University of Wisconsin System

Faculty and Academic Staff (Unclassified Staff) &

Limited Appointments (as described in Wis.Stats. 36.17(2)

General Records Retention Schedule
Unclassified Staff Personnel Records GRS

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 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 GRS is a revision of one approved by the Public Records Board in November, 2008. This revision addresses the changes brought about by the implementation of the Human Resources System (HRS), a PeopleSoft application (April 2011). HRS is an integrated system and incorporates all human resources, 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 GRS covers the retention and disposition of records relating to unclassified UW System employees (faculty and academic staff), graduate student employees (research assistants, project assistants, and teaching assistants), volunteers, and employees in training.

The implementation of HRS introduces several factors that impact records retention. They are described in Section III.

II. SCOPE

This General Records Schedule governs the retention and disposition of records associated with the following HR functional areas:
--Recruitment and hiring
--Evaluation including tenure and indefinite appointment
--Staff development
--Termination of employment
--Grievances and complaints
--Other personnel-related documentation.

Faculty and academic staff personnel processes are governed by Faculty Policies and Procedures in effect at each institution and by Chapter 36 of the Wisconsin Statutes.

The provisions of this GRS apply to all institutions and employing units in the University of Wisconsin System.

III. HRS and RECORDS RETENTION

The following factors should be kept in mind in interpreting and applying records retention requirements outlined in this document.
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 HR records including supplemental systems. This means there is a shared responsibility for records retention. Records series will indicate whether HRS, UW institutions have responsibility for retention of the original record. In some instances, there is a shared responsibility for records retention.

Storage media and retention. This GRS does not address storage media or implementation strategy for records retention.

III. GUIDELINES APPLICABLE TO THIS 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 Chapter Adm 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.

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, like PeopleSoft, provides 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. Destruction Authorization.

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 beyond the retention date in the discretion of University administrators.
E. Records to be retained.

In accordance with Wisconsin law, records to be retained are those defined as in the Wisconsin Statutes as “public records,” that are made or received by any university employee in connection with the transaction of university business. See Wis. Stat. § 16.61(2)(b). Public records do not include the following:

1. Duplicates maintained by a university employee only for convenience or reference and for no other substantive purpose.

2. Unsolicited notices or invitations which are not related to any official action taken, proposed, or considered by the University of Wisconsin System.

3. Drafts, notes, preliminary computations and like materials intended for personal use by an individual 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.

5. Materials that are purely the personal property of a university employee and have no relation to his or her office.

Records that are not “public records” under the definition may be destroyed at the discretion of university administrators.

F. 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 represent another original record. It must be maintained the same period of time as the original record.

H. Definitions

Internet Applicant— (Definition retrieved from the Dept. of Labor 2-28-2011). An Internet 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; and,
• 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.

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.
Unclassified Staff Personnel Records GRS

UNCLASSIFIED PERSONNEL FILE

UWPER001 Tenured Faculty:

UWPER002 Non-Tenured Faculty/Academic Staff:

UWPER003 Indefinite Unclassified Staff:

The official P-file comprises the comprehensive employment record for every faculty or unclassified employee. The location of the official unclassified P-file varies throughout the UW System. Generally, it is maintained in the office of the Provost, Dean of the employing School or College or employing department.

A complete P-file may include the following records:
Letters of application; research proposal (at hire, if required); resume or curriculum vitae (CV); letters of recommendation or reference; letter(s) of offer, appointment, reappointment, or promotion; letter of acceptance of employment, tenure, or indefinite appointment; position description; reclassification records; employment contracts; personnel action forms; base rate or title change requests and actions; requests for/decisions on leaves of absence; notices of sabbatical leave; notices of faculty or academic staff awards; notices of emeritus or distinguished service recognition; performance reviews or evaluations; lists or notices of awards or grants; notifications of named professorships; grievances and notices of disciplinary actions; arbitration records; letters of resignation or retirement; and notices of non-renewal of appointment (for academic staff)

HRS: For those institutions using the TAM module of HRS, some documents normally found in the Unclassified Personnel File, such as the official letter of offer, may be generated by and reside in the HRS system-TAM module. The initial resume/CV collected during the recruitment process will be in TAM; the updated version will be in the personnel file.

