

UNIVERSITY OF WISCONSIN SYSTEM
ADMINISTRATIVE RECORDS
GENERAL RECORDS SCHEDULE

June 2012



UNIVERSITY OF WISCONSIN SYSTEM INFORMATION TECHNOLOGY

GENERAL RECORDS SCHEDULE

The University of Wisconsin System Administrative General Records Schedule applies to all University of Wisconsin institutions. In order to facilitate efficient records management for University employees, this general schedule is provided in narrative format.

I. INTRODUCTION AND PURPOSE

The University of Wisconsin System comprises fifteen distinct institutions, many of which create and receive records that are similar in purpose and utility. In the interest of efficiency, therefore, this records schedule identifies categories of records resulting from processes commonly associated with health services. The identified processes are common to all University of Wisconsin institutions.

This document also provides guidance to University System employees regarding what does and does not comprise a public record, which will in turn allow University employees to retain for a discrete time period and thereafter destroy expired public records, as well as those materials that do not comprise public records. The UW-System must manage all student records to ensure systematic control from creation or receipt through processing, distribution, maintenance, retrieval, retention and final disposal.

II. **SCOPE:** The records schedules described within this document include the following records:

- a. Policies and Procedures
- b. Calendars and Schedules
- c. Alphabetical/Topical Files
- d. ~~Grant Documentation—Non-Financial~~
- e. Planning Documentation
- f. Reorganization Documentation
- g. Organizational Charts
- h. Transition Briefings
- i. University Organized Conference Records
- j. External Complaints
- k. Legal Notices
- l. Public Records Requests
- m. Agreements and Contracts
- n. Unit/Department Training/Course Materials
- o. University Publications
- p. University Speeches/Presentations
- q. University Recorded Performances/Events (non-athletic)
- r. Agendas/Minutes
- s. Meeting Recordings
- t. Voting Materials—Elections to Committees
- u. Voting Materials—Executive Committee Actions

- v. Routine Activity/Production Reports
- w. Annual/Summary Reports
- x. Accreditation Reports
- y. Federal Lobbying Reports
- z. Surveys/Questionnaires—Non-Academic
- aa. Outside Activity Reports
- bb. Statements of Economic Interest

III. UTILITY AND FUNCTION OF INFORMATION PROVIDED WITHIN THIS DOCUMENT.

a. Preservation of Historical Documents. Historically, University records have been preserved in paper files. Presently, however, advances in technology are beginning to present a viable alternative to paper records: electronic data stored in computer systems. Using electronic data to store University records presents a potentially fatal flaw, however, because electronic data decays over time. Thus, unlike paper records, with the passage of time electronic records lose information as it randomly slips away in bite-sized chunks, unless software updates are consistently purchased, installed, and maintained.

Because of this aspect of information technology systems, records storage within an information system must comply with the legal requirements set forth in Regent Policy Document 3-2: University of Wisconsin System Public Records Management; and Chapter Administrative 12: Electronic Records Management-Standards and Requirements. Please carefully review these documents prior to storing official copies of public records upon information systems and if you have questions or concerns, then please seek assistance from the records officer at their respective University of Wisconsin institution.

b. Use of the Systems Approach. To as great extent as possible, the records schedules included within this document were developed using a systems approach. That is, the substantive information contained within an individual document, rather than the document's format, is the basis for the descriptor of each department. This is because the format for some documents is dynamic in nature and subject to administrative change. Thus, the descriptors for each document are as comprehensive as possible without relying upon format or form names.

Due to these changes, however, there may be instances in which an individual records schedule does not reflect the exact title or name of a form as used by the originator of a document. In such cases, if a University employee has difficulty determining whether a document comprises a record by reviewing the descriptive information contained within both the document and a records schedule, then employees seek assistance from the records officer at their respective University of Wisconsin institution.

c. Minimum Retention Established and Permanent Retention Procedure. The records schedules included within this document establish minimum retention periods for each type of record. The

disposition of each record is assumed to be destruction after its minimum retention period. However, expired records may be retained, for as long as they are needed as a resource for performing future projects on behalf of the University of Wisconsin.

d. Materials That Do Not Comprise Public Records. Under Wisconsin law, many materials do not comprise public records. Therefore, non-records should be retained only so long as they are useful as a resource for performing the transaction of public business on behalf of the University of Wisconsin System. Thereafter, in the interest of efficiency and proper resource management, they should be destroyed.

The following materials are not public records, under Wis. Stats. §§ 16.61 and 19.35.

1. Duplicates. Public records do not include duplicate copies of records, the original copies of which are in the custody of an office contained within the University of Wisconsin System Administration, and which are maintained by a University employee only for convenience or reference and for no substantive purpose.

