

**UNIVERSITY OF WISCONSIN SYSTEM & UW-MADISON
GENERAL RECORDS SCHEDULE
HUMAN RESOURCES AND RELATED RECORDS**

2016



University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

Program Description: UW-System and UW-Madison Human Resource and Personnel Systems

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 that are common to all University of Wisconsin institutions, so as to avoid making each institution secure a distinct retention schedule for the same categories of records. This General Records Schedule (GRS) is being revised and updated due to the changes where the State of Wisconsin [authorized and directed](#) the University of Wisconsin System to develop **two distinct new personnel systems**:

- [One for all UW-Madison employees](#) see UW-Madison's HR Design project page
- [One for all other UW System employees](#) see UWSA Human Resources & Workforce Diversity

These new systems were implemented on July 1, 2015.

Goal

The two university personnel systems will be developed by taking the aspects of the unclassified and classified service that work best and creating one system of university employment. The goal is to develop a process to identify personnel policies that have worked well – and that will continue to work well when more authority is delegated to the UW institutions. The systems will also maintain commitment to, and the integrity of, the UW System's ongoing goal of a diverse and highly qualified workforce. Some specific objectives include:

- simplification of titling structures
- protection of existing employee rights
- establishment of a compensation structure that enables the UW System to recruit and retain the best, most diverse, and most qualified employees

This GRS covers the retention and disposition of records relating to all UW System employees both Academic and University Staff. This would include all faculty; academic staff; university staff; graduate students; research assistants; project assistants; and teaching assistants, volunteers, and employees in training and limited appointments.

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

Scope

This GRS governs the retention and disposition of records associated with the following functional areas:

1. **Talent, Recruitment & Engagement Records**
2. **Affirmative Action & Equal Employment Opportunity & Related Records**
3. **Grievance or Layoff Records**
4. **Employee Personnel Records**
5. **Employee Medical Information & HIPPA Privacy Complaints**
6. **Employee Assistance Program (EAP) and Related Records**
7. **International Faculty and Staff Records**
8. **Evaluation and Promotion Records**
9. **Human Resource Employee Training Records**

HRS and Records Retention

The provisions of this GRS apply to all institutions and employing units in the University of Wisconsin System. HRS, the Human Resource System, holds the official human resource and payroll information received, generated, and maintained on University of Wisconsin System employees, however; UW institutions and employing units will continue to maintain Human Resource records including supplemental systems. This means there is a shared responsibility for records retention. This GRS does not address storage media or implementation strategy for records retention.

Guidelines Applicable to the GRS:

A. Preservation of Historic Records.

Historic records are those that must be retained indefinitely because of their historical character. Historic records stored only in electronic form must comply with the legal requirements set forth in: Regent Policy Document 3-2: University of Wisconsin System Public Records Management; and [Administrative Rule 12: Electronic Records Management-Standards and Requirements](#). It is expected that some human resources records will be classified as having historical or permanent value to either UW System or the employing UW System institution.

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

B. Use of the Records Series Approach.

The records schedules included within this document were developed using the “records series” approach defined in [Wis. Stat. §16.61\(2\)\(c\)](#).

C. Use of Flexible Scheduling or Big Bucket Approach.

Enterprise Resource Planning-ERP systems, such as PeopleSoft, provide the capability to create a wide variety of reports and queries to the system. The flexible scheduling or ‘Big Bucket’ approach means that some items within the GRS cover records in multiple series and/or electronic systems that relate to the same subject matter, business function, or work process. All the series/systems covered by a big bucket item have the same ultimate disposition. The records within the bucket are either all permanent or all temporary and, if the bucket is temporary, all the series/systems within it have the same retention period.

D. Schedule does not require the Creation of Records: It is understood that not all departments have all the types of personnel records discussed in this GRS. Offices are advised not to create additional records beyond those that are required or necessary to document personnel transactions.

E. Duplicate personnel records and shadow filing systems.

While retention periods outlined in this GRS apply to the official record, the maintenance of duplicate records and shadow filing systems is common in the personnel process. *If any unique material is present in a file, it is no longer a duplicate but represents another original record. It must be maintained the same period of time as the original record. If it is a duplicate / copy, dispose of in accordance with the official record series.*

F. Definitions

- a. **Applicant**— (Definition retrieved from the Dept. of Labor 2-28-2011). An “Applicant” is defined as an individual who satisfies the following four criteria:
 - The individual submits an expression of interest in employment through the Internet or related electronic data technologies;
 - The contractor considers the individual for employment in a particular position;
 - The individual's expression of interest indicates the individual possesses the basic qualifications for the position;
 - The individual at no point in the contractor's selection process prior to receiving an offer of employment from the contractor, removes himself or herself from further consideration or otherwise indicates that he or she is no longer interested in the position.