Appraisal Note: The following types of documentation are often considered personnel-related records, but must be maintained separately from the personnel file:

**Career Materials:** Materials not of an official nature, but which provide information on the subject. These may include news stories, congratulatory letters, lists of publications or articles, and awards or commendations. While governed by a specific retention period, this type of documentation may have archival value, and the institutional archivist should be contacted prior to disposal.

**Confidential Materials:** Materials of a confidential nature that should be maintained separately from the overall P-file. These may include medical records, I-9 (employment eligibility verification form), H1B application (immigration petition, approval, and supporting
documentation), and criminal background check records. See record item numbers 008, 009, and 034 for retention periods on these items.

Retention Period:

**UWPER001 Tenured Faculty:** EVT + 30 years. EVT= Date of employee’s retirement or death. Destroy confidentially or transfer to Archives for permanent preservation.

**UWPER002 Non-Tenured Faculty/Academic Staff:** EVT + 10 years. EVT= Date of termination of employment. Destroy confidentially or transfer to Archives for permanent preservation.

**UWPER003 Indefinite Unclassified Staff:** EVT + 30 years. EVT= Date of employee’s retirement or death. Destroy confidentially or transfer to Archives for permanent preservation.

Retention Responsibility: By Institution
In terms of implementing the provisions of this GRS item, the office holding the official personnel file (wherever that is located within the institution) generally has the responsibility of implementing the retention period listed for the ‘original’ copy of the record series.

Destroy Confidentially. PII/Confidential

Archival value:
The determination of archival value of official personnel files will be made by each institutional archivist.

**UWPER004 Graduate Student Personnel File**
A complete P-file may include the following records:
Letters of application; research proposal (at hire, if required); resume or curriculum vitae (CV); letters of recommendation or reference; letter(s) of offer, appointment, reappointment, or promotion; letter of acceptance of employment, position description, base rate or any changes of employment status, performance reviews or evaluations; lists or notices of awards or grants, grievances and notices of disciplinary actions; arbitration records; letters of resignation and notices of non-renewal of appointment (for academic staff).
The location of the official graduate student personnel file varies throughout the UW System. Generally, it is maintained in the office of the Provost, Dean of the employing School or College or employing department.

Retention: Campus: EVT + 6 Years. EVT= Date of Termination.
Destroy Confidentially. PII/Confidential

**UWPER005 Permanent HR Person Data**
These are the historic appointment fields from HRS being brought forward to EPM for reporting purposes. The fields include: Title name, appointment major department, department , percent, funding responsibility, salary basis, appointment type, title code, appointment effective date, appointment id, seniority date, contract effective date, contract end date, probation end date, academic session, continuity status, appointment end date, federal appointment type, guaranteed length, rate
over max, rate under min, salary basis code, probation type, service status, recruitment number, working title, person name, fund, activity, account, fica status, fica indicator, flsa status, student pay category, person id, home address, home zip code, campus phone, gender, I-9 date, social security number, visa type, issuing country, heritage code, birthdate, country, disability, veterans information, degree data, appointment begin reason, cbc completion date, division affiliation, end appt code, end appt reason, tenure percent, tenure granted date, tenure affiliation, leave codes, leave reasons, rate codes, rate change reasons, title change codes, title change reasons.

Retention:
HRS: Retain permanently. PII/Confidential

RECRUITMENT AND HIRING

UWPER006 Employment Inquiry Files (Unsolicited Applications)
This series includes applicant materials received by anyone on campus generally, and not in response to any particular position. Materials may include curriculum vitae; letters of inquiry; and letters of recommendations. (See definition of Internet applicant in Section H. Definitions)

Retention Period:
Original:
Campus: EVT + 6 Years. EVT= Date of Receipt.
Destroy Confidentially. PII/Confidential

UWPER007 FINAL Position Listing (Madison ONLY)
This series includes the final approved version of the PVL (the position description) noting the "released" status and date and accompanying documentation. The PVL describes the position which is being recruited, including information regarding: employing unit and payroll (funding) source(s), position title, type of appointment, salary level, dates of availability and appointment, position description and qualifications, and approval signatures.

