

University of Wisconsin System General Records Schedules for Commonly Scheduled Records

Administrative Records

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Alphabetical/Topical Files (Subject Files)	UWADM003	This record series consists of files which document the activities of academic and operational departments on campus, including the internal development and operations of programs. Records can include correspondence, reports, memoranda and notes, publications, and announcements.	EVT + 3 Years Event=creation of materials	Transfer to Archives for review	No
Ballots for Election to Committees	UWADM020	Written or electronic ballots, nomination papers, tally sheets, and other materials used to elect employees to committees, or used within committees to elect committee chairs.	EVT + 1 Year Event= Vote is tabulated	Destroy Confidentially	Yes
Committee Minutes	UWADM018	Minutes and agendas for all official meetings, including department, committee, faculty senate meetings (including high-level committee meetings), council meetings, university wide meetings and Department Chair correspondence. This series also includes any supplementary documents or other materials that are associated with the minutes.	EVT + 3 Years Event = Approval of Minutes	Transfer to Archives	No
Policies and Procedures	UWADM001	This record series consist of university established departmental policies and procedures, including manuals, manual codes, handbooks, and other related materials.	EVT + 7 Years Event=policy or procedure is superseded	Destroy or Transfer to Archives	No

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Public Records Requests	UWADM012	This record series consist of records relating to regular and reformulated, repetitious, systematic or continuing requests by individuals, groups or organizations for access to general information under the provisions of the Wis. Stats 19.35-19.37. The series includes the original request, notice of change (of scope of request), billing, collection of fees, acknowledgement of receipt of request, follow-up letters and transmittal memorandums, access request review, requests for extension, third party notification, access request review recommendations and summaries, listing of records searched and used to respond to requests, and logs maintained documenting receipt and response of requests. The series may also include request response package including any redaction of information (if information is kept). If requests are denied, records covered here include request denials and related justification, mediation, representations from third parties, recommendations, court orders, and reviews. Also includes abandoned requests.	EVT + 3 Years Event=response to request is provided	Destroy Confidentially	Yes

Financial Aid

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Student Work Study and Assistant Position Applications--Not Hired	UWSFA023	The applications serve as a basis for departments to begin a selection and interview process from among multiple applicants. These files are kept for students who are in the process of being considered for hire for federal work study positions or other categories of student employment. These files contain the original application for work study and student assistant positions, which contain name, address, telephone, work experience, skills, references and federal work study funding status used to introduce the student to an on-campus employer. Position applications may take the form of a letter, resume, or a form. The applications also indicate work time availability. If the student is hired this application becomes part of the student workers personnel files (departmental) for student workers records series (UWSFA025) and not for the human resources official files. This series does not pertain to graduate teaching or research positions.	EVT + 1 Year Event=Date of application	Destroy Confidentially	Yes

Fiscal & Accounting

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Gift and Grant Folders: Non-Federal	UWFA901	Records include transmittals, awards, budgets, and all other documentation related to the procurement of non-federal grants, as well as reports and supplemental information for verification of grants and contracts, both individually and in batch form. This schedule applies to grants for which the granting agency requires a 3-year retention.	EVT + 3 Years. EVENT= Date of close of grant	Destroy	No
Grant Folders: Federal	UWFA900	Records include transmittals, awards, budgets, and all other documentation related to the procurement of federal grants. Also included are all reports, forms, and documentation related to PAR reports, as well as reports and supplemental information for verification of grants and contracts.	EVT + 3 Years. EVENT= Date of submission of financial report or close of grant	Destroy	No

Payroll & Benefit

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Leave of Absence Reports	UWPY0007	The following reports are included in this series: Leave of Absence Report-UIA Eligible (JIRA #6908)	CR + 10 Years	Destroy Confidentially	Yes
Payroll: Employee Case File	UWPY0015	Records series includes various documents that are maintained in the institution Payroll Office and regularly superseded by updated documents during the employee's term of employment in the institution. 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 • Accidental death and 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	Retain event Event = Resolved, verified, superseded or between 1-6 pay periods	Destroy Confidentially	Yes
Payroll: Routine Withholding Authorizations	UWPY0040	Includes withholding authorizations that initiate deductions from an employee's pay amounts. Records in this series are the paper documents used to initiate payroll actions. Examples of documents in this series are: • Contributions – Charity/Institutional Events • Financial institution deduction authorizations • Garnishment action notice • Parking deduction authorization • Van pool deduction authorization • Wage assignment notice	Retain until termination and transfer to UWPY0030 Terminated Employee payroll case file	Destroy Confidentially	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Payroll: Terminated Employee Payroll Case File	UWPY0030	This records series includes the institution copy of 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	EVT + 5 Years Event=date of employee termination	Destroy Confidentially	Yes
Timesheets - Signed	UWPY0034	This series consists of signed individual timesheets.	EVT + 5 Years Event =date of the pay period	Destroy Confidentially	Yes

