEDICINE TRANSFUSION RECORDS **EVT+20** **DEST** **Y**

This series contains records pertaining to transfusions performed on animal patients at University of Wisconsin veterinary medicine programs.

The records include, but are not limited to, the blood donor's ID, the recipient’s ID, the patient's Packed Cell Volume (PCV) and Total Protein Count (TPC) before and after treatment, reasons for transfusions, medications given, and any reactions.

RETENTION: EVENT (DATE OF TRANSFUSION) + 20 YEARS AND DESTROY CONFIDENTIAL

W0000344. VETERINARY MEDICINE INJECTION PREPARATION AND STERILE MANUFAC **EVT+1** **DEST** **Y**

This series consists of logs documenting the preparation of injections for animal patients at University of Wisconsin veterinary medicine programs.

Records include, but are not limited to, the date, name of drug, number of syringes filled, dosage, manufacturer, lot number of the drug, and the initials of pharmacist or pharmacy technician. The logs also document the compounding of pharmaceutical products.

RDA #	RDA Title	Retention	Disposition	PII

RETENTION: EVENT (END OF YEAR CREATED) + 3 YEARS AND DESTROY CONFIDENTIAL

W0000345. VETERINARY MEDICINE RADIOGRAPHS — EVT+20 — DEST — Y

This record series consists of radiographs taken in the course of treating animal patients at University of Wisconsin veterinary medicine programs.

RETENTION: EVENT (DTE PATIENT LAST SEEN) + 20 YEARS AND DESTROY CONFIDENTIAL

W0000346. AUTOCLAVE STEAM LOAD LOGS AND CHART RECORDS — EVT+3 — DEST — N

This series consists of records associated with the use of laboratory autoclave equipment. This may include written logs for each load run in the autoclave and tracings produced on paper as an autoclave function.

Logs may include, but are not limited to, the autoclave number, the load number on that date, itemized list of contents of load. The tracing records track data such as the heat-up time, temperature, and shut-off time.

RETENTION: EVENT (END OF YEAR CREATED) + 3 YEARS AND DESTROY

W0000347. VETERINARY MEDICINE - PHARMACY REQUESTS — EVT+5 — DEST — Y

Records retained by the veterinary pharmacy documenting requests sent by veterinary hospital personnel for medications (prescription and non-prescription) which are dispensed to both out-patients and in-patients. This excludes research drug requests which are covered under W0000350.

Records are held per the rules of the Wisconsin Pharmacy Board (Phar 7.05, Wisconsin Administrative Code) and the Federal Drug Enforcement Agency (21 CFR 1304.04) when controlled substances are involved.

RETENTION: EVENT (DATE REQUEST RECEIVED) + 5 YEARS AND DESTROY CONFIDENTIAL

W0000348. VETERINARY MEDICINE INTERNAL REQUISITION RECORDS — EVT+3 — DEST — N

This record series consists of requests of items from the veterinary medicine pharmacy for use elsewhere in the veterinary hospital and school.

Records include, but are not limited to, the name of the requestor, and the supplies or non-controlled medications being transferred for department use. This excludes pharmacy requests for specific animal patients which are covered under W0000347 and research drug requests which are covered under W0000350.

RETENTION: EVENT (DATE REQUEST RECEIVED) + 3 YEARS AND DESTROY

W0000349. VETERINARY MEDICINE CONTROLLED SUBSTANCE SCHEDULE II AND III LO — CR+10 — DEST — Y

This series consists of a log book into which entries are made as Schedule II and III controlled substances are dispensed by the veterinary pharmacy.

Entries in this log may include, but are not limited to, date, investigator's name, drug administration record number, amount dispensed, amount remaining, variances, and initials of the person dispensing the drug.

Records are held longer than the requirements of the federal Drug Enforcement Administration (DEA) under 21 CFR 1304.04 and Wis. Admin. Code § Phar 7.05 for research purposes.

