

**Records Retention / Disposition Authorization - Functional**  
Student Affairs  
University of Wisconsin System (285)

**Program Description:**

The University of Wisconsin System is comprised of fifteen distinct institutions, this schedule pertains to the records and information arising from currently understood UW-System record policies and procedures. It applies to all such records regardless of format or media. While an attempt has been made to describe the records in commonly used terms, there may be instances in which the schedule does not reflect the exact title or name used by a given department. If offices or departments cannot determine by the descriptive information provided on each item whether a given departmental record is covered or not, they should contact their campus University Records Officer. An attempt has been made to include all records commonly required or used within the University campuses. However, as processes change, forms may be modified and new ones created, and documentation requirements may also change. This schedule will be reviewed periodically to insure that it is kept as up-to-date as possible.

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

1. Student Affairs Officer
2. Disability Services
3. Child Care Centers
4. Student Government
5. Recreation/Intramurals
6. Risk Management
7. Fee Waivers

Laws & Requirements:

Electronic Systems: Maxient

**Official Records & Copies:**

- **Official Record:** A complete, final, and authorized version of a record, often containing an original signature or seal.
- **Working Copies:** Staff may generally destroy rough draft materials that are subsequently finalized and maintained as part of the official record. However, staff should 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 reference and/or convenience purposes. Copies may be retained for as long as needed, but they should not be kept longer than the time specified in the approved RDA for the official record in this schedule. Do not maintain **unnecessary** duplicate copies. When retained for convenience or 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.

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**Confidentiality of Records:**

Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

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Name of Agency Program Contact or Records Officer: Brad Casselberry (715) 346-3234 bcasselb@uwsp.edu

Additional Contact name and telephone number/email address

Approval Signatures

Agency Program Manager <i>A. Thompson</i>	Date (mm/dd/ccyy) <i>1/4/19</i>	Agency Records Officer <i>Kathleen Patten</i>	Date (mm/dd/ccyy) <i>12/14/18</i>
Additional Signature		Additional Signature <i>Brad Casselberry</i>	<i>01/09/2019</i>

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.

State Archivist <i>[Signature]</i>	Date (mm/dd/ccyy) <i>MAR 25 2019</i>	PRB Executive Secretary <i>Linda Forth</i>	Date (mm/dd/ccyy) <i>4-3-2019</i>
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Approval subject to 10-year sunset per Wis. Stat. § 16.61(4)(c). Action required before: March 2029

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<b>1. Student Affairs Officer</b>									
UWSTA100 New	<p><b>Behavioral Incident Reports – Not Resulting in Student Agreement with Conditions or Expulsion</b>  Reports filed with the University due to a student’s behavior that violated University policy. This series applies to reports documenting incidents that were not found severe enough to warrant a student entering into agreements with conditions with the University or resulting in a student’s expulsion. Reports include, but are not limited to:</p> <p><b>General Incident</b>  Reports documenting behavioral misconduct, crimes as required by the Clery Act, or general informational reports including student grievances and complaints.</p> <p><b>Hate/Bias Incident</b>  Report documenting an act of bias or hate crime when the crime is based on race/ethnicity, religion, sexual orientation, gender/gender identity or disability.</p> <p><b>Student of Concern</b>  General report of concern for students (ex.: mental health, missing student, physical health, concerning behavior, death in the family, academic struggles). This report initiates a campus response based on description of concern and degree of urgency.</p> <p><b>Interpersonal Violence</b></p>	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA and HIPAA confidentiality requirements.	-	-	<p><b>Retention:</b> EVT+7 Years</p> <p><b>Event:</b> Date report closed</p> <p><b>Disposition:</b> Destroy Confidential</p>

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	<p>Report of incidents of interpersonal violence including dating or domestic violence, stalking, or sexual harassment. These are Title IX records.</p> <p>Information in these reports may include, but is not limited to: filers name, job position/title, phone number, email address, physical address, reason for filing, level of urgency of report, date and time of incident, location of incident, campus ID number, drivers license number, identification of parties involved, descriptive narrative of event, photographs, video and emails.</p> <p>On some campuses these records may be retained with Student Response Team or Behavior Intervention Team records (UWSTA106).</p> <p>These records are commonly maintained in the Maxient management system.</p> <p>Records identified during records review.</p>								