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

G. *Supervisors' Files

- a. Supervisors may maintain in their own files information they believe is helpful or necessary to manage workload and employees. Supervisors should be aware that if they share this information with any other person, the material may become subject to Open Records Law requests. While subunits within an employing unit may wish to retain files of duplicates of personnel file material for ease of access, this is not encouraged. Do not keep such material longer than needed. If convenience copies are retained, appropriate access to these copies must be provided in response to audit or legal request and per Open Records Law.

- H. *For Student Hourly Workers: see the University of Wisconsin System Administration (UWSA) Financial Aid General Schedule which includes both student hourly and work study students.

Conditions Affecting Final Disposition

All recommended dispositions provided within this schedule may be carried out by University of Wisconsin administrators except that records may not be destroyed where required to be retained by law or policy including, but not limited to, a pending public records request, lawsuit, audit, or legal hold.

Access Requirements

Records in this schedule are considered confidential and may contain Personally Identifiable Information (PII). May contain certain personnel records subject to Wis. Stat. § 19.36(10) and the balancing test. Some personnel-related records are confidential, such as employee medical records, examination scores and rankings and other evaluation of applicants, dismissals, demotions, and other disciplinary actions, and certain pay survey data identified as confidential in Wis. Stats §230.13.

Laws & Requirements:

- Wis. Stat. §19.36(10) Employee Personnel Records
- Wis. Stat. §230.13 Closed Records
- 29 U.S. Code §626-Recordkeeping, investigation, and enforcement.
- 29 CFR §1627.3-Age Discrimination in Employment Act (ADEA)
- 29 CFR §1602.31-Title VII of the Civil Rights Act of 1964
- 29 CFR §1602.32-Title VII of the Civil Rights Act of 1964
- 29CFR §1602.14-Preservation of records made or kept
- 20 CFR §655.760(a)-What records are to be made available to the public, and what records are to be retained?

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

- 20 CFR §656.10(f)-Retention of documents
- Wis. Stat. §146.81 - Wis. Stat. §146.84 - Confidentiality of Health Records
- Wis. Stat. §51.30 - Mental Health Records
- HIPAA Privacy Rule at 45 CFR Parts 160 and 164
- Americans with Disabilities Act (ADA) Amendments Act of 2008
- Genetic Information Nondiscrimination Act (GINA) 2008
- 8 U.S.C. §13249(a) - Federal Immigration Reform and Control Act of 1988
- Title VI of the Civil Rights Act of 1964
- Title IX of the Education Amendments of 1972
- Age Discrimination Act of 1975
- Section 503/504 of the Rehabilitation Act of 1973
- Title II of the Americans with Disabilities Act of 1990, as amended

Electronic Systems:

1) Talent Acquisition and Recruitment tools that interact with Human Resource during the recruitment and hiring process.

Below are examples of some of the electronic systems that are used by the UW Services Center, UW-Madison and other UW Institutions. These may change over time:

- **PeopleSoft HRS (Human Resource System)**
HRS is an integrated system and incorporates all human resource, benefits, and payroll operations across the UW System. The implementation of HRS represents a major paradigm shift from mixed recordkeeping environment (paper and electronic) to one in which the official records (data) are mostly electronic, and likely to become fully electronic in the future. This system became operational in April 18, 2011. Many of the data elements that HRS maintains are date related to the employee.
- **PeopleSoft Admin** is being used as part of the recruitment process at most campuses and does tie into HRS.
- **Page Up** - A seamless, easy-to-use and mobile-optimized SaaS platform with powerful analytics capabilities to recruit, onboard, train, develop, manage and retain employees.
- **JEMS (Job and Employee Management System) - UW Madison Only**

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

The purpose is to automate human resource functions and make them consistent across the campus. It is used by supervisors and human resource staff. The primary users of the system are UW - Madison supervisors, department and division Human Resources staff, and Office of Human Resources (OHR) staff.