RETENTION: EVENT (DATE OF CREATION) + 10 YEARS AND DESTROY CONFIDENTIAL

W0000350. VETERINARY MEDICINE - RESEARCH DRUG REQUESTS — EVT+10 — DEST — Y

This series documents requests by researchers to the veterinary pharmacy for drugs to be used in their research. Records are held longer than the requirements of the federal Drug Enforcement Administration (DEA) under 21 CFR § 1304.04 for research purposes. This excludes pharmacy requests for specific animal patients which are covered under W0000347.

RETENTION: EVENT (DATE OF REQUEST) + 10 YEARS AND DESTROY CONFIDENTIAL

W0000351. CLINICAL LABORATORY GENERAL TESTING RECORDS — EVT+2 — DEST — N

This series consists of records produced in the course of general clinical laboratory testing operations, test system performance monitoring, and quality system assessment.

Records may include, but are not limited to, test orders, accessioning worksheets, instrument output and data files, routine maintenance records, function assessments, quality control (QC) and quality assurance (QA) activity records, ongoing calculation verification monitors, training and competency assessment records, and routine quality assurance proficiency testing records.

This record series addresses the required minimum retention time for clinical test requisitions and testing data. Records are

kept for the year in which they are created and an additional two years. Records for clinical laboratories are held according to Clinical Laboratory Improvement Amendments (CLIA) standards as described in 42 C.F.R § 493.1105 and College of American Pathologists accreditation requirements.

RETENTION: EVENT (END OF CALENDAR YEAR) + 2 YEARS AND DESTROY

W0000352. CLINICAL LABORATORY PROFICIENCY TESTING RECORDS **EVT+2** **DEST** **N**

This series consists of records generated from participation in external proficiency testing exercises. Records include test worksheets and compiled final reports.

This schedule does not include records pertaining to routine quality assurance related activities covered under other schedules.

Records are at end of life when the procedure or analyzer is retired or replaced and no longer needed to reproduce results for audit / quality control purposes.

RETENTION: EVENT (DATE TEST OR METHOD IS RETIRED OE SUPERSEDED) + 2 YEARS AND DESTROY

W0000353. LABORATORY EQUIPMENT RECORDS **EVT+2** **DEST** **N**

This series consists of records documenting the installation, repair, and service history of lab analytical instruments, refrigerators, freezers, incubators and other equipment commonly used to conduct laboratory testing.

Records may include, but are not limited to, any vendor/technical reference materials, installation records, troubleshooting logs, and service history documentation.

This schedule does not include records pertaining to routine quality assurance related activities covered under other schedules.

Laboratory equipment is at end-of-life when it is retired or replaced and no longer needed to reproduce results for audit / quality control purposes.

RETENTION: EVENT (LIFE OF INSTRUMENT / EQUIPMENT) + 2 YEARS AND DESTROY

W0000354. HONORARY DEGREES - SUCCESSFUL **EVT+3** **UW-TRANS** **Y**

Honorary degrees for the Universities of Wisconsin are conferred for individuals who have shown outstanding service to humanity globally, nationally, or locally. Honorary degree committee meetings are often held in closed sessions.

Records in this series may include, but are not limited to, the nomination materials and commencement citation for each.

Records may be confidential under Wis. Stat. § 19.85(1)(f).

RETENTION: EVENT (DATE DEGREE IS CONFIRMED) + 3 YEARS AND TRANSFER TO UW ARCHIVES

W0000355. HONORARY DEGREES - USUCCESSFUL **EVT+3** **DEST** **Y**

Honorary degrees for the Universities of Wisconsin are conferred for individuals who have shown outstanding service to humanity globally, nationally, or locally. Honorary degree committee meetings are often held in closed sessions.

Records in this series consist of the nomination materials for candidates who do not move forward in the honorary degree review process or who declined the degree.

Records may be confidential under Wis. Stat. § 19.85(1)(f).

EVENT: Date review process completes or candidate declines

RETENTION: EVENT + 3 YEARS AND DESTROY CONFIDENTIAL

W0000356. HONORARY DEGREES - RESCINDED **EVT+3** **UW-TRANS** **Y**

This series consists of records pertaining to an individual having their honorary degree rescinded by the University.

May be restricted under Wis. Stat. §§ 19.35(1)(a) and 19.35(1)(am)(1).