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<b>1. Student Affairs Officer</b>									
<b>UWSTA101</b> <b>New</b>	<b>Behavioral Incident Reports Resulting in Student Agreements with Conditions</b> Reports filed with the University due to a student’s behavior that violated University policy. This series applies to reports documenting incidents that were found severe enough to warrant a student entering into an agreement with conditions with the University, a settlement process defined in Wis. Admin. Code § UWS 17.15, but not resulting in a student’s expulsion. Reports include, but are not limited to:  <b>General Incident</b> Reports documenting behavioral misconduct, crimes as required by the Clery Act, or general informational reports including student grievances and complaints.  <b>Hate/Bias Incident</b> Report documenting an act of bias or hate crime when the crime is based on race/ethnicity, religion, sexual orientation, gender/gender identity or disability.  <b>Student of Concern</b> General report of concern for students (ex.: mental health, missing student, physical health, concerning behavior, death in the family, academic struggles). This report initiates a campus response based on description of concern and degree of urgency.  <b>Interpersonal Violence</b>	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA and HIPAA confidentiality requirements.	-	-	<b>Retention:</b> EVT+10 Years  <b>Event:</b> Date agreement conditions met  <b>Disposition:</b> Destroy Confidential

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	<p>Report of incidents of interpersonal violence including dating or domestic violence, stalking, or sexual harassment. These are Title IX records.</p> <p>Information in the report may include, but is not limited to: filers name, job position/title, phone number, email address, physical address, reason for filing, level of urgency of report, date and time of incident, location of incident, campus ID number, drivers license number, identification of parties involved, descriptive narrative of event, photographs, video and emails.</p> <p>On some campuses these records may be retained with Student Response Team or Behavior Intervention Team records (UWSTA107).</p> <p>These records are commonly maintained in the Maxient management system.</p> <p>Records identified during records review.</p>								

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<b>1. Student Affairs Officer</b>									
<b>UWSTA102</b> <b>New</b>	<b>Behavioral Incident Reports Resulting in Expulsion</b> Reports filed with the University due to a student’s behavior that violated University policy. This series applies to reports documenting incidents that were found severe enough to warrant a student’s expulsion from the University. Reports include, but are not limited to:  <b>General Incident</b> Reports documenting behavioral misconduct, crimes as required by the Clery Act, or general informational reports including student grievances and complaints.  <b>Hate/Bias Incident (Including death of victim)</b> Report documenting an act of bias or hate crime when the crime is based on race/ethnicity, religion, sexual orientation, gender/gender identity or disability.  <b>Student of Concern</b> General report of concern for students (ex.: mental health, missing student, physical health, concerning behavior, death in the family, academic struggles). This report initiates a campus response based on description of concern and degree of urgency.  <b>Interpersonal Violence</b> Report of incidents of interpersonal violence including dating or domestic violence, stalking, or sexual harassment. These are Title IX records.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA and HIPAA confidentiality requirements.	-	-	<b>Retention:</b> EVT+30 Years  <b>Event:</b> Date of Expulsion  <b>Disposition:</b> Destroy Confidential



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	<p><b>Sexual Assault (Including 1<sup>st</sup> Degree)</b>            Report filed by students, faculty and staff or community members of a sexual assault they witnessed or received a report of. All UW employees are required to file this report as outlined in Wis. Stat. § 36.11(22)(c). These are Title IX records.</p> <p>Information in the above reports may include, but is not limited to: filers name, job position/title, phone number, email address, physical address, reason for filing, level of urgency of report, date and time of incident, location of incident, campus ID number, drivers license number, identification of parties involved, descriptive narrative of event, photographs, video and emails.</p> <p>On some campuses these records may be retained with Student Response Team or Behavior Intervention Team records (UWSTA108).</p> <p>These records are commonly maintained in the Maxient management system.</p> <p>Records identified during records review.</p>								

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<b>1. Student Affairs Officer</b>									
UWSTA103 New	<b><u>Behavioral Disciplinary Action Records– Not Resulting in Student Agreement with Conditions or Expulsion</u></b> Records documenting the adjudication of rules infractions by University students that were not found severe enough to warrant a student entering into any agreements with conditions with the University or resulting in a student’s expulsion.  Records include behavioral dismissal records, behavioral expulsion records, and behavioral suspension records and all supporting documents.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+7 Years  <b>Event:</b> CR  <b>Disposition:</b> Destroy Confidential
UWSTA104 New	<b><u>Behavioral Disciplinary Action Records Resulting in Student Agreements with Conditions</u></b> Records documenting the adjudication of rules infractions by University students that were found severe enough to warrant a student entering into an agreement with conditions with the University, a settlement process defined in Wis. Admin. Code § UWS 17.15, but not resulting in a student’s expulsion.  Records include, but are not limited to, behavioral dismissal records and behavioral suspension records and all supporting documents.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+10 Years  <b>Event:</b> CR  <b>Disposition:</b> Destroy Confidential