2. Unsolicited Notices or Invitations. Public records do not include unsolicited notices or invitations received by a University employee, which are not related to any official action taken, proposed, or **considered** by the University of Wisconsin System.

3. Drafts, Notes and Preliminary Computations. Public records do not include drafts, notes, preliminary computations, and like materials, but only if they are intended for personal use by a University employee or prepared by a University employee in the name of the person for whom the employee is working.

4. Routing Slips and Envelopes. Public records do not include Routing slips and envelopes.

5. Personal Materials. Public records do not include materials that are the personal property of a University employee and that have no relation to his or her office.

Please note that non-records should be destroyed as soon as possible, concurrent with the time at which they are no longer useful as a resource for performing the transaction of public business on behalf of the University. Moreover, personal materials should neither be created nor retained by a University during the regular course of business.

Also note that if non-records are retained beyond the time they are no longer useful as a resource for performing the public business on behalf of the University, then under Wisconsin law, duplicates, unsolicited notices, invitations, routing slips and envelopes would have to be turned over to a requester in response to a relevant public records request, and in response to audit or litigation proceedings. See Wisconsin Statute 13.94, 19.35, and 804.01.

e. Schedule Does Not Require Creation of Records

It is understood that not all UW-System Campuses may have all the types of records listed in this schedule. This schedule does not require records to be created by UW-System Campuses. It provides policy guidance for those records that are used by UW-System Campuses.

IV. CONDITIONS AFFECTING FINAL DISPOSITION

All recommended dispositions stated within this schedule may be carried out by University of Wisconsin institutions without further consultation or approval from the University of Wisconsin Archives, legal services, or internal audit with the following exceptions:

a. Public Records Request. If a public records request is received by an office for any record or records included within this schedule, then the record (s) cannot be destroyed until the request is granted, or until at least sixty days after the date the request is denied. Court orders may extend this time period. If necessary and upon request, the Office of General Counsel will provide guidance to University of Wisconsin institutions regarding public record requests.

b. Litigation or Audit. Each University of Wisconsin institution must not only retain records that are the subject of pending litigation or audit, but also suspend any disposition of those records until such time as the litigation or audit is completed. Requests for records relating to open audits must be filed with the University of Wisconsin institution involved in the audit.

Administrative Rule 12, Electronic Records Management

General record schedules cover records in all media. Administrative Rule 12, Electronic Records Management-Standards and Requirements, became effective May 1, 2001. The rule and related information regarding records management for electronic records can be found at http://www.doa.state.wi.us/section_detail.asp?linkcatid=761&linkid=127&locid=0&sname. The purpose of this rule is to ensure that public records in electronic format are preserved, maintained, and remain accessible for their designated retention period. Because of frequent technological change, including hardware and software obsolescence and media degradation, agencies must take steps to manage and protect electronic records for as long as they are needed. To meet business needs and protect the legal, financial and historical interests of internal business operations and Wisconsin citizens, agencies must prepare and execute migration plans for electronic records as necessary to prevent them from becoming inaccessible during their retention periods.

ADMINISTRATIVE RECORDS

Operational

UWADM001 POLICIES AND PROCEDURES

This record series consist of university established departmental policies and procedures, including manuals, manual codes, handbooks, and other related materials.

****NOTE: Some institutions may consider some or all of these policies to have archival value; consult your institution's archives for additional information.***

Retention: EVT + 7 Years EVENT= Policy or procedure is superseded

Destroy or Transfer to Archives per institutional policy.

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWADM002 CALENDARS AND SCHEDULES

This series consist of all calendars used for university business which includes both paper and electronic calendaring systems. This series includes, but is not limited to, desk calendars, appointment books, and similar records.

NOTE: A record of this type may be purchased with personal funds, but if used by a University Employee to document his or her work activities may be considered a public record in both physical and electronic format.

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

Retention: EVT + 5 Years EVENT= End of the Calendar Year

Destroy or Transfer to Archives per institutional policy

PII? Yes

Confidential? No

Copies: Destroy when no longer needed.

UWADM003 ALPHABETICAL/TOPICAL FILES

This record series consists of files which document the activities of academic and operational departments on campus, including the internal development and operations of programs. Records can include correspondence, reports, memoranda and notes, publications, and announcements. These files may also be known as subject files, departmental or office files, mixed files, or program files. The files may include records of non-historical value scheduled by other RRDA's, which may be removed by each institution's archives upon receipt.

Retention: EVT + 3 Years EVENT= Creation of materials

Transfer to Archives for review.

PII? No

Confidential? No

Copies: Destroy when no longer needed.