RETENTION: EVENT (DATE DEGREE IS RESCINDED) + 3 YEARS AND TRANSFER TO UW ARCHIVES

W0000357. STUDENT FINANCIAL AID RECORDS **EVT+3** **DEST** **Y**

Records include, but are not limited to, documentation submitted by students to apply for federal financial aid, such as loans, work-study, and grants, regardless of whether they attend the institution. The records and documents in this series are used to verify and document the

student status declared in the Free Application for Federal Student Aid (FAFSA). This Information may also be used to calculate eligibility for state aid and school-based aid.

Records are retained in accordance with 34 C.F.R. § 668.24(e)(2)(i).

Records may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. § 99.

EVENT: End of Award Year Student Last Attended or Applied, whichever is longer

RETENTION: EVENT + 3 YEARS AND DESTROY CONFIDENTIAL

W0000358. STUDENT FINANCIAL ACCOUNT RECORDS EVT+3 DEST Y

This series includes student financial account records that reflect the balance of funds owed by, or to, a student for university tuition or services. Student accounts include, but are not limited to, each student's institutional charges, segregated fees, payments, Title IV payment, disbursements, and returned funds. This series also includes records for student accounts in which the student was not eligible for, or did not accept, the loan.

Records in this series are retained in accordance with 34 C.F.R. § 668.24(e)(2)(i).

Records may be confidential under 20 U.S.C. § 1232g and 34 C.F.R § 99.

RETENTION: EVENT (END OF AWARD YEAR STUDENT LAST ATTENDED) + 3 YEARS AND DESTROY CONFIDENTIAL

W0000359. UNIVERSITY ACADEMIC PLANNING RECORDS EVT+3 UW-TRANS N

Academic planning records capture changes in the academic structure, name changes for schools and colleges over time, as well as track proposals for non-credit credentials.

Records may include document proposals for the creation, change, or discontinuation of university academic programs and courses. This includes the periodic review of existing for-credit degrees/majors/certificates (credentials) and their curriculum, as well as any institutional and program-specific official accreditation approval, program certification and/or licensure, and program learning outcomes and proposals for departments, schools or colleges, centers and institutes.
Records also include course and program proposals, which may include tuition changes, certification and licensure requirements, selfevaluations by the unit being reviewed, review committee reports, final summary reports, and any associated documentation.

EVENT: Date Review Complete or Proposal Superseded

RETENTION: EVENT + 3 YEARS AND TRANSFER TO UW ARCHIVES.

W0000360. PROGRAM PARTICIPATION AGREEMENT EVT+6 DEST N

The 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.

RETENTION: EVENT (DATE AGREEMENT ENDS OR IS SUPERSEDED) + 6 YERAS AND DESTROY

W0000361. STUDENT GRANT ADMINISTRATIVE FILES EVT+3 DEST Y

Forms, institutional applications, and supporting documentation used by Financial Aid officers doing campus-level, day-to-day administrative tasks to request and monitor federal and state grants at the student level. Records may include, but are not limited to, rosters of eligible recipients, error listing reports, and Common Origination and Disbursement student records.

Records in this series are retained in accordance with 34 C.F.R. § 668.24(e)(2)(i).

Records may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. § 99 (FERPA).

RETENTION: EVENT (END OF AWARD YEAR STUDENT LAST ATTENDED) + 3 YEARS AND DESTROY CONFIDENTIAL

W0000362. STUDENT TUITION GRANT FILES EVT+3 DEST Y

Records in this series used by Financial Aid officers doing campus-level, day-to-day administrative tasks to manage campus student tuition grant vouchers and related documentation used for the disbursement and reporting of grants.

Records in this series are retained in accordance with 34 C.F.R. § 668.24(e)(1).

Records in this series may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. § 99 (FERPA).

RETENTION: EVENT (END OF AWARD YEAR AID AWARDED) + 3 YEARS AND DESTROY CONFIDENTIAL

W0000363. MILITARY AND VETERAN EDUCATION BENEFITS AND SUPPORTING RECORI EVT+3 DEST Y

Forms and institutional applications administered by Veterans Affairs offices and/or School Certifying Officials to request and monitor a

series of federal and state military and veteran education benefits.