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<b>1. Student Affairs Officer</b>									
<b>UWSTA105</b> New	<u><b>Behavioral Disciplinary Action Records Resulting in Expulsion</b></u> Records documenting the adjudication of rules infractions by University students that were found severe enough to warrant a student’s expulsion from the University. Reports include, but are not limited to: behavioral dismissal records, behavioral expulsion records, and behavioral suspension records and all supporting documents.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+30 Years  <b>Event:</b> CR  <b>Disposition:</b> Destroy Confidential
<b>UWSTA106</b> New	<u><b>Student Behavior Intervention Team (BIT) Case Files– Not Resulting in Student Agreement with Conditions or Expulsion</b></u> Records assembled by a multidisciplinary team charged with investigating and supporting students who may be struggling with mental health issues including suicidal ideations and disruptive conduct. This series applies to case files that were not found severe enough to warrant a student entering into any agreements with conditions with the University or resulting in a student’s expulsion. Records produced by this team consist of but are not limited to: notes, summaries, and correspondence.  May be known as the Student Response Team or by another name at UW campuses.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+7 Years  <b>Event:</b> Close of Case  <b>Disposition:</b> Destroy Confidential

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**1. Student Affairs Officer**

<p>UWSTA107 New</p>	<p><b><u>Student Behavior Intervention Team (BIT) Case Files Resulting in Student Agreements with Conditions</u></b>            Records assembled by a multidisciplinary team charged with investigating and supporting students who may be struggling with mental health issues including suicidal ideations and disruptive conduct. This series applies to case files that were found severe enough to warrant a student entering into an agreement with conditions with the University, a settlement process defined in Wis. Admin. Code § UWS 17.15, but not resulting in a student’s expulsion. Records produced by this team consist of but are not limited to: notes, summaries, and correspondence.             May be known as the Student Response Team or by another name at UW campuses.             Records identified during agency review.</p>	<p>1971</p>	<p>Paper or Electronic Format</p>	<p>Yes</p>	<p>No</p>	<p>Yes             These records are kept according to FERPA confidentiality requirements.</p>	<p>-</p>	<p>-</p>	<p><b>Retention:</b> EVT+10 Years   <b>Event:</b> Close of Case   <b>Disposition:</b> Destroy Confidential</p>
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<b>1. Student Affairs Officer</b>									
<b>UWSTA108</b> <b>New</b>	<b>Student Behavior Intervention Team (BIT) Case Files Resulting in Expulsion</b> Records assembled by a multidisciplinary team charged with investigating and supporting students who may be struggling with mental health issues including suicidal ideations and disruptive conduct. This series applies to case files that were found severe enough to warrant a student’s expulsion from the University. Records produced by this team consist of but are not limited to: notes, summaries, and correspondence.  May be known as the Student Response Team or by another name at UW campuses.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+30 Years  <b>Event:</b> Date of Expulsion  <b>Disposition:</b> Destroy Confidential
<b>2. Disability Services</b>									
<b>UWSTA200</b> <b>New</b>	<b>Disability Service Student Case Files</b> Case files of students requesting disability services at an institution. Records may include, but are not limited to: medical or psychological documentation of a disability and statements of accommodations received in the past from either a high school or other secondary education facility, such as in the form of an IEP (Individual Evaluation Plan) or 504 Plan. Also, records of accommodations provided, student class schedules, and other pertinent letters or documents.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to HIPAA confidentiality requirements.	-	Disability Services Office.	<b>Retention:</b> EVT+7 Years  <b>Event:</b> Last Day of Enrollment  <b>Disposition:</b> Destroy Confidential

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<b>2. Disability Services</b>									
<b>UWSTA201</b> <b>New</b>	<b>Disability Service Student Case Files – Not Pursued</b> Case files of students requesting disability services at an institution but made inactive after the student failed to continue the application process or chose to not receive services.  Files contain information on available disability services. This includes general description of disability type, student ID# if student is currently enrolled, preliminary request forms, and some documentation sent in but not completed.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to HIPAA confidentiality requirements.	-	-	<b>Retention:</b> EVT+2 Years  <b>Event:</b> Last Day of Enrollment  <b>Disposition:</b> Destroy Confidential
<b>3. Child Care Centers</b>									
<b>UWSTA300</b> <b>New</b>	<b>Child Care Center Child Files</b> Series containing multiple types of records created for the management of individual children cared for in the child center. Records include, but are not limited to: registration/enrollment forms and contracts, registration forms filled out by parents or guardians, parental consent/media release, development history form, and the signed contract between parents or guardians and the university. Information in these records may include child's name, parent's name, driver's license number, social security number, drop off/pick up time, fee, and insurance information. This series includes waiting list enrollment.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to HIPAA and FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+3 Years  <b>Event:</b> Last Date of Attendance  <b>Disposition:</b> Destroy Confidential