Superseded into UWSA Grant and
Related Records
11-2016

~~UWADM004 GRANT DOCUMENTATION—NON-FINANCIAL~~

~~This record series documents the administration of a grant program, including the application review process and expenditure of grant funds. It also covers activities relating to grant-funded projects where the agency is the grant recipient or issuer, including the application process, the receipt and expenditure of grant funds, and/or the grant denial notice. Additional records in the series include, but are not limited to: fiscal award summaries, budgets create and account create documents, University request for contribution of facilities and administrative costs, subcontractor commitment, and scope of work and budget.~~

~~**NOTE: For financial aspects of grant files, see the UWSA Fiscal/Accounting Records Schedule.**~~

~~**Retention: *EVT +6 years EVENT = End of the grant project or notification of denial**~~

~~**Destroy**~~

~~**PII? Yes**~~

~~**Confidential? Potentially; contact the grant administrator for more information**~~

~~**Copies:** Destroy when no longer needed.~~

~~***NOTE: Some grant programs may require a longer retention period for research files or research data; contact your grant administrator for more information.**~~

UWADM005 PLANNING DOCUMENTATION

Strategic, business and operational planning files at all levels of the university, including, but not limited to, final plans, calls for proposals, publicity or presentation materials specifically related to planning initiatives, and significant work papers. The official copy of this series is held in the highest-level office affected by the plan being documented (e.g. a campus master plan

will be held by the Chancellor's Office; a school/college plan will be held by the Dean's Office, etc.)

Retention: EVT + 6 Years EVENT= Plan is completed or superseded.

Transfer to the Archives

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWADM006 REORGANIZATION DOCUMENTATION

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

Retention: EVT + 2 Years EVENT= Date reorganization is completed.

Transfer to Archives

PII? Yes

Confidential? No

Copies: Destroy when no longer needed.

UWADM007 ORGANIZATIONAL CHARTS

This series consists of the records of the official organizational structure of each college of university, as well as that any smaller schools within those institutions.

Retention: EVT + 0 Years EVENT= Organizational chart is superseded.

Transfer to Archives

PII? Yes

Confidential? No

Copies: Destroy when no longer needed.

UWADM008 TRANSITION BRIEFINGS

This series consists of records that are prepared to provide an overview of the university, department, or office during transitions to new management.

Retention: EVT + 2 Years EVENT= Date prior official or department chair leaves his/her position.

Destroy

PII? Yes

Confidential? Potentially; contact the department chair, dean, or other administrator for more information.

Copies: Destroy when no longer needed.

UWADM009 UNIVERSITY SPONSORED CONFERENCE RECORDS

This record series consists of but is not limited to registration materials, correspondence, financial reimbursement and public relations materials for conferences that are hosted by a university department or unit. *This schedule does not include those records covered under the UWS- Administrative Schedule.*

RETENTION: EVT + 3 years. EVENT= Date of the Conference

Disposition: Transfer to Institutional Archives for review per policy

PII: Yes

Confidential: No

Copies: Destroy when no longer needed.

LEGAL

UWADM010 EXTERNAL COMPLAINTS

Complaints received regarding issues not related to a particular individual, office, or program. This series specifically covers complaints received from non-student, non-staff members of the community. For the retention period for internal complaints, please see the UWSA Personnel Records Schedule. Some of these complaints may be historical or precedent-setting in nature; each institution's archives should work with offices managing these records to determine which records in this series may have ongoing value.

Retention: EVT + 5 Years EVENT= Superseded or replaced

Destroy confidentially or Transfer to Archives, per institutional policy

PII? Yes

Confidential? Yes

Copies: Destroy confidentially when no longer needed

UWADM011 LEGAL NOTICES

This series consists of documentation associated with required legal notices. Legal notices required for an event should be filed with the specific action/event.

Retention: EVT + 1 Year EVENT= Creation of legal notice

Destroy

PII? Yes

Confidential? Yes

Copies: Destroy confidentially when no longer needed

UWADM012 PUBLIC RECORDS REQUESTS

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.

Retention: EVT + 3 Years EVENT= Response to request is provided

Destroy Confidentially

PII? Yes

Confidential? Yes

Copies: Destroy when no longer needed.

UWADM013 AGREEMENTS AND CONTRACTS

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.

Retention: EVT + 6 Years EVENT= Close of the Contract date or fulfillment/supersession of the terms.

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

Destroy Confidentially

PII? Yes

Confidential? No

Copies: Destroy when no longer needed.

PROMOTIONAL

UWADM014 UNIT /DEPARTMENT TRAINING/COURSE MATERIALS

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

Retention: EVT + 0 EVENT= End of Course or when no longer relevant to course

Destroy

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWADM015 UNIVERSITY PUBLICATIONS

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

Retention: EVT + 3 Years EVENT=Creation of the materials

Transfer to Archives

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWADM016 UNIVERSITY SPEECHES/PRESENTATIONS

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

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

Retention: EVT + 3 Years EVENT= Creation of materials

Destroy or Transfer to Archives per institutional policy

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWADM017 UNIVERSITY RECORDED PERFORMANCES/EVENTS (non-athletic)

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

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

Retention: EVT + 3 Years EVENT= Creation of materials

Destroy or Transfer to Archives per institutional policy

PII? No

Confidential? No

Copies: Destroy when no longer needed.