Records in this series are retained in accordance with 38 C.F.R. § 21.4209(f).

Records in this series may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. § 99 (FERPA).

RETENTION: EVENT (END OF ENROLLMENT PERIOD) + 3 YEARS AND DESTROY CONFIDENTIAL

W0000364. STUDENT LOAN PROGRAM ADMINISTRATION RECORDS EVT+3 DEST Y

Forms, institutional applications, and supporting documentation used by Financial Aid officers to request and monitor the administration of federal and state grants at the program level. Records may include, but are not limited to, loan entrance/exit counseling records, Truth
in Lending documents, and related correspondence from lenders.

Records in this series are retained in accordance with 34 C.F.R. § 668.24(e)(2)(i).

Records in this series may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. § 99 (FERPA).

RETENTION: EVENT (END OF AWARD YEAR STUDENT LAST ATTENDED) +3 YEARS AND DESTROY CONFIDENTIAL

W0000365. CONTINUITY OF OPERATION PLAN ACTIVATIONS - HISTORICALLY SIGNIFIC. EVT+10 UW-TRANS Y

Records relating to the University's response to and recovery from significant events that trigger an activation of a continuity of operations plan, such as pandemics, active threats, and severe weather with significant impacts to campus operations.

Records include, but are not limited to, after-action reports, photographs, and other documentation about the event and the University's response, created by the Emergency Operations Center sections.

Records may be restricted under Wis. Stat. § 19.35(1)(a).

RETENTION: EVENT (DATE AFTER-ACTION PLAN COMPLETED) + 10 YEARS AND TRANSFER TO UW ARCHIVES

W0000366. FISCAL OPERATIONS REPORT AND APPLICATION TO PARTICIPATE (FISAP) EVT+3 DEST N

Fiscal Operations Report and Application to Participate (FISAP) and any other records that support data contained in the FISAP. Supporting records may include, but are not limited, to Pell Grant statements of accounts, reconciliation reports, audit reports and responses, state grant and scholarship award rosters and reports, accrediting and licensing agency reports, and records used to prepare the income grid.

Records are retained in accordance with 34 C.F.R. § 668.24(e)(1)(i).

RETENTION: EVENT (END OF AWARD YEAR REPORT WAS SUBMITTED) + 3 YEARS AND DESTROY

W0000367. TITLE VII ANNUAL OPERATING REPORT EVT+3 DEST N

Annual Operating Reports (AOR) are reports of annual and cumulative loan activity of Title VII loan programs. They include calculation of excess cash and the need for additional funding. The AOR is required to participate in the Title VII programs.

Records in this series are retained in accordance with 45 C.F.R. § 75.361.

RETENTION: EVENT (END OF AWARD YEAR REPORT WAS SUBMITTED) + 3 YEARS AND DESTROY

W0000368. STUDENT LOAN CASE FILES AND REPAYMENT RECORDS EVT+7 DEST Y

This series includes records documenting repayment of Perkins and other types of student loans. These records may include, but are not limited to, repayment arrangements, loan verifications, Master Promissory Notes (MPN), exit loan counseling, payment history, and collection activity.

Records must be retained until the loan is repaid, canceled, assigned to the U.S. Department of Education, or documents are needed to enforce obligation. Records regarding payment history and collection activity are maintained for 7 years to comply with credit bureau reporting requirements under 15 U.S.C. § 1681c.

Records in this series may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. § 99 (FERPA).

EVENT: Date Loan is Repaid, Canceled, Assigned to the U.S Department of Education, or Documents are Needed to Enforce Obligation

RETENTION: EVENT + 7 YEARS AND DESTROY CONFIDENTIAL

W0000369. BUREAU OF INDIAN AFFAIRS GRANT FILES EVT+3 DEST Y

Forms and supporting documentation used by campus officers doing campus-level, day-to-day administrative tasks to apply for and

monitor Federal Bureau of Indian Affairs Grants, Tribal Grants, and Wisconsin Indian Grants.

Records may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. § 99 (FERPA).