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<b>3. Child Care Centers</b>									
<b>UWSTA301</b> <b>New</b>	<u><b>Child Care Center Child Files – Not Enrolled</b></u> Records collected during the application process for a child that ultimately was never enrolled.  Records in this series may include, but are not limited to: registration/enrollment forms and contracts, parental consent/media release form, development history form, parent or child schedules, and child health records.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to HIPAA and FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+1 year  <b>Event:</b> Date of Application  <b>Disposition:</b> Destroy Confidential
<b>UWSTA302</b> <b>New</b>	<u><b>Attendance Records</b></u> Written record of a child’s daily attendance at the child care center for the length of time the child is enrolled.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	No	-	-	<b>Retention:</b> EVT+3 years  <b>Event:</b> Last Day of Attendance  <b>Disposition:</b> Destroy Confidential

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<b>3. Child Care Centers</b>									
<b>UWSTA303</b> <b>New</b>	<b>Child Care Center Scheduling</b> Series containing multiple types of records created to organize the care of children at the child care center. Records include, but are not limited to:  <b>Parent Schedule</b> Form indicating emergency contact information, employment status, work schedule, class schedule, etc. for parents or guardians that leave their children in the care of the Child Care Center.  <b>Child's Schedule Change</b> Form changing time/days of care at the child care center.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+3 Months  <b>Event:</b> Last Day of Attendance  <b>Disposition:</b> Destroy Confidential
<b>UWSTA304</b> <b>New</b>	<b>Child Care Center Child Health Records</b> Series containing multiple types of records created for the management of the health and safety of children in the care of the child care center. Records include, but are not limited to:  <b>Immunization Records</b> Records documenting the history of vaccines received by the child.  <b>Health History and Emergency Care Plan</b>	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to HIPAA confidentiality requirements.	-	-	<b>Retention:</b> EVT+3 Years  <b>Event:</b> Last Day of Attendance  <b>Disposition:</b> Destroy Confidential



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	Identifies family physician, child’s medical conditions, and emergency contact information.  <b>Child Health Report</b> Instructions for children with special problems and allergies and immunizations to not be administered for medical reasons.  <b>Authorization to Administer Medication</b> Form completed by parent or guardian to give care center permission to administer medication to their child.  Records identified during records review.								
<b>3. Child Care Centers</b>									
UWSTA305 New	<b>Menus for Meals and Snacks</b> Records documenting all meals and snacks that are provided at the child care center.  Records identified during records review.	1971	Paper or Electronic Format	No	-	No	-	-	<b>Retention:</b> EVT+3 months  <b>Event:</b> CR  <b>Disposition:</b> Destroy

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<b>3. Child Care Centers</b>									
<b>UWSTA306</b> <b>New</b>	<b><u>Child and Adult Care Food Program (CACFP) Records</u></b> Applications and supporting documentation regarding a federal nutrition program used in child care centers. Records include: enrollment lists, daily records of number of participants indicating type of meal, dates and amounts of disbursement, copies of menus and any other food service records, training documentation, administrative and operating costs, income, claims for reimbursement, receipts of program payments received from the state, food service contracts, health inspection report.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	No	-	-	<b>Retention:</b> FY+3 Years  <b>Event:</b> FIS  <b>Disposition:</b> Destroy Confidential
<b>UWSTA307</b> <b>New</b>	<b><u>Reporting and Documentation Records for Wisconsin Department of Children and Families (DCF)</u></b> Records pertaining to documentation that the facility is required to create to meet reporting requirements to DCF.  NOTE: DCF holds these records permanently.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	No	-	-	<b>Retention:</b> EVT+1 Year  <b>Event:</b> Date Submitted to DCF  <b>Disposition:</b> Destroy Confidential

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<b>3. Child Care Centers</b>									
<b>UWSTA308</b> <b>New</b>	<u><b>Staff Records</b></u> Records documenting personnel issues that are unique to the work of the center and are not part of formal personnel files.  These records may include, but are not limited to: demographic data, background verification, physical examination, education qualifications and continued training documentation.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	No	-	-	<b>Retention:</b> EVT+8 Years  <b>Event:</b> Date of Separation  <b>Disposition:</b> Destroy Confidential
<b>UWSTA309</b> <b>New</b>	<u><b>Staff Development and Training Records</b></u> Records documenting child care center staff professional development as required under Wis. Admin. Code § DCF 251.05 (2).  Records include review of center policies, training in emergency procedures, first aid, job descriptions, recognition of childhood illness and infectious disease control, schedule of activities of the center, child abuse awareness, knowledge of where children are, child management techniques and integrations of children with disabilities.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	No	-	-	<b>Retention:</b> EVT+8 Years  <b>Event:</b> Date of Separation  <b>Disposition:</b> Destroy Confidential