GOVERNANCE

UWADM018 AGENDAS/MINUTES

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.

Retention: EVT + 3 Years EVENT= Approval of the Minutes

Transfer to Archives

PII? No

Confidential? Potentially; contact the records creator for more information.

Copies: Destroy when no longer needed.

UWADM019 MEETING RECORDINGS

Audio or video recordings of official meetings, including all categories of meetings mentioned in UWADM017. In general, these recordings have little to no historical value; the minutes of the meetings recorded should serve as the official record of events.

Retention: EVT +0 EVENT=No longer needed for administrative purposes

Destroy

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWADM020 VOTING MATERIALS—ELECTIONS TO COMMITTEES

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.

Retention: EVT + 1 Years EVENT= Vote is tabulated

Destroy Confidentially

PII? Yes

Confidential? Yes

Copies: Destroy when no longer needed.

UWADM021 VOTING MATERIALS—EXECUTIVE COMMITTEE ACTIONS

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

Retention: EVT + 6 Years EVENT= Approval of the Minutes

Transfer to Archives

PII? Yes

Confidential? Yes

Copies: Destroy when no longer needed.

REPORTING

UWADM022 ROUTINE ACTIVITY/PRODUCTION REPORTS

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

Retention: EVT + 1 Year EVENT= Date Report is created

Destroy

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWADM023 ANNUAL/SUMMARY REPORTS

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

Retention: EVT + 5 Year EVENT= End of the reporting period

Transfer to Archives

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWADM024 ACCREDITATION FILES

Files created by departments and schools or colleges in the process of accreditation or reaccreditation of their programs by external accreditation agencies such as the American Library Association, the Commission on Collegiate Nursing Association, the Planning Accreditation Board, and others. The series may include correspondence, faculty vitae, program descriptions or summaries, accreditation applications, copies of internal program reviews, course syllabi, final reports to the accreditation committee, results of the accreditation process, and other material.

Retention: EVT + 11 Years EVENT= End of the Accreditation Cycle or creation of the final accreditation report, whichever is later.

Transfer to Archives

PII? No

Confidential? No

Copies: Destroy when no longer needed.

UWADM025 FEDERAL LOBBYING REPORTS

The Federal Lobbying Report is compiled and submitted quarterly by the Chancellor's Office for the entire University, as required by Federal Law. All entities, public and private, that lobby Congress or the Executive Branch are required to file these reports, which summarized contacts between individuals on UW campuses and federal or state officials. Each quarter a request is made of each Dean's office, asking about lobbying interactions with federal officials and their offices or staffs. After hearing back from each office from around the campus, the Chancellor's Office compiles a single summary report for the entire university. This is filed electronically with the Clerk of the House and Secretary of the Senate. A copy of the Report and the supporting forms submitted to us from around the campus are kept by the Chancellor's Office for reference and supporting documentation to the report and are considered the official record holder. Some Dean's offices may keep copies of these forms as proof of submission but these are considered copies.

Retention: EVT + 6 Year EVENT= Date report filed

Unit Copies: EVT + 3 years EVENT= Date report filed

Destroy Confidentially

PII? Yes

Confidential? No

UWADM026 SURVEYS/QUESTIONNAIRES—NON-ACADEMIC

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

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

Retention: EVT + 1 Year EVENT= Date Survey is completed

Destroy Confidentially

PII? Yes

Confidential? Yes

Copies: Destroy when no longer needed.

UWADM027 OUTSIDE ACTIVITY REPORTS

Every year, faculty, academic staff and other individuals listed on human subjects protocols or Federal grants, including graduate students, report outside activities and financial interests related to their field(s) of professional work to comply with Federal, State, and University policy. Using an electronic form, faculty and academic staff must submit a report even if it only indicates no outside activities.

Retention: EVT + 3 Year EVENT= Completion of Review

Destroy Confidentially

PII? Yes

Confidential? No

Copies: Destroy when no longer needed.

UWADM028 STATEMENTS OF ECONOMIC INTEREST

Every year, faculty, academic staff and other individuals listed on human subjects protocols or Federal grants, including graduate students, report outside activities and financial interests related to their field(s) of professional work to comply with Federal, State, and University policy. The Statement of Economic Interest is completed by those individuals who have the capacity to commit resources of the university and is in addition to, not instead of, the Outside Activity Report.

Retention: EVT + 3 Year EVENT= Completion of Review

Destroy Confidentially

PII? Yes

Confidential? No

Copies: Destroy when no longer needed.