RETENTION: EVENT (END OF AWARD YEAR STUDENT LAST ATTENDED) + 3 YEARS AND DESTROY CONFIDENTIAL

W0000370. FEDERAL PELL GRANT ELECTRONIC STATEMENTS OF ACCOUNT EVT+3 DEST Y

Federal Pell Grant Electronic Statements of Account (ESOA) are official statements from the U.S. Department of Education that document a school's authorization level for the upcoming award year, project adjustments to the school's Title IV program funding needs, and detail the amount expended to date.

Records in this series are retained in accordance with 34 C.F.R. § 668.24(e)(1).

Records may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. § 99 (FERPA).

RETENTION: EVENT (END OF YEAR AID AWARDED) + 3 YEARS AND DESTROY CONFIDENTIAL

W0000371. FEDERAL WORK-STUDY ADMINISTRATIVE RECORDS EVT+3 DEST Y

Non-personnel information relating to human resources administration of Federal Work-Study programs on campuses. Records include, but are not limited to, off-campus employer contracts, job descriptions, and off-campus employer invoices.

Records in this series are retained in accordance with 34 C.F.R. § 668.24(e)(1).

Records may be confidential under 20 U.S.C. § 1232g and 34 C.F.R. § 99 (FERPA).

RETENTION: EVENT (END OF YEAR AID AWARDED) + DESTROY CONFIDENTIAL

W0000372. STUDENT JOB APPLICATIONS EVT+1 DEST Y

Application materials for campus student jobs, including work-study positions, which are managed at the department level. Records may include the application, resumes, letters of interest, and other required documents when applying for the job.

These records do not include graduate teaching or research positions, which are covered under other schedules. The official student employee record for those hired are covered under a different schedule.

Records may be confidential under Wis. Stat. § 19.36(10).

RETENTION: EVENT (DATE JOB FILLED) + 1 YEAR AND DESTROY CONFIDENTIAL

W0000373. STUDENT EMPLOYEE PERSONNEL FILES EVT+8 DEST Y

Records documenting student employee personnel actions during employment, including federal work-study positions.

Some employee records, including, but not limited to, payroll records, criminal background checks, and I-9 Employee Eligibility Verifications are covered under other schedules.

Records may be confidential under Wis. Stat. § 19.36(10) and 20 U.S.C. § 1232g and 34 C.F.R § 99 (FERPA).

RETENTION: EVENT (DATE OF SEPARATION) + 8 YEARS AND DESTROY CONFIDENTIAL

W0000374. VOTING RECORDS EVT+1 DEST Y

Voting records may be created by groups such as departments, committees, or councils to elect committee members or to vote on actions to be taken by committees. This also includes voting records for department chairs.

Records may include, but are not limited to, the written or electronic ballots, nomination papers, and tally sheets.The invitation to participate in the voting process, the announcement of results, or decisions made as a result of the votes are covered by other record schedules.

Records may be confidential under Wis. Stat. § 19.85(1), or Wis. Stat. § 19.35(1)(a).

RETENTION: EVENT (DATE VOTE TABULATED) + 1 YEAR AND DESTROY CONFIDENTIAL

W0000375. RESEARCH & SPONSORED PROGRAM RECORDS - ACCEPTED PROPOSALS EVT+15 DEST Y

Research and Sponsored Programs works with agency stakeholders and UW personnel to review and submit proposals to external sponsors and accept funding on behalf of the University for research, instruction and other sponsored activities. Records in this series are
related to successful sponsored program applications that were accepted and awarded to the applicants from any source: government, private or UW System and its campuses. Sponsored programs refers to extramurally sponsored awards which may include, but are not limited to, a grant, cooperative agreement, contract, or other transaction authority.

This series includes records created or received throughout a sponsored program application process as well as throughout the administration of the sponsored program during its lifecycle. Records may include, but are not limited to, project proposals, letters of support, review reports, progress reports and high-level budgetary records and documents related to the receipt and expenditure of project funds along with the associated correspondence. This series also includes documentation related to project payroll compliance confirmation, effort reporting, or any similar verification processes for sponsored projects. Sponsored Programs records should be retained for 15 years to ensure sufficient documentation for intellectual property, patent filings, and equity reviews that may arise long after a project's close. This series does not include the sponsored project's final technical report as this is scheduled separately for preservation purposes.