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<b>4. Student Government</b>									
<b>UWSTA400</b> <b>New</b>	<b>Student Government Administrative Files</b> Records pertaining to various functions of the Office of Student Life. Subjects may include, but are not limited to: student organizations, student government, task forces, professional organizations, committee minutes, reports, and correspondence, and print promotional materials.  Records identified during records review.	1971	Paper or Electronic Format	No	-	No	-	-	<b>Retention:</b> EVT+5 Years  <b>Event:</b> CR  <b>Disposition:</b> Transfer to Archives
<b>UWSTA401</b> <b>New</b>	<b>Student Government Legislative and Deliberative Records</b> Records of the elected student representatives that are chiefly responsible for exercising the legislative powers and duties as stipulated by Wis. Stat. § 36.09(5). Records include: constitution, bylaws, agendas, meeting minutes, legislation passed and/or rejected, resolutions, statutes, formal statements, official letters, and correspondence.  Records identified during records review.	1971	Paper or Electronic Format	No	-	No	-	-	<b>Retention:</b> EVT+10 Years  <b>Event:</b> CR  <b>Disposition:</b> Transfer to Archives

**Records Retention / Disposition Authorization - Functional**  
Student Affairs  
University of Wisconsin System (285)

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PI	6. Registry Exempt	7. Confidential/ Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention/ Disposition/ Event
<b>4. Student Government</b>									
UWSTA402 New	<u><b>Student Court Judicial Records– Not Resulting in Student Agreement with Conditions or Expulsion</b></u> Records documenting disciplinary decisions passed by student court, or equivalent body, regarding campus groups and/or individuals. This series applies to records documenting actions that were not found severe enough to warrant a student entering into any agreements with conditions with the University or resulting in a student’s expulsion. Records include: minutes, agendas, correspondence and formal decisions.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+8 Years  <b>Event:</b> End of Hearing  <b>Disposition:</b> Transfer to Archives
UWSTA403 New	<u><b>Student Court Judicial Records Resulting in Expulsion</b></u> Records documenting disciplinary decisions passed by student court, or equivalent body, regarding campus groups and/or individuals. This series applies to records of actions that were found severe enough to warrant a student’s expulsion from the University. Records include: minutes, agendas, correspondence and formal decisions.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+30 Years  <b>Event:</b> Date of Expulsion  <b>Disposition:</b> Transfer to Archives

**Records Retention / Disposition Authorization - Functional**  
Student Affairs  
University of Wisconsin System (285)

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PI	6. Registry Exempt	7. Confidential/ Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention/ Disposition/ Event
<b>4. Student Government</b>									
<b>UWSTA404</b> New	<b>Student Court Judicial Records Resulting in Student Agreements with Conditions</b> Records documenting disciplinary decisions passed by student court, or equivalent body, regarding campus groups and/or individuals. This series applies to records of actions that were found severe enough to warrant a student entering into an agreement with conditions with the University, a settlement process defined in Wis. Admin. Code § UWS 17.15, but not resulting in a student’s expulsion. Records include: minutes, agendas, correspondence and formal decisions.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+10 Years  <b>Event:</b> End of Hearing  <b>Disposition:</b> Transfer to Archives
<b>UWSTA405</b> New	<b>Segregated Fee Documentation</b> Records created in the process to distribute the monies derived from fees assessed to all students to support student services, activities, programs and facilities that support the mission of University of Wisconsin System institutions.  Includes allocable and non-allocable segregated fee documentation. Documentation includes: minutes, agendas, deliberations, recordings, budget requests, correspondence, distribution of funds, passed budgets and related records.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	No	-	-	<b>Retention:</b> FY+6 Years  <b>Event:</b> FIS  <b>Disposition:</b> Transfer to Archives

**Records Retention / Disposition Authorization - Functional**  
Student Affairs  
University of Wisconsin System (285)

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PI	6. Registry Exempt	7. Confidential/ Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention/ Disposition/ Event
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**4. Student Government**

<b>UWSTA406</b> <b>New</b>	<b><u>Student Government Purchase Requests</u></b> Requests from student organizations and subsidies from student government approved funds. Information collected includes: organization name, contact information, quantity and description of items requested and cost.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	No	-	-	<b>Retention:</b> EVT+1 Year  <b>Event:</b> CR  <b>Disposition:</b> Transfer to Archives
<b>UWSTA407</b> <b>New</b>	<b><u>Membership Lists</u></b> Lists or other forms of documentation listing student government elected office or job assignment and name of those individuals that filled the position.  Records identified during records review.	1971	Paper or Electronic Format	No	-	No	-	-	<b>Retention:</b> EVT+6 Years  <b>Event:</b> End of Appointment  <b>Disposition:</b> Transfer to Archives