Personnel - Classified and Unclassified

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Employee Request for Authorization to Reimburse Fee Tuition	UWPER036	This series consists of request forms used by an employee seeking authorization to obtain reimbursement for course work and other training. They list the type of course, educational status of employee, amount of work time to be used, employee signature and date. A portion of the form is completed by the individual's supervisor or chairperson and details whether course work is job related, whether course work is required, approval signatures and dates. The form also contains a provision for certifying successful completion of the course.	EVT + 4 Years Event=date of reimbursement	Destroy Confidentially	Yes
Employment Inquiry Files	UWPER006	This series includes applicant materials received by anyone on campus generally, and not in response to any particular position. Materials may include curriculum vitae; letters of inquiry; and letters of recommendations.	EVT + 6 Years Event=date of receipt	Destroy Confidentially	Yes
Employment Layoff Records: Classified Staff	HR000084	Layoff records could include notice of at risk status or impending layoff; all union/individual notices; copy of the layoff plan to include organization charts, if appropriate; any other documents that details or explains the layoff as it affected the employee. Other documents could include seniority lists, referral to other positions, and documentation that a reasonable offer was made and either accepted or turned down.	Event + 6 Years Event=effective date of layoff	Destroy Confidentially	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Employment Layoff Records: Unclassified Staff	UWPER043	This series consists of records relating to the process by which a faculty or academic staff member is laid off from his/her position. Records may include notice of pending layoff due to financial emergency (faculty) or funding or program redirection (academic staff), hearing transcripts and other evidence and recommendations from the Committee on Faculty Rights and Responsibilities or other appropriate hearing body.	EVT + 6 Years EVT= Date of final decision Hearing body or Committee: Retain all records for 6 years from the date of final decision and destroy. Copies: Transfer a copy of the layoff notice to the individual's Official P-File.	The determination of archival value of official personnel files will be made by each institutional archivist.	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Employment Termination, Non-renewal: Unclassified Staff	UWPER042	This series includes records relating to incidents where a faculty or academic staff member fails to have his/her appointment renewed. Records may include notice of non-renewal from the employee's supervisor, department or dean or administrative officer making the decision, reasons for non-renewal, if provided, written request for full review or appeal; records of an appeal if one is conducted, and any report to the dean or chancellor.	Academic Staff: Permanent Dean/Division Head: Permanent Faculty: Permanent Hearing Body or Committee Records: EVT + 6 Years EVT= Date of final decision.	Academic Staff: Official P-File Dean/Division Head: Official P-File Faculty: Official P-File Hearing Body or Committee: Destroy Confidentially	Yes
Employment Termination: Resignation or Retirement, Letters of	UWPER044	This series contains letters of resignation or retirement.	Permanent	Official P-File.	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Employment Termination: Termination for Cause	UWPER045	This series contains records relating to University employees whose employment has been terminated for cause. Records may include formal notice of charges, notice of appeal, hearing record, recommendations made to the chancellor and, recommendation made to the appropriate administrator.	EVT + 6 Years Event= Date of final decision Copies: Transfer a copy of the formal notice of charges and of any formal action taken to the individual's Official P-File.	Destroy Confidentially	Yes
Employment Eligibility Verification (Form I-9)	HR000026 UWPER018	This series includes the Federally-required forms that verify employment eligibility and employee identity. The I-9 includes the employee's name, address, birth date, social security number, verification of citizenship, and date and signature. Also included is a section for the employer to verify the documentation presented to prove citizenship and employment eligibility. (8 U.S.C.§1324(a) Immigration and Nationality Act)	Event + 3 years (after date of hire) or 1 year after termination, whichever is longer, per USC 13248	Destroy Confidentially	Yes
Grants: Notice of Award: Faculty and Staff Awards and Grants	UWPER001 UWPER002 UWPER003		Permanent	Official P-File	No