Records in this series may be confidential under Wis. Stat. § 19.36(5) for trade secrets and intellectual property.

EVENT: Date of submission of financial report or close of the award, whichever is longer.

RETENTION: EVENT + 15 years and destroy confidential

W0000376. RESEARCH & SPONSORED PROGRAMS & GRANTS - PROPOSALS REJECTE EVT+4 DEST Y

Research & Sponsored Program (RSP) proposals and non-RSP grant proposals that were either formally rejected by the funding agency, or that received no response from the sponsor within one year after the project's proposed start date.

Records in this series may be confidential under Wis. Stat. § 19.36(5) for trade secrets and intellectual property.

EVENT: End of year it was rejected or no response received

RETENTION: EVENT + 4 years and destroy confidential

W0000377. RESEARCH & SPONSORED PROGRAMS & GRANTS - FINAL TECHNICAL REP EVT+4 UW-TRANS Y

Final technical reports reflecting major activities undertaken during a sponsored program or grant that are submitted to supporting agencies and institutions. These reports may contain a narrative description of the project and results, analysis, or work product developed during the project.

Records in this series may be confidential under Wis. Stat. § 19.36(5) for trade secrets and intellectual property.

EVENT: Date of submission of final technical report to the sponsoring agency

RETENTION: EVENT + 4 years and transfer to UW archives

W0000378. RESEARCH - RELATED AGREEMENTS EVT+50 DEST Y

Intellectual property (IP), including patentable subject inventions and copyrightable material, often arises from activities performed under various types of research-related agreements. These may include, but are not limited to, Master Research Agreements (MRA), which are overarching agreements that establish general terms and conditions between two parties, with the understanding that there may be future individual agreements (i.e., project-specific research agreements) that use the MRA as a framework for negotiations, and Material Transfer Agreements (MTAs) and Data Use Agreements (DUAs), which are contracts that govern the exchange and use of research materials or data between two parties. This schedule follows requirements specified by university policies UW-4008, SYS 1315 and the Bayh-Dole Act - 35 U.S.C. §§ 200-212.

Retention Justification: IP disclosures may cite research agreements from many years in the past. These agreements must therefore remain available to allow a thorough equity review process to determine all potential university obligations related to disclosed innovations and ensure that the university is able to meet all relevant sponsor obligations, including federal regulations.

Records in this series may be confidential under Wis. Stat. § 19.36(5) for trade secrets and intellectual property.

RETENTION: EVENT (date agreement is superseded or closed) + 50 years and destroy confidential

W0000379. INTELLECTUAL PROPERTY AND BAYH-DOLE ACT AGREEMENTS EVT+50 DEST Y

Individual employee and student certification acknowledging, and agreeing to abide by, University Intellectual Property policies and the federal Bayh-Dole Act (35 U.S.C. Chapter 18 - Patent Rights in inventions made with Federal Assistance). This schedule follows requirements specified by university policies UW-4008, SYS 1315 and the Bayh-Dole Act - 35 U.S.C. pts. 200-212.

Retention Justification: Documents must remain available to document federal regulatory compliance.

RETENTION: EVENT (date agreement signed) + 50 years and destroy confidential

W0000380. EQUITY REVIEW FILES P PERM Y

The equity review process is used to determine how an inventive work was funded and who has ownership rights to the invention. Equity review files document invention disclosures filed with the University and the patent management representative.

Equity review files may contain, but are not limited to, the invention disclosure form, the decision letter, all relevant agreements, copies of letters notifying funding and non-funding agencies of the invention, correspondence, and other supporting documentation. This schedule follows requirements specified by university policies UW-4008, SYS 1315 and the
Bayh-Dole Act - 35 U.S.C. §§ 200-212.

Retention Justification: Patent activity and related litigation can happen at any time, and this documentation must remain available in the event of future legal proceedings. This information is also significant documentation of University of Wisconsin's contributions to the advancement of knowledge, science, and technology.

Records in this series may be confidential under Wis. Stat. § 19.36(5) for trade secrets and intellectual property.

RETENTION: PERMANENT