

UNIVERSITY OF WISCONSIN SYSTEM
ACADEMIC ADVISING
GENERAL RECORDS SCHEDULE

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**UNIVERSITY OF WISCONSIN – SYSTEM
ACADEMIC ADVISING
GENERAL RECORDS SCHEDULES**

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 is a General Records Schedule (GRS) for the University of Wisconsin – System. All UW campuses are included except for UW Madison. This GRS is designed for the functional area of academic advising, which, for the purposes of this GRS, does not include psychological, substance abuse, family or crisis counseling. This GRS does not include informal transitory and routine business communications with students and employees. The academic advising function is a long established function of universities as a method of helping students to successfully graduate in their chosen area of study.

At University of Wisconsin campuses advising is conducted both centrally at undergraduate advising resource centers and also by individual colleges and departments. The decentralized approach is more prevalent within those academic programs that are aligned with a specific profession and/or connected to licensure or certification. Some programs tend to provide less advising in favor of students getting information from published sources (print and web-based). This approach tends to produce less specialized physical, paper or computerized recordkeeping. The type and level of advising and the resulting records also varies between undergraduate and graduate levels of a program.

For many graduate applicants/students, advising is conducted both centrally through the offices of graduate studies and by the individual programs to which a student applies or is admitted. The advising done centrally usually involves applicants who are undecided about which program to apply to, and for current students who need more general and/or administrative advising. The decentralized advising within the academic programs is aligned with that specific discipline and is focused mostly on the curricular and academic progress of a student. Some programs as well as the graduate studies offices provide students with printed materials and on-line resources to let a student self-manage much of his or her progress through the program.

II. SCOPE

The record schedules described within this document include the following records:

- ACADEMIC ADVISING RECORDS – UNDERGRADUATE
- ACADEMIC ADVISING RECORDS – GRADUATE
- ACADEMIC ADVISING RECORDS – CERTIFICATE, LICENSE PROFESSIONAL
- ACADEMIC ADVISING RECORDS– PROSPECTIVE STUDENT

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 academic advising records will rarely be classified as historic records.

B. Records Series.

The records series included within this document were developed using the “records series” approach defined in Wis. Stat. § 16.61(2)(c). Access to some records series in this general records schedule maybe limited by law

C. 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.

D. 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.

IV. 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, or audit.

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UWADV001

ACADEMIC ADVISING RECORDS- UNDERGRADUATE

Records created to document and support comprehensive and planned guidance for matriculated undergraduate students so that both the basic requirements and those of specific majors and minors are fulfilled. This records series does not include informal and isolated communications of faculty and staff who do not provide regular advising services. Academic advising records pertain to undergraduate students and are maintained in two ways: one, by a centralized advising center which advises students for a variety of academic departments and two, by specific academic departments and colleges. The records are kept as a means for staff to provide consistency and comprehensiveness in advising of students. Files are generally organized by student name and may contain, but are not limited to: advising notes, curriculum planner, degree planning sheets, consortium agreements, worksheets, applications and worksheets particular to a department and copies of key advising email and other correspondence. A wide variety of other documents are frequently found in these files including: student academic reports, student progress summaries, requests for modification, requests for late add/drop, copies of add/drop cards, copies of college and highschool transcripts, appeals for late/drop, checklists, waiting lists, internship or independent study agreements and worksheets. Frequently, active records are separated from inactive records to facilitate retrieval and disposition routines. Inactive files can contain information about students who have graduated, have stopped attending or who have formally withdrawn from the program, college or university. This series includes all undergraduate programs except those that are for professional licensure or certification (See ADV003).

Retention Time Period

Original:	EVT + 3 years and destroy confidentially.
Copies:	Keep until no longer needed then destroy confidentially.
Event:	Last semester of attendance and when no longer needed for ongoing administration.

UWADV002

ACADEMIC ADVISING RECORDS- GRADUATE

Records created to document and support comprehensive and planned guidance for matriculated graduate students completing their degrees. This records series does not include informal and isolated communications of faculty and staff who do not provide regular advising services. The academic advising file, which is generally the same or a part of a student's graduate application, matriculation and graduation record, typically contains a standard admission to candidacy form for a graduate degree (master's or doctorate), certificate or achievement program, official transcripts, a resume, standard graduate admission test results (i.e. GRE, GMAT, MAT), documentation of specific academic content areas, letters of recommendation, a personal statement describing why the applicant is pursuing this program, a certificate of admission, research proposal form,

copies of key advising email and other correspondence. This series includes all graduate programs except those that are for professional licensure or certification (See ADV003).

Retention Time Period

Original: EVT + 3 years and destroy confidentially.
Copies: Keep until no longer needed then destroy confidentially.
Event: Last semester of attendance and when no longer needed for ongoing administration.

UWADV003

ACADEMIC ADVISING RECORDS – CERTIFICATE, LICENSE PROFESSIONAL

Records created to document comprehensive and planned guidance for matriculated undergraduate and graduate students who are pursuing professional licensure or certification in areas such as education, social work, nursing, and counseling. This records series does not include informal and isolated communications of faculty and staff who do not provide regular advising services. The records include documents kept for both undergraduate advising and graduate academic advising, but also records specialized for specific professions. This series may include, but is not limited to: student academic reports, a signed statement of commitment to an ethical code, a background information disclosure (BID), a criminal background report, a student responsibilities agreement, a contact information sheet, an application for formal admission to the undergraduate or graduate program, a volunteer reference, practicum documents, teaching materials, clinical assignments, copies of key advising email and other correspondence, and other documents related to specific program preparing students for licensed and professional employment. Certificate, license, professional advising records are kept longer than other advising records for particular programmatic needs.

Retention Time Period

Original: EVT + 8 years and destroy confidentially.
Copies: Keep until no longer needed then destroy confidentially.
Event: Last semester of attendance and when no longer needed for ongoing administration.

UWADV004

ACADEMIC ADVISING RECORDS– PROSPECTIVE STUDENT

Prospective student files are kept for students who express interest, but never attend the university. The file contains various documents including but not limited to recruiting and advising notes, worksheets, unofficial or official transcripts, applications, copies of key advising email and other correspondence and may include a variety of other documents. This records series does not include informal and isolated communications of faculty and staff who do not provide regular advising services. Academic advising records and documents of students who are admitted and attend the university become part of the records series: ADV001, ADV002, and ADV003.

Retention Time Period

Original: EVT + 2 years and destroy confidentially.
Copies: Keep until no longer needed then destroy confidentially.
Event: Last contact with individual.