**Records Retention / Disposition Authorization - Functional**  
Student Affairs  
University of Wisconsin System (285)

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PI	6. Registry Exempt	7. Confidential/ Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention/ Disposition/ Event
<b>4. Student Government</b>									
<b>UWSTA408</b> <b>New</b>	<u><b>Organization Officer and Adviser Listings</b></u> Lists of organization officers and advisers.  Records identified during records review.	1971	Paper or Electronic Format	No	-	No	-	-	<b>Retention:</b> EVT+6 Years  <b>Event:</b> Superseded  <b>Disposition:</b> Transfer to Archives
<b>UWSTA409</b> <b>New</b>	<u><b>Student Organization Recognition Files</b></u> Records assembled in the process of conferring official status upon student groups. Series includes: recognition/re-recognition forms, organization constitution, and/or bylaws or other founding papers.  Records identified during records review.	1971	Paper or Electronic Format	Yes	Yes	No	-	-	<b>Retention:</b> EVT+6 Years  <b>Event:</b> CR  <b>Disposition:</b> Transfer to Archives



**Records Retention / Disposition Authorization - Functional**  
Student Affairs  
University of Wisconsin System (285)

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PI	6. Registry Exempt	7. Confidential/ Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention/ Disposition/ Event
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**5. RECREATION/INTRAMURALS**

<b>UWSTA500</b> <b>New</b>	<u>Recreation Records</u> Reports and standings from non-interscholastic athletic activities including: tournaments, leagues, and other special programs.  Records identified during records review.	1971	Paper or Electronic Format	No	-	No	-	-	<b>Retention:</b> EVT+1 Year  <b>Event:</b> CR  <b>Disposition:</b> Destroy
<b>UWSTA501</b> <b>New</b>	<u>Student Trip Files</u> Records pertaining to various aspects of student recreational trips. Includes: contracts, hold harmless agreements, rosters of names, and health immunization forms (for certain trips).  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to HIPAA and FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+3 Years  <b>Event:</b> CR  <b>Disposition:</b> Destroy Confidential

**Records Retention / Disposition Authorization - Functional**  
Student Affairs  
University of Wisconsin System (285)

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PI	6. Registry Exempt	7. Confidential/ Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention/ Disposition/ Event
<b>6. Risk Management</b>									
<b>UWSTA600</b> <b>New</b>	<u><b>Liability Waivers</b></u> Forms and related records documenting an individual's acknowledgement of possible risks associated with activities they participate in. Furthermore, the records, when signed, indicate the participant promises to hold harmless the University if injury does occur. Activities using liability waivers may include, but are not limited to: outdoor or indoor extra-curricular activities, field trips, excursions and other events that might pose some physical risk to participants. Forms may also ask participants to acknowledge that their photograph may be taken and/or audio/video recordings may be made capturing their likeness and used for promotion or similar purposes. Forms typically include: name, age, date of birth, date(s) of activity and a signature of each individual attending.  This series covers liability waivers for all university students, staff and guests.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes	-	-	<b>Retention:</b> EVT+1 Years  <b>Event:</b> Last Date of Attendance  <b>Disposition:</b> Destroy Confidential

**Records Retention / Disposition Authorization - Functional**  
Student Affairs  
University of Wisconsin System (285)

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PI	6. Registry Exempt	7. Confidential/ Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention/ Disposition/ Event
<b>7. Fee Waivers</b>									
<b>UWSTA700</b> <b>New</b>	<b><u>On-Campus Fee Waiver Form</u></b> Signed forms requesting to waive on-campus segregated fees charged to the student and acknowledgment that no services provided with funding from segregated fees through the university will be provided.  These forms are often submitted by students at a significant distance from campus, such as those completing their student teaching requirement or participating in distance education.  Records identified during records review.	1971	Paper or Electronic Format	Yes	No	Yes  These records are kept according to FERPA confidentiality requirements.	-	-	<b>Retention:</b> EVT+5 Years  <b>Event:</b> Last Day of Semester Enrolled  <b>Disposition:</b> Destroy Confidential

## Records Retention / Disposition Authorization - Functional

[Program Title]

[Agency Name] [Agency Number]

[Division Name] | [Subdivision/Bureau/Office] | [Unit Number]

Related Records Series or Statewide General Records Schedules (GRS)		
Follow the retention provisions specified in applicable approved agency specific retention schedules and <a href="#">Statewide General Records Schedules</a> .		
Note: information only		
RDA Number	Record Series Title and Description	Notes/Comments

Closed/Superseded Series			
Note: information only			
RDA Number	Record Series Title	Status	Notes/Comments



## Instructions for the Records Retention Schedule

### Header

#### Program Title (r)<sup>1</sup>

Identify the title of the program that creates and/or is responsible for the records.

#### Agency Name (r)

Identify the entity that has legal custody of the records, using correct names. Do not use acronyms or abbreviations.