- **JEMS Hire (Job and Employee Management System) – UW Madison Only** Web-based system to hire all academic, faculty, limited, student assistants, post degree training staff (this does not include student hourly hires) and to request Job-Changes for all employee types.
- **CHRIS (Classified Human Resource Information System- UW Madison Only)**
The Classified Human Resource Information System is a JEMS sub-system and supports UW-Madison and human resource transactions (e.g. vacancies, reclassification requests, and updates to position descriptions, etc.) related to University Staff.
It has two components:
 - **CHRIS -Web-based system** for supervisors and others to create and submit HR Transactions (e.g., vacancies, rate/title, position description development and updates).
 - **CHRIS-HR (other human resource functions)** - Web-based system used by human resources staff to review and approve transactions and hire university and temporary staff.
- **TREMS (Talent Recruitment Engagement Management System - UW Madison Only)** - TREMS is an online applicant tracking system that is used for collecting job applications, managing applicant pools, making offers and tracking onboarding activities for new employees. TREMS is integrated with JEMS.
- **TAM (Talent Acquisition Management System)** - This is an HRS module which manages the application and hiring process used by some UW campuses. The UW-Madison campus does not use the TAM module.
- **PVL (Position Vacancy Listing)** Web-based system used by human resources staff to develop positions and or request Rate/Title Change for faculty, Limited and academic staff.
- **Content Management System:** Personnel Records are being managed by the institutional Human Resources Department in this Document Management/Content Management System. (example: ImageNow)

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

2) ***The International Faculty and Services** or similar institutional utilize **Glacier Nonresident Alien Tax Compliance System**. A foreign national is an individual who is a resident of a country other than the U.S. If a foreign national will be paid by the UW payroll system and will be located in the U.S., then they must have a visa issued by the U.S. All foreign nationals with a visa type and paid position in PeopleSoft HRS should have a Glacier account. Glacier is a third party software program owned by Arctic International. Glacier will house the foreign national's personal data including current and historical U.S. visit and immigration information, tax filing status, and tax treaty eligibility. Glacier will also be used to generate and distribute tax reporting Forms 1042-S. Nonresident aliens required to file a federal income tax return will be able to use Glacier Tax Prep, through their regular Glacier account, to prepare federal tax Form 1040NR or 1040NR-EZ and Form 8843. It is imperative that all foreign nationals paid through UW payroll have a valid email address in HRS, as this is the means by which they will be notified of their Glacier account and corresponding obligations.

Official Records & Copies:

This schedule specifies the designated location of the official record for each series listed. It also identifies retention policies for **all** copies of records, in all locations and in all records media.

- **Official Record:** The official record is the most complete and up-to-date version.
- **Working Copies:** Staff may generally destroy rough draft materials that are subsequently finalized and maintained as part of the official record. However, staff may retain significant drafts when needed to document the decision-making process within the official record.
- **Reference or Convenience Copies:** Staff may maintain duplicate or working copies of records described in this schedule for convenience and/or reference purposes. Copies may be retained for as long as needed, but they should not be kept longer than the RDA for the official copy of record as specified in this schedule. Do not maintain **unnecessary** duplicate copies. When retained for “convenience of reference only,” copies are considered non-records under Wis. Stat. § 16.61(2). Do **not** send copies to storage or retain them for longer than the retention periods specified for the official copy.

For additional information and assistance implementing this retention schedule, contact: Your University Records Officer.

Agency Records Officer authorized by UW Records Officer Council (UWROC) to create this schedule:

Peg Eusch, CRM UW-Madison Records Officer peg.eusch@wisc.edu

University of Wisconsin System and UW-Madison
General Records Schedule for Human Resource and Related Records

Approval Signatures

Jennifer Sloan Lattis 6/14/2016
UW-System Legal Counsel Date (mm/dd/ccyy)

Margaret E. Eusch CRM 6/14/2016
Designated UW-Records Officer Date (mm/dd/ccyy)

PUBLIC Records Board Approval: Authorization is contingent on restrictions to record destruction contained in Wis. Stat. § 19.35(5), Open Records Law, and that no records are destroyed if litigation or audit involving these records has commenced or is anticipated.

Matt Blum
State Archivist AUG 22 2016
Date (mm/dd/ccyy)

Linda Forth 9/12/2026
PRB Executive Secretary Date (mm/dd/ccyy)