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Grievances; Complaints: Written Complaints	UWPER048	This series includes written complaints made about faculty and academic staff.	EVT + 6 Years EVT= Date of final decision - Destroy Confidentially Copies: Transfer a copy of the written complaint which leads to a disciplinary action and any notice of the action taken to the individual's Official P-File.	Destroy Confidentially	Yes
Grievances: Formal Grievance Files	UWPER049	This series includes records relating to grievances filed under the authority of official University faculty and academic staff policies and procedures. Each institution should investigate how this record series should be implemented in conjunction with the rules, policies in place to adjudicate grievances.	Campuses: Retain 6 years from the date of final action Copies: Last campus grievance step-retain from date of final decision + additional 6 years	Transfer to Archives Copies: Destroy Confidentially	Yes
Interview Documentation: Classified Staff	HR000016	Copies of interview questions, interview notes and evaluations, resumes, work simulation tests and scores, reference checks, and any other related information used in evaluation of applicants.	Event + 4 Years Event=date of hire	Destroy Confidentially	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Letters of Appointment or Offer: Classified Staff	HR000024	Written offer of employment stating pay, start date, benefits, if any, and other relevant information.	Permanent	Official P-File	Yes
Letters of Appointment: Unclassified Staff	UWPER014	This series consists of the official letter which outlines the duties of the position, type of appointment, percent time of appointment, beginning and end dates of appointment, financial remuneration, title and name of person to whom the employee is immediately responsible, departments involved in the funding of the appointment, and governance rights.	Permanent	Official P-File	Yes
Letters of Appointment: Unclassified Staff (Copies)	UWPER014	This series consists of the official letter which outlines the duties of the position, type of appointment, percent time of appointment, beginning and end dates of appointment, financial remuneration, title and name of person to whom the employee is immediately responsible, departments involved in the funding of the appointment, and governance rights.	Transfer one copy to the individual's Official P-File. If the individual is a limited-term employee, and destroy. Destroy all other copies when no longer needed.	Destroy	Yes
Letters of Appointment: LTE (Copy)	UWPER014		transfer a copy to Human Resources and retain from date of acceptance + additional 1 year	Destroy	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Performance Reviews and Responses: Classified Staff	HR000192	Performance plans identify the requirements and expectations of positions, as contained in the position description, in writing after meetings between the employee and the supervisor. Performance plans and related assessments are required during an employee's probationary period, at least once annually for all employees and more frequently for those employees having difficulties meeting job requirements.	Permanent	Official P-File	Yes
Performance Reviews: Unclassified Staff, includes Merit	UWPER035	This series consists of individual written reviews of staff performances.	Permanent	Official P-File	Yes
Personnel File: Classified Staff	HR000190	Documents employee personnel actions during the employment of the employee.	EVT + 8 Years Event=termination date of state service	Destroy Confidentially	Yes
Personnel File: Unclassified Tenured Faculty	UWPER001	Letters of application; research proposal (at hire, if required); resume or curriculum vitae (CV); letters of recommendation or reference; letter(s) of offer, appointment, reappointment, or promotion; letter of acceptance of employment, tenure, or indefinite appointment; position description; reclassification records; employment contracts; personnel action forms; base rate or title change requests and actions; requests for/decisions on leaves of absence; notices of sabbatical leave; notices of faculty or academic staff awards; notices of emeritus or distinguished service recognition; performance reviews or evaluations; lists or notices of awards or grants; notifications of named professorships; grievances and notices of disciplinary actions; arbitration records; letters of resignation or retirement; and notices of non-renewal of appointment (for academic staff)	EVT + 30 Years Event=date of employee's retirement or death	Destroy confidentially or transfer to Archives for permanent preservation	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Personnel File: Unclassified Non-Tenured Faculty/Academic Staff	UWPER002	See above.	EVT + 10 Years Event=date of termination of employment	Destroy confidentially or transfer to Archives for permanent preservation	Yes
Personnel File: Unclassified Indefinite Unclassified Staff	UWPER003	See above.	EVT + 30 Years Event=date of employee's retirement or death	Destroy confidentially or transfer to Archives for permanent preservation	Yes