#### Agency # (r)

- State Agency: Use the three-digit agency appropriation code assigned by Wis. Stat. § 20.005.  
- University of Wisconsin: Use the three-digit statutory code (285) together with the alphabetical code assigned to the institution.  
- Local Units of Government, Other Entities:

Please contact PRB Staff.

- Board/Commission: The Records Officer may assign an additional alphabetical character to autonomous entities that are attached to an agency.

#### Division name (r)

- Identify the division that creates and receives the records. Do not use acronyms or abbreviations

#### Subdivision/Bureau/Program/Office (o)

Identify the subdivision, bureau, program, or office that creates and receives the records. Do not use acronyms or abbreviations

#### Unit number (o)

Indicate the business unit # which has ownership and financial responsibility for records in this series if applicable.

University of Wisconsin: Use the 6-digit UDDS # that the UW uses for accounting and budgetary purposes.

### Program Description (r):

Give an overall summary and describe the who, what, and why of the program. It may also be helpful to include information about the program history and organization.

### Laws and Requirements (o):

List Federal, State, Local laws, and/or Administrative Rules, including titles, that pertain to the program as a whole; include section/code number and title, if none, enter N/A. If applicable, record series specific laws should be included within individual RDA.

### Electronic Systems (r)

Briefly describe computer program(s)/applications used within the program area. If not applicable, enter N/A.

Note, it is not necessary to describe the basic MS Office programs in use.

For additional information and assistance implementing this retention schedule, contact (r):

Provide the name, telephone number and email address for the agency's statutorily-designated Records Officer or other program contact, who may be contacted for further information regarding the record series.

### Approval Signatures (r):

The Agency Records Officer, and at least one other agency official, such as the Agency Program Manager, Risk Manager, Legal Counsel, and/or the Legal Custodian of Records, must review, approve, and sign the RDA before submitting it to the PRB for approval. Prior to implementation, PRB approval and signature by the State Archivist are both required.

### Functional Schedule Table:

#### RDA # / Status (r)

Retention/Disposition Authorization (RDA) # & Status: Prior to submission to the Public Records Board (PRB) for approval, every RDA must have a unique, sequential number. Agency Records Officers assign this number which is subject to PRB approval.

- The Records Officer must review past RDAs and then assign a number to new RDAs which has never been used.

- A suffix is not used for most records series. It is an optional alphabetical character that may be added to the end of the RDA number when used to indicate different retention periods, media, or dispositions for all or portions of the same records series.

#### RDA Status: Indicate if the RDA is:

- NEW: Request for approval of an RDA with a number that has never been submitted to the PRB. In the description, provide the reason for the creation of the RDA, for example: program re-organization, records identified during agency review, or brand new records being created.

- AMENDED: Request for approval of a change to an RDA that previously was approved by the PRB. Any revision to an RDA triggers amended status. Use existing RDA number.

- RENEWAL: The RDA has sunset and is being renewed without amendments. RDA's automatically sunset every 10 years, per Wis. Stat. § 16.61(4)(c). Use existing RDA number.

### RDA Title / Description (r)

#### Records Series Title:

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<sup>1</sup> Optional fields are marked with an (o); required fields are marked with an (r).

### Instructions for the Records Retention Schedule

- Assign a descriptive title to the records series.  
Be certain that agency employees will be able to accurately identify the records series from its title. Do not use abbreviations or acronyms.

Records Series Description:

- The description is the most important section of the RDA. It informs the PRB, and others who are unfamiliar with the records series, what information is contained in the series, the business purpose for the information, and the reasons why the series was created and/or received by the agency.

- May include relevant statutory, rule citations, or other legal authority in order to clarify the content of the records and the authorization to create them. Additional information may be included as needed for employees to manage the records, such as providing guidance regarding who is custodian of the records within the series or conditions that must be met prior to disposition, as well as the relationship to any other record series.

- If requesting approval of a new RDA, provide the reason for the creation of the RDA. For example: program re-organization, records identified during agency review, or brand new records being created.

- "Record series" is defined by Wis. Stat. § 16.61(2)(c).

Records Series Year of Creation (r)

This is the year the agency first began creating or receiving records in this series. If the precise year is unknown, then provide an estimate.

Medium for Records Storage (r)

Indicate all the media on which the records are stored such as paper, electronic/digital, microform, or other, e.g. audio, film, or video.

Records Contain Personally Identifiable Information (r)

Enter Y (Yes) or N (No)

Wisconsin law requires authorities to specifically identify records series that contain personally identifiable information (PII). PII is defined in Wis. Stat. §19.62(5) as information that can be associated with a particular individual through one or more identifiers or other information or circumstances. Examples of PII include, but are not limited to, a person's name plus social security number or driver's license number. If the records associated with this RDA must be destroyed confidentially due to PII content, indicate yes even if some, but not all, of the records included in the RDA contain PII. If YES, complete #6. If NO, do not complete #6.