APPROVAL SUBJECT TO 10-YEAR
SUNSET. RESUBMITTAL REQUIRED
PRIOR TO August 2026

University of Wisconsin System and UW-Madison
General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
1. Talent, Recruitment and Engagement Records									
UWHR0100 Superseding UWPER019	<p><u>HR Personnel Hiring and Position Change Forms and Requests</u> 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.</p> <p>These forms function much like the Personnel Action Forms in that they authorize changes to the HRS system.</p>	-	Paper or Electronic format	Yes	Yes	Yes	-	All Campus HR Depts. HRS and/or other Talent Mgt. and Recruitment Systems	<p>Retention: EVT+2 Years EVENT= Date the Request is Approved or Denied</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
UWHR0102 Superseding UWPER010 and UWPER011	<p><u>Criminal Background Checks</u> 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.</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>	-	Paper or Electronic format	Yes	Yes	Yes	-	All Campus HR Depts. HRS and/or other Talent Mgt. and Recruitment Systems	<p>Retention: CR+7 Years CR=Date of Creation</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
UWHR0103 Superseding UWPER018	<p><u>Federal I-9 Employee Eligibility Verification</u> 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.</p> <p>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).</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>	-	Paper or Electronic format	Yes	Yes	Yes	-	All Campus HR Depts. HRS and/or other Talent Mgt. and Recruitment Systems	<p>Retention: EVT+ 3 Years EVENT=Date of Separation</p> <p>Disposition: Destroy Confidential</p>
UWHR0104 Superseding UWPER017	<p><u>Candidate Files</u> Individual candidate files include all materials submitted by the candidate as part of the application recruitment process.</p> <p>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</p>	-	Paper; Electronic	Yes	Yes	Yes	-	All Campus HR departments HRS Other Talent Mgt. and Recruitment systems	<p>Retention: EVT+6 Years EVENT= Date Position is Filled</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<p>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.</p> <p>29 U.S. Code § 626, 29 CFR§1627.3, 29 CFR§1602.3</p>								
<p>UWHR0105</p> <p>Superseding UWPER013</p>	<p><u>Search and Screen Committee Records - General</u> This record series applies to all Search and Screen for positions of <u>Associate Dean and lower levels of administration</u>. 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:</p> <ul style="list-style-type: none"> • interview documentation, • minutes, • list of candidates and nominees, • list of interviewees, • press releases and other publicity materials, position description, • position vacancy announcements, 	-	Paper; Electronic or Video format	Yes	Yes	No	-	All campus Departments	<p>Retention: EVT+6 Years EVENT= Date Position is Filled</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<ul style="list-style-type: none"> • 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. <p>(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)</p>								confidentially per institutional policy

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
UWHR0107 Superseding HR000061	<u>Compensation, Titling and Salary Equity Records</u> 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.	-	Paper and Electronic format	No	-	No	-	Human Resources Compensation and Titling or similar university department	Retention: EVT+6 Years EVENT = Date that Analysis or Survey was Completed Disposition: Destroy
2. Affirmative Action and Equal Employment Opportunity & Related Records									
UWHR0200 Superseding UWPER016	<u>Affirmative Action Records -EEOC (Equal Employment Opportunity Commission) - Applicant Pool and Reporting by Job Group/Category</u> 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.	-	Paper and Electronic format	Yes	Yes	Yes	-	Institutional Human Resources	Retention: EVT+ 6 years EVENT= Date Position is Filled Disposition: Destroy Confidential

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)								
UWHR0201 Superseding HR000135	<u>Affirmative Action Records -EEOC (Equal Employment Opportunity Commission) - Plans</u> 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.	-	Paper and Electronic format	No	-	No	-	Office of Compliance or similar campus department	Retention: EVT+3 Years EVENT = Date that Plan is Created, Updated, or Superseded Disposition: Destroy
UWHR0202 NEW	<u>Discrimination Complaint Files</u> This series documents the investigation into any act(s) of discrimination filed by an employee, Student or Visitor. This series may include, but is not limited to: <ul style="list-style-type: none">• 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	-	Paper and Electronic format	Yes	Yes	Yes	-	Office of Compliance or similar campus department	Retention: EVT+6 Years EVENT = Date that Personnel Action was Resolved or Terminated Disposition: Destroy Confidential