Recruitment File	UWPER012	This is the final ad copy for the position vacancy announcement. For some recruitments, where foreign national applicants may apply and a campus policy would allow for a labor certification (such as faculty recruitment) a final print ad copy will be necessary. This is a part of the recruitment file and the print ad may become a part of the employee file if applicable.	CR + 6 Years CR=Creation	Destroy Confidentially	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Sabbatical Leave Documentation	UWPER037	This series consists of records relating to applications by faculty or academic staff for sabbatical leave. Records may include the following items: abbreviated curriculum vitae, description of the proposed sabbatical that includes the purpose of the leave, the activities undertaken, a list of anticipated benefits to the department, program, school or college, and a list of grants and/or pending awards to be used towards the sabbatical.	Originals: Provost's Office maintains EVT + 6 Years. EVT= from date of final decision on sabbatical Copies: Transfer a copy of the sabbatical proposal to the individual's Official P-File.	Destroy Confidentially	Yes
Sabbatical Award: Notice of Award	UWPER038	This series consists of letters from the chancellor notifying the faculty or academic staff member of his/her sabbatical award after approval or disapproval by the Board of Regents.	Permanent	Official P-File	Yes
Search and Screen: Candidate files	UWPER017	Individual candidate files include all materials submitted by the candidate as part of the application - recruitment process. Also Selective Service registration verifications are included under this series.	EVT + 6 Years Event=Date that position is filled	Destroy Confidentially	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Search and Screen: Committee Records	UWPER013	This series includes minutes, lists of candidates and nominees, lists of interviewees, press releases and other publicity materials, position descriptions, position vacancy announcements, list of search and screen committee members, lists of colleagues and professional organizations from which nominations may have been sought, sample letters sent to applicants, sample questions used in the interview process, rejected letters of offer and any other correspondence related to the process. (29 U.S.C. §626 and 29 C.F.R. §1627.3(ADEA) and 29 C.F.R. §1602.31 (Title VII of the Civil Rights Act of 1964))	EVT + 6 Years EVT=date that position is filled	Destroy Confidentially	Yes
Tenure: Faculty Tenure File Successful and Unsuccessful	UWPER028	This series consists of records relating to the granting of tenure to faculty members. The documents in the file may include: vitae, evaluation summary information, letters of recommendation, lists of publications or other record of scholarly productivity, letter from the chair that summarizes the individual's career, statements from the candidate, and evidence of service to the university and the profession and notice of the recommendation regarding tenure. Tenure candidates are first reviewed by the department executive committee; those with positive recommendations from the executive committee are forwarded for divisional committee review. A positive recommendation by the divisional committee sends the tenure file to the dean who makes the final recommendation to the provost. A negative vote by the divisional committee terminates the process; however, the dean can override the decision and recommend sending a recommendation to the provost.	Master File: Permanent Copies: The Secretary of the Faculty and/or the Provost retains copies EVT + 6 Years EVT= from date of the final tenure decision.	Official P-File Copies: Destroy Confidentially	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Tenure: Notice of Tenure	UWPER030	This series consists of letters formally granting tenure renewal or retention or indefinite appointment to the faculty, or indefinite status to the academic staff.	Permanent Copies: destroy when no longer needed	P-File Destroy Confidentially	Yes
Tenure, Tenure Roster	UWPER029	This series includes listings of the individuals achieving tenure. Institutions can produce this report from HRS, if they choose to do so. Campuses may also maintain their tenure rosters. Two other roster reports are produced by HRS; tenure roster – probation report lists all individuals being considered for tenure, and tenure roster—relationship report that shows department affiliation for tenure.	CR + 10 Years	Transfer to Archives	Yes
Unsolicited Resumes and General Expressions of Interest in Employment, Classified Staff	HR000022	Includes interest in permanent, project, or limited term positions.	CR + 6 months	Destroy Confidentially	Yes

Student Records

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Academic Misconduct Records	UWSTU027	Notification of academic misconduct and documentation of sanctions or disciplinary action including correspondence, reports, requests for hearings, appeals and petitions.	CR + 6 Years	Transfer to Archives	Yes
Athlete Academic Records	UWSTU032	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 status 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.	EVT + 10 Years Event=date of graduation or last attendance	Destroy Confidentially	Yes
Catalog, graduate and undergraduate	UWSTU083	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.	CR + 6 Years	Transfer to Archives	No
Class Schedules/Timetables	UWSTU084	Official list of courses offered each semester, with information regarding course numbers, 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.	CR + 6 Years	Transfer to Archives	No
Grade Books, original (academic departments)	UWSTU047	Student grades recorded by professors and instructors in any format to support the official awarded grades submitted to the Registrar	EVT + 2 Years Event=end of semester	Destroy Confidentially	Yes

Records Series Title	GRS/RDA Number	Description	Retention	Final Disposition	PII
Syllabi and/or individual Course Calendars	UWSTU064	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 individual's needs for the purposes of re-accreditation, course modification and review, tenure/personnel decisions, etc.	Official Department Copy: 10 years after last day of course	Transfer to Archives	No