Retention:
Campus: EVT + 6 Years. EVT= Date that position is filled.
Copies: Destroy once administrative need has been met.
Destroy Confidentially. PII/Confidential
UWPER008 Resume / CV
Resume/CV are a component of the official personnel file for all faculty, academic staff and limited appointees.

Resumes and CVs submitted as part of the recruitment process will be in TAM in the HRS system. TAM will hold the initial CV only. Updated versions will still be responsibility of employing units.

Retention Period:
Campuses: Retain in the individual’s personnel file. (See UWPER 001 for retention.)
HRS-TAM copies: Retain until the recruitment process has concluded and destroy.

UWPER009 Active / Inactive Positions
This is an HRS report listing classifications and open positions by department. Institutions can use this report for position management.

Retention:
Campus: CR+ 1 year. CR = Creation. Destroy Confidentially. PII/Confidential

Criminal Background Checks
UWPER010 Criminal Background Checks - Successful
UWPER011 Criminal Background Checks - Unsuccessful
Records of criminal background checks made of 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, which are generated by private vendors on a contract basis, University employees, or employees of the Wisconsin Department of Justice; (3) records created and received by the University employees who are responsible for making hiring decisions, which document the decision-making process for determining whether an applicant’s criminal background is substantially related to the requirements of the employment position; and (4) records related to notifying applicants of a decision not to hire, due to the substantial relation of the applicant’s criminal background and the requirements for the employment position.
Original background checks may be retained as confidential materials kept separately from the P-file.

Recordkeeping Responsibility: The maintenance of the records of the background checks will remain campus responsibility to retain. HRS may record whether or not a background check has been completed and destroy after 7 years.

Retention:
UWPER010 Criminal Background Checks - Successful: CR + 7 Years CR = Creation.
UWPER011 Criminal Background Checks - Unsuccessful: CR + 7 Years CR = Creation.
Confidentially. PII/Confidential.
UWPER012 Recruitment File
This is the final ad copy for the position vacancy announcement. For some recruitments, where foreign national applicants may apply and a campus policy would allow for a labor certification (such as faculty recruitment) a final print ad copy will be necessary. This is a part of the recruitment file and the print ad may become a part of the employee file if applicable.

HRS: Some recruitment information may be held in TAM. If so, retain 6 years and delete/destroy. (29 U.S.C.§626 and 29 C.F.R.§1627.3(ADEA) and 29C.F.R.§1602.31(Title VII of the Civil Rights Act of 1964)

Retention:
Campuses: CR + 6 Years. CR= Creation. Destroy Confidentially. PII/Confidential

UWPER013 Search and Screen Committee Records
This series includes minutes, lists of candidates and nominees, lists of interviewees, press releases and other publicity materials, position descriptions, position vacancy announcements, list of search and screen committee members, lists of colleagues and professional organizations from which nominations may have been sought, sample letters sent to applicants, sample questions used in the interview process, rejected letters of offer and any other correspondence related to the process. (29 U.S.C.§626 and 29 C.F.R.§1627.3(ADEA) and 29C.F.R.§1602.31(Title VII of the Civil Rights Act of 1964)

NOTE: Some institution archives may consider search and screen committee files for higher level positions to have archival value (Dean positions and higher levels of administration). Each institution will need to make this determination with the involvement of the institution archivist.

Retention:
Original:
Campuses: EVT + 6 Years. EVT= Date that position is filled. Destroy Confidentially. PII/Confidential
Copies: Destroy when no longer needed.

UWPER014 Letters of Appointment
This series consists of the official letter which outlines the duties of the position, type of appointment, percent time of appointment, beginning and end dates of appointment, financial remuneration, title and name of person to whom the employee is immediately responsible, departments involved in the funding of the appointment, and governance rights.

NOTE: For those institutions using the TAM module of HRS, the official letter of appointment/offer will be in TAM.

Retention:
Campuses: Accepted letter of offer sent to the individual. A copy is placed in the individual’s Official P-File. Rejected letters of offer would be maintained as part of the candidate files (item UWPER 013 in the search and screen records).

Copies: Transfer one copy to the individual’s Official P-File. If the individual is a limited-term employee, transfer a copy to Human Resources and retain from date of acceptance + additional 1 year and destroy. Destroy all other copies when no longer needed.