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)								
3. Grievance or Layoff Related Records									
UWHR0300 NEW	<p><u>Grievance/Complaint Tracking Log</u> 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.</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>	-	Paper and Electronic format	Yes	Yes	Yes	-	The location of the records in this record series varies throughout the UW-System.	<p>Retention: EVT+ 6 Years EVENT=Date that Complaint or Grievance is Resolved</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
UWHR0301 Superseding HR000111	<p><u>Employee Complaints and/or Grievance Records</u> 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.</p> <p>For formal grievances see record series UWHR0303.</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>	-	Paper and Electronic format	Yes	Yes	Yes	-	The location of the records in this record series varies throughout the UW-System.	<p>Retention: EVT+ 6 Years EVENT=Date that Complaint or Grievance is Resolved</p> <p>Disposition: Destroy Confidential</p>
UWHR0302 Superseding UWPER049	<p><u>Formal University Grievance and Appeal</u> 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.</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>	-	Paper and Electronic format	Yes	Yes	Yes	-	The location of the records in this record series varies throughout the UW-System.	<p>Retention: EVT+ 6 Years EVENT=Date that Complaint or Grievance is Appealed and Resolved</p> <p>Disposition: Transfer to Institutional Archives per policy for archival</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
									review
UWHR0303 Superseding UWPER043	<p><u>Employee Lay-Off Records</u> 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.</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>	-	Paper and Electronic format	Yes	Yes	Yes	-	The location of the records in this record series varies throughout the UW-System.	<p>Retention: EVT+ 6 Years EVENT= Effective Date of the Layoff</p> <p>Disposition: Destroy Confidentially</p>
UWHR0304 Superseding UWPER042	<p><u>Non-Renewal of Appointment – Academic Staff /Faculty</u> 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</p>	-	Paper or Electronic format	Yes	Yes	Yes	-	The location of the records in this record series varies throughout	<p>Retention: EVT+ 6 Years EVENT= Date of Final Decision</p> <p>Disposition:</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<p>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.</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>							the UW-System.	Destroy Confidential
<p>4. Employee Personnel Records *See GUIDELINES #G regarding management of Supervisor Personnel Records. *See GUIDELINES #H For Student Hourly Worker</p>									
<p>UWHR0400 NEW</p>	<p><u>Personnel Record – University Staff, (may apply to Academic Staff and Faculty – Institutional Level access or copy only)</u></p> <p>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.</p> <p><i>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 or accessed.</i></p> <p><u>See other Personnel records series if this does not apply.</u></p>	NA	Electronic format – (Stored in Content Management System or other electronic system)	Yes	Yes	Yes	-	Office of Human Resources Institutional or Divisional Level	<p>Retention: EVT+ 10 Years EVENT=Separation from Institution</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)								
UWHR0401 Superseding UWPER001 and UWPER003	<p>Personnel File including Faculty Career File - Tenured Faculty and Indefinite (All Campuses)</p> <p>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.</p> <p>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.</p> <p>Files may contain, but are not limited to the following documents:</p> <ul style="list-style-type: none"> ➤ 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 	-	Paper / Electronic format	Yes	Yes	Yes	-	These records may be maintained by the Division; Department or Unit within the Institution	<p>Retention: EVT+ 30 Years EVENT = Separation from Unit or Department or Institution</p> <p>Disposition: Transfer to Institutional Archives per policy for archival review</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<ul style="list-style-type: none"> ➤ 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 <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>								
<p>UWHR0402</p> <p>Superseding UWPER002</p>	<p><u>Personnel File – Academic & Non-Tenured Faculty (All Campuses Except UW-Madison)</u> <i>For UW-Madison see UWHR403</i></p> <p>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 <u>except</u> UW-Madison due to disposition requirements.</p> <p>Files may contain, but are not limited to the following documents:</p>	-	Paper format	Yes	Yes	Yes	-	<p>These records are maintained by the Division; Department or Unit within the Institution</p>	<p>Retention: EVT+ 10 Years EVENT = Separation from Unit or Department or Institution</p> <p>Disposition: Transfer to Institutional Archives per</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<ul style="list-style-type: none"> ➤ 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 <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>								policy for archival review
<p>UWHR0403</p> <p>Superseding UWPER002</p>	<p>Personnel File – Academic & Non-Tenured Faculty (For UW-Madison)</p> <p>This series contains records related to Academic Staff or Non-Tenured Faculty during employment at UW-Madison. This may constitute the official</p>	-	Paper format	Yes	Yes	Yes	-	These records may be maintained by the Division ;	<p>Retention:</p> <p>EVT+ 10 Years</p> <p>EVENT = Separation from Unit or</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<p>personnel file at UW-Madison due to disposition requirements. Files may contain, but are not limited to the following documents:</p> <ul style="list-style-type: none"> ➤ 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 <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>							<p>Department or Unit within the Institution</p>	<p>Department or Institution</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
UWHR0404 Superseding UWPER004	<p><u>Personnel File – PhD, Graduate, Teaching Assistant or Researcher, Employees in Training, Fellowship and Post-Graduate Associates</u></p> <p>This series documents the personnel record for PhD, Graduate, Teaching Assistant or Researcher, Employees in Training, Fellowship and Post-Graduate Associates.</p> <p>Files may contain, but are not limited to the following documents:</p> <ul style="list-style-type: none"> ➤ 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 	-	Paper and Electronic format	Yes	Yes	Yes	-	The location of the records in this record series varies throughout the UW-System.	<p>Retention; EVT+ 6 Years EVENT = Date of Termination</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<p style="text-align: center;">➤ Letters of resignation</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>								
<p>UWHR0405</p> <p>Superseding HR000191</p>	<p><u>Volunteer and Unpaid Internships</u> 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.</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>	-	Paper or Electronic format	Yes	Yes	Yes	-	The location of the records in this record series varies throughout the UW-System.	<p>Retention: EVT + 2 Years EVENT = Date of Assignment Completion</p> <p>Disposition: Destroy Confidential</p>
5. Employee Medical Information and HIPAA Privacy Complaints									
<p>UWHR0500</p> <p>Superseding UWPER053</p>	<p><u>Employee Medical Information Files - Departmental</u> This series includes records relating to an employee’s medical status. Records may include such items as American Disabilities Association</p>	-	Paper and Electronic format	Yes	Yes	Yes	-	The location of the records in this record series varies throughout	<p>Retention: EVT + 10 Years EVENT = Separation From the Institution</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<p>(ADA) accommodation, psychology profile, and other health related documentation on the employee.</p> <p>This information must be maintained separate from the individuals personnel file per CFR29 1630.14(b)(1).</p> <p>This record series <u>does not apply</u> to workers compensation. See the Risk Management general schedule.</p>							the UW-System.	<p>Disposition: Destroy Confidential</p>
<p>UWHR0501</p> <p>NEW</p>	<p><u>HIPAA Privacy Complaint Files</u></p> <p>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.</p>	-	Paper and Electronic format	Yes	Yes	Yes	-	Office of Compliance or similar campus department	<p>Retention: EVT+6 Years EVENT = Date that Personnel Action Was Resolved or Terminated</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
6. Employee Assistance Program (EAP) & Related Records									
UWHR0600 Superseding HR000163	<u>EAP- Statistical Reports and Program Accomplishments</u> 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.	-	Paper and Electronic format	No	-	No	-	Employee Assistance Office or similar campus department	Retention: CR + 5 Years CR=Date of Creation Disposition: Destroy
UWHR0601 NEW Superseding HR000165	<u>EAP- Employee Assistance Case Files</u> 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	-	Paper and Electronic format	Yes	Yes	Yes	-	Employee Assistance Office or similar campus department	Retention: EVT + 5 Years EVENT=Date of Last Encounter Disposition: Destroy Confidential