Personally Identifiable Registry (r)

Enter Y (Yes) or N (No)

Pursuant to Wis. Stat. §16.61(3)(u), the Public Records Board shall create a registry describing records that contain PII. The law specifies that records containing the following information shall not be included in the Registry:

Any records series that contains the results of a matching program, as defined in Wis. Stat. §19.62 (3), if the state agency using the records series destroys the records series within one year after the records series was created;

Mailing lists;

Telephone directories;

Records series pertaining exclusively to employees of a state agency;

Records series specified by the board that contain personally identifiable information incidental to the primary purpose for which the records series was created, such as the name of a salesperson or a vendor in a records series of purchase orders; and,

Records series relating to procurement or budgeting by a state agency.

If the records associated with this RDA are derived from any of the information stated immediately above in a. through f., indicate YES. Note: When this column is marked YES, the information in this RDA will be excluded from the PII Registry. When marked NO, the information in this RDA will be included in the PII Registry.

Records Series is Confidential or Access is Limited (r)

Enter Y (Yes) or N (No)

Indicate "yes" only if a specific statute, administrative rule, or other legal authority requires that all, or some, information in the record series be kept confidential or protected from public access. If "yes" is checked, identify the relevant statute, code, or other legal authority.

Some, but not all, personally identifiable information (PII) is confidential. At the same time, records that do not contain PII may be required by law to be kept confidential or have limited access.

For purposes of record retention and destruction, Wisconsin's Public Records Law and related statutes govern public access to records including certain confidentiality provisions.

Essential (o)

Enter Y (Yes) or N (No)

Records needed for the Continuity of Operations (COOP) during and following an emergency. These are records an agency must have to perform one or more of the

## Instructions for the Records Retention Schedule

following critical functions: operate during an emergency; resume or continue business after an emergency; re-establish the legal, financial, and/or functional status of the agency; rebuild the community after the crisis passes.

### Official Record Location (o)

Every agency has to decide which document is their official record and subsequently which one must be managed by the RDA. How a record is generated and whether or not it is a copy (photocopied, imaged, in a certain media) is not as important as being able to authenticate its originality. Indicate the location of the official record.

### Retention / Disposition (r)

Retention Time Period: SPECIFY AN ACTUAL TIME-PERIOD. Enter the number of years, months, weeks, or "Permanent" to indicate period of time for retaining the records. "Permanent" means that the records need to be maintained permanently by the creating agency. See the [Guidelines for the Permanent Retention of Records](#).

- In the description provide specific justification to the PRB for the proposed retention time-period. Examples of appropriate justification include, but are not limited to: citation of controlling statutes or administrative rules, consistency with related retention schedules, audit or fiscal requirements, or end of business need.

- If a retention time-period is required by law, cite the relevant statute, administrative rule, or other legal authority in the description.

Event: Indicate the specific event that must occur in order to initiate the retention time-period. Identify this event using one of the following terms:

- CR: If creation of the record initiates the retention time-period.
- FIS: The retention time-period is initiated by the end of a fiscal year, these records must be kept through the end of the Fiscal Year.
- Other: If a specific event other than "CR" or "FIS" initiates the retention time-period, use "other". You must also state the event. You may provide a detailed description of the event within the Records Series Description if more space is needed.

Disposition: Indicate the disposition of the records after the retention time-period has expired. Only one disposition may be listed. Dispositions are:

- Destroy
- Destroy confidential
- Transfer to State Archives (WHS)

Transfer to Other Location (Specify)

Transfer to UW Archives

Indicate "Destroy Confidential" if the record series contains personally identifiable information (PII, see # 5), of the record's access is restricted by law (see # 7). If a record series is marked as "destroy Confidential," then the record destruction shall comply with all relevant legal requirements.

### 11. Program area (o)

A descriptive name for the functional grouping of records.

Reference Information:

Related Records Series or Statewide General Records Schedules (GRS) (o)

List any agency records schedules or statewide General Records Schedules (GRS) that relate to the program.

Closed/Superseded Series (o)

List closed/superseded series that relate to the program described in the functional schedule. These series are included for agency reference purposes only. To close or supersede a schedule, complete form [DOA-3806](#).

Revision History (o)

List any revisions to the schedule; include the RDA number that was revised, the series title, and the action taken.

Contact information: for records management training and assistance, please contact the Wisconsin Department of Administration, Records Management Section, by telephone at: (608) 266-2995. Many records management resources are available at the Public Records Board website:

<http://publicrecordsboard.wi.gov>

Here are three helpful documents:

[Statewide General Records Schedules](#)  
[Wis. Admin. Code ch. Admin 12](#)  
[Records Management Fact Sheets](#)