HRS: EVT + 6 Years. EVT= Date of Appointment. Destroy Confidentially. PII/Confidential
UWPER015 Affirmative Action-Applicant Pool
Includes affirmative action information form as well as any forms the applicant is required to complete or fulfill affirmative action job reporting requirements (such as the applicant pool summary containing 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.

Retention:
Campuses – EVT + 6 Years EVENTT= Date that position is filled. Destroy Confidentially.

HRS – Set of tables in TAM— EVT + 6 Years. EVT= Date that position is filled.
PII/Confidential

UWPER016 Affirmative Action-By Job Group
This an affirmative action reporting documentation completed by each institution reporting on affirmative action by job group/category.

This series includes the affirmative action information form, which is mailed to all applicants to self-identify for affirmative action purposes. Also included are any forms the applicant is required to complete to fulfill affirmative action reporting requirements, which position vacancy number if such is used, gender and heritage codes, appointee's name, position title, date appointment begins, title code, name of person making selection. The information is filed with the Affirmative Action Office. Also included are the affirmative action review forms. These forms are to be completed for faculty, limited or academic hires if:
- underutilization exists in the job group being filled
- members of the underutilized protected groups were in the applicant pool, and
- an underutilized protected group member was not recommended.

The form collects information such as: position title, PVL #, name of candidate, explanation of why candidate is being recommended, and signatures of authorizing positions.

Retention:
Original: EVT + 6 Years. EVT= Date that position is filled. Destroy Confidentially. PII/Confidential
Copies: Destroy when administrative need is completed, not to exceed 1 year.

UWPER017 Candidate Files
Individual candidate files include all materials submitted by the candidate as part of the application -recruitment process. Also Selective Service registration verifications are included under this series.

NOTE: The information that is gathered or created in TAM for recruitment will be retained for the same length of time in the system and/or data warehouse as the candidate file. After the position is filled, it is the intent that part of the successful candidates file will be transferred to a P-file. Some of the items that currently go into a P-file that are captured in TAM are: a candidates resume, the initial PD, the Criminal Background Check date, and the contract/appointment letter, etc. A campus will probably need to have hard copies of the documents gathered during recruitment placed in a P-file, or if the campus keeps
electronic P-files, the documents would be copied into the electronic P-file. (29 U.S.C.§626 and 29 C.F.R.§1627.3(ADEA) and 29C.F.R.§1602.31(Title VII of the Civil Rights Act of 1964)

Retention:
Campus— Complete candidate file.
HRS – See Note above.
EVT + 6 Years. EVT= Date that position is filled. Destroy Confidentially. PII/Confidential

UWPER018 EMPLOYMENT ELIGIBILITY VERIFICATION FORMS (I-9)
This series includes the Federally-required forms that verify employment eligibility and employee identity. The I-9 includes the employee’s name, address, birth date, social security number, verification of citizenship, and date and signature. Also included is a section for the employer to verify the documentation presented to prove citizenship and employment eligibility. (8 U.S.C.§1324(a) Immigration and Nationality Act)

Retention:
Campuses: Date of hire + additional 3 years, or date of termination + additional 1 year, whichever is later, and destroy. Retain the form in a separate file.
Do not retain copies.

UWPER019 HR FORMS
These forms include: Create a Position, Hire a Person (with a Position), Hire a Person (without a Position), Add a Person, Change a Position, Job Change (with a Position), Job Change (without a position), Additional Information for Student Help, Change a Person, Vacation Option Election Form, Self-Identification Form, Emergency Contact Form. These forms function much like the former personnel action forms in that they authorize changes to the HRS system.

Retention:
Campuses: Signed original—Retain 2 years and destroy.
Copies: Destroy upon completion of administrative need, not to exceed 1 year.

Destroy Confidentially. PII/Confidential

ADMINISTRATIVE REPORTING

UWPER020 Board of Regents Limited Title Employee Reports, 2005-
This report supports the Legislative Audit Bureau reporting requirement with regard to limited title appointees, their concurrent appointment information if any, duration and contract requirements in the UW System. The policy on use of Limited Title Appointments can be found at: http://www.uwsa.edu/hr/upgs/upg02.pdf. The data is organized by campus and edited by UW System Personnel Office. It is submitted to the BOR in December. The BOR forwards to the Joint Legislative Audit Committee in January. (This record series includes the LTE Monitoring Report generated from the HRS System.)
The report began subsequent to the passing of Regents Resolution 9091 on November 11, 2005.