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
UWHR0602 Superseding HR000166	<u>EAP- Employee Assistance Satisfaction Surveys</u> This series includes documents created when campuses conduct EAP satisfaction surveys or when an employee has utilized EAP services.	N/A	Paper and Electronic format	Yes	Yes	Yes	-	Employee Assistance Office or similar campus department	Retention: EVT+0 EVENT=Date Survey Analysis Was Completed Disposition: Destroy Confidential
UWHR0603 Superseding HR000168	<u>University Wellness Program and Related Activities</u> 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.	-	Paper and Electronic format	No	-	No	-	Employee Assistance Office or similar campus department	Retention: CR+ 5 Years CR=Date of Creation Disposition: Destroy

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
International Faculty and Staff Records – * See Electronic System and Glacier on page 6.									
UWHR0700 NEW	<p><u>H-1B and E-3 Labor Condition Applications (LCA) Public Access Files</u> 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).</p> <p><i>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.</i></p> <p><i>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.</i></p>	-	Paper and Electronic format	Yes	Yes	No	-	International Faculty and Staff Services or similar Institutional Department	<p>Retention: EVT + 1 Year 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</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<p>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.</p> <p>20 CFR §655.760(a)</p>								
<p>UWHR0701</p> <p>NEW</p>	<p><u>PERM = Program Electronic Review Management (also referred to as “labor certification”)</u> PERM applications filed with DOL and all supporting documentation</p> <ul style="list-style-type: none"> • 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 	-	Paper and Electronic format	Yes	Yes	Yes	-	International Faculty and Staff Services or similar Institutional Department	<p>Retention: EVT + 5 Years EVENT= Date of Filing</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<p>passport copies, dependent passports, marriage certificates, birth certificates</p> <ul style="list-style-type: none"> • Correspondence between IFSS, department, and beneficiary <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>								
<p>UWHR0703</p> <p>NEW</p>	<p><u>PR (Permanent Residency) Files (apart from the above PERM files, when applicable)</u></p> <p>This record series includes, but is not limited to: Permanent (Immigrant) Workers (permanent residents) Forms/documents associated with these files: PR</p> <ul style="list-style-type: none"> • 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) 	-	Paper and Electronic format	Yes	Yes	Yes	-	International Faculty and Staff Services or similar Institutional Department	<p>Retention: EVT+ 5 Years EVENT= Date Permanent Residency Obtained</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<ul style="list-style-type: none"> Relevant correspondence between IFSS, department, and beneficiary <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>								
7. Evaluation and Promotion Records									
UWHR0800 Superseding UWPER032	<p><u>Student Evaluations or Summary of Tenured Faculty, Academic Staff, Teaching Assistants and PA's</u></p> <p>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.</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>	-	Paper or Electronic format	Yes	Yes	Yes	-	All Campus Departments	<p>Retention: EVT+ 5 Years EVENT=End of the Semester in which the Evaluation was Completed</p> <p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
UWHR0801 Superseding UWPER033	<p><u>Student Evaluations or Summary of Probationary Faculty for Tenure</u></p> <p>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.</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>	-	Paper or Electronic format	Yes	Yes	Yes	-	All Campus Departments	<p>Retention: EVT+ 5 Years EVENT=End of the Tenure Review Process</p> <p>Disposition: Destroy Confidential</p>
UWHR0802 Superseding UWPER028	<p><u>Faculty Tenure File – Successful and Unsuccessful</u></p> <p>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.</p> <p>The Master Tenure file is transferred to the Secretary of the Faculty/and or Provost and HR Faculty personnel file.</p>	-	Paper and Electronic formats	Yes	Yes	Yes	-	Office of the Secretary of the Faculty or similar campus department	<p>Retention: EVT+ 6 Years EVENT=Date of Final Tenure Decision</p> <p>Disposition: Transfer to Institutional Archives per policy for archival review</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	The Executive Committee retains a copy until the Tenure review process is completed. Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)								
8. Workforce Development and Training									
UWHR0900 Superseding UWPER036	<u>Employee Training Request Documentation</u> Document used to obtain approval to attend, register for specific classes, and document that the person attended specific training program.	-	Paper and Electronic format	Yes	Yes	No	-	Office of Talent Management or similar campus department	Retention: CR+1 Year CR=Date of Creation Disposition: Destroy Confidential
UWHR0901 HR000182	<u>Course Evaluation for Employee Training</u> This record series documents written information from course attendees evaluating the class and facilitators or instructor who presents the material.	-	Paper and Electronic format	Yes	Yes	No	-	Office of Talent Management or similar Institutional department	Retention: CR+1 Year CR=Date of Creation Disposition: Destroy Confidential

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
UWHR0902 HR000183	<p><u>Human Resource Training Vendors</u> This record series contains vendor files on presenters who have taught or provided training to University of Wisconsin Staff.</p>	-	Paper and Electronic format	Yes	Yes	No	-	Office of Talent Management or similar Institutional department	<p>Retention: EVT+1 Year EVENT=Date that the Vendor Last Provided a Class</p> <p>Disposition: Destroy Confidential</p>
UWHR0903 NEW	<p><u>Human Resource Training Course Materials</u> This record series consists of, but is not limited to: the curriculum training materials, presenters and related materials for training programs and presentations.</p>	-	Paper	No	-	No	-	Office of Talent Management or similar Institutional department	<p>Retention: EVT + 5 Years EVENT= Date Old Materials are Superseded</p> <p>Disposition: Destroy Confidential</p>
UWHR0904 HR000185	<p><u>Human Resource for Tracking Employee Training</u> 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</p>	-	Electronic format consisting of a Database	Yes	Yes	Yes	-	Office of Talent Management or similar Institutional department	<p>Retention: EVT+ 5 Years EVENT=Date of Employee Termination</p>

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

1. RDA # /Status	2. Series Title / Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential	8. Essential (opt.)	9. Official Record Location (opt.)	10. Retention / Disposition / Event
	<p>of the class attended, and evidence of satisfactory completion of the training.</p> <p>Confidential under Employee Personnel Records Wis. Stat. § 19.36(10)</p>								<p>Disposition: Destroy Confidential</p>

University of Wisconsin System and UW-Madison
General Records Schedule for Human Resource and Related Records

Closed/Superseded Series

Note: For Records management information only. To close or supersede RDA series, complete form DOA-3806

RDA Number	Record Series Title	Action Taken
UWHR0100	<u>HR Personnel Hiring and Position Change Forms and Requests</u>	is superseding UWPER019 HR Forms
UWHR0101	<u>Position Vacancy Listing or Position Announcement</u>	is superseding UWPER007 Final Position Listing
UWHR0102	<u>Criminal Background Checks</u>	is superseding UWPER010 and UWPER011 Criminal Background Checks successful and unsuccessful
UWHR0103	<u>Federal I-9 Employee Eligibility Verification</u>	is superseding UWPER018 Employment Eligibility Verification Forms (I-9)
UWHR0104	<u>Candidate Files</u>	is superseding UWPER017 Candidate files
UWHR0105	<u>Search and Screen Committee Records</u>	is superseding UWPER013 Search and Screen Committee Records
UWHR0107	<u>Compensation, Titling and Salary Equity Records</u>	is superseding HR000061 Labor Market Surveys
UWHR0200	<u>Affirmative Action Records -EEOC (Equal Employment Opportunity Commission) - Applicant Pool and Reporting by Job Group/Category</u>	is superseding UWPER015 Affirmative Action-Applicant Pool and UWPER016 Affirmative Action-By Job Group
UWHR0300	<u>Grievance/Complaint Tracking Log</u>	is superseding HR000111 Agency Grievance Case File
UWHR0301	<u>Employee Complaints and/or Grievance Records</u>	is superseding HR000110 Non-Represented Employee Grievances,