**Retention: CR + 5 years  Destroy Confidentially.  PII**

**UWPER021 FTE (Full Time Equivalent) Employee Monitoring Reports**
This reports employees whose combined jobs total more than 1.0 FTE. Frequently, these are staff positions that for example, are teaching a class in addition to their normal job duties. This report may also be used to discover errant entry within the appointment system requiring HR to make data corrections.

**Retention: FIS + 6 Years.  FIS= Fiscal Year**
(This is in agreement with Fiscal/Acct GRS retention recommendation for payments to individuals.)

**Destroy Confidentially.  PII**

**UWPER022 HRS System Routine Audit –Error Reports**
The HRS system produces a number of audit-error reports that are used to verify data entry, updates to tables, and other routine changes to the System. These reports have reference value only. For example:

**Employees Missing Hire Date**

**Retention: Administrative need not to exceed 6 months**

**Destroy Confidentially.  PII**

**UWPER023 HRS Administrative Reference Reports**
HRS (PeopleSoft) provides UW institutions and employing units with the ability to produce a variety of administrative reports (including queries to the HRS system) generated for reference purposes only to support routine HR activities. These HRS reports are generated by the employing unit, but not distributed. (Examples: Classified probationary report, seniority reports, lists of employees in classified project status, New Hires Report, Passport Visa Expiration Report, Research Assistant/Project Assistant/Teaching Assistant Reports) (NOTE: some of these reports will be generated centrally and distributed via Cypress such as the classified probation report.)

**Retention:**
Campuses: Delete once administrative reference value has concluded.

**Destroy Confidentially.  PII**

**UWPER024 Union Membership Lists**
Membership lists generated for unions representing certain categories of unclassified employees.

**Retention:**
HRS: Retain until superseded.

**Destroy Confidentially.  PII**

**UWPER025 Emergency Contact Information**
The information that would be captured in the HRS would include: Contact name, phone number, address as well as the ability to designate a person as the primary emergency contact and the ability to have multiple names listed. (May include physician name) This is HRS feature is one campuses can choose to use or not.

**Retention:**
Campuses: Retain until superseded.  Destroy Confidentially.  PII
UWPER026 Primary Job Audit
Primary job audit-this report will be used by HR and benefits staff to ensure that the "primary" job is associated with the employee record in HRS that will ensure the greatest benefit eligibility. Ex: if a Lecturer holds two concurrent positions, one a fixed terminal 40% job and the other a fixed renewable AS job at 60% the primary job should be assigned to the fixed renewable position.

(NOTE: this is a reference report. Benefits has a similar report that will require action on the part of the SC or institutions)

Retention:
Campuses: CR + 3 Years. CR= Creation.
HRS: CR + 3 Years. CR= Creation.
Destroy Confidentially. PII

UWPER 027 Incompatible Duties Log
This HRS report shows staffs that have incompatible administrative duties such as adding employees to HRS as well as signing timesheet. This is a critical document for systems audit.

Retention:
HRS: CR + 3 Years. CR= Creation.
Destroy Confidentially. PII

EVALUATION and PROMOTION
The tenure and or indefinite appointment process will vary depending upon the established administrative rules or faculty policies at each UW institution. Each institution will need to modify the language in this section to be compatible with the tenure/indefinite appointment process it uses.

UWPER028 FACULTY TENURE FILE (SUCCESSFUL AND UNSUCCESSFUL)
This series consists of records relating to the granting of tenure to faculty members. The documents in the file may include: vitae, evaluation summary information, letters of recommendation, lists of publications or other record of scholarly productivity, letter from the chair that summarizes the individual's career, statements from the candidate, and evidence of service to the university and the profession and notice of the recommendation regarding tenure.

Tenure candidates are first reviewed by the department executive committee; those with positive recommendations from the executive committee are forwarded for divisional committee review. A positive recommendation by the divisional committee sends the tenure file to the dean who makes the final recommendation to the provost. A negative vote by the divisional committee terminates the process; however, the dean can override the decision and recommend sending a recommendation to the provost.