University of Wisconsin System and UW-Madison
General Records Schedule for Human Resource and Related Records

- UWHR0302** **Formal University Grievance Files** is superseding UWPER049 Formal Grievance Files, UWPER048 Written Complaints & UWPER050 Grievance Files for TA's and PA's
- UWHR0303** **Employee Lay-Off Records** is superseding both UWPER043 Layoff Documentations and HR000084 Employee Layoff Records
- UWHR0304** **Non-Renewal of Appointment – Academic Staff /Faculty** was superseded by UWPER042 Non-Renewal Documentation
- UWHR0400** **Personnel Records – University Staff, Academic Staff and Faculty** is superseding HR000190 Official Personnel File
- UWHR0401** **Personnel File including Faculty Career File - Tenured Faculty and Indefinite (All Campuses)** is superseding Both UWPER001 Tenured Faculty and UWPER003 Indefinite Unclassified Staff
- UWHR0402** **Personnel File – Academic & Non-Tenured Faculty (Excluding UW-Madison)** is superseding UWPER002 Non-Tenured Faculty/Academic Staff
- UWHR0403** **Personnel File – Academic & Non-Tenured Faculty (For UW Madison)** is superseding UWPER002 Non-Tenured Faculty/Academic Staff
- UWHR0404** **Personnel Records – PhD, Graduate, Teaching Assistant or Researcher, Employees in Training, Fellowship and Post-Graduate Associates** is superseding both UWPER004 Graduate Student Personnel File and UWPER052 Employees in Training Personnel File
- UWHR0405** **Volunteer and Unpaid Internships** is superseding both UWPER051 Volunteer Letters and Supporting

University of Wisconsin System and UW-Madison
General Records Schedule for Human Resource and Related Records

Documentation and HR00091 Volunteer and Unpaid Internship Documentation

- UWHR0500** Employee Medical Information Files – Departmental is superseding HR000150 Employee Medical Case Files and UWPER053 Employee Medical Information
- UWHR0600** EAP Statistical Reports and Program Accomplishments is superseding HR000163 EAP Statistical Reports and Program Accomplishments
- UWHR0601** EAP Employee Assistance Case Files is superseding HR000160 Employee Assistance Coordinator(s) Case Files
- UWHR0602** EAP Employee Assistance Satisfaction Surveys is superseding HR000166 EAP Satisfaction Surveys
- UWHR0603** University Wellness Program and Related Activities is superseding HR000167 Wellness Initiative -Statewide Activities
- UWHR0800** Student Evaluations or Summary of Tenured Faculty, Academic Staff, Teaching Assistants and PA's is superseding both UWPER032 Student Evaluations and Summaries Tenured Faculty and UWPER034 Student Evaluations and Summaries.
- UWHR0801** Student Evaluations or Summary of Probationary Faculty for Tenure is superseding UWPER033 Student Evaluations and Summaries Probationary Faculty
- UWHR0802** Faculty Tenure File – Successful and Unsuccessful is superseding UWPER028 Faculty Tenure File (Successful and Unsuccessful)
- UWHR0900** Employee Training Request Documentation is superseding both UWPER0036 Requests for Authorization to Reimburse Employee Fee Tuition and HR000181 Training Request Documentation
- UWHR0901** Human Resources Employee Course Evaluations is superseding HR000182 Course Evaluations
- UWHR0902** Human Resources Training Vendors is superseding HR000183 Training Vendors Hired

University of Wisconsin System and UW-Madison

General Records Schedule for Human Resource and Related Records

UWHR0903	<u>Human Resources Training Course Materials</u> is superseding HR000184 Course materials for Basic Supervisory Training
UWHR0904	<u>Human Resource for Tracking Employee Training</u> is superseding HR000185 Tracking systems for Training
UWPER046	Terminated Foreign Faculty H1S –Close RDA
UWPER047	Terminated Foreign Unclassified Staff (Permanent Resident) - Close RDA
UWPER031	Indefinite Appointment Files (Successful and Unsuccessful) - Close RDA

Revision History			
<i>Note: information only</i>			
Revision Date			Action Taken
05/2016			Combined the DOA Classified and the UWSA Academic Staff records schedule into one HR schedule. Change was made due to HR Design and UW-System HR Changes.