NOTE: Individual campuses may have established their own appraisal criteria with regard to this record series. Check with your institution’s archivist about additional appraisal criteria impacting this record series.

Retention:
Campuses: Transfer the master tenure file to the individual’s Official P-File.
Copies: The Secretary of the Faculty and/or the Provost retains copies EVT + 6 Years EVT= from date of the final tenure decision.
Destroy Confidentially. PII/Confidential

Archival value:
The determination of archival value of official personnel files will be made by each institutional archivist.

UWPER029 TENURE ROSTER REPORTS
This series includes listings of the individuals achieving tenure. Institutions can produce this report from HRS, if they choose to do so. Campuses may also maintain their tenure rosters.
Two other roster reports are produced by HRS; tenure roster – probation report lists all individuals being considered for tenure, and tenure roster—relationship report that shows department affiliation for tenure.
Retention:
Campuses: CR + 10 Years. Transfer to Archives.
HRS: Retain data for 10 years. Destroy Confidentially. PII/Confidential

UWPER030 NOTICE OF TENURE / RENEWAL / RETENTION OR INDEFINITE APPOINTMENT
This series consists of letters formally granting tenure renewal or retention or indefinite appointment to the faculty, or indefinite status to the academic staff.
Retention:
Campuses: Transfer one copy to the individual’s Official P-File.
Copies: Destroy when no longer needed.
Destroy Confidentially. PII/Confidential

UWPER031 INDEFINITE APPOINTMENT FILES (SUCCESSFUL AND UNSUCCESSFUL)
This series consists of records relating to the granting of indefinite status for unclassified academic staff. Documents in the file may include: vitae, letters of recommendation, position description, outline of professional activities, and lists of articles or publications when appropriate.
Retention:
Campuses: Transfer the master appointment file to the individual’s Official P-File.
Copies: The Academic Staff Review Committee retains a copy until the review is completed. The Provost’s Office retains a copy: EVT + 6 Years EVT= Date of the final appointment decision.
Destroy Confidentially. PII/Confidential

STUDENT EVALUATIONS AND SUMMARIES
UWPER032 Tenured Faculty:
UWPER033 Probationary Faculty:
UWPER034 Academic Staff and TA’s, PA’s:
This series consists of statistical and/or narrative evaluation forms and summaries completed by students concerning the teaching performance of individual faculty or academic staff. Student evaluation information can be used to support tenure application as well as academic staff indefinite
appointment.

Retention:
Campuses: For faculty and academic staff, transfer a copy of evaluation summaries to the individual’s Official P-File if such is prepared.

If no summaries are prepared then evaluations must be retained according to the schedule outlined below:
Original Summaries:
UWPER032 Tenured Faculty: EVT + 5 Years. EVT= Date of end of semester in which evaluations were completed.

UWPER033 Probationary Faculty: EVT + 6 Years. EVT= Date of end of tenure review process

UWPER034 Academic Staff and TA's, PA's: EVT + 2 Years. EVT= Date of end of semester in which evaluations were completed.

NOTE: If summaries have been prepared on ALL of the above, the actual evaluations need only be retained 6 months and destroy.
Destroy Confidently. PII/Confidential

UWPER035 PERFORMANCE REVIEWS INCLUDING MERIT REVIEW AND RESPONSES
This series consists of individual written reviews of staff performances.

Retention:
Campuses: Transfer to the individual's Official P-File.
Copies: Destroy when no longer needed.
Destroy Confidently. PII/Confidential

STAFF DEVELOPMENT DOCUMENTATION

UWPER036 REQUESTS FOR AUTHORIZATION TO REIMBURSE EMPLOYEE FEE TUITION
This series consists of request forms used by an employee seeking authorization to obtain reimbursement for course work and other training. They list the type of course, educational status of employee, amount of work time to be used, employee signature and date. A portion of the form is completed by the individual’s supervisor or chairperson and details whether course work is job related, whether course work is required, approval signatures and dates. The form also contains a provision for certifying successful completion of the course.

Retention:
Campuses: EVT + 4 Years. EVT=Date of reimbursement.
Copies: Destroy when no longer needed.
Destroy Confidently. PII/Confidential
**UWPER037 SABBATICAL LEAVE DOCUMENTATION**
This series consists of records relating to applications by faculty or academic staff for sabbatical leave. Records may include the following items: abbreviated curriculum vitae, description of the proposed sabbatical that includes the purpose of the leave, the activities undertaken, a list of anticipated benefits to the department, program, school or college, and a list of grants and/or pending awards to be used towards the sabbatical.

**Retention:**
**Originals:**
Provost’s Office maintains EVT = 6 Years. EVT = from date of final decision on sabbatical
**Copies:** Transfer a copy of the sabbatical proposal to the individual’s Official P-File.

Destroy Confidently. PII/Confidential

**UWPER038 NOTICE OF SABBATICAL AWARD**
This series consists of letters from the chancellor notifying the faculty or academic staff member of his/her sabbatical award after approval or disapproval by the Board of Regents.

**Retention:**
Campuses: Transfer one copy to the individual’s Official P-File.
PII/Confidential

**Archival value:**
The determination of archival value of official personnel files will be made by each institutional archivist.

**UWPER039 SABBATICAL LEAVE LISTING**
List sent to each campus with the names of faculty with approved sabbatical leaves.

**Retention:**
Campuses: Retain 6 years and destroy /delete confidentially.
PII/Confidential

**UWPER 040 NAMED PROFESSORSHIPS AND OTHER UNIVERSITY GRANTED PERFORMANCE AWARDS DOCUMENTATION**
This series consists of individual files on faculty members nominated and awarded a named professorship. Records may include: letters of nomination, curriculum vitae, copy of the notification of award or non-award, correspondence and other background information.

**Retention:**
Originals: Notice of award to transfer to the individual’s Official P-File.
Files: Retain 6 years and destroy confidentially.

PII/Confidential

**Archival value:**
The determination of archival value of official personnel files will be made by each institutional archivist.
UWPER041 EMERITUS OR DISTINGUISHED SERVICE RECOGNITION
This series consists of letters from the Chancellor conferring emeritus or distinguished service recognition.
Retention:
Copies: Transfer one copy to the individual's Official P-File.
Files: Retain 6 years and destroy confidentially
PII/Confidential
Archival value: The determination of archival value of official personnel files will be made by each institutional archivist.

TERMINATION OF EMPLOYMENT

UWPER042 NON-RENEWAL DOCUMENTATION
This series includes records relating to incidents where a faculty or academic staff member fails to have his/her appointment renewed. Records may include notice of non-renewal from the employee's supervisor, department or dean or administrative officer making the decision, reasons for non-renewal, if provided, written request for full review or appeal; records of an appeal if one is conducted, and any report to the dean or chancellor.
Retention:
Academic Staff: A copy of the notice of nonrenewal and reasons, if any, must be placed in the individual’s Official P-File.
Dean/Division Head: A copy of the notice of nonrenewal and reasons, if any, must be placed in the individual’s Official P-File.
Faculty: A copy of the notice of nonrenewal and reasons, if any, must be placed in the individual’s Official P-File.
Hearing Body or Committee Records: EVT + 6 Years EVT= Date of final decision.
PII/Confidential

UWPER043 LAYOFF DOCUMENTATION
This series consists of records relating to the process by which a faculty or academic staff member is laid off from his/her position. Records may include notice of pending layoff due to financial emergency (faculty) or funding or program redirection (academic staff), hearing transcripts and other evidence and recommendations from the Committee on Faculty Rights and Responsibilities or other appropriate hearing body.
Retention:
Campuses: EVT + 6 Years EVT= Date of final decision
Hearing body or Committee: Retain all records for 6 years from the date of final decision and destroy.
Copies: Transfer a copy of the layoff notice to the individual’s Official P-File.
Archival value:
The determination of archival value of official personnel files will be made by each institutional archivist.
PII/Confidential
UWPER 044 LETTERS OF RESIGNATION/RETIREMENT
This series contains letters of resignation or retirement.
Retention:
Original: Transfer to the individual’s Official P-File.
PII/Confidential

UWPER045 TERMINATION FOR CAUSE DOCUMENTATION
This series contains records relating to University employees whose employment has been terminated for cause. Records may include formal notice of charges, notice of appeal, hearing record, recommendations made to the chancellor and, recommendation made to the appropriate administrator.
Retention:
Campuses: EVT + 6 Years EVT= Date of final decision - Destroy Confidentially
Copies: Transfer a copy of the formal notice of charges and of any formal action taken to the individual’s Official P-File.
PII/Confidential

UWPER046 TERMINATED FOREIGN FACULTY H1S
This series includes records relating to the termination of employment for foreign faculty. Records may include H1B application, petition, approval and related documentation. Title 8 of the Federal Code of Regulations requires that current immigration records be maintained on all foreign faculty and staff.
Retention: Retain from date of final action plus 6 years.
Campuses: Date of expiration of visa rights + additional 6 years and destroy confidentially.
PII/Confidential

UWPER047 TERMINATED FOREIGN UNCLASSIFIED STAFF (PERMANENT RESIDENT)
This series includes records relating to the termination of employment for foreign faculty who are permanent U.S. residents. Records may include H1B application, petition, approval and related documentation. Title 8 of the Federal Code of Regulations requires that current immigration records be maintained on all foreign faculty and staff.
Retention:
Campuses: Termination of visa rights plus 6 years (Federal code-Title 8).
PII/Confidential

GRIEVANCES AND COMPLAINTS DOCUMENTATION

UWPER048 WRITTEN COMPLAINTS
This series includes written complaints made about faculty and academic staff.
Retention:
Campuses: EVT + 6 Years EVT= Date of final decision - Destroy Confidentially
Copies: Transfer a copy of the written complaint which leads to a disciplinary action and any notice of the action taken to the individual’s Official P-File.
PII/Confidential

UWPER 049 FORMAL GRIEVANCE FILES
This series includes records relating to grievances filed under the authority of official University faculty and academic staff policies and procedures. Each institution should investigate how this record series should be implemented in conjunction with the rules, policies in place to adjudicate grievances.

Retention:
Campuses: Retain 6 years from the date of final action and transfer to the institution Archives.
Copies: Last campus grievance step-retain from date of final decision + additional 6 years, and destroy confidentially.
PII/Confidential

UWPER050 GRIEVANCE FILES FOR TAs AND PAs
This series includes records relating to grievances filed against teaching assistants and program assistants. Records may include grievance forms together with written responses and related correspondence filed with the department chairperson (Step one); Dean/Director (Step two); or chancellor or designee (Step three).

Retention:
Retain 6 years from date of final decision and transfer to Archives.
Copies: Deans or Division Heads possessing copies shall retain from date of final decision + additional 6 years, and destroy confidentially.
PII/Confidential

Archival value:
The determination of archival value of official personnel files will be made by each institutional archivist.

OTHER PERSONNEL-RELATED DOCUMENTATION

UWPER 051 VOLUNTEER LETTERS AND SUPPORTING DOCUMENTATION
This series includes records relating to volunteer letters. University departments utilizing volunteers are required to provide the volunteer with a letter documenting the conditions of the relationship to the department such as the period of time, anticipated hours, and brief description of responsibilities/activities. Volunteers are to be provided a copy of the campus FAQ on volunteer status at the University. If the volunteer activities are such that a background check is needed/required, a copy of it should be retained with the copy of 21 the volunteer letter. NOTE: This record series may be maintained by institution risk management offices.

Retention:
Campuses: EVT = 6 years EVT= Date of termination of relationship and destroy confidentially.
PII/Confidential

UWPER052 EMPLOYEES IN TRAINING PERSONNEL FILE
This series includes records relating to employees in training, fellowships, and postgraduate associates. Records may include application form and supporting documentation if required or requested, letters of recommendation, letter of appointment or award, lists of awards and grants, position description or description of project responsibilities, letter of termination or resignation. Note that offices should not retain student academic information in these files.

Retention:
Campuses: EVT + 6 years. Event=Date of termination of employment and destroy confidentially. PII/Confidential

UWPER053 EMPLOYEE MEDICAL INFORMATION
This series includes records relating to an employee’s medical status. Records may include such items as ADA accommodation, psychological profile, and any other health-related documentation on an employee. This information must be maintained separately from the individual personnel file as per 29 CFR 1630.14(b)(1).

Retention:
Original: EVT + 6 Years. Event=Date of termination of employment and destroy confidentially. PII